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PROCEEDINGS

2nd MEDITERRANEAN INTERDISCIPLINARY FORUM ON SOCIAL SCIENCES AND HUMANITIES, MIFS 2014,

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ANALYSIS OF DEVELOPMENTAL PATTERNS IN WRITING ACQUISITION OF CHINESE STUDENTS

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Abstract

The study investigates possible developmental trends in Chinese writing acquisition. Over three hundred Chinese elementary school students were enrolled in one-year empirical study. Writing samples were collected during four separate visits at an interval of three months in order to serve as literacy measure over time. The study examined students' writing performance during the different time interval as well as writing development in the grade level.   An error analysis of students' writings reveals developmental patterns of using phonological and semantic strategies in solving problems during the writing process. Findings of the study may provide references for educators to the consideration of reevaluating literacy curriculum and pedagogy.

Keywords: Developmental patterns*,* error analysis, invented spelling, writing acquisition

Introduction

The results of research in spelling development among alphabetic scripts (Morris, 1993; Templeton & Bear, 1992) show that children's invented spelling follows developmental patterns and their spelling errors reflect a growth in orthographic knowledge. According to these studies, children's orthographic knowledge can be assessed during certain developmental stages and their spelling performance has predictive value to educators in planning spelling and literacy instruction.   Study (Ungan, 2008) also analyzes expression errors in writings by primary school students in terms of certain variables that affect writing process. Researchers (Shen and Bear, 1997) have examined invented spelling by Chinese speaking children to determine whether children's invented spelling in a logographic language as Chinese would show comparable patterns of orthographic knowledge development.   There is strong evidence that Chinese children's spelling errors are categorizable and that the nature of errors reflects a logical developmental process in children's orthographic knowledge. Therefore Chinese-speaking children's invented spelling can be used to interpret the development of their orthographic knowledge.

From applicable perspective, researchers (Lam et al., 2004) have designed variation-affording learning object that enables the learners to experience the variations in some specific critical features of Chinese characters. The experience of important variations in the critical aspects of the content is able to show how learners commonly make errors in writing the characters. Out of the analysis of the learners' errors, variations in structural features of Chinese characters are pulled out and embodied in the design of a learning object. Learners thinking with the learning objects can thus implicitly develop a sense of the structural features of Chinese characters.

Existing research (Doolan & Miler, 2012) successfully uses quantitative and qualitative methods to compare error patterns in a corpus of Generation 1.5, L1, and L2 college student writing. This error analysis provides important information on error patterns, error frequency and type. A qualitative analysis also identified specific patterns of difference

between Generation 1.5, L1, and L2 verb error production. Differences found in both the quantitative and the qualitative analyses suggest that the category of Generation 1.5 writing may indeed be characterized in part by an increased likelihood of difficulty in controlling the accuracy of various language forms.

Studying the acquisition of a writing system offers unique information on the development of knowledge in a writing system. One way to study this learning process is to look at native children's development of writing.   Thus, the primary purpose of the study was to examine writing development in Chinese language acquisition by Chinese elementary school children from first grade through sixth grade. Analyzing invented spelling would provide access to assessing the orthographic knowledge acquired and phonologic, graphemic and semantic strategies used in writing process. The results of the study may give insights into cognitive and metacognitive process of young Chinese readers whose language is linguistically and culturally different from English.

The Chinese Writing System

Chinese is often referred to as a logographic writing system, or sometimes more accurately labeled as a morphosyllabic writing system (DeFrancis, 1989; Perfetti & Zhang, 1995). The basic unit of the *Chinese* writing system is the *character*. Each *character* represents a monosyllabic morpheme and is pronounced as a syllable. Unlike an alphabetic writing system, the graphemes in *Chinese* do not correspond to individual phonemes. Morphemes are relatively flexibly combined in Chinese to form different words or concepts. Meanings of new vocabulary concepts in Chinese are generally more transparent than they are in English because of sophisticated concepts built from simple ones previously learned (McBride-Chang et al., 2003).

The orthographic system of Chinese can be described at different levels, such as, strokes, radicals, characters, and words. Words contain one or more characters, which, in turn, are composed of one or more radicals while radicals are composed of one or more strokes (Wang et al., 2003). A radical can appear in different positions within a complex character, at the top or the bottom, to the left or the right of a character. Left-hand radicals, usually termed *semantic* radicals, often give a clue to the meaning of the character, whereas right-hand radicals sometimes give a clue to the pronunciation of the character. Radicals are the basic components of *Chinese characters*. Most Chinese characters are comprised of two components, a phonetic radical, which might give some indication of the pronunciation of the character, and a semantic radical, which sometimes offers a clue to the character's meaning. The radicals are orthographic units that may carry values as morphemes. Some of the radicals themselves can be *characters*, providing both meaning and pronunciation information for the whole *character* (Shu & Anderson, 1997).

Characters can be categorized into simple *characters* and compound *characters* based on their structural complexity. A simple *character is composed of* one single radical that cannot be further divided into distinct radical components. Compound *characters* are those that contain two or more distinct radical components (Ding, Peng, & Taft, 2004; Zhu, 1988). The structural complexity of the *character* may affect beginning learners of *Chinese*. It is apparent that simple *characters* have a simpler visual-orthographic structure than compound *characters*; therefore they will pose less of a challenge for the beginning learners in *character* identification compared to the compound *characters*. The total number of Chinese characters is about 50,000, of which 5,000 to 8,000 characters are in common use. About 4000 are used in everyday written communication (Shen and Bear, 1997).

Since there are many homophones in Chinese, Chinese speakers have to learn to distinguish among characters with very different meanings but with identical sounds from the very beginning. A major task for Chinese readers, then, is to learn what character is

associated with what spoken syllable in context. It is important for a learner to clarify a given meaning from several choices for a single sound in Chinese character acquisition (McBride-Chang et al., 2003).

Method
Participants
      Three hundred-twenty (first-sixth grade) students were selected from an urban public school district, which is a culturally diverse region located in the northwest of China. The participants had received formal education in Mandarin from kindergarten to the current grades. In general, students attend kindergartens for 3 years, roughly from ages 3 to 5. During this time, children are taught to read using only the "look and say" method, in which the emphasis is on repetition of the character's name paired with the printed character. Children start primary school with first grade at age of 6, in which they begin reading and writing by learning Pinyin, the Chinese phonetics.

      Among the participants, there were 51 first graders (mean age = 6.06 years), 54 second-graders (mean age = 7. 25 years), 52 third-graders (mean age= 7.96), 50 fourth graders (mean age = 9.96 years), 44 fifth graders (mean age = 11.43) and 42 sixth graders (mean age = 12.32).

Procedure
      The study was conducted for the entire academic year, during which children were asked to write four compositions at an interval of three months. Writing samples were collected from nearly 300 students during four separate visits in order to serve as literacy measure over time. Writing samples by those who did not participate in all four visits were eliminated from the collection for accuracy and consistency of the study. The initial writing started in the middle of the fall semester and the second was done at the end of first half of the academic year. The third writing was done in the middle of the spring semester and the final one was at the end of the academic year. Participants were carefully instructed on the procedure of the study at the initial writing. They were aware that their participation was voluntary and their writings would not be graded. They were encouraged to write down their thoughts, feelings, experiences, and so on. They were also told not to worry about the way they wrote. In other words, they could use any methods, such as using drawing, partial words, or synonyms, as long as they expressed what they had in mind. Each time they were given 30 minutes to write and they were asked to write as much as they could within the time period. No extra time was given and they were not allowed to stop until the end of the session. No reference was allowed and no hint or assistance was provided while students were writing. At the end, there was no explanation or discussion over the writing either. The same instruction and requirements were repeated while conducting the rest of the writings three months after the previous one.

Data Coding
      All the essays were collected for analysis. Traditionally spelling errors in Chinese are specified as misspelling (cuo zi) and substitution (bie zi) (Zhu, 1988). Misspelling means the target character that is spelled incorrectly. Substitution indicates another character that is substituted for the target character. Such substitutions can only be detected in a writing context (Shen and Bear, 1997). These invented spelling errors are subjected to analysis in this study.

      Errors that are commonly made in students' writing were categorized by a group of judges consisting of the researcher and three Chinese teachers. Categorized errors were examined by judges independently and then as a group. The discussion of the group

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addressed any disagreement in the errors categorized or description of specific errors. When a consensus of errors was reached then each judge was given a list of errors specifically described while analyzing students' essays. The judges independently coded the errors made by the subjects in the writing. The judges then met with the researcher to discuss any discrepancy on the errors identified until a consensus was reached. While identifying invented errors, judges counted characters, words, sentences and paragraphs used in writing.

Results and Discussions

This paper will first discuss students' writing ability through a quantitative analysis of data as in words, sentences and paragraphs employed at different stages. It will then deal with error analysis, that is, substitutions for unknown words were analyzed statistically in order to identify students' orthographic knowledge and a trend of using it in writing. Finally the paper will analyze students' writing process based on the researcher's observations in relation to classroom application and curriculum in literacy education.

Writing Development

Table 1. Data on Students' Writing (Mean)

GRADE	TIME OF VISITS	N0.OF CHARACTERS	N0. OF WORDS	N0. OF SENTENCES	N0. OF PARAGRAPHS
ONE	1st	18.76	7.92	0.96	0.1
	2nd	26.68	9	1.7	0.28
	3rd	44.8	12.47	3.2	0.54
	4th	54.12	16.74	4.68	0.63
TWO	1st	85.83	18	6.78	1.42
	2nd	104.66	20.06	6.32	1.46
	3rd	129.46	25.55	8.19	1.67
	4th	149.42	27.85	9.79	1.84
THREE	1st	160.38	29.54	9.22	2.14
	2nd	164.52	31	10.58	2.83
	3rd	183.02	36.21	14.1	2.37
	4th	195.86	38.27	16.98	2.52
FOUR	1st	196.91	42.81	17.88	2.65
	2nd	193.09	54	18.23	2.92
	3rd	219.17	67.89	19.71	3.37
	4th	225.11	69.25	21.29	3.55
FIVE	1st	246.28	68.1	22.69	3.63
	2nd	271.07	71.72	23.11	3.07
	3rd	283.43	78.47	26.56	3.66
	4th	337.59	86.98	28.54	3.84
SIX	1st	256.82	91.91	25.27	3.8
	2nd	309.97	92.57	26.77	3.84
	3rd	346.35	105.33	30.59	4.33
	4th	400.4	116.62	32.5	5.09

Table 1 presents the information on students' writings tallied by grade level in using characters, words, sentences and paragraphs at each visit. The examination provides a comparison of students' writing at different time intervals within a one-year period. Specifically, grade one started with 19 characters and ended with 54, increasing nearly three times. The number of words used in the final writing doubled that of the first time. The result shows the first grade completed only one full sentence in the initial writing. Yet sentence completion reached four and a half with indication of a paragraph in their final writing. Grade two also showed a tremendous progress during the entire year. Characters used in the initial writing were eighty-six but increased to one hundred fifty (75%) at the final

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one. The use of words increased by 55% (18: 28) and sentence completion increased by 100%. Paragraph completion showed a dramatic change starting from the second grade (1.42) compared with the first grade (0.1). The second graders completed nearly two paragraphs at the end of the year.

In general, data presented by Table 1 show a dramatic increase in first and second grades and then a stead development in language skills from grade three through grade six. A huge difference is identified in employing words, sentences and paragraphs in final writings between grades as shown in Table 2. For example, grade three had 38 words used in their final writing while grade four used 69, showing an eighty-two percent increase. From 4th grade (69) to 5th grade (87) there was a twenty-six percent increase and a thirty-three percent increase from 5th grade (87) to 6th grade (116).

Table 2. An Examination of the Final Writing by Groups

GRADE	N0.OF CHARACTERS	N0. OF WORDS	N0. OF SENTENCES	N0. OF PARAGRAPH
One	54.12	16.74	4.68	0.63
Two	149.42	27.85	9.79	1.84
Three	195.86	38.27	16.98	2.52
Four	225.11	69.25	21.29	3.55
Five	337.59	86.98	28.54	3.54
Six	400.4	116.62	32.5	5.09

A comparison of writings at different intervals also indicates a trend of steady increase in using characters, words, sentences and paragraphs by all groups. This indication demonstrates a natural growth of language ability during the three-month interval.

Invented Errors and Orthographic Knowledge in Writing

Students' writing process is discussed through error analysis approach. Categorized spelling errors are analyzed to demonstrate the process of using orthographic knowledge in solving problems in writing. The discussion starts with error types that students created to replace unknown words during writing and demonstrates how these invented errors reflect phonological, graphemic and semantic strategies that students used to help them construct meaning. Table 3 lists examples of identified error types that frequently occurred in writing.

Table 3. Identified Error Types

No	ERROR TYPE	ABBREV	EXPLANATION
1	Pinyin Substitution	PY	using Chinese phonetics, Pinyin as substitution
2	Drawing Substitution	DR	using drawing as substitution
3	Sign Substitution	SN	using sign or symbol as substitution
4	Homophonic Character Substitution	HP	using character with similar sound as substitution
5	Phonetic Radical Substitution	PR	using part of the character to substitute the character
6	Change in Configuration	CC	changing the shape of a character
7	Irrelevant Synonyms	IS	Using a synonym grammatical incorrect

Three types of errors collected through writing samples have shown similar trends. These invented errors include Homophonic Character Substitution (HP), using character with similar sound as substitution, Addition of a Stroke (AS), mean that a stroke or strokes are added to a character, and Deletion of a Stroke (DS), that is, a stroke is deleted from a character.

There is a pattern of students using a character with similar sound to substitute an unknown character. The first graders seldom "created" such errors because of obvious reasons--not knowing enough homophones. Sixth graders show a big drop in such

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substitutions though they still used them. The middle graders were the ones who frequently created PH errors. It is apparent that the middle graders had the knowledge of many homophones but they were not capable of distinguishing them. Since the 2nd and 3rd graders knew only a limited number of characters, they depended heavily on phonological knowledge. Such substitutions showed that they were using phonological processing skills as strategies to express themselves in writing, sometimes unaware of syntactical and thematic context.

Phonetic Radical Substitution (PR) is type of error in which part of the character was used to substitute the entire character. This substitution indicates that students used their knowledge of the graphic structure of the character.   Semantic knowledge can be identified through error type of Irrelevant Synonyms (IS).   In this incident, students used in writing a synonym that is grammatical incorrect in writing. These two types of errors are characterized by the same developmental trend, starting at the second grade and reaching the height in the fourth grade and experiencing a drop in the middle of fifth grade. This provides strong evidence that students used graphic and semantic knowledge of characters they had developed throughout the grade levels. This result indicates that logographic readers, such as Chinese, have a direct access to meaning from the visual configuration of a character.   Logographic readers can consequently read without going through a phonological recoding process.

The next category is characterized by a linear (negative) trend; for example, the lower graders frequently use Pinyin substitutions in their writing, especially in grade one. Grade two shows a slow decrease while a sharp drop starts in the third grade. Unlike the other two types of errors in this category, Pinyin substitution is used till the end of fifth grade though it is not as frequently used as in early grades. It is obvious that students' phonetics training, considered as learning of Pinyin, helps them acquire the knowledge they need to sound out any unknown characters by using Pinyin substitutions.

Both errors, Drawing Substitution and Sign Substitution (SN) are shown as a linear tendency, that is, they are common in the first grade writings and witness less in the second grade writings. It shows no evidence that the third graders above still employ these types of substitutions.

Change in Configuration (CC) is recognized as a type of unique invention of students in their writing. Students changed the shape of a character being used in their writing. Such shape changing includes top to bottom, left to right. However, shape-changing is an obvious incident in recognizing Chinese characters. Along with the development of recognizing the shapes of characters, students become sensitive and cautious in using them. The data show that at the end of the second grade, such irregular shape-changing errors almost disappeared. Contrary to CC, Irrelevant Synonym (IS) was not found until the end of second grade. The most frequency of this type was identified between the forth and fifth grades and a decrease began in the middle of fifth grade.

Since students were encouraged to use substitutions for unknown characters, this gave them opportunities of applying their knowledge in phonology, semantics, and grapheme. The process of creating substitutions, identified as errors to replace unknown words, reveals that students were using phonological, graphemic and semantic strategies in solving writing problems.

In sum, error substitutions indicate subjects' knowledge in phonology, semantics, and grapheme. Examining the process of substituting of unknown words by young writers provides a clue that leads to categorization of errors, identified as invented spellings. The substitutions for unknown words can be categorized as phonological, graphemic and semantic strategies that students used in solving writing problems in support of Shen and Bear's categorizations (1997). The strategic process of using phonological, semantic, and graphemic knowledge by the children in writing demonstrates the similarity of readers using language-

based and text-based strategies in solving reading problems while dealing with difficult texts (Feng & Makhtari, 1998). For example, Pinyin substitutions and Homophonic substitutions demonstrate the knowledge of students in phonological strategies.

Though students relied heavily on phonological knowledge in earlier grades, Homophonic strategies were employed in most of the grade levels. Graphemic process reveals a complexity of students' knowledge in Chinese orthography. For example, Drawing substitutions (DR) and Sign substitutions (SN) are identified by a linear tendency, that is, they were common in the first grade writings and became less frequent in the second grade writing. Change in Configuration (CC), was found frequently used in grade one and two writings but seldom seen in writings by the higher graders. Phonetic Radical Substitution (PR) indicates a developmental trend in using knowledge of the graphic structure of characters throughout the grades except grade one.   Semantic knowledge is typically represented by the error type of Irrelevant Synonyms (IS).   In this incident, students used in their writing a synonym that is grammatically incorrect in writing. The observation indicates that students used semantic knowledge of characters developed previously in later writing.

Conclusion and Implications
Major Characteristics Demonstrated in Writing

Grade One. Pinyin was the major tool used in expressing their oral vocabulary while drawings and signs were used to express ideas beyond their vocabulary. There was a strong reflection of the contents that had been covered in the classroom. Though some immediate personal experiences expressed in writing, reciting from the texts was very common. Some writings were basically copies of texts, such as poems, which were not collected for the study.

Grade Two. Contents included more personal experience, such as family and friends while writings demonstrated the use of punctuations to separate ideas. Pinyin and drawing were still seen but less than 10% of the entire writings. There was an obvious misuse of paragraphs, that is, ideas were not complete and some times more than two unrelated incidents were included.   The writers might have found nothing else to say about the story and then started another topic if there was still time left.

Grade Three. Writings were characterized by frequent use of longer sentences and occasional use of compound and complex sentence structures. There was an indication of a beginning and an ending of the story in writing. Personal stories and experiences were narrated within paragraphs, showing very few reciting of texts. Substitutions with wrong words were obvious while Pinyin and drawing substitutions were dramatically reduced.

Grade Four. Narration was appropriately employed in telling personal stories and experiences. An essay structure with an introduction, body and ending was demonstrated and paragraphs were comparatively complete showing a clear mind of the writer. A smooth conversation between characters appeared in the story. In some writings, descriptive methods were used to present a detailed story.

Grade Five. Students seemed comfortable in narration and their contents presented more varieties, such as a thing, an event, and a person. The discussion of the contents supported the topic or the title given. Critical thinking is involved in discussing abstract ideas and using comparison and contrast. Writers attempt to make a point or send a message, not just simply narrating or describing.   Figurative and humorous language can be seen in describing details with colorful words and idioms.

Grade Six. Sixth graders did not show much difference from fifth graders in writing styles and thinking process. Yet six graders demonstrated the completeness and cohesiveness of ideas while narrating or describing. Students showed their maturity in discussing ideas by using comparison and contrast, cause/effect and problem/solution.   Writers were able to

analyze an idea through different aspects in order to make a point. Writer's mood, attitude and personal feelings could be identified between the lines.

Observations

The researcher has several observations of students' performance throughout the project. Due to the cooperation and high retention rate of the participants, the study was able to collect 90 percent of the valid writing samples from the participants who had attended all four writing sessions throughout the year.

Familiarity plays an important role in composing ideas. Students tended to write more while describing a familiar topic, such as, describing a friend, a family member, an event, etc. Writings with a familiar topic demonstrate the depth of a description of the author's observation and creation. This was true even in some writings by the first and second grades. Language did not seem a problem expressing the writer's mind. Of course, substitutions for unknown words played an important role in writings by lower graders.

The strategies of recalling and reciting texts play an important role in composing. Classroom learning was obviously reflected in writing. Some writings included an entire text learned, such as a poem. This type of recitation was simply a copy of a text. Frequency plays an important role in acquiring Chinese characters. Role memorization is considered a popular way of learning Chinese accordingly. Learners use the strategies of role memorization and repetition to learn thousands of characters. Yet such a strategy did not help students accurately express what they knew and how they expressed themselves in their own language. Therefore, writings showing copying or reciting texts were excluded from research samples.

Lack of creation and critical thinking is a common issue found in students' writings. Creative writing seemed a difficult task in many aspects. Students were observed with a slow start and it took time for some students to start writing. Students were not quite comfortable for creative writing because they were usually given a topic, with a specific format, or by following a particular model in their writing class. It is obvious that even the fifth and sixth graders were still not quite freely expressing themselves. They tended to employ contents, formats, styles, and moods learned from textbooks. Some writings were just the reflections of somebody else's mind rather than the author's own. There was a common pattern that was frequently shared by students at higher grades, that is, one thing is always the consequence of another as a way of delivering a massage or a lesson. It goes like this: "I" did something which was not supposed to do according to somebody (a parent. a teacher) or according to a social morality (being unselfish, for example); "I" learned a lesson and after some self-criticism, "I" changed "my" mind and would do accordingly in the future. This type of writing could not reflect the author's conceptual ability though the interpretation may demonstrate his/her language ability. What we miss here is the real world that the author perceived and the natural process that s/he went through. Although most of the writings by higher graders gave a complete idea, only some were found with creative and/or critical thinking.

Students' writing process has reflected the current curriculum and pedagogy, in which ideas of creativity and critical thinking are not quite emphasized. According to research (Harris, 2008, Ungan, 2013) a curriculum that encourages creativity and nurtures critical thinking has a huge impact on learner's creative potential. A fundamental basis for a literacy program in writing acquisition is to comprise extrinsic factors that facilitate creative development. Writing process is primarily a matter of interpreting rather than copying. It is urgent to have an innovative curriculum with the guidelines and emphases on the ideas of critical thinking and creativity. It is equally important that teachers take a pedagogical initiative in literacy education, which provides opportunities for students to express their

feelings and thoughts freely and creatively.   Once creative teaching takes place in the classroom, creative learning and critical thinking will be reflected in students' writing.

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APPLICATION OF INFORMATION AND COMMUNICATION TECHNOLOGY IN MANAGEMENT OF INFORMATION RESOURCES AND SERVICES IN KADUNA STATE TERTIARY INSTITUTIONS' LIBRARIES KADUNA-NIGERIA

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Abstract

The application and diffusion of information and communication technology cannot be viewed in isolation from development in telecommunication technology. Innovation in computer and telecommunication technology have resulted in major changes in basic library operations as well as managing information in different offices and organization, such as circulatory reference services, cataloguing and classification, collection development (ordering and acquisition). However, the innovations have prompted many organizations to employ the use of ICT devices to further manage information and records of the organization. On this note, many organizations, now adopt the use of computer systems, database management systems, development of network systems to create, store, preserve, secure and use information for effective decision making in the organization. This paper highlights the prospects and problems of I.C.T in Kaduna state tertiary institutions' libraries. Recommendation for functional I.C.T. in Kaduna state tertiary institutions' libraries have also been given.

Keywords: Information, Communication, Technology, Management, Resources and Services

Introduction

According to Dafiaghor, (2012) explained that the use of information technology in Nigerian academic libraries has been profoundly affecting all aspects of information acquisition, storage, and transfer. Its magnificent development has dramatically changed the mode of library operations and information services. Hundreds of thousands of monographic materials, journals, learning resources, databases, etc. are now available in electronic formats, and these materials can now be accessed from the remote corner of any country, thereby increasing the use of information and literature and the efficiency of information services in Nigerian tertiary institution. Users are now more independent than before; they can access to these electronic formats from their home computers and search databases according to their information needs. Students, teachers, researchers, information professionals, and employees are the user categories in tertiary institutions. Their needs vary; their information or literature-seeking behavior also varies, and they need to be cared accordingly. Requirement of an individual needs to be individually addressed in an efficient way. Information resources also need to be accessed by them depending on their requirements – be they print materials and web-based resources. Electronic resources imply information materials that require the use of electronic devices such as personal computers (PCs), laptops, palm-tops, Notebook-laptops, DVD-,VCD-,CD–players, projectors, phones, I-pods, Iphones, I-pads, internet-, WAN-, LAN- networks, etc for their usage. Some of the most used of these resources include flash-drives, memory cards, DVD-, VCD-, CDROMs, DVD-, VCD-, CD-RAMs, DVD-, VCD-, CD-R; DVD-, VCD-, CD-WR; DVD-, VCD-, CD+WR, etc. (Dafiaghor, 2012).

The traditional services rendered by the library include, readers' services, reference services, reprographic services, Current Awareness Services (CAS), Selective Dissemination of Information (SDI) etc. However, the advent of Information Communication Technology (ICT) has expanded the scope of these services and the tools of information delivery. Today we have e-library and virtual library which provide access to electronic books and journals, online references, web-resources, web-catalogues etc. This "Web-eccentricity" poses a lot of challenges to librarians and information scientists as well as the traditional library users. The challenges are both operational and strategic. The attitudinal challenge is another dimension that needs to be addressed (Idowu, 2009).

Statement of the problem

The rapid changes in information and communication technology causes already uncertain business environment to be even more predictable. Organizations' ability to identify the relevant information needed to make important decisions is crucial, since the access to data used to generate information for decision making is no longer restricted by the manual systems of the organization. Today, the emergence of ICTs made it possible for organizations to record, synthesized, analyze and disseminate information quicker than any other time in history, (Galliers, 2003). He further argued that data can be collected from different parts of the company and its external environment and brought together to provide relevant, timely, concise and precise information at all levels of the organization to help it become more efficient, effective and competitive.

Also, over the years organizations generally have been accumulating heaps of information emanating from different departments and units within and outside the organizations. As a result of this scenario, these organizations are saddled with the tasks of managing the information and records for the purpose of effective and efficient decision making and improve productivity in the organization. The large volumes of different varieties of information generated and disseminated almost on daily basis require more sophisticated devices in its managements.

However, observations by the researcher revealed that management of information and records in Kaduna state tertiary institutions is ineffective and thereby rendered lots of information and records of the organization not retrievable, not accessible and to a large extent not useful to the organization. Since, more often information and data are found to be lost. Another resulting problem is information redundancy, poor data security and preservation measures and inability to share data/information among departments in Kaduna state tertiary institutions.

In the late 20th and early 21st centuries, library automation and the internet revolutionized information access and library operation around the world. The effect on academic institutions has been profound. It enables users to access library resources from sites hundreds or thousands of miles away. Library in academics institutions can now provide information access to off-campus faculty and students wherever they are located. To meet the ever increasing demands for information availability, academics libraries must now subscribe to electronic resources such as e-books, full text journals and on-line bibliographic database in addition to the print formats. While the availability of these electronic resources enables remote access to needed information, concomitantly, they present issues and challenges (Idowu, 2009).

It is against this background that this research was designed to adopt the application of Information Communication Technology in management of information in resource and services in Kaduna state tertiary institutions' libraries.

Application of ICT in Management of Information resources and services the (prospects)

The great advances being made in the field of Information communication technology, there are great possibilities for the application of ICT in academic libraries in Kaduna state tertiary institutions, in this direction there is room for ICT application in the academic libraries in many ways including the following:

ICT and Electronic Collection Management

According to Cotter and Koehler (2002) observed that the ICT and electronic library has four attributes:

a)   Management of resources with a computer

b)   The ability to link the information provider with the information seeker via electronic channels

c)   The ability for staff to intervene in the electronic transaction when requester by the information seeker and

d)   The ability to store, organize, and transmit information to the information seeker via electronic channels." An electronic library utilizes both electronic information resources and electronic means to manage and move those resources.

There are sound reasons for us to consider collection management or as Budd and Harloe (1997) suggest that content management in a networked environment, libraries bring more than organization and intermediation to information collections. They also bring authority. Inclusion in a collection implies pertinence, appropriateness.

ICT and Records Management

According to International Records Management Trust (n.d) observed that well managed records are a foundation for good Library services; they serve both to document the policies, transactions and activities of library and to provide a trusted source of information to support decision-making and accountability. Many Library operations that traditionally depended on information derived from paper records have become partially or wholly automated. As Library migrates to an on-line environment, records in electronic form are providing the basis for conducting business, serving the users, managing resources, measuring progress and outcomes, and protecting their own and others' rights. Records management is becoming increasingly dependent on technology. It is important therefore to have objective means of assessing the strengths and weaknesses of records systems and determining whether they are capable of capturing, maintaining and providing access to records over time.

Library is now more dependent on information in electronic systems to carry out their day-to-day functions and make decisions; common examples include systems designed for: Human resource management, Online public access, Institutional repository, E-resources and Services, Licensing and ordering, Registration, and Benefit delivery. New technology is making significant contributions to improving Library resources and services, achieving development goals and advancing e-library strategies. However, records management is not being given the attention it requires in the transition to the electronic environment. In too many cases, ICT systems are introduced without the essential processes and controls for the capture, long-term safeguarding and accessibility of electronic records. This undermines the ability of Library staff to trust the information generated by Library ICT systems.

Bibliographic Access Tools in an Electronic World

Cotter and Koehler (2002). Explained that metadata is a relatively new term building on an old concept of cataloging or bibliographic control as a tool for identifying and locating

information. Metadata means "data about data." Librarianship has traditionally used the terms "bibliographic control," "cataloging," and "indexing" for "metadata." With the advent of electronic collections, digital libraries, and the Internet, and the increasing availability of numeric and textual databases, information classifiers and catalogers have begun addressing the bibliographic management of distributed databases.

The term "metadata" has been adopted to reflect this broader application and bibliographic control of a wide range of information products. Historically, card catalogs typically were limited to no more than three access points (author, title, subject), two more than the earliest catalogs. OPACs, because of the speed and "agility" of computers, support multiple access points. Computer scientists, and now Internet entrepreneurs, have developed metadata systems for digital libraries and Web search engines. These include systems to automatically capture and harvest imbedded metadata like PICS and Dublin Core as well as the various XML-based markup systems. These indexes resemble classic indexing structures. Many search engines, for example, follow inverted indexing principles, while many of the search directories are based on faceted chain-indexing models. A proliferation of metadata and metametadata tools is being developed to provide access to digital information. Metadata issues need also to be understood as information professionals build collections with materials in a growing number of formats, for often different format implies different metadata. A separate paper in this volume addresses metadata systems in more detail (Cotter and Koehler, 2002).

Interlibrary Loan Model

Interlibrary Loan (ILL) is a process by which one library borrows from other libraries materials it does not hold in order to meet the information needs of its patrons. Interlibrary Loan is not a new concept nor is it one that emerged out of the digital revolution. ILL is however facilitated by various online services including electronic union catalogs (like OCLC's World Cat) and automatic ILL request services attached to OPACs (Online Public Access Catalogs) and online databases. The ILL community has developed a continuing interest in using the Web and other means to facilitate the ILL process. The North American Interlibrary Loan and Document Delivery (NAILDD) Project promotes the development of efficient ILL/DD delivery systems using networked technologies.

NAILDD has identified three areas of primary concern: "comprehensive and flexible management software, improvements in ILL billing and payments, and system interoperability via use of standards." (Jackson 1998). OCLC has played a major role in developing system interoperability, facilitating billing and financial transfers (IFM or ILL Fee Management), and development of management software. A number of international initiatives led by the Research Libraries Group (RLG), the Library Corporation (TLC), Ameritech Library Services (ALS), AGCanada, and others have sought to improve system interoperability and information flows, thus enhancing digital access. OCLC manages an international Interlibrary Loan Service or Global Sharing Group Access Capability (GAC), built upon its union catalog WorldCat. It utilizes a standard Web interface and software (http://www2.oclc.org/oclc/pdf/printondemand/ill.pdf). Many countries have developed model codes for ILL, for example the American Library Association – Reference and User Services Association (ALA-RUSA) Interlibrary Loan Code for the United States (http://www.ala.org/rusa/stnd_lnc.html). ILL exchanges among countries are guided by the International Federation of Library Associations and Institutions (IFLA) International Lending: Principles and Guidelines for Procedure (http://www.ifla.org/VII/s15/pubs/pguide.htm) (Cotter and Koehler, 2002).

Universal Borrowing Models

The Universal borrowing models (UB) allows libraries to treat authorized users from one system to borrow (access collections) from libraries within a consortium. The term "universal" actually refers to providing access to everyone within a defined group, not universal in the sense of totally opened.

In the United States, two examples of UB arrangements for digital access are:

a) Libraries under a common jurisdiction permit intra-jurisdictional lending. For example, in Georgia, public libraries have banded together to form the Public Information Network for Electronic Services (PINES). These libraries are regulated by the Georgia Public Library Service. PINES offers an electronic union catalog and interlibrary borrowing and return services (http://pines.public.lib.ga.us/). The Georgia public and academic libraries also participate in GAILEO, to provide system wide commercial database services.

b) The Association of Research Libraries (ARL) manages the "Reciprocal Faculty Borrowing Program" among its member university libraries. "Conducted under the aegis of the Research Libraries Advisory Committee to OCLC, the intent of this program is to promote and facilitate scholarly research and communication among faculty members of research universities that are ARL members."

Privileges may but do not necessarily include borrowing rights. http://www.pace.edu/library/collection/Faculty Borrowing.html. In the increasingly digital world, the pre-coordinated groups of organizations in consortia have become increasingly active and pervasive due to the need to get the most favorable conditions under licensing agreements. Cost models for publishers of digital information are in serious flux and the need for groups that build collections to work together in their dealings with publishers and in developing access infrastructures for digital collections has become increasingly important (Cotter and Koehler, 2002).

ICT and Archiving Electronic Information Resources

Hodge, and Frangakis (2004) ascertain that Preservation and permanent access begin outside the purview of the archive with the producer or the creator of the electronic resource. This is where long-term archiving and preservation must begin. Information that is born digital may be lost if the producer is unaware of the importance of preservation. Practices used when electronic information is produced will impact the ease with which the information can be digitally archived and preserved. Several key practices are emerging involving the producers of electronic information. First, the archiving and preservation process is made more efficient when attention is paid to issues of consistency, format, standardization and metadata description before the material is considered for archiving. By limiting the format and layout of certain types of resources, archiving is made easier. This is, of course, easier for a small institution or a single company to enforce than for a national archive or library. In the latter cases, they are faced with a wide variety of formats that must be ingested, managed and preserved. In the case of more formally published materials, such as electronic journals, efforts are underway to determine standards that will facilitate archiving, long-term preservation and permanent access. The Andrew J. Mellon Foundation has funded a study of the electronic journal mark-up practices of several publishers. The study concluded that a single SGML document type definition (DTD) or XML schema can be developed to support the archiving of electronic journals from different subject disciplines and from different publishers with some loss of special features (Inera, Inc. 2001). Such standardization is considered key to efficient archiving and preservation of electronic journals by third-party vendors. The DTD developed by PubMed Central for deposit of biomedical journals is being considered as a generalizable model for all journals.

ICT Analyst

Elisha, M. J. (2006) observed that the use of ICT to provide access to educational resources to library patrons, ICT can be used to facilitate on-the-job training and retraining of information professionals. As noted above ICT is developing at a pace very difficult to keep up with, as such there is need for the information professionals to know and follow trends in ICT. Since "information professionals are being called upon to work dozily with ICT users and providers (including it staff) and to work in collaboration with others in the profession. Some group of users lack the necessary IT skills to obtain quality information, information professional will therefore be called upon to act as both educators and intermediaries, given these circumstances, information professionals are required to have increased teaching and communication skills" (Ash croft and watts, 2005).

Thus, the relevant manpower is developed or acquired within our academic libraries; all advances in ICT application will not be fully utilized. Unfortunately,' too much emphasis has been placed upon the development of ICT information in developing countries and not enough consideration has been given to human resource development. Stein Muller (2001) suggests that many ICT users are self taught and are capable of developing an understanding of ICTs through the experience of utilizing them. If thus be the case, the countries unable to provide extensive access to ICTs are inevitable marginalized, as they are less likely to produce capable self-taught persons (Ashcroft and watts, 2005). For the Nigerian academic libraries to take full advantage of the opportunities offered by ICT and its application in the library environment it must create extensive access to ICT and relevant tutorial packages on new technology applications, software and software management and CD-ROMs which will enable the ICT professionals within the library setting to install, manage, maintain and repair ICTs easily and to assist other ICT users to maximize the opportunities offered by ICT as well as ensure effective collaboration such as in a digital: reference service (Elisha, 2006).

Application of ICT in Management of Information resources and services (the problems encountered)

For clarity, the problems hindering the effective application of ICT in Nigerian academic libraries in general and Kaduna state tertiary institutions as partial will be discussed topically as follows:

Problem of Funding

Academic Libraries in Nigeria is not adequately funded. The fate of academic libraries is not different as funding for this library, which comes largely from their parent institutions and ETF, now TET-Fund, has not been sufficient. As the purchasing power of revenue accruing to different levels/tiers of government in Nigeria continues to diminish, responsibilities and obligations of these governments continue to expand. This has severely limited the amount of money available for the capital and recurrent expenses of the country's academic libraries, amongst other educational and social services. It is, therefore, very clear, as captured in Nigerian library literature that academic libraries in the country cannot continue to rely on the present sporadic and insufficient budgetary allocations by government through their parent institutions. In line with the foregoing, some income-generating ventures have been identified, which if implemented, would yield the additional financial resource required to meet the increasingly complex demand of library services in 21st Century tertiary institutions (Nnadozie, 2013).

Lack of comprehensive ICT policy

Elisha, M. J. (2006) explained that no library can be effective without a policy, which sets out aim and objectives, identifies user groups and services and indicates priorities among

them, though the library indicated that it has plans to develop ICT policies this also showed that the use of ICT policies by academic and researchers is quite recent and that they started investing on ICT facilities without functional policy statements.

Besides there is the need to develop an overall national ICT policy for Nigerian academic libraries within which both the private and the government owned academic institution should developed for our academic libraries, continued investment on ICT will be disjointed and thus unable to yield meaningful results.

Poor ICT knowledge

There is a severe and pronounced "low level computer literacy among Nigerians" (Okiy, 2005). This makes it difficult for them as users and patrons of academic libraries to make full use of available ICT facilities. This problem is further aggravated by the "shortage of technology literate staff in library, the lack of skilled human resources to install and manage technology networks and poor funding to attract such staff or develop such skill in existing staff (Ashcroft and Watts, 2005). The poor ICT knowledge among both users and professionals in Nigeria makes it difficult for the Kashim Ibrahim Library to go far in their application of ICT. Library is lacking resources and technical support, and staff needing continuously to acquire appropriate training in order to deliver up-to-date services and trouble shoot equipment (Bill and Melinda Gates Foundation, 2005, p8). Without the relevant ICT skills, the Kashim Ibrahim Library ICT professionals are unable to guide the library patrons maximize available ICT facilities and explore the opportunities they offer (Elisha, M. J. 2006).

Conclusion

The role of library and information professionals have changed altogether, their role is not just as custodian of books but to teach the students how to use the existing resources, frequently organizing workshops, current awareness, debates, develop users/staff on how to manage the library resources and services. Library professionals cannot ignore the changes in the field of ICT and redefining as well as reengineering the library resources and services is the need of the hour. Information professionals must change the way of managing documents with latest tools and technologies. Staff has to give instruction, training to users to promote optimum use of information sources.

The ultimate aim of adoption ICT is to facilitate effective transformation of information sources to learning/research. Any plan of implementation which deviates from this aim is likely to result in futility. Integration of ICT with library resources and services should be curriculum driven instead of technology driven in view of future curriculum reform. The implementation of ICT programs in library services should entails building a culture among people.

Recommendation

1) Kaduna state tertiary institutions' Library needs funds to initiate the full implementation of ICT in management of information resources and services, the government of federal republic of Nigeria should play vital role by allotting sufficient funds for purchasing and maintaining ICT in libraries.

2) A comprehensive collection development policy for e-resources should be maintained by the Kaduna state tertiary institutions Library, in order to follow a set of standard practices for acquisition and management of electronic information resources. There should be specific budget for new resources and the renewal of existing resources.

3) Professional organizations such as the Nigerian Library Association (NLA) and library administrators should organize short-term training programmes and workshop for library

professionals in computer applications in library and information services, online information retrieval, data processing, electronic publishing, and also software such as Microsoft Office, CDS/ISIS, etc.

4) A long-term plan is an essential component of the long-term implementation of ICT in Kashim Ibrahim Libaray.

5) Standby electric power generating set should be procured and be uncuttable in order to ensure constant power supply for proper utilization of ICT facilities. Since ICT relies heavily on electric power, every effort should be made to ensure that the systems are always powered as required.

6) Management and full utilization of the facilities should be properly done. The users should have enough time. Through proper planning, organizing, directing and controlling of the IT facilities so that the best could be made of the facilities. Restricted access to the facilities will not lead to the attainment of the desired objectives, but at the same time, measures should be put in place to ensure that the facilities are not abused.

7) Networking should also be improved, since is one of the most effective ways of serving users' needs comprehensively. Networked access to databases would help get newly-published information to library users.

8) Good maintenance culture should be developed in the Kashim Ibrahim Library. There is no gain leaving any broken system to suffer because more harm could be done through such inaction. Rather, more qualified technologists should be employed to ensure efficient maintenance culture for better results.

9) Well-trained and skilled personnel are essential ingredients for implementing ICT in library. Steps should be taken to develop properly trained and competent people for this purpose.

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PRIMARY SCHOOL TEACHER TRAINING IN BRAZIL: A PROPOSAL WHICH CONTEMPLATES THE PARADIGM OF COMPLEXITY IN THE TRANSDISCIPLINARY VISION

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Abstract

This article originates from part of a research, with a focus on the issue: How to offer a proper in-service continuous training programme which contemplates the Paradigm of Complexity, catering for a transdisciplinary vision, in the search of the (re)construction and consolidation of the pedagogical knowledge of teachers who work with early childhood education? This research, of a descriptive nature, is linked to the group called *PEFOP - Paradigmas Educacionais Formação de Professores*, allocated to the *stricto sensu* Graduate Programme in Education, at Pontifícia Universidade Católica do Paraná-Brazil. The research as a whole aims to investigate the point of view of teachers who work with early childhood education, proposing the curricular extension in regards to teacher training, emphasizing the importance of the complexity vision in the pedagogical practice. It proposes the investigation of different professional training possibilities of this level of education, taking into account the necessity of a pragmatic change to teaching practice. In this article which was consolidated while the researcher sought to understand the components that make up the change of early childhood education professionals. The investigation allowed us to realize that the professionals who work with this level of education can enhance their teaching practice, having as basis the transdisciplinary vision, focusing on the paradigmatic change of the Complexity. This, as a comprehensive theoretical-practical basis, allows a methodological unleashing able to build substrates to go beyond the content included in the curriculum, in search of learning which is really significant to the lives of the students.

Keywords: Teacher Training, Early Childhood Education, Paradigm of Complexity, Transdisciplinary, Methodogical Strategies

Introduction

This article originates from part of a PhD research, which focuses on the following issue: How to offer in-service continuous training programme which contemplates the Paradigm of Complexity, in search of the (re)construction and consolidation of the pedagogical knowledge of teachers who work with early childhood education? For this work, the researcher sought to investigate the necessity to change the point of view of teachers who work with early childhood education, proposing a the curricular extension in regards to teacher training, emphasizing the importance of the complexity vision in the pedagogical practice, investigating the different professional training possibilities for this level of education. The qualitative study was consolidated while the researcher sought to understand and record the components that make up the change in pedagogical practice, from a

standpoint of the complexity and transdisciplinary vision, aiming at transforming the format of continuous training courses catered for early childhood education professionals.

Early childhood education is an extremely important level of education when it comes to the development of the individual, as it becomes one of the places responsible for the initial formation of the person as a historical being and constitution in society. With this in mind, this should be one of the stages of education in which professional have the greatest level of knowledge regarding human, cognitive, emotional and social development, among other knowledge which is important in this stage of life. However, this is not the reality in the current Brazilian education system.

In Brazil, many small primary schools can be found employing a group of teachers who carry a *Magistério de Ensino Médio – Secundário* (vocational-technical teaching certificate – High School) or are BEd (Bachelor of Education) interns (equivalent to Education Science). The current Education Guidelines and Basis Law, under the number 9394/96 (Brazil, 1996), advises that all teachers who work with education, in all levels, have to have as a minimum requirement, an undergraduate degree, and in the case of teachers who work with early childhood education, the professionals must be "licensed at a secondary or higher level" (Brazil, 1996). Unfortunately, this is not the reality found in primary schools.

Such formation is about looking at the importance of this process of individual development, which starts in this phase, going beyond the simple fact of caring. It is necessary that the teacher, committed to the effective learning of his student, interact each day more with his knowledge, enhancing pedagogical practice points of view and possibilities, through an innovative and responsive methodology. Thus, we must consider Early Childhood Education as a rich and fertile area for both the effective work of the teacher and the learning achieved by students. It is worth mentioning that children are at this level of education with a role that goes far beyond mere spectators, but as participants in their formation and interaction with reality, with society and with the world around them.

This aims to investigate different possibilities for extensive training of professionals who work in early childhood education, as it requires a paradigm shift in teaching that favours action and contributes to an expansion in training, theory and insertion to the academic and practical knowledge, meeting the demands of this stage of children's lives. This fact points to its relevance, as the reality of teacher training aimed at those who work at this level of education, and those who are currently leaving the institutions of higher education, has proved deficient and why not, shallow.

Its main objective is to develop different potentials in individuals, from a young age, so that in their academic path, they can establish connections between the learning which took place and their reality. This fact is, to some extent, unanimous in education and it is well known that the quality of early childhood education carries such responsibility. However, what can be observed in practice is different. It can be noticed, when in touch with this area of teaching, that there is a stigma, perhaps a lack of meaning in relation to the concept of early childhood education, which seems not to offer an effective pedagogical work. It can be observed that this level of education is much closer to an environment of recreation and playfulness, which carry noticeable importance and need to be present nonetheless but should be added to effective processes of learning.

Paradigm of complexity in Early childhood education: a necessary training

For the perception of the relevance of a change in world views present in education, it is necessary to understand the importance of the paradigmatic transition which took place in the end of the twentieth century, when education started to be challenged to propose methodologies that had an emphasis on the production of the knowledge of the students, and not only the reproduction of content. This paradigmatic crisis went beyond education, and

was deemed very important for science, being emphasized in the beginning of the twenty-first century, especially due to factors of great importance to the current society. Such factors can be noticed for instance in the technological advances which took place quickly and needed greater understanding, the destruction and humanity's lack of care towards nature, without ignoring the consequences of the actions and the strong rampant competitiveness generated by the capitalist society who does not have any ethics or worry for others.

After the rupture of the Conservative Paradigm, there was the necessity to understand not only the complexity of the current crisis, but also the proposal of resolution to the set of problems, which science suppositions [here linked in a more emphatic way with respect to education and its connection to daily life and to the reality of students and teachers] did no longer find answers to its instigations, bringing about the necessity to create a new paradigm that could argue with and answer such predicaments and propositions.

The society's urgency for knowledge is present when there is the need for a change of focus, from reproduction to production of knowledge, driving students into a new society: the one who learns to learn, to know, to do, to live and to be. This perspective makes us face the paradigm of complexity, which demands the rupture from the point of view based only on reasoning, in search of the overcoming of the fragmentation product of a Cartesian and reductionist position. In order to better understand this issue, Morin (2001) can be cited, where he stresses that pertinent knowledge needs to face complexity. For the author, *Complexus* means what has been woven together, that is, a fabric. "Therefore, complexity is the union between unity and multiplicity" (2001, p. 38).

The paradigm of complexity, in another author's point of view, Yus (2002), can be denominated as Holistic or Systemic and has been trying to establish again the fragmentation of knowledge through connections between the linear and collective thinking, among other dualities (In Behrens, 2006). Teacher training, therefore, goes through the urgency to welcome the new paradigm of complexity, while the previous model cannot any longer meet the increasing demands and raise new answers to old questions.

At this moment in time, the urgency erupts in many ways, demanding the propagation of knowledge and a range of contents which need to be redefined, so that this new vision which substitutes the Cartesian one can come through and let go of the collective construction of knowledge, which serves to modify, assure and enhance the educational practice. It is the search for a fairer and more equalitarian society where learning takes place not only in classrooms, but also in informal places, as people live in a permanent educational reality. Education goes beyond school walls. It takes place in different places and ways. The *locus* changes and so does the vision of education, which starts to be amplified, reorganized and revisited.

After this whole new configuration given to education, it is necessary to amplify the focus when it comes to training this teacher who currently works in a school setting. Therefore, the continuous development of teachers to cater for this paradigm of complexity needs solidary processes which involve theoretical knowledge but which also go beyond the theory, covering critical discussions as well as other factors – project, production, argumentation, research, participation, analysis, elaboration, creating and group work – in which teachers and managers are enhancing and developing their professional skills. So, the Society of Knowledge is configured as such, having as premise the search for a more global vision of not only education, but also other factors which influence society, basing itself on factors with great confluence of ideas: citizenship and ethics; relativeness; totality; connection net and propagation of information; complex and interconnected systems (BEHRENS, 2006). At the same time, a strong construction of collectiveness is born, since under this perspective the actors of education no longer act within walls, away from society. This opening and expansion movement will boost a new vision which emanates from the urgency of thoughts

and attitudes, giving birth to what we call Paradigm of Complexity (MORIN, 2001; BEHRENS, 2006). It proposes the understanding of the conceptual structure that is part of the cognitive, biological, social and educational dimensions.

Under this perspective, there is the birth of a global vision, in which reflection and analysis lead to the perception that there is a huge difference between scientific knowledge and school knowledge (ZABALA, 2002). For this author, knowledge cannot be stuck within colleges or places that stop its dissemination. Under this standpoint, it is necessary to realize the goal and the relationship present in professional training courses, mainly those connected to the preparation of teachers.

Another relevant aspect which we should take into account is student motivation. It is well known that a lot of what is covered in the classroom is thrown away by the student. Actual information retention is restricted to a very small percentage, when compared to the amount of information transmitted to students. It is also noted that teachers need to be great articulators and mediators of this knowledge production and that it is also up to them to arouse the interest of the student in class and in the content which is being developed.

In this regard, it is observed that the teacher needs to update their practices and overcome the resistance to the critical use of available technological resources. The tools that teachers have handy are increasingly more diversified. It is up to them to make use of them to teach and to learn. Although we are here to talk about students, the starting point is still the teacher and their methodology, that will be underlying in this process of teaching and learning, which in turn can and should be deemed eternal for both sides: teacher and student.

The modernity and critical view of technology are in the heart of this matter, bringing about a subject which needs magnification and theoretical deepening: teacher training, their role in society against complex reasoning and transdisciplinarity. Break this paradigm in which knowledge can and should be wider and more democratic through the instrumentation of those who are the face of education – the teacher – who many times, due to the fact that their training took place in another historic moment, do not take ownership of the new possibilities or tools so that they can be used in their favour in the classroom. However, it is here that we should emphasize that technology is not only instruments used by teachers in the classroom, with technological resources. It goes beyond that. The means in which the necessary knowledge will be made available to grant effective learning is what we should put in evidence. Another way to expand knowledge, and not transmit mere information because the worldwide web is full of the latter. Teachers need to find a way to transform mere information into knowledge and can do it by bringing technology into the classroom as an instrument which will bring it closer to students' reality.

The Transdisciplinarity

The transdisciplinarity (MORAES, 2012) is to a certain extent very present in the educational daily life. When it is made clear that this concept is not a science, religion or philosophy, it becomes a process which goes beyond ready and done knowledge. We start from the assumption that the subject is always extended and discussed in a way which promotes ownership. The transdisciplinarity is a proposal which aims at inciting curiosity, promoting connections with the knowledge acquired which leads to a superb construction of solid learning, with great amplitude.

In Nicolescu's opinion (1999), transdisciplinarity "[...] as the prefix trans indicates, transdisciplinarity concerns that which is at once between the disciplines, across the different disciplines, and beyond all discipline" (p. 53). Under this perspective, when teachers apply a transdisciplinary methodology, they need to be mindful that the content covered, the subjects developed, and the approaches carried depend on a methodology which engage students to go beyond what is described, inviting them to extrapolate the content presented.

It is a way to demonstrate the applicability of the topic to students' life and arouse their curiosity to seek more subsides about the subject. The subject does not end in the classroom. It becomes a place for triggering topics with the goal of mobilizing learning. Resignify. Give practical meaning. This is a way to demonstrate dialectically that the subject developed, promoted, worked on, is pertinent, not only because it develops the necessary learning in that moment in time for curriculum purposes, but also because it will be essential to have this knowledge in life.

In methodological terms, this learning proposition promotes the inclusion of pupils into their own learning process, for they are participants and agents of transformation. We hope that with this study teacher training becomes more and more about the instrumentation of professionals who work with education, whatever level of professional development they might have. There is an urgency and need of more awareness around the fact that this profession, as any other, needs constant theoretical development so that educational practice becomes really transforming. This matter is of great importance as many educators work responsibly with a reality of constant training. However, this does not represent the totality, mainly when we refer to professionals who work with early childhood education. Hence the insistence around the transdisciplinary vision, as it does not encompass only a few actors, but all of those who work with education as a whole. I challenge you to try transdisciplinarity.

For Nicolescu (1999, In Santos 2009), " [...] transdisciplinarity means breaking the logic of non-contradiction, articulating what is contrary: subject and object, subjectivity and objectivity, matter and consciousness, simplicity and complexity, unity and diversity." (p. 23) Therefore, it is clear here that the notion that knowledge is built collectively, consequently, there is no completely right or completely wrong. We experience the unity in diversity, where the points of view interpenetrate, turning the construction into a collectivized learning experience. Both teacher and student are teaching and learning. Utopia? We don't think so. Every day, this vision becomes more possible.

What can be observed for professionals of education is a lack of commitment to their own professional development, in which their capacitation becomes a degree to obtain more income, promotion and things like that. It is urgent and necessary that professionals of education be conscientious that a paradigmatic change is necessary for all, as the information is constantly being amplified and modified. However, it is up to the teacher to allow students to internalize this information in a significant way and that it gets transformed into significant knowledge, as well as it offers to pupils a new way to see the world.

We could not fail to cite D'Ambrosio (1997), when he says that "The essential in transdisciplinarity resides in the posture of recognition of the non-existence of privileged cultural space or time which allow us to judge and rank the several complexes of explanations and coexistence with reality as the most correct – or more correct or true." (p. 79-80). Each one has their own lenses, according to the way they see the world; however, the teacher can and must help adjust these lenses so that students can read the world with their own eyes and perspectives. This is our transforming task. Teachers are agents of social transformation.

This is the role of the complex society, in which transdisciplinarity allows a broad and omnibus view of the world and so manages to demonstrate to pupils that the tessitura of their information is done and designed by themselves, throughout their lives, with the continuous mediation of teachers. And a mediator, the teacher shows the way, but who traces the trajectory is the learner. In this process, the educators are masters and pupils at the same time.

The challenge is also extended to early childhood education, which needs to reconstruct pedagogical processes focused on citizenship development, education for peace, to accommodate attitudes of tolerance, justice and brotherhood. Early childhood education is the birthplace of the education of students who can become better, more generous and happy people, or simply citizens of a better world.

Conclusion

Childhood evolves with social, political and economic transformations throughout changes to society and mark historical times and places in which the worry needs to also be focused on the educational process, which goes beyond hygiene care very much covered in early childhood education. It is believed that the focus on the hygienist vision comes from the long history of deaths caused by banal diseases, by which 0-to-6-year-old children were highly affected.

This scenario is changing slowly, but this process of transformation is linked to the insertion of the Education in its formative and educational aspect and not merely assistencialist as configured throughout the historical evolution.

It is important to make clear that in this moment that the evolution took place in the insertion of this level into the educational environment, without demonstrating at least the Brazilian reality, the connection of the same evolution with the training of professionals who work in this segment. These professionals, in general, are the worst paid, but it is important to highlight that they are teachers with great responsibility.

Therefore, in this moment of pragmatic transition of Science and Education, it is necessary to promote the reflecting around the urgent and necessary training of these professionals who directly work with 0-to-5-year-old children. The urgency for change, according to Roldão (2010) is linked to the discrepancy between the practical reality and the academic aspect, in which those educators who are active get away from theories, believing that theories can hardly answer urgent matters experienced in the classroom. The complexity proposed the closure between practice and theory and this might be the way to the transformation of the pedagogical practice with an innovative standpoint.

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THE USE OF INFORMATION COMMUNICATION TECHNOLOGY: A SURVEY STUDY IN SELECTED TERTIARY INSTITUTIONS' LIBRARY IN KADUNA STATE-NIGERIA

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Abstract
Information Communication Technology is those inventions which facilitate easy and speedy dissemination and retrieval of information on a large scale. These include radio, television, cable satellite, computer, telephone, Fax machines, and Internet. The various Information Communication Technologies can be used to encompass all forms of technology used in the process of acquiring, storing, processing, and distributing information by electronic means. This paper has conducted survey on Information Communication Technology in selected tertiary institutions' libraries in Kaduna state-Nigeria. Recommendations for functional I.C.T. use in tertiary institutions' libraries in Kaduna state-Nigeria have also been given.

Keywords: Use, Information, Communication, Technology, Survey, and Tertiary Institutions

Introduction
Information is an important commodity in any society whether primitive, developing or developed. Information like knowledge is a self propagating resource; the more organization create and use of information, the more they increase their capacity and ability to further generate and use more information. In this regard, the role of information managers in the society is of great significant. Information centers serves as a collection, preservation and dissemination center for information since the development of the society depends largely on accurate and adequate utilization of information, (Ayeni, 2000). Managing the information involves identifying what should be kept, how it should be organized, where it should be held and who should have access to it. The quality of this management will dictate the quality of the decisions being taken and ultimately the organization's survival

With the growth in the use of ICTs to support information handling within organizations, the political nature of information has come into sharper focus. In this regard, information professionals which librarians are one have become highly powerful and respected in the management of every organization. Today, information and records management has become a major issue in the 21st century in view of the fact that:

- Information whether stored on paper or magnetic tape or CD or even human brain become fundamental requisite for ensuring rationality; validity and coherence in decision making in the organization.

- Records are basic tools and instrument through which functions and processes are effectively carried out if only they are well arranged, managed and made accessible to the members of the organization; and

- Modern administrative systems, like other contemporary socio-economic, technological, political, educational systems etc. have become increasingly complex and sophisticated, the reason why information and records management should move along the same line. (Ayeni, 2000).

However, McGary (1993) argued that advances in information and communication technology have been very rapid in the last two decades. Its influence has been very pervasive to the extent that there is hardly any field of human endeavor that has not been touched. Since the mid-70s, mankind has witnessed a phenomenal growth in the number and variety of information products, services, systems and sources. The catalyst for the growth has been rapid innovations in information and communication technology for creating processing, communicating and using information, (Tiamiyu, 2000).

This technology rests on computer, computer components and telecommunications. Computer can be used for a number of different tasks. Use of the computer allows for a near perfect data-base management. It should be noted that data base management encompass information management. Extensive and comprehensive set of records collected can be organized electronically in a meaningful way for purposeful usage. There are software packages that can provide good records management services, they facilities the creation and maintenance of records in a database. Gookin (2000) observed that database management through the use of computer has helped immensely in maintaining order file.

Statement of the problem

According to Dafiaghor, (2012) explained that the use of information technology in Nigerian academic libraries has been profoundly affecting all aspects of information acquisition, storage, and transfer. Its magnificent development has dramatically changed the mode of library operations and information services. Hundreds of thousands of monographic materials, journals, learning resources, databases, etc. are now available in electronic formats, and these materials can now be accessed from the remote corner of any country, thereby increasing the use of information and literature and the efficiency of information services in Nigerian tertiary institution. Users are now more independent than before; they can access to these electronic formats from their home computers and search databases according to their information needs. Students, teachers, researchers, information professionals, and employees are the user categories in tertiary institutions.

The Nigerian institutions of higher learning have been compelled to bridge the gap in the provision and utilization of IT as is the case in the advanced countries. Consequently, various technological institutions have mounted different IT courses and programmes for better appreciation, literacy and adaptability by the students and the entire academic community. Surukat, I.F. (2011), explained that the introduction of the Internet technology has tremendously impacted on service delivery by tertiary institutions in the developed countries. In Nigeria, however, efforts are just being made to strengthen the use of Internet particularly in the institutions of higher learning. In addition, funding made by Governmental agencies such as the National Universities Commission (NUC) and the Education Tax Fund (ETF), some international bodies such as the World Bank/International monetary Fund, corporate bodies (e.g. MTN) and other Non-Governmental Organizations also provide support for ICT and Internet projects on campuses. Scholars, researchers and lecturers are also gradually embracing the Internet due to its numerous advantages.

According to Ali (2005), a sizeable number of users (almost 60%) are facing numerous problems while using electronic information resources, such as lack of knowledge about the resources, lack of trained staff and inadequate terminals. He also identified four barriers to the effective provision of electronic resources in those libraries, namely: lack of strategic planning, lack of adequate or reliable funding, lack of use of Internet to provide

information services to users and a lack of consistent training for users in new information and communications technology (ICT) services. Further, Wills (1990) also concur to these problems when he identified insufficient number of terminals available for use despite high demand and inadequate electricity supply; lack of information retrieval skills for exploiting electronic resources, thus making the level of usage of resources by students very low. In his study, he found that 57% of students sampled could not use a computer, that the use of database was poor, due to lack of awareness, lack of access to computers, insufficient training and the high cost of provision.

It is against this background that this research was designed to survey the use of Information Communication Technology in selected tertiary institutions' library in Kaduna state-Nigeria.

Objective of the Study

The purpose of research is to discover answers to questions through the application of scientific procedures. The main aim of research is to find out the truth which is hidden and which has not been discovered as yet. Though each research study has its own specific purpose, we may think of research objectives as falling into a number as undertaking in line with the following objectives:

1) To find out the Information Communication Technology facilities available in selected tertiary institutions' libraries in Kaduna State-Nigeria
2) To ascertain the ways in which Information Communication Technology is utilized in selected tertiary institutions' libraries in Kaduna State-Nigeria
3) To outline the problems encounter in use of Information Communication Technology resources and services in selected tertiary institutions' libraries in Kaduna State-Nigeria

Research Question

The following research questions will be answered

1) What are the Information Communication Technology facilities available in selected tertiary institutions' libraries in Kaduna State-Nigeria?
2) What are the ways in which Information Communication Technology is utilized in selected tertiary institutions' libraries in Kaduna State-Nigeria?
3) What are the problems encounter in use of Information Communication Technology resources and services in selected tertiary institutions' libraries in Kaduna State-Nigeria?

Methodology

The survey study was carried out in four selected tertiary institutions' libraries in Kaduna State-Nigeria. The institutions are: Kaduna state University Library, Nuhu Bamali Polytechnics' library, Zaria; Federal College of Education' Library, Zaria, and Kashim Ibrahim Library, Ahmadu Bello University, Zaria. The staff and student have been used as sample for the study (random sampling); the data gathered were analyzed using tables, frequencies and percentages for better understanding and interpretation of findings. The paper is also organized according to the research questions and objectives of the study. Out of 150 questionnaires 140 were returned successfully by the respondents, Basic details about the participants in the survey are shown in bellow Tables. The demography of respondents revealed that the ages between 15 – 30 had the highest percent distribution of 50(35.71 %) respondents; followed by ages 31-40 with 39 (27.85 %). Ages 41-50 is represented by 30(21.42 %) respondents and the least representation were the 51 and above years with 21(15 %) respondents. In terms of marital status, most of the respondents, i e. 81(57.85 %)

were married while 59(42.14 %) were single. The response on gender type revealed that there were 80(57.14 %) male respondents whereas female respondents were 60(42.85 %).

Analysis and interpretation of data

Table 6.1: Status of gender Distribution (participants)

Gender	Staff		Student		Total	
	Frequency	Percentage	Frequency	Percentage	Frequency	Percentage
Male	30	21.42	50	35.71	80	57.14
Female	25	17.85	35	25	60	42.85
Total	55	39.28	85	60.71	140	100
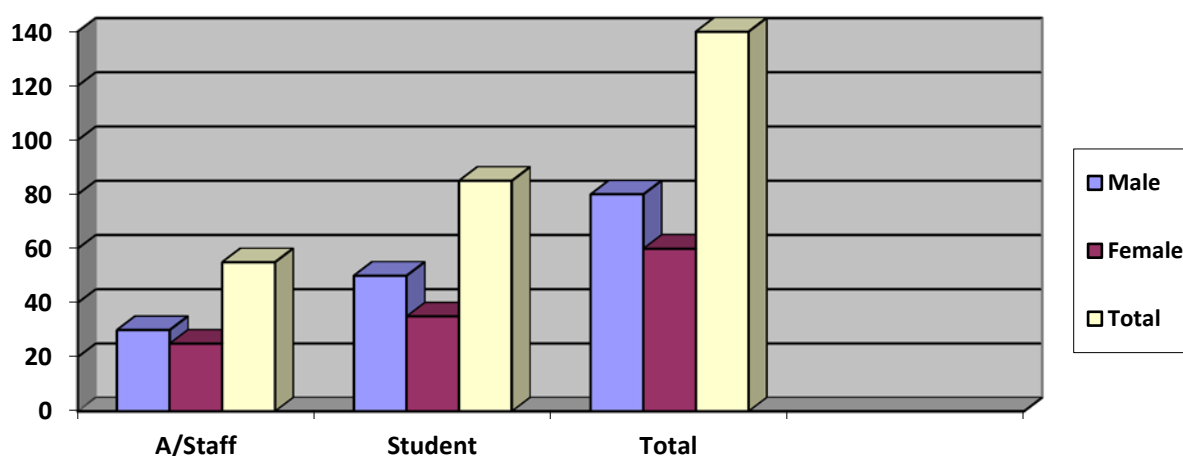
As the above table shown that 30 respondents (21.42 %) were male staff, 25 (17.85 percent) were female staff, 50 (35.71 %) were male students, while rest of the respondents were female students, 35 (25 %).

Table 6.2 Adequacy of acquiring Information Communication Technology facilities in selected tertiary institutions' libraries in Kaduna State-Nigeria

Adequacy	Staff		Student		Total	
	Freq.	%	Freq.	%	Freq.	%
Very adequate	15	10.71	21	15	36	25.71
Adequate	32	22.85	52	37.14	84	60
Not adequate	8	5.71	12	8.57	20	14.28
Total	55	39.28	85	60.71	140	100
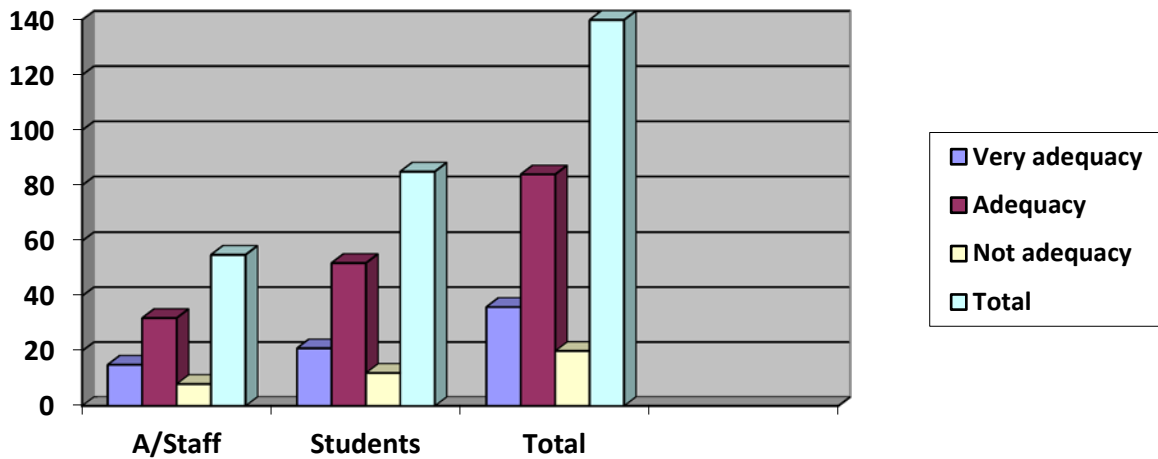
Table 5.2 makes it clear that 84 (60 %) respondents say there is adequacy of acquiring ICT Facilities followed by the very adequacy 36 with (25.71 %) respondents, while the respondents say not adequacy 20 with (14.28 %).

Table 6.3 Information Communication Technology facilities available in selected tertiary institutions' libraries in Kaduna State-Nigeria

Facilities	Frequency	Percentage
Computers	48	34.28
Telephones	12	8.57
Television	10	7.14
Radios	11	7.85
Internet facilities	20	14.28
Student help desk	12	8.57
Technology help desk	12	8.57
Network services	15	10.71
Total	140	100
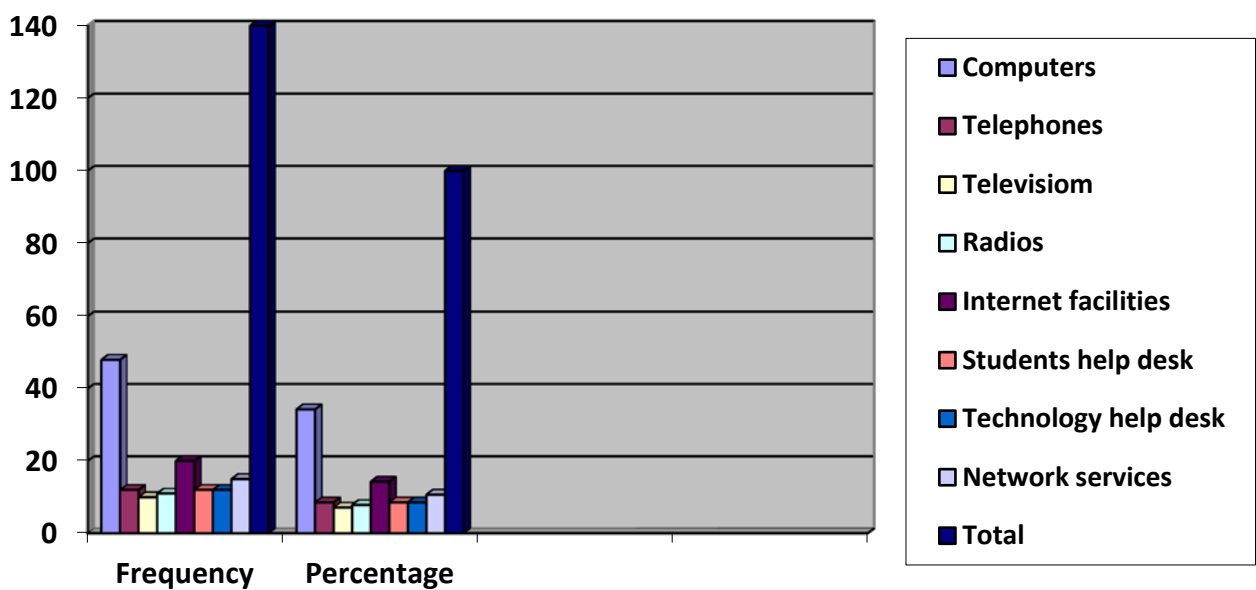
In terms of Information Communication Technology facilities are used in management of information Resources and Services participants were asked and made the appropriate answer, the result reveal that computers had the highest respondents with frequency 48 (34.28%), followed by internet facilities 20 (14.28%) respondents, network services score 15 (10.71%) respondents, telephones, student help desk and technology help desk each score 12 (8.57%) respondents, television score 11 (7.85%) respondents, and radios score 10 (7.14%) respondent.

Table 6.4 the ways in which Information Communication Technology is utilized in selected tertiary institutions' libraries in Kaduna State-Nigeria

Reason	Yes	No
Data Processing	√	
Publications	√	
Communication	√	
Circulation	√	
Cataloguing	√	
Research	√	
Bibliography	√	
Serial control	√	
Acquisition	√	
Preparing database	√	
CD-ROM Searching	√	
Online Searching	√	
Online Networking	√	
E-Learning		X
Online Information Service	√	
Email/Social Media	√	
Scanning Service	√	
Online Reservation Services	√	
Lesson preparation	√	
Database Searching Service	√	
News	√	
Current Awareness Services (CAS)	√	
Selective Dissemination of Information (SDI)	√	
On-line databases	√	
Online public access catalogs (OPAC)	√	
Full- text databases	√	
Scholarly websites	√	
Entertainment	√	
Photocopy & print	√	
Directories	√	

Key: √= Applicable   X=Not Applicable

In order to understand the ways are Information Communication Technology is utilized in selected tertiary institutions' libraries in Kaduna State-Nigeria participant were asked and made the appropriate answer, the result reveals that Information Communication Technology is utilized purposely for the data processing, communication, circulation, bibliography, cataloging, serial control, Publications, research, acquisition, Preparing database, CD-Room searching, Online Searching, online information services, online database searching, news, current awareness services, selective dissemination information, Lesson preparation, online database, online public access catalog, directory, Online Networking, Full- text databases, Photocopy & print scholarly website, email/social media, entertainment, online reservation services, and Scanning Service. E-learning participants are

not included it as the ways Information Communication Technology is utilized in selected tertiary institutions' libraries in Kaduna State-Nigeria.

Table 6.5 the problems encounter in use of Information Communication Technology resources and services in selected tertiary institutions' libraries in Kaduna State-Nigeria

Items	Very high Problem		high Problem		Problem		Not Problem		Undecided		Total	
	Freq.	%	Freq.	%	Freq.	%	Freq.	%	Freq.	%	Freq.	%
The use of computers	11	7.85	20	14.28	22	15.71	64	45.71	23	16.42	140	100
Use of data bases	20	14.28	21	14.99	23	16.42	53	37.85	23	16.42	140	100
Lack of infrastructure	50	35.71	22	15.71	21	14.99	21	14.99	26	18.57	140	100
Financial support	39	27.85	25	17.85	32	22.85	23	16.42	21	14.99	140	100
Lack of ICT resources	30	21.42	28	19.99	35	24.99	27	19.28	20	14.28	140	100

From the above table it can be seen that 64 (45.71 %) respondents say there is not Problem in use of computers, followed by 23 (16.42%) for undecided, while 22 (15.71%) for some that score for Problem, high Problem score 20 (14.28%) respondents, and very high Problem score 11 (7.85%) respondents. On the use of data bases, 53 (37.85 %) respondents score not Problem, followed by 23 (16.42 %) respondents for each score to Problem and undecided. High Problem score 21 (14.99 %) respondents, while very high Problem score 20 (14.28 %). Lack of infrastructure 50 (35.71%) respondents say there is very high Problem, followed by 26 (18.57 %) who score for undecided, while 22 (15.71%) respondents for high Problem, rest of the option that are problem and not problem each score score 21 with (14.99 %) respondent. Financial support 39 (27.85 %) respondents score for very high Problem, followed by 32 (22.85%) respondents who score to Problem. High Problem score 25 (12.19%) respondents, while not Problem scores 23 (16.42 %) respondents, rest of the option that is undecided score 22 (14.99 %) respondents. Online acquisition techniques 35 (24.99 percent) respondents score for problem, followed by 10 (24.39 %) respondents who score for very high problem, High problem score 28 (19.99) respondents, while not problem score 27 (19.28 %) respondents, and undecided score 20 (14.28 %) respondents.

Conclusion

The trends in the use of ICT in library services that have been visited here together with their possible impacts in library services, information resources and services include open access resource, inter-library loan, online public access catalog (OPAC) and collection management of information resources. A pattern which is emerging is the richness of ICT that is available and diversity of processes that can be applied to those ICT for use in library resources and services. In spite of the huge problems bedevilling of application Information Communication Technology resources and services in selected tertiary institutions' libraries in Kaduna State-Nigeria, the prospects and possibilities are abundant. It is undeniable that much progress has been recorded in ICT application and use in selected tertiary institutions' libraries in Kaduna State-Nigeria. However, there is much room for improvement.

Therefore, The use Information Communication Technology resources and services in selected tertiary institutions' libraries in Kaduna State-Nigeria is a comprehensive is improper. For development training curriculum that aims to equip policymakers with the essential knowledge and skills to fully leverage opportunities presented by ICT to achieve national development goals and bridge the digital divide. For a long lasting, effective and relevant use of Information Communication Technology resources and services in selected tertiary institutions' libraries in Kaduna State-Nigeria, the following measures are hereby recommended.

Recommendation:

10) Information Communication Technology resources and services in selected tertiary institutions' libraries in Kaduna State-Nigeria needs funds to initiate the full implementation of ICT in management of information resources and services, the government of federal republic of Nigeria should play vital role by allotting sufficient funds for purchasing and maintaining ICT in libraries.

11) A comprehensive collection development policy for e-resources should be maintained by the tertiary institutions' libraries in Kaduna State-Nigeria, in order to follow a set of standard practices for acquisition and management of electronic information resources. There should be specific budget for new resources and the renewal of existing resources.

12) Professional organizations such as the Nigerian Library Association (NLA) and library administrators should organize short-term training programmes and workshop for library professionals on available Information Communication Technology resources and services in selected tertiary institutions' libraries in Kaduna State-Nigeria, online information resources, online database, online public access catalogue, electronic publishing, and also online open access databases.

13) A long-term plan is an essential component of the long-term implementation of Information Communication Technology resources and services in selected tertiary institutions' libraries in Kaduna State-Nigeria.

14) Standby electric power generating set should be procured in order to ensure constant power supply for proper utilization of ICT facilities. Since ICT resources relies heavily on electric power, every effort should be made to ensure that the systems are always powered as required.

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"INTRA-RACIAL DYNAMICS OF BLACK FACULTY AND BLACK STUDENTS: BARRIERS TO SUCCESS IN THE ACADEMY IN PREDOMINANTLY WHITE INSTITUTIONS"

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Abstract

Intra-racial Black faculty and Black students' communication at predominantly White institutions poses an additional challenge and source of stress for Black faculty. The view of their role vis-à-vis Black students is at odds with students' perceptions of Black faculty identity and the Black faculty role impeding Black faculty's effectiveness as mentors. Black faculty need to address this disconnect in order to increase the academic success of Black students, to decrease Black faculty's sense of isolation, and to support the interests of their institutions in their attempts to increase Black student retention and multicultural transformation of the academy.

Keywords: Black Faculty, Intra-racial, mentor

Introduction

The persistence of prejudice and racism in 21st century U.S. society and in the academy for both Black faculty and Black students suggests that Black students fare better in those predominantly White institutions (PWIs) that include some Black faculty presence. These faculties serve as mentors and role models in unique and special ways. At the same time, in the context of the academy, Black faculty struggle to find "place" within their respective institutions of higher learning, and often turn to Black students for community. Black faculties are often a small numerical minority on the campuses of predominantly White institutions who experience their own issues of isolation and lack of connection. Both Black faculty and students often times must navigate the waters of academia without the human resources in the form of mentors and role models, with a sense of estrangement on their respective campuses. In many respects, the two find themselves in the same predicament.

While Black faculty perceive of themselves as potential role models and supporters, Black students do not always share this perspective of them. This provides a challenge for Black faculty as they seek solutions for reaching students. Breaking down the intra-racial communication barriers adds to the stress already experienced by Black faculty engendered by an ethic of "giving back" as they look to Black students as a population to whom they can lend support, as well as a place where they can look for community and a sense of camaraderie in navigating the waters of an academy which is often very isolating and off-putting. These barriers equal an additional stress and another challenge to their sense of agency and place for Black faculty. The establishment of positive relationships and good communication serve as sources of engagement and fulfillment for faculty, and fosters the academic and personal growth of students. On the basis of focus group data and in-depth

personal interviews with Black faculty, this paper identifies and explores some of the problems, issues, and constraints inherent in this conundrum of barriers to success for Black faculty and consequentlyBlack students.

Background

Previous research demonstrates that race linked stressors in PWIs are causally linked to diminished academic success of Black students. (Cuyjet, 1997; Solorzano, 2000; Swim, et al 2003; Palmer, et al,2009). Institutions, as a strategy for addressing this, sometimes attempt to achieve/hire a critical mass of Black faculty to serve as mentors and role models as well as to offer a different perspective on racial and social issues that enrich the educational experience. Increasing the presence of Black faculty on these campuses is a strategy that has been identified to address this concern. (Hickson, 2002; Moore & Toliver, 2010). Students frequently demand an increase in minority faculty as they rally to increase institutional diversity on their campuses. Student driven diversity initiatives frequently rank diversity in faculty hiring as a top priority. (Weems, 2003; Hall & Torres, 2011; Moore, Alexander & Lemelle, 2010).

However, despite their desire to increase Black faculty presence, the reality of student perceptions of Black faculty and their role vis-à-vis Black students may be very different from how Black faculty views their role. Students frequently view the Black faculty as agents of the academy who are merely of a darker hue than their White facultycolleagues. Alternatively, they are often viewed as confederates who will give them a "pass", demanding little in exchange for "A" grades. Students may not always have an accurate perception of Black faculty and view of their role, which may include a willingness and desire to mentor and coach them, and to find a sense of community with them.

Mentoring and role modeling are critical to the success of students and faculty alike. The mentoring relationship has been defined and described as a quintessential relationship for individual academic and professional success involving two individuals of differing levels of status and experience that is interactive and usually in some way reciprocal. The senior or more experienced individual provides guidance, assistance, and encouragement to the more junior individual in the relationship. For the mentee, the relationship provides skills, character, competency, and motivation for success and achievement. The relationship may be operationalized on a variety of different levels in a variety of different ways and contexts. The role of mentor may be a formal or informal one that is most importantly characterized by the nature and qualities of the relationship more so than by quantifiable tasks or specific behaviors (See Carter, 1988; Huling-Austin, 1992; Frierson, et al. 1994; Mook, 2002).

Mentors and role models are especially important for Black and other students of color because of the diverse impediments and challenges that they face on their path to academic success, especially in PWIs. These factors include the pervasive challenges of living in a racist society, the "chilly climate" of academia regarding diversity andunder-representeddiverse groups, and the greater likelihood of financial challenges, to name a few. Having supportive relationships with faculty is among the strongest indicators of academic success for Black and other students of color (Cuyjet, 1997; Lundberg, 2004).

The availability of faculty mentors for Black students is of critical importance. These students are less likely to find strong supportive relationships with White faculty. Black students without access to Black faculty as professors and mentors are less likely to achieve. Research findings dating back decades support this contention (See Mackey, 1972; Fleming, 1984; David 1994; and Palmer & Gasman 2008). For Black students, lack of supportive relationships with White faculty is often a problem, feeling they are not treated respectfully and often viewed as less intelligent (See Kraft, 1991; Allen, 1992; and Chesler,1996).

On the other side of this coin, the mentoring relationship suggests some sort of reciprocity. This raises the question of what the faculty member gets from this type of relationship and engagement with the student. For all mentors, in any professional context academic or otherwise, there is the value derived from assisting others who need assistance with skills development, guidance, direction, the pleasure of inspiring those who are aspiring up the professional ranks, reaping the admiration of junior colleagues, gaining satisfaction from watching their "mentee" grow professionally, seeing their "mentee" succeed as a result of their tutelage, and feeling a sense of pride in and ownership of their success. While it may be argued that these elements amount to the fulfillment of the mentor's personal needs, what Black faculty derive from their mentoring relationships with Black students satisfies a need of a different order.

In addition to the afore-stated benefits to the mentor, the Black faculty member needs the Black student. The Black student can be critical to the Black faculty member's sense of belonging on the college campus. This sense of belonging helps to foster the faculty member's sense of agency in his/her professional role, and connects her/him to their racial/ethnic cultural community. The faculty member in a real sense experiences the academy similarly to the ways in which the student does, as an unwelcoming, even hostile environment. For each the other provides a sense of place, connection. For the faculty member, it may also provide or at least add to in a major way a sense of purpose in their overall work life. However, there is often a dislocation between the perception of the Black faculty role on the part of students and that of the faculty member. The faculty member may conceive of his or herself as "friend", while the student may perceive of the Black faculty member as just another agent of the institution who happens to be of a darker hue.

Being a Black faculty member at a PWI (predominantly White institution) is fraught with challenges. As sociologist Deidre Redmond in a recent edition of the Chronicle of Higher Education put it, "…being a Black academic is an uphill battle." She describes being, "frustrated about being devalued by my colleagues and disrespected by my students." (Redmond, 2014: A23) Black faculty members have to establish their credentials as faculty and present themselves as "professionals" in an environment which often does not cast or value them in this high status role. They have to fight to defend their professionalism and competency. So, it becomes more difficult to provide a supportive learning climate, and at the same time, establish one's authority and legitimacy. It is a delicate balance to achieve, putting added pressure on the Black faculty member. Furthermore, if one is Black, female and young, the situation is exacerbated and your competence and expertise is often challenged even by other faculty members within one's own department. This is the professional context into which the new Black faculty member enters.

Contextual Challenges

The junior Black faculty member is in the difficult position of trying to navigate a new professional role, develop skills in the art of teaching, and the interactive combination of the two in the face of racism. This creates a unique dilemma for junior Black faculty members who struggle to reconcile being a responsible faculty member to all students while being supportive and a mentor to Black students. Thus, honing their skill set is a more complex affair, and, they are more likely to do it without mentors, unlike their White counterparts.

One junior Black faculty member expresses this dilemma as follows:
"Black Student Frustration: I've found that when Black students (the few I have) muster up the courage to approach me about anything concerning Black culture, once comfortable, their concerns, complaints and issues are numerous. Relief is expressed not only about the factthat Black faculty exists, but that they've found one that they can trust and relate to. In reference to perceptions of those Black students who 'view the Black Faculty as agents of the academy

who are merely of a darker hue than their White faculty colleagues', and those who expect higher grades or deserving of a "pass" for sharing a common culture, it is these factors that are most concerning. Any student can feel an 'us against them' dynamic, being that the professor is in control and hence the student isat their mercy. As this is already the case for many students, a Black student at a PWI has more of a challenge as the frustration lies in wondering whether or not the Black professor can be trusted as a mentor at all, much less a mentor who will guide them in a way White faculty cannot. Knowing this, the frustration extends to Black faculty, who may find it difficult or impossible to extend a hand to Black students for fear of offending White students or appearing as though they're playing favorites."

"Black Faculty Frustration: The desire to support and mentor Black students is evident; strategies as to how to do this effectively is not. An additional source of concern is the feeling of responsibility for the academic success of a faculty member's Black students. While I want all my students to succeed, I'm aware of the unique issues and struggles Black people will inevitably face in the field of Public Relations. While these issues can and should consistently be addressed during class at a PWI, faculty may be reluctant to 'over-address' the issues in an attempt to avoid uneasiness or confusion in the classroom. In these cases, I and other Black faculty would welcome continued discussion about Black and other culture-sensitive issues during office hours, but this often doesn't occur, nor can we request that it take place. The dynamic of Intra-racial Black faculty and Black students at PWIs certainly warrants further research and investigation."

In order to better understand these observations, Moore and Toliver's (2010) study explored the "Intra-racial Dynamics of the Black Professor and Black Students'communication in traditionally White Colleges and Universities" by inviting Black faculty focus group participants to respond to questions about what it means to be perceived as Black and what are the indicators thereof, whether they initiate behaviors to influence students' perceptions about them as Black, whether students look to them to affirm beliefs they may hold about prejudice in the academic environment, how do Black student perceptions of them and their perceptions of Black students' aspirations impact their effectiveness in the classroom and as mentor (p. 936).

Focus group findings are summarized below:

"The role of mentor is taken very seriously by black faculty who recognize the difficulties black students' face in predominately white institutions of higher education. In fact, they observed that challenges increased as black students have to compete at a higher level of attainment in professional programs. The ways in which black professors perceive themselves as black and learn to cope with the challenges of institutionalized racism influence their roles as mentors. In particular, they recognize the importance of positively identifying themselves as black, while establishing clear standards of performance, which each student must learn to meet. If black students evidenced difficulties in meeting academic challenges, these professors felt it was their responsibility to provide additional support."

"The misperception that black students may hold about their professors' sense of place and their intentions comes with the territory of being black professors in all white colleges and universities. Even so, these focus group participants have come to recognize this dynamic as yet another challenge to overcome in order to cultivate positive mentoring relationships with black students. The lessons learned from black students are that black professors have more to cope with, and that the black professor's role is more dynamic than that of white professors. Expectations of the black professor are different and more diffuse while at the same time and in part because the needs of black students are greater. Black faculty members have to adapt

their pedagogies and professional styles in order to be most effective in the professorial role and most responsive to student needs (Moore & Toliver, 2010, pp. 942-943).

On the basis of focus groups conducted with Black faculty at select predominantly White institutions and personal interviews with Black faculty, the findings of this research show a dislocation between Black faculty versus Black students' perceptions of the Black faculty role. Black faculty feel a sense of responsibility and are committed to serving as mentors to Black students, yet struggle with how to do this effectively. They are critically aware of the various misperceptions that Black students have of the Black faculty role. Black faculty need to address intra-racial Black faculty-Black student communication as a barrier to effectiveness in the academy. This amounts to yet an additional challenge for Black faculty in predominantly White institutions, requiring them to adapt their professional style and rethink pedagogies and expectations, and, for the new or junior Black faculty it increases the burden placed upon them as they endeavor to learn and define their professional role within the academy. Understanding and rising to this challenge is critical in improving Black student retention and success and addressing the nuances of institutional racism in the academy.

Strategies to Overcome Barriers to Success

In their quest to achieve effectiveness and competency in the mentoring role, Black faculty engage in a variety of strategies and behaviors to break down the barriers to Black student success in PWIs. There are both similarities and differences among them in terms of how they achieve these ends. Factors such as campus demographics, subject taught, faculty member'sage, appearance, and sex/gender also influence the nature of strategies employed.

For example, establishing one's racial identity at the very beginning of the semester or course is something faculty agreed was of utmost importance. For some faculty this is achieved by merely stating what may or may not be the obvious. For others, it involved periodic, even frequent, reminders of their identity.   In initial formal introductions, many referenced their personal backgrounds in terms of class, ethnicity, place of origin, place of residence, family background, where they went to school, and other personal information. They express a sense of pride and comfort in racial identity through their dress, hairstyle, and reference to s/heroes. Many also reported utilizing Afrocentric examples in their lectures and presentations, and integrated diverse content in their courses through readings, exercises, anecdotes, and cited works. The hope is these behaviorslet students know that they have someone who is of and understands their experience and values them as intelligent human beings. But, for fear that students may perceive that thismay signal that Black students will "earn" an easy "A,"most faculty felt that it was also important to establish clear standards for success and achievement towhich all students would be held accountable.The role of the professor is reflexive and flexible, taking its cues from students, and open to adapting pedagogy, mentoring strategies, and personal style in order to increase teacher / mentor effectiveness.

Overall,Black faculty strive to strike and maintain a balance in their relationships with Black students. They try to read indications of how they are perceived, and whether or not they are perceived as Black**.** Itis important to them that students demonstrate respect for them as Black professors. They keep a watchful eye out for and are wary of students who engage in certain types of body language and verbal expressions such as slang, in ways that might violate what they deem as appropriate student-faculty communication.   While they want students to be comfortable in their interactions, it is also important that students show them the same level of respect that they would show to White faculty. Some faculty felt that even

higher levels of respect were appropriate as might be consistent with Black cultural proscriptions for interacting with adults of higher status.

Conversely, Black faculty demonstrate respect by recognizing the heterogeneity among Black students who come from a broad range of socio-economic and social class backgrounds. Students' aspirations for academic achievement maypossibly vary dependent upon the types of motivational factors, which can be and often are linked to social class and / or socio-economic background. Black faculty believe it is necessary to understand what (if any) factors there are that may influence a student's definition of success and not assume to know what success means to a particular student. In so doing, Black facultyavoid the pitfall of trying to exercise influence on students for whom a passing grade of a C is considered satisfactory. Through mutual respect, Black students and Black faculty are able to forge positive relationships characterized by understanding and appropriate boundaries that empower both students and faculty who may be able and more than willing to "go the extra mile" to encourage and support Black students' success.

Another strategy is the honest communication that takes place about the nature of the academic environment, thus affirming the reality that racism exists in the academy. Many faculty feel obligated to acknowledge that Blacks and people of color historically have not been valued in the academy. Letting students know that you understand this, and they should too, helps to establish an alliance while sending a clear message that Black students must do what the institution requires in order to be successful, and, not let racism stop them from attaining their educational goal.

Discussion

Scholars of diversity havefor sometime focused on the importance of and the process of mainstreaming diversity across the academy. The guidelines that flow form this existing body of research, when translated into initiatives for change have demonstrated effectiveness in moving toward a more inclusive campus climate. Such strategies hold promise for diminishingmany of the challenges that impede Black student success and Black faculty efficacy in the mentoring role.

Sociological research presents a one-dimensional picture of Blacks such that intra-racial relations and diversity are obscured.Aspects of intra-racial diversity cannot be underestimated in efforts to combat mutual feelings of isolation and alienation on White college campuses.It is important for institutions of higher education to strengthen their commitment to both Black faculty in the mentor role, and Black students by cultivating a culture of acceptance and belonging(Grieger &Toliver, 2001). The topic of mainstreaming diversity across the academy has implications for further investigation/research.

Implications
- Recruit and retain a critical mass of Black faculty and students on predominantly White college campuses
- Develop an institutional strategic plan based on research findings that inform the best way to cultivate, and support the professional development of Black faculty as positive role models for diverse Black students.
- Create advisement structures to promote individual communication between students and faculty advisors/mentors for ongoing exploration of issues of race and racial diversity.
- Incorporate/infuse diversity content in curricula and promote open discussion about race as part of, but distinct from, other factors of diversity.

- Link rewards structure of institutions of higher education with the role of Black faculty mentor.
- Develop organizational transformation strategies that reflect a positivevaluing of diversity, thus creating more effective intra-racial communication between students and faculty.

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APALANCAMIENTO EN MOMENTOS DE CRISIS
LEVERAGE IN TIMES OF CRISIS

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Abstract

Financial leverage is a formula that companies have traditionally used to grow. At a time of expansion and growth is manifested as an interesting and inexpensive tool for business expansion. But in times of crisis, as we are from a few years ago, it is not feasible to support the growth o companies en the leverage, simply because the loans have been reduced significantly, often not renewed, and any case to higher interest rates, impossible to be paid to the profitability of companies. The measures of profitability and ROE are meaningless and must be replaced by the ROA. In times of the crisis, companies be based its growth in its assets, in its profitability over assets (ROA) and on the self-financing. And within it must emphasize on three factors forgotten and unused today: Investment in Tangible and Intangible Assets, Personal and expansion based on RDI own. Competition and growth in times of crisis will based on quality, and never on low prices.

Keywords: Leverage, ROE, ROA, Loans, Investment

Resumen

El apalancamiento financiero es una 'fórmula' que tradicionalmente han utilizado las empresas para crecer. En momentos de expansión y crecimiento se ha manifestado como una herramienta interesante y barata para la expansión empresarial. No obstante en momentos de crisis, como en el que estamos desde hace unos años, no es factible sustentar el crecimiento de las compañías en el Apalancamiento, simplemente porque los créditos se han reducido de forma importante, no se suelen renovar, y en cualquier caso a unos tipos de interés elevados, imposibles de ser pagados con la rentabilidad de las empresas. Por ello medidas de la rentabilidad como el ROE carecen de sentido y se debe sustituir por el ROA. En momentos de crisis las empresas deben sustentar su crecimiento en su Activo, en la rentabilidad de éste (ROA) y en la autofinanciación. Y dentro de ello tiene que hacer hincapié en tres factores olvidados y no utilizados en la actualidad: Inversiones en Activos a largo plazo Material e Inmaterial, en Personal y en una expansión basada en I+D+I propios. La competencia y el crecimiento en momentos de crisis se deberían basar en la Calidad, y nunca en precios bajos.

Palabras Claves: Apalancamiento, ROE, ROA, Préstamos, Inversión

Introducción

A la hora de hablar de Apalancamiento en momentos de crisis deberíamos situarnos en las circunstancias relacionadas con las crisis económicas y financieras; en el concepto de apalancamiento; en su aplicación y en las consecuencias para la empresa. Así como en medidas correctoras y alternativas, a la luz de la información contable, de los conceptos contables y de las circunstancias en las que la empresa desarrolla su actividad con sus oportunidades y limitaciones.

Características de las Crisis Financieras

Podemos establecer una serie de características de las crisis económico-financieras:

a. Las entidades financieras conceden menos préstamos.

b. Los préstamos concedidos son de menor cuantía.

c. Los tipos aplicados son más altos.

d. Si la empresa entra en pérdidas su Patrimonio Neto decrecerá, lógicamente.

e. La empresa intentará reducir costes.

f. La falta de financiación repercutirá en la renovación de su activo productivo.

g. Ello llevará a una menor Producción.

h. Como consecuencia se reducen las Ventas.

i. Al final los Beneficios se contraen.

j. Se establece una competencia en costes y no en calidad.

k. Surgen dificultades para cobrar a los y deudores y para pagar a los acreedores.

l. El ROE tiene cada vez menos significado y se aproxima más al ROA.

m. La política financiera se orienta a devolver deuda para aligerar esos gastos.

n. La empresa debe recurrir a la autofinanciación.

o. Se renegocian menos préstamos, a menos tiempo y a tipos más altos.

p. Se reduce el Pasivo conforme se va devolviendo y llega a su vencimiento.

q. No se renueva el Activo Productivo por la falta de crédito y/o autofinanciación.

r. El Patrimonio Neto (PN) se estanca o crece poco, si no cae por las pérdidas.

s. El Activo se mantiene o incluso puede reducirse.

t. Bajan las Inversiones.

u. Las Inversiones Financieras se reducen y se usan para pagar deudas.

v. Las Existencias se acumulan o se mal venden.

w. Los Clientes aumentan y crecen los incobrables.

x. La Tesorería baja.

y. El PasivoNo Corriente no hay nuevos créditos o no se renuevan los existentes.

z. Aumentan las cuentas de Acreedores (Proveedores y Acreedores).

Las cifras y su análisis

Datos del Banco de España referidos a Empresas No Financieras en 2012 aseguran que el Valor Añadido Bruto cayó un 3,9%, que los Resultados Ordinarios Netos lo hicieron en un 11,2%, que los gastos de Personal se redujeron en un 2,4%, que el Resultado Económico Bruto se contrajo un 5,2%, que el Coste Financiero se situó el 3,5% (similar al de 2011), que el ROA descendió un 5,4% y que la Rentabilidad de los Recursos Propios cayó un 7,1%.

Por su lado KPMG apunta a un descenso del ROA en 2011 de un 5,8% y en 2012 de un 5,1%.

Las cifras del Banco de España y de KPMG ponen de manifiesto un empeoramiento de las Empresas No Financieras en 2012, que continúa agravando la situación de 2011, ya de por sí mala.La situación se complica porque:

A. Las medidas del Gobierno han ido encaminadas a que las empresas gasten menos, a que produzcan menos, vendan menos, y como consecuencia, tengan menos beneficios.

B. Estamos ante una crisis provocada porque hay menos dinero en las Familias.

C. Estamos ante una contracción del crédito que reduce el dinero delas empresas.

La salida a la situación creada hay que buscarla en el origen -no en las consecuencias- de tales caídas, y en las medidas para transformar esos datos negativos en positivos.

En el ámbito empresarial apreciamos que los Gastos de Personal se redujeron en un 2,4% y que los Gastos Financieros se mantuvieron en el 3,5%; el ROA cayó un 5,4% y la Rentabilidad de los Recursos Propios lo hizo en un 7,1%.

La mera observación de estas cifras nos dice que los culpables no son los trabajadores, porque se les pagaron menos, ni el coste de la financiación que no subió, mientras que las rentabilidades apuntadas se redujeron en mucha mayor cuantía.

Hay que buscar la causa u origen en otros componentes de la Cuenta de Pérdidas y Ganancias, en la estructura del Activo y del Pasivo y en la Política de Reparto de Beneficios, pues los datos aseguran que el ROA cae un 5,4%, pero que es positivo.Estamos ante un problema de gestión, de mala gestión en momentos de crisis, de la empresa española.

El Banco de España habla de "fuerte contracción de la actividad productiva". Pero analicemos a la luz de la Contabilidad este aserto y sus componentes:

Las Ventas (Importe Neto de la Cifra de Negocios) subieron un 2,6% respecto a 2011. Parece ser que la causa, o una de las causas, es la evolución de las Compras, crecieron un 5,3%, más del doble del aumento de las Ventas. Si se quiere mantener la Rentabilidad, las Compras deberían mantenerse (en sus importes y crecimientos) por debajo de los de las Ventas. El resto de la Cuenta de Pérdidas y Ganancias disminuyó respecto a 2011 excepto el coste de la financiación que se mantuvo (3,5%), y Otros de Gastos de Explotación (+0.79%), pero por debajo del crecimiento de las Ventas.

Existe evidentemente un problema grave en la Política de Compras de las empresas españolas.

La lógica dice que el comportamiento de las Ventas y el de las diferentes partidas de gastos deben ser similares en sus crecimientos. Al final se ha dado la paradoja de que se ha comprado más (+5,3%), pero el Valor de la Producción -incluidas subvenciones- ha subido sólo un 1,6% según el Banco de España. Además, como no se vende en la misma proporción, se acumula esa producción.

¿Por qué no se vende?¿Por qué no hay quien compre?¿Por qué no hay dinero para comprar?

¿Por qué en momentos de crisis las actividades no imprescindibles se resienten?

A la vista de lo anterior, se aprecia en las Empresas No Financieras españolas una política de compras inadecuada. Comprar para no producir y para no vender.Hay que mejorar las Ventas o cambiar sucomposición a través de nuevos productos, mejores productos o productos que se perciban como útiles.Y ello será muy difícil si hay menos capacidad productiva (caen las amortizaciones un 2,6%); si hay menos trabajadores (las Remuneraciones descienden un 2,4%), y si Otros Gastos de Explotación sólo crecen un 0,7%. Todo ello lleva a producir peores productos y servicios que no suscitan el interés del Cliente, y que no se adaptan a sus necesidades, gustos y prioridades.

Relación entre ROE, ROA y Endeudamiento

Partiremos de la fórmula que relaciona estas tres magnitudes:

$ROE = ROA + (ROA-i) * L$

Sustituimos cada apartado por la fórmula de la que a su vez procede:

$BAT / PN = BAIT/AT + (BAIT/AT – i) * PT/PN$

Y ahora desglosamos el ROA en sus dos componentes (Margen y Rotación):

$BAT/PN = (BAIT/VTAS * VTAS/AT) + ((BAIT/VTAS + VTAS/AT) – i)$

Este será nuestro punto de partida para analizar el efecto que sobre el Apalancamiento y el ROE tiene una crisis económica financiera en las empresas, en su endeudamiento y en su rentabilidad.

Efectos, consecuencias y medidas para afrontar la crisis financiera

Si la empresa está en pérdidas, BAIT, BAT, ROA y ROE son negativos, y el Apalancamiento (L), lo único que añade es más pérdidas para los ejercicios sucesivos.Si el BAIT se mantiene, el comportamiento de los intereses no le afecta, pues esta magnitud excluye expresamente la 'I' y la 'i'. Dicho con otras palabras, el BAIT no se ve afectado directamente por la crisis financiera.

La reacción de la empresa suele ser compensar los problemas de deuda, y un eventual mayor endeudamiento e intereses, con la reducción de gastos en otras rúbricas. También puede enajenar activo o dedicar beneficios al pago de deudas y/o a la autofinanciación.

Aunque no haya efectos directos e inmediatos, a medio o a largo plazo, sí, porque menores gastos (Compras, Personal, Suministros,…) pueden reducir la capacidad productiva, ventas, beneficios. Igual comentario cabe hacerse de una enajenación de activo (ANC, existencias, …). Las otras posibilidades pueden ser positivas a medio o a largo plazo, ya que la caída de las deudas reduce la 'I', y un proceso de autofinanciación reduce o cambia la deuda exigible por otra no exigible.

Si consideramos los efectos indirectos y/o a medio plazo que tendría sobre el ROA (BAIT/AT), una reducción de los gastos incrementaría el BAIT y como consecuencia el ROA. Una reducción del Activo para pagar Pasivo, disminuirá el AT y como consecuencia el ROA crecería. Esto tiene un riesgo a medio plazo, y es que si reducimos elementos productivos dentro del activo, la capacidad productiva, las ventas y los posteriores beneficios se reducirían, con lo que una disminución hoy del Activo para pagar pasivo, mañana se traduciría en menores beneficios y por ende en un menor ROA. Dicho con otras palabras, lo que hoy nos eleva el ROA, mañana nos lo reduce. De donde deducimos que para pagar (reducir) deudas (pasivo) debo emplear elementos no productivos del activo.

Si dedicamos beneficios a devolver préstamos se reduce 'I', pero no afecta al BAIT ni a su cociente. Si destinamos beneficios para comprar nuevos elementos productivos, elevaría AT y empeoraría el ROA. Pero esta negatividad a corto plazo puede, y debe traducirse en una mayor producción, ventas y beneficios en los ejercicios posteriores.

Si ahora nos centramos en el desglose del ROA, en sus dos componentes Margen y Rotación, las conclusiones a las que podemos llegar, podrían ser diferentes.

Una contracción de los créditos y una subida de tipos no afectan al BAIT y directamente tampoco a las ventas. Pero si la empresa reduce otros gastos para compensar el mayor coste financiero estaríamos ante un mayor margen de las Ventas, lo cual es positivo. Pero la reducción de gastos tiene su límite en la existencia de elementos suficientes para producir en cantidad, calidad y precio. Pues de lo contrario podríamos reducir las Ventas y el BAIT, como corroboran los datos del Banco de España. Esa reducción de otros gastos para compensar subidas de intereses, sería siempre medidas coyunturales, a corto plazo, y limitadas.

Contemplemos ahora los efectos e impactos en la Rotación (Ventas/Activo Total). En principio no habría un efecto directo en este cociente. Las medidas de reducción de gastos, tampoco a corto plazo, pero reducir el activo para pagar deudas, hoy sería beneficioso pues incrementaría la rotación, pero como indicábamos más arriba la empresa no debe reducir aquellos parámetros que reduzcan su capacidad producir, y más concretamente compras, suministros, personal y Activo Productivo, ya que las Ventas están muy vinculadas a ellos. Si se hiciera, debería tener carácter coyuntural y a corto plazo y reversible.

Pasamos ahora a analizar los impactos sobre (ROA-i). El secreto está en que la diferencia sea positiva. ¿Cómo se consigue? Primero tiene que haber beneficios; segundo, que los tipos pagados (i) sean inferiores al ROA; y tercero que la empresa debe tener en cuenta la inflación.El crecimiento mínimo, lógico, recomendable y vegetativo debería conseguir el objetivo de:

(ROA-i) – Inflación > 0

Otro elemento a considerar es la existencia en el Pasivo de elementos que no supongan para nuestras empresas costes en forma de intereses (Proveedores, Acreedores, Administraciones Públicas) lo cual implica una financiación gratuita.

¿Cómo bajar 'i'?. Se consigue reduciendo la financiación ajena No Gratuita. Se puede llevar a cabo de diferentes maneras como apuntábamos en las líneas anteriores. También se puede alcanzar ese mismo objetivo pasando de financiación a corto plazo a financiación a largo plazo que es menos costosa en cuanto a los tipos, 'i'. Pero esta opción, empeora nuestra solvencia y reduce la rentabilidad a medio y largo plazo, al prolongarse en el tiempo el pago de intereses. La última posibilidad que se nos abre para recortar el tipo 'i' es incrementar la financiación ajena sin intereses (Proveedores, Acreedores, Administraciones Públicas).

Esto supone, y es consecuencia de una mayor producción y capacidad productiva al estar vinculada a cuestiones como la compra, los suministros, pago a Administraciones Públicas por ventas, beneficios, impuestos relacionados con el personal,….

También sería factible si la empresa tiene un PN y unos recursos disponibles para ampliar su capacidad productiva, y/o para entrar en nuevos mercados y/o producir nuevos productos/servicios.

El ratio de Endeudamiento 'L' (Pasivo/PN) mejora si crece el Pasivo. Esto es complicado porque la vía del endeudamiento nuevo es imposible por las restricciones del crédito. Sólo se podría hacer con el Pasivo gratuito (Proveedores, Acreedores, Administraciones Públicas). Esto último sólo nos lo concederán, si somos buenos pagadores. Además este último Pasivo, como dijimos anteriormente, está muy vinculado a los incrementos de producción y de actividad.

Pero hay que consignar que esa mayor actividad se tiene que traducir en mayor Producción, Ventas y Beneficios; pues de lo contrario, ese crecimiento nos llevaría a mayores problemas, de los que sería muy difícil salir.

El ratio 'L' podría también mejorar si el denominador se reduce. Pero esto, NUNCA, ya que disminuiría la capacidad productiva y la producción de la empresa, y sería la antesala del cierre. EL PN debe crecer siempre con una política de recursos coherentes con el mantenimiento y crecimiento de la compañía. El PN debe crecer, como mínimo para cubrir la Inflación, el mantenimiento de la actividad y la remuneración a los accionistas (éstos deben actuar en consecuencia con los momentos de crisis, esto es sacrificando total o parcialmente sus dividendos en beneficio de la recapitalización y la autofinanciación).

Planteamiento para conseguir mejorar la situación de crisis financiera y los ratios de rentabilidad

Tras la exposición y análisis particularizado de los componentes de la fórmula que vincula ROE, ROA, i y L, vamos a extraer conclusiones y a proponer actuaciones que consigan superar la crisis financiera y su impacto en la empresa.

Vista la fórmula, nuestro objetivo tiene que ser ampliar el diferencial entre ROA e i, y por supuesto que el ROA sea positivo. Es claro que el papel de L es secundario, y más en momentos de crisis, de contracción severa del crédito a las empresas.

La clave la situamos en un ROA positivo y en crecimiento. Pues ello permitiría, o posibilitaría, aumentos del BAIT, de los Activos de la producción, de las ventas y volveríamos a iniciar ese circuito expansivo. Igualmente sería deseable que los incrementos del BAIT sean superiores a los de las ventas, y los de estas a los del Activo Total. Y eso debe ser así porque la capacidad productiva de la empresa (AT) no debe disminuir nunca; y en especial el ANC. Pues los incrementos de éste propiciarán los de la producción, los de la venta, los de los beneficios, …

La diferencia ROA-i tiene que ser positiva. No podemos pagar un 'i' superior a la rentabilidad que nos produce la empresa. Y esto es más relevante, y preocupante si tenemos en cuenta que entre nuestras deudas, la mayoría tiene o debe tener un coste en intereses de 0. Y es así porque ni los Proveedores ni los Acreedores de Suministros ni las Administraciones Públicas nos cobran intereses si les abonamos las deudas en plazo.

Pero no todo el Activo produce rentabilidad. Sólo aporta rentabilidad a la empresa el ANC. El resto (Existencias, Clientes, Tesorería, …) tienen rentabilidad cero e incluso negativa; y ello sin contar con el impacto de la inflación.

Dicho con otras palabras, le tenemos que sacar al ANC una rentabilidad suficiente para compensar la rentabilidad negativa o nula del resto del activo, el efecto de la inflación, y el coste del endeudamiento a corto, medio y largo plazo de nuestras deudas. Sólo así podemos hablar de crecimiento real de la empresa.

Ahora podemos hacernos una pregunta:

Es bueno o malo endeudarse?

Respuesta, Si y No.

No es un contrasentido ni un juego de palabras. Es la realidad. En épocas de bonanza y de crecimiento económicos, Sí, siempre y cuando ese endeudamiento venga seguido por mayor ANC, mayor producción, mayor venta, mayor beneficio.

Y aquí deslizamos conceptos y visiones a largo plazo y en función de lo que haga nuestra competencia.A los matemáticos, y a bastantes economistas, les encantan las fórmulas frías, vacías, sin sentido y sin utilidad.

'L' es el cociente entre Pasivo y Patrimonio Neto. Es indudable que a mayor L se amplifica el efecto beneficios de ROA-i, pero debemos conseguir un mayor 'L' no porque baje el PN sino porque sube el PN, pero en menor proporción que el del Pasivo (sólo en momentos de crecimiento). En los de crisis tiene que ser todo lo contrario. Si no lo vemos así estaremos ante una falacia económica y empresarial aunque matemáticamente sea incontestable.

Pero además el numerador de esa fracción no debe crecer demasiado, pues la empresa se descapitaliza. Se tiene que utilizar unos parámetros que lleven a un crecimiento sustentado en la realidad de la empresa. Esto es así en su ANC y en su PN. Todo lo demás nos pone, de hecho nos ha puesto, en una situación de debilidad ante cualquier crisis.

En momentos de crisis financiera (menos crédito y más caro) el objetivo tiene que ser reducir la financiación externa y el tipo 'i'. Por ello pasar de corto a largo plazo sólo incrementa el plazo y dicho elemento negativo nunca compensa las reducciones del 'i'. La respuesta y salida más lógica parece ser reducir L vía caída del Pasivo y/o incremento del PN.

Con ello conseguimos reducir el impacto de la diferencia (ROA-i), donde 'i' debería disminuir con la reducción de la deuda.En momentos de crisis debemos ir a un incremento del ROA y a una reducción del ROE basándose en el incremento de la actividad normal de la empresa y de la autofinanciación.

Esto conduciría a la creación de Reservas que permitan la expansión a través de la autofinanciación, de nuevas ideas dentro de la propia empresa (I+D+I), mejores condiciones de compra, de ventas, más y mejor personal.La idea es que el apalancamiento visto como financiación externa debe sustituirse por actuaciones con medios internos de la empresa.

Ello garantizaría para el futuro un crecimiento quizás más lento, más controlable y menos dependiente del exterior, que no controlamos y que siempre tiene un coste.

Esto situará a la empresa en mejor situación cuando llegue la recuperación. Será visible con:

Más capitalización.

Más autofinanciación.

Menor endeudamiento.

Mayor calidad de los ingresos.
Mayor calidad de los beneficios.
Equipos productivos más y mejores.
Personal más y mejor preparado.
Mayor capacidad de endeudamiento.
Mayor capacidad de negociación.
Mayor capacidad de expansión.
Mejor estructura del Balance.
Cuenta de Pérdidas y Ganancias más sólida.
Empresa más competitiva.

Inutilidad del ROE

Llegados a este punto apreciamos la inutilidad del ROE en momentos de crisis a la hora de medir la rentabilidad de la empresa. Y ello es así porque:

a. Al reducirse la financiación ajena, la gestión financiera pierde importancia en favor de la gestión de los elementos productivos.

b. Porque al incrementarse el 'i', la empresa evitará cualquier tipo de apelación al crédito.

c. Al entrar las empresas en pérdidas los bancos cerrarán el crédito, e intentará resolver sus problemas con un uso más eficiente y eficaz de sus medios productivos.

d. En el cociente ROE = BAT/PN, se da la paradoja que el BAT se aproximará cada vez más al BAIT, con lo que la empresa deberá mejorar sus beneficios por la vía de un mejor uso de sus elementos productivos. Esto es el ROE se parecerá más al ROA; mejor dicho el ROE carecerá de sentido, y el ROA tendrá todo el sentido.

e. En la anterior fórmula del ROE daría igual usar el BAT que el BAIT, el denominador, PN, debería crecer.

f. Y si la crisis es especialmente dura, la empresa deberá prescindir del reparto de dividendos, con lo que el crecimiento del PN coincidiría con el de sus beneficios.

Llegaríamos a una situación muy similar a:

BAT = BAIT = Aumentodel PN

ROE = BAIT/PN = BAIT/(AT-PT)

ROA = BAIT/AT

Con lo que:

ROE = BAIT/(AT-PT) = BAIT / (BAIT/ROA) - PT

Concluimos que el ROE es directamente proporcional al ROA y a los beneficios generados por la empresa, e inversamente proporcional al Patrimonio Neto. Con lo que deducimos que el ROE sólo depende del ROA, esto es del AT (que crecería) y de la reducción del Pasivo.

Cómo debe actuar la empresa?y ¿cómo no debe actuar la empresa?:

Todo lo anterior nos da las pautas de cuál debe ser el comportamiento de la empresa en momentos de crisis financieras:

A. Mejorar el activo productivo, Activo No Corriente, para que los beneficios generados (BAIT) crezcan por encima de su propio crecimiento.

B. Que el PT crezca sin aportar 'i' (Proveedores, Acreedores, Administraciones Públicas, …).

C. Lo anterior implica un incremento de la actividad productiva (+ANC, +Compras, + Ventas, + Beneficios, …).

D. El aumento de la actividad productiva, mejoraría el margen gracias a un activo productivo adecuado.

E. Se tendría que financiar con Autofinanciación (PN).

F. Invertir en ANC Inmaterial (I+D+I,…..).

G. Invertir en más y mejor Personal.

H. Debe competir en Calidad.

I. Debe expansionarse con nuevos productos y/o mercados.

J. Debe mejorar sus productos.

La realidad y la experiencia en momentos de crisis es que las empresas no invierten en activo productivo, ni en I+D+I, ni en Personal, compran menos. Justo lo contrario de lo que debe se debe hacer y que demostramos con la formulación y el razonamiento anteriores.

La forma de actuar de las empresas lleva a conclusiones que resumimos en:

a. La reducción de gastos productivos y de la actividad nos reduce como empresa.

b. ANC escasos, defectuosos, o inadecuados, perjudican a la empresa.

c. Reducir salarios y el número de trabajadores reduce la actividad, la producción, los ingresos y los beneficios. Igual comentario hay que hacer cuando se sustituye buenos trabajadores por otros trabajadores malos y baratos.

d. La caída de los beneficiosy de la actividad llevan a pagarmenos impuestos y, por parte del Estado, a prestar menos y peores servicios, equipamientos, …

e. No hay que utilizar irracionalmente los ANC.

f. No tiene que reducir la diversificación ni la presencia en los mercados.

g. No debe menospreciar los aspectos intangibles del negocio.

h. No debe competir en precios.

Algunas actuaciones empresariales y sus consecuencias

Cuando llegan momentos de crisis las empresas tienden a reducir los gastos:

- Compras: Implicará la reducción de la producción, de las ventas y de los beneficios; y como consecuencia de ello se reducen los fondos para pagar las deudas.

- Sueldos y Salarios y Personal: Se reduce la mano de obra, su cualificación, la producción, las ventas, los beneficios; y como consecuencia de lo anterior se reduce la capacidad para pagar las deudas.

- Suministros: Se contratan menos servicios y de peor calidad, cae la calidad de la producción, la cantidad producida, las ventas, los beneficios; y por ende la capacidad para pagar las deudas. Señalar que esto no tiene nada que ver con la obligación que tiene la empresa de racionalizar el proceso productivo; pero mejor sustentándolo en el I+D+I.

- Externalización de actividades: Implica menor control sobre las mismas, un ahorro de costes (no siempre, a veces incluso se incrementa), problemas de coordinación y de exigencia y compromiso con los objetivos de la empresa.

- Amortizaciones: Supone la existencia de menos ANC que amortizar, reducción de las inversiones en ANC, descapitalización productiva, ANC ya amortizado, menor producción y con inferior calidad, reducción de las ventas, de los beneficios; y como consecuencia de ello de la capacidad de pago de las deudas de la empresa.

Se aprecia que las actuaciones anteriores y sus consecuencias en la Cuenta de Pérdidas y Ganancias también traen consigo efectos no deseables sobre diferentes cuentas del Balance:

- Activo No Corriente: Se reduce (ver apartado anterior sobre las Amortizaciones).

- Existencias: Caen como debido a las menores compras. No sería preocupante si su contracción se debe a una mejor organización productiva; pero si no fuera el caso estaríamos ante una reducción de la producción, de las ventas, de los beneficios, … Es

la consecuencia de una mala política de compras y de producción que lleva indefectiblemente a una acumulación de existencias.

- Clientes: También se reducen. Tenemos diferentes posibilidades:

    o Si es consecuencia de una restricción del crédito, ello implicará que nos comprarán menos, venderemos menos y tendremos menos beneficios.

    o Si se debe a una mejora en la gestión de los clientes, puede tener o no consecuencias en las ventas futuras, dependería de cómo viera el cliente esa política de nuestra empresa.

    o Si es consecuencia de unas menores Ventas, los Clientes se convertirían a la vez en origen y causa del problema.

    o Recordar que los cambios en la política de cobro y las facilidades de pagos otorgadas suelen tener un efecto inmediato sobre Clientes, Ventas y Beneficios. Pero son difíciles de eliminar y/o reducir en el futuro.

- Inversiones Financieras: Constituyen un colchón financiero para la empresa que permite afrontar problemas puntuales y que añaden una rentabilidad. En momentos de crisis se reducirán. En cualquier caso hay que comparar su rentabilidad con los perjuicios económicos que supone tener deudas. Muchas veces la deuda suele tener unos tipos superiores a los de las Inversiones Financieras, y la cuantía de aquellas, superior a las de estas.

- Tesorería: Se reduciría hasta lo que podríamos denominar nivel de seguridad.

- Patrimonio Neto: Antes o después disminuirían como consecuencia de las pérdidas que suelen acompañar a procesos profundos de crisis. La reducción del PN es la antesala de la descapitalización de la empresa y de su posterior cierre.

- Pasivo No Corriente: Si disminuye es positivo. Si aumenta y viene de una refinanciación del PC crece el plazo de la deuda con lo que afecta negativamente a la Solvencia y positivamente a la Liquidez. Si el PNC se invierte en ANC y la rentabilidad de éste supera a los costes de aquel estaríamos ante algo positivo.

- Pasivo Corriente: Si se reduce, ver el punto anterior. Si aumenta estaríamos ante el inicio de la entrada en una espiral de endeudamiento. Habría una excepción a este aserto y sería cuando crezcan Proveedores, Acreedores de suministros y Administraciones Públicas como consecuencia de una mayor actividad productiva, más ventas y más beneficios. (Pasivo Corriente con interés 0).

- En momentos de crisis, la empresa se debe desembarazar de su Activo No Funcional, siempre y cuando la rentabilidad de los mismos no superen y compensen los mayores costes e intereses de las Deudas.

Consecuencias sobre el Endeudamiento 'L'

En el cuadro adjunto recogemos algunas de las consecuencias sobre la 'L', Endeudamiento:

CONSECUENCIAS SOBRE "L"	
Mas Préstamos	Sube L
Mayor Tipo 'i'	Sube L
Mayor Plazo	Sube L
Refinanciación = Plazo	Igual L
Refinanciación + Plazo	Sube L
Destino No Productivo Préstamos	Sube L

Menos Ventas	Sube L
Menos Margen	Sube L
Menos Activo	Igual L
Menos PN	Sube L
Menos Pasivo	Baja L

Apreciamos que todo lo que mejoran la 'L', y en consecuencia el ROE, son imposibles en las crisis, o conducen a la descapitalización de la empresa. Reforzamos así nuestra posición de que en momentos de crisis el ROE es una mal indicador (negativo para ser más exacto), y que desde la óptica de la rentabilidad lo más adecuado es el ROA basado en un ANC productivo.

Qué nos está diciendo la Contabilidad:

La Contabilidad nos ha indicado dónde está el problema. Y al señalar esos puntos y aspectos negativos, nos está diciendo sobre qué magnitudes hay que actuar.

No se pueden elevar los beneficios si no se vende más, si no se produce en consonancia con las previsiones de las Ventas, si no se tiene una estructura económica y productiva coherente con tales objetivos (más compras, menos gastos innecesarios). Quizás estemos ante una situación en la que los empresarios son malos empresarios y no organizan bien sus empresas y sus procesos productivos. Si se quiere elevar los Beneficios, debemos incrementar las Ventas y mantener una sincronía entre éstas y las diferentes partidas de gastos.

Por ello estimamos, y deducimos, que los empresarios, si quieren mantener su ROA en 2012, deberían haber realizado gastos en la misma proporción que sus Ventas, estos es, más del 2,6%. Con los datos aportados, desarrollados y analizados observamos un exceso de Compras y una reducción de los Gastos de Personal que han provocado un descenso en el ROA. Con lo que se puede colegir que la política de exceso de compras y de recortes de Personal ha sido nefasta para la empresa española en el periodo considerado.

En cuanto a la caída de la rentabilidad de los Recursos Propios en un 7,1% ha sido causada por una caída del Resultado Ordinario del 11,2%, que no ha podido compensar el alza del PN.Al respecto se puede afirmar que la recapitalización no se ha traducido en una recapitalización productiva, aumento del ANC, sino en una reducción del mismo que se ha manifestado en:
- Acumulación de existencias.
- Inadecuada política de Compras.
- Inexistente política de Ventas.
- Ausencia de I+D+I.
- Falta de nuevos productos.
- Inexistencia generalizada de políticas de búsqueda de nuevos mercados.

Y para terminar, y como eslabón final de los anteriores desatinos, cierres de empresas como consecuencia de la mala gestión.Podemos concluir que la respuesta del empresario ante la crisis ha sido una contracción de la actividad productiva; y un recorte absurdo y desproporcionado en aquellos costes que pueden llevar a una mayor producción y venta.

Conclusion

Antes que nada debemos plantearnos el objetivo que permita mantener la empresa, superar la inflación y tener un crecimiento vegetativo mínimo. Hay diferentes posibilidades como:

     a.   Sustituir varios créditos por otro más favorable.

     b.   Acortar plazos y/o tipos, pero sin incrementar el monto global.

     c.   Transformar lo variable en fijo, si es menor.

     d.   En Pérdidas y Ganancias se debe acompasar los Gastos con los Ingresos y que sean coherentes con las partidas con las que están relacionadas en el Balance.

     e.   Incrementar la financiación ajena con interés 0 y reducir la de mayor que 0.

     f.   Nunca debe reducirse el PN para elevar los ratios en los que figura.

     g.   Incrementar las deudas sólo si supone un alza proporcional de las Ventas, de los Beneficios, del PN, de las Inversiones, del ANC.

     h.   En momentos de crisis se debe potenciar la Autofinanciación.

     i.   El ROA es más significativo que el ROE.

     j.   El ROE carecería de sentido, y síel ROA y los índices de Autofinanciación.

     k.   Se debe invertir en ANC productivo y que nos diferencie de la competencia.

     l.   Se debe invertir en I+D+I propio.

     m. Se debe potenciar al Personal que muchas veceses el elemento diferenciador.

A modo de resumen y conclusión indicar que la solución a la crisis económica-financiera pasa por elevar el ROA vía inversiones en ANC (más y mejor) que nos distinga y nos distancie de la competencia; y que sea capaz de incrementar la producción, las ventas y el beneficio.

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INVESTMENTS IN TECHNOLOGICAL INNOVATIONS: A LITERATURE REVIEW OF ORGANIZATION DETERMINANTS

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Abstract

The study of a complex phenomenon such as innovation requires different levels of interdisciplinary analysis. Assuming that the enterprise is the fundamental agent of economic change, this paper aims to analyse the literature in the field of technological innovation and determinants that stimulate organizations to engage in innovative process. The technological innovation is an instrumental factor in creating new forms of value in such a competitive environment as the current economic, social and politic world is. It favours the creation of new products which are accepted and sold worldwide, with a competitive price and quality. The technological innovation should be supported both by the public and the business enterprise expenditure. Results of the innovative process depend not only on product or process obtained, but also of its efficient management. Companies' managers should cultivate a pro-innovation attitude inside also in their relations with the outside world and to stimulate employees and collaborators by offering various incentives and create a favourable environment for shaping innovative ideas which on longer or shorter term could bring financial and / or competition benefits.

Keywords: Technological innovation, determinants, innovation process, innovation

Introduction

The evolution of human society is the result of technological innovation. Without major achievements, recorded over time in this regard, the economic and social progress would not have been possible. Innovative process is continuous, making its study to be always a topical subject on both theoretical and practical levels. Term innovation has been used in literature to describe both the process that uses new knowledge, technologies and the processes to generate new products as well as new or improved products themselves (Porter, 1990). Innovation is essential to the individual level and for organizations, countries and globally. The evolution of information and communication technologies, also a result of technological innovation, favours results dissemination speed increase of the innovative process from the geographical perspective. The organisations motivations to get involved by engaging investments in this process are varied and are studied in this paper.

The paper is organised as follow: In the next section are presented the innovation concepts and technological innovation, including their classification in different approaches, as treated in the literature. Than main determinants of technological innovation have been identified and presented. They are the result of empirical studies and purely theoretical approaches drawn from the literature, considered representative for the purpose of this paper by the author. For the study, we identified 165 papers in the field of technological innovation, of which 63 were selected because they relate to its determinants. Of these, 41 were excluded and remained 22 considered relevant, that examines the determinants of technological

innovation in general, without customize on specific areas of innovation. Their corresponding approaches are presented in the third section of the paper. In the final section, the conclusion and implications of the study are laid out.

Innovation concept

The innovation concept has experienced different approaches since the recognition of its importance by Schumpeter in 1934. All studies have recognized the role of entrepreneurs *who assume the risk of turning a new idea, an invention or a scientific principle into a commercially viable result* (Jessua, Labrousse, Vitry, 2006, p. 438). In the literature, innovation at the organizational level include besides invention + its exploitation, initially proposed, also the development and implementation of the invention (Miller, Miller, Dismukes, 2005-2006, pp. 63-69). The conceptual framework for data collection on innovation defines the innovation as the implementation of a new or significantly improved product (good or service) or process, a new marketing method, or a new organisational method in business practices, workplace organisation or external relations (OECD and Eurostat, 2005, p. 46). This definition addresses two important aspects: (1) the "innovation" process comprises the technological development of an invention combined with the market entry of that invention to end-users through adoption and diffusion, and (2) the innovation process is iterative in nature and thus, automatically includes the first introduction of an improved innovation (Garcia, Calantone, 2002, pp. 110–132). At the macroeconomic level, the Green Paper considers innovation synonymous with the production, assimilation and exploitation of successful new solutions for the economic and social problems, addressing individual and society needs (European Commission, 1995, p. 1) and leads to transformations in global economy sectors (Jolly, 2008, p. 30). Innovation represents the enterprises source of strength and energy, all of them start from an innovative initiative, at least comparing with their competitors, and for surviving and development reasons need constant innovation (European Commission, 1995, p.10). Innovation involves anticipating market requirements, offering quality and subsidiary services, efficient organization and knowledge, technological progress becomes, from this perspective, insufficient to ensure success.

Technological innovation represents the creativity implementation which gives rise to inventions. These concepts are found in different stages of the innovative process comprising the following steps: generate ideas, the development of the product or service and it's trading. All three steps involve investments in general. These fall into the offensive strategic investments and aim to keep the organization at the technological vanguard in its area of interest and to increase market share from traditional managerial approaches and also fall into investments corresponding to bets on the future characterized by high risk and through which companies realize projects in similar areas with their competition, but at different cadences (as geography, processes, products) (Pârvu, 2003, pp. 20-21). Regarding the classification of innovation, the literature offers different viewpoints. Among the most prominent types of innovation that have been described in the literature belong to the authors Marquis (1969) and Henderson and Clark (1990). Marquis proposes the following classification of innovations:

- *Radical innovation* – ideas that have impact on or cause significant changes in the whole industry;
- *Incremental innovation* – small ideas that have importance in terms of improving products, processes, and services;
- *System innovation* – ideas that require several resources and many labour-years to accomplish. Communication networks and satellite operations are good examples.

Henderson and Clark define types of innovation as:

- *Incremental innovation* – refines and extends as established design, but underlying concepts, and links between them, remain the same;

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- *Architectural innovation* – involve the reconfiguration of an established system to link together existing components in a new way;
- *Modular innovation* – that changes a core design concept, without changing the product's architecture or primary function;
- *Radical innovation* – establishes a new dominant design and hence a new set of core design concepts, embodied in components that are linked together in a new architecture.

Other authors have used other classification criteria and have identified the following types of innovations: administrative and technical (Damanpour, Evan, 1984, pp. 329-403), open and closed (Cândida and Ramos, 2011, pp. 2099 -2110), emerging, adopted and enforced (King, Andersen, 1992, p. 142).

Determinants of investments in technological innovations

Potential motivations inciting a company to engage into the innovative process are varied *from the benefits of obtaining a temporary monopoly positions that will bring an additional potential profit until obtaining long term property rights which will offer protection against potential imitators*. Achieving a dominant position is an important determinant of investment in innovation, popularized by Schumpeter as *creative destruction* (O'Sullivan, Sheffrin, Perez, 2008, p. 177). This is encouraged by government organizations by granting patents to encourage innovation and protect the rights of innovator. Finally, from the point of view of the investor, financial results are essential. They are given by the relationship between the three "e":

$$Efficiency(e) = \frac{Effect(e)}{Effort(e)}$$

Another important determinant of technological innovation is represented by the readiness to allocate funds for research and development at both public sector level, but mostly for companies.

In the context of technological and economic evolution, innovation has become a collective process. It is hard to imagine it at the individual level, especially because of financial and human resources and infrastructure requirements. Recent acceptation of innovation, promoted by Nelson and Winter (1982) assimilates it, in many cases, to a learning process with the following characteristics: *is located and partly tacit, with features irreversible and in dependency relation to the chosen trajectory and differs by activity areas*. Innovation becomes a complex process involving mostly intangible, non-formalized and non-transferable resources. It has as determinants competition, size of dominant enterprises, nature of industrial research and development. (Jessua, Labrousse, Vitry, 2006, p. 439)

Cabagnols and Le Bas (2011, pp. 112-149) believe the main determinants of technological innovation are: (1) company addressed demand characteristics (price elasticity, level, evolution, homogeneity, etc.), (2) the entrepreneur ability to anticipate making a profit through innovation, (3) sources of technological knowledge (from consumers, users, etc.), (4) company characteristics, (5) the pursued strategy (towards quality, marketing, etc.).

Innovation requires investment both material and immaterial which proved to be very important for the growth and competitiveness of the company, because if it is not maintained in a dynamic process, the intangible asset will depreciate (Jessua, Labrousse, Vitry, 2006, p. 450). The capacity to focus on successful innovations is a merit of the enterprise management. According to a study conducted in 2006, attended by 1070 directors from companies with different areas of activity from 63 countries, 48% of them were not satisfied with the results obtained from investments in innovation invoking the following reasons (Andrew, Sirkin, 2011, p. 4):

1. "We have made exaggerated estimates of the benefits the new product could bring."
2. "We have not established a satisfactory level of performance, covering both directing and delaying of the financial factors."
3. "We follow too many things simultaneously and we cannot execute them all."
4. "We do not have the right people or the right capacity."
5. "Our market rhythm is too slow."
6. "Our sales employees focus on our traditional business."
7. "Senior managers do not finance new products because they find them too risky."
8. "Innovation is not a priority for the Board."
9. "We have a bottleneck in our way of thinking."

From the previous affirmations, we may identify the following determinants of the technological innovation: *management vision and willingness of involving in the innovative process* (3, 4, 6, 7, 8, 9), *financial results* (1, 2) and *market position* (5, 6).

In close connection with management's vision and desire to be involved in the development of innovations is its *willingness to assume the inherent risk associated with them*. Innovations fall into investment projects with very high degree of risk and uncertainty. They are based on new technology solutions, by constructions offered by scientific research, untested in practice aiming to launch new products, the results of which are usually uncertain (Pârvu, 2003, p. 22). At market level, this is reflected in the *potential loss arising from adverse changes in market prices of financial assets, including interest rates, foreign exchange rates, equity prices, and commodity prices, which reflect currently the most advanced method for risk measurement* (Batlin, Schachter, 2000). In the same category, of risk taking, we consider *forecasts on economic development* an important determinant of engagement companies in the investment process especially when it comes to technological innovation. In a stable political and economic environment, the desire and willingness of companies to financially support innovation are superior to the situations where there are significant fluctuations as evident from charts provided by World Economic Forum (Schwab, Sala-i-Martin, 2011, p. 22) and INSEAD (Dutta, 2012, p.8). First achieved a ranking of countries according to their competitiveness, in which one of the analysed pillars is *innovation*. According to this component, the top of most innovative countries consists of: (1) Switzerland, (2) Sweden, (3) Finland, (4) Japan, (5) USA, (6) Israel, (7) Germany, (8) Singapore, (9) Taiwan, China and (10) Denmark. Innovation evaluation was made based on the following components: *innovation capacity, quality of scientific research institutions, investments made by companies in research and development, collaboration between universities and industry in research and development, government procurement of products incorporating advanced technology, availability of scientists and engineers, utility models granted / 1 million inhabitants*.

In another ranking, conducted by INSTEAD, the first two places are occupied also by Switzerland and Sweden, followed by (3) Singapore (4) Hong Kong, (5) Finland, (6) Denmark, (7) USA, (8) Canada, (9) Netherlands, (10) United Kingdom. Global innovation index is calculated, in this case, as an average between the inputs providing favourable environment to innovation and outputs measuring actual achievements. In the first category have been included in the following sub-indicators: *institutions, human and research capital, infrastructure, market sophistication, business sophistication*, and the second category includes *scientific results and outputs with creative character*.

There are some differences between the two rankings, as can be seen, justified by the use of different indicators. But countries that dominate innovation are about the same in both statistics, some of larger group of countries considered stable economically and politically.

In another approach, targeting exclusively information and communication technologies (ICT) the following determinants are considered significant: *economic structure* (sectoral composition of the economy)*, human capital, additional spending on technology and environmental regulations* (Guerrieri, Luciani, Meliciani, 2010, p. 393).

If we consider the benefits targeted by companies through involvement in innovation, determinants of innovations and investments related to their implementation identified by White and Burton (2007, p. 93) are:

- increase control over processes and results;
- increase level of understanding the technologies and the procedure of applying them;
- increase ability to develop next generation technologies;
- increase potential profit due to temporary monopoly.

Empirical studies conducted in developed countries have identified the involvement of companies in technological innovation determinants that influence the willingness to allocate financial resources on the following levels of analysis: companies, industries and national system (Tabelul 1.2).

Table 1.2 Determinants of investment in technological innovation by analysis levels

Analysis level	Determinant	Observations
Company level	Dimension	Probability of investing in innovative activities increases proportionally with the company size. (Cohen and Klepper, 1996, pp. 925-951)
	Diversity	Companies whose business is diversified, through areas of interest, assumes more easily the risks of being involved in innovation projects. (Baldwin, Hanel, Sabourin, p. 120)
	Absorption capacity	The ability to recognize the value of new information and to assimilate them and their implementation for commercial purposes favourably influences innovation. (Veugelers, 1997, pp. 303-315)
	Age	Companies that employ young people are more prone to technological innovation because the related changes are easily accepted.
	Owners affiliation: local or foreign	In most countries, foreign companies operate activities with higher proportion of innovations compared with local companies, and the difference is inversely proportional to the technological level of the host country. (Molero, 2001, pp. 305-341)
Sectoral level	Demand	There is a favourable relationship and directly proportional between demand and innovation. (Schmookler, 1962)
	Technological opportunities	Access to technology favourably influence involvement in the innovative process. (Baldwin, Hanel, Sabourin, p. 10)
	Concurrency level	Innovation is stimulated in highly competitive markets. (De Mel, McKenzie, Woodruff, 2009, p. 11-12)
	Environmental factors governing an innovator's ability to benefit from the profits generated by an innovation.	The existence of a legal framework through which property rights are protected and ensure optimal conditions for innovators to benefit from their work is an important determinant and an incentive to engage in the innovative process. This is reflected in the use of patents, market secrets and other innovator related rights. (Baldwin, Hanel, Sabourin, p. 20)
At the national innovation system	Environment	Economically and politically favourable and stable conditions favour innovation.
	Public support	Public sector plays an important role for involvement in

Analysis level	Determinant	Observations
		innovative projects, by providing a legal environment and financing projects. It turned out that valuable innovation is given by the private sector involvement, the public sector having only intended to provide the general beneficial framework.
	Cooperation	Collaboration between firms and between firms and institutions is considered a critical aspect to successful innovation. (Albornoz, F., Milesi, D. and Yoguel, G. in Milesi, Petelski, 2011, p. 6)

Investments in innovation are, by excellence, the qualitative development investment, depending on magnitude, can cause according to Druker's view (1993, p. 56), major changes in global economic level: *innovation triggers changes in the production structure which, in turn, leads to changes in the structure of demand for goods and services, and these, in turn, triggers changes in market structure in the sense the appearance of new markets for the new products.*

The existence of financial resources, but also the willingness to allocate them to research and development activities and also the native intelligence or educational attainment of each country / region is defining other determinants of technological innovation and between them exist explicit and implicit dependencies. Involvement of the state is not enough in this case, as shown by statistical studies the most innovative countries are those where the private sector invests more than public sector. The results of research and development, which will be reflected in further innovations, can lead to *cost savings* reflected primarily by reducing the amount of resources used. This represents another important determinant of the innovation known as the *innovation induction*.

Conclusion

This paper has reviewed existing articles which examined determinants of technological innovation in organisations. In the relationship investment - technological innovation we find that investments play an important role in promoting technological progress, representing the primary means of exploitation of research results, their transmission from the theoretical area to the applied one through dissemination to consumers. They also have an important role in eliminating or easing restrictions on natural resources and classic production factors, from the perspective of those intended for innovation in the breeding of natural resources, in increasing production capacity of new types of energy and unconventional materials. Companies use investments to respond favourably to environment, regulations and technological developments, for progress assimilation and exploitation of business opportunities.

Based on literature review the author identified the most important factors that determine the management companies to be actively involved in the development of technological innovations. From the perspective of those presented in this paper, we consider financial motivations the most important, whether manifested by obtaining direct and indirect gains, resulting in the improvement of market position, competitive advantages etc. In the same time, innovation capacity is conditioned by economic and political environment in which the company operates organizational culture and social context and the financial resources available.

The present study has limitations. Complete coverage of all the articles in the field may not been achieved. Also, analysing distinct determinants of technological innovation on each field of activity is sometimes necessary due to their specific issues.

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SOCIAL POLITICS IN LATIN AMERICA CONCERNING GLOBAL ECONOMY

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Abstract

This article intends to discuss the constitution and development process of social politics in the context of Latin-American capitalist production forms, which are determined by a subordinate position towards international organizations' guidelines, as it occurs in the Brazilian case. It is evident that the mechanisms that allow the prevalence of labor force dependency and overexploitation, present in peripheral countries, express the essential disparities of the contradiction between capital and labor and directly affect Brazilian social politics configuration.

Keywords: Social politics, Economy, Dependency

Introduction

To understand social politics, it is required to associate it with economical politics and its imbrications with a capitalist State basic functions, with conditions created to favor and attend an accumulation process, as well as to guarantee the conditions that legitimate social and economical order. Thus, economical politics are intrinsically related to production, accumulation, concentration and also consumption, while social politics refer to reproduction, (re)distribution and social consumption (SILVA, 1997).

Social politics attends labor and capital necessities, as well as the mandatory issues of an ongoing modernization. This way, it

> is a result of the dialectically contradictory relationship between structure and history and, therefore, of simultaneously antagonistic and reciprocal relationships between *capital* x *labor*, *State* x *society* and *liberty* and *equality* principles which rule citizenship rights. Thus, social politics presents itself as a complex concept that does not befits with the pragmatic idea of pure supply or allocation of decisions made by the State and vertically applied upon society. (PEREIRA, 2009, p. 166, italics by the author).[1]

It is fundamental to understand such a complex historical context, so as to comprehend the actual configuration of Brazilian social politics, marked by international

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[1] From the original: "é produto da relação dialeticamente contraditória entre estrutura e história e, portanto, de relações simultaneamente antagônicas e recíprocas – entre *capital* x *trabalho, Estado* x *sociedade* e princípios da *liberdade* e da *igualdade* que regem os direitos de cidadania. Sendo assim, a política social se apresenta como um conceito complexo que não condiz com a ideia pragmática de mera provisão ou alocação de decisões tomadas pelo Estado e aplicadas verticalmente na sociedade" (PEREIRA, 2009, p. 166). (N. do T.)

influence, weak State intervention, mitigating social politics, inequitable selectivity, misery naturalization, plea for generosity and emphasis on family and market as the main agents of social supply. These characteristics reveal the political-economical dependence conditions of Latin-American countries on central countries, which Marini (2000) discusses through the concept of "unequal commodities trade". Based on it, social politics resources are appropriate for the prevalence of conservative economical politics, which hinder the scope of social rights.

Social politics consolidation is not gradual or egalitarian among countries. For example, there was no historical follow-up of Latin-American countries with central capitalist countries, considering that the capitalist system development – or what Marini (2000, p.51) calls the "gigantic global trust" – and its accumulative logic impliy a distinction between countries, specially related to economical, political and social issues, to the extent of conditioning certain countries' economies, at the expense of other economies' development and expansion. It is in the bulge of this context that takes place the discussion about the dependence of subordinate countries on formally independent nations.

The Brazilian social-economical formation process has been historically understood as subordinated to colonialist and imperialist nations. Therefore, central development and periphery's sub development, which deeply mark a duality between productive sectors (industry and agriculture) and regions (Southeast and Northeast), has its genesis in the capitalist system, from the exploitation and domination relationships between nations in the North and in the South.

The genesis of dependence theory, in Latin America, emerges in the sixties in a context where global economy was already organized under the hegemony of big economical groups and powerful imperialist forces. Thereby, and from the way that Latin-American development elapsed, it was clear the inevitability of dependence relationships that would grow each time deeper.

In his analysis, Marini (2000) clarifies that dependence is understood as a subordination relationship between formally independent nations, in which peripheral nations' economies are conditioned by the development and expansion of central countries' economy. This way, dominant countries would have the conditions for auto sustenance, while the economical expansion of peripheral countries would depend on them.

Therefore, the Latin American social-economical formation process is comprehended based on its subordinated relationship with global capitalist economy. In that context, there is an evident inequality of production relations, since development of certain parts of the system occurs thanks to the sub development of other parts. These established relationships are based on the market's dominance by hegemonic countries and on the dependents' loss of control over their own resources. In other words, the remainder produced in the periphery is appropriated by the center, and remainder generation is not due to the emergence of advanced technological levels or to laborers' increased productive capacity; on the contrary, it occurs because of a greater laborer's exploitation, through the intensification of surplus extraction processes and workday elongation (MARINI, 2000).

This shows that such way of production was constituted exclusively on intense laborer exploitation, and not on his productive capacity development. Under those three mechanisms, there is no chance that laborers have the required conditions to restitute their wasted laboring force, since they end up being more dependent on it than it would be in most cases, and also because they would be deprived of consuming the minimum so as to preserve it at its normal level (MARINI, 2000). According to the author:

> in capitalist terms, this mechanisms (that, furthermore, can happen and normally do happen in a combined way) mean that labor is remunerated

below its value and corresponds, thus, to a work overexploitation (MARINI,)

This fact implies that for the endurance of world-scale capital accumulation, as well as of profit margins of national bourgeoisies associated with foreign capital, there is a double expropriation of labor force that occurs as a consequence of labor escalation, workday elongation and a diminution of the workers' consumption capacity, all of which evinces that the result of this process is social inequality and poverty, implying low wages, absence of job opportunities, illiteracy, sub nutrition and police repression (MARINI, 2000), a frame that pictures the delineation of social politics expressions in Latin-American countries.

In the scope of Marini (2000), the base that develops Latin-American economy is in the alliance with a global capitalist economy: its own population does not internally consume commodity production in Latin America. As a consequence of this, there is a separation between two moments of capital's cycle: production and circulation of commodities. This, in a way, would imply the loss of laborer's individual consumption, which would represent a peremptory element in the creation of a demand for what is produced, being one of the required conditions so production flow resolves itself appropriately in circulation flow. It is important to understand such a process, since it defines how an industrialization stage will be configured, revealing the consequences of capital's cycle and labor overexploitation.

This economic model (peripheral and dependent), by showing the country's or region's situation, concurringly reveals the Latin-American working class condition in this scenario: this class is composed by a contingent of those excluded from formal labor, with no access to social protection, a situation that derives from a profit-based economy. Additionally, for the population's majority, poverty and misery are accompanied by State's omission, mainly expressed by the absence of social politics. Advancing in this frame, it is important to remember that the region's stage of production and wealth accumulation, which is oriented by multilateral organizations such as the World Bank and the International Monetary Fund (IMF), is, in itself, the principal cause for poverty rising and social inequality (PAIVA; OURIQUES, 2006). The configuration of social politics that are subordinated to these organizations seems directed towards rights reduction and social politics restriction, with the institution of selectivity and focalization, considering that the "veiled objective of these organizations is that such programs are enough so as to avoid the aggravation of poverty and social pressures, but also that they are minimal so as to not alter social reality, maintaining the distance between rich and poor" (PEREIRA; SIQUEIRA, 2009, p. 223).[2]

2 – Brazilian social politics in the context of neoliberal ideology

At the end of the forties, after the creation of the International Monetary Fund[3] (IMF) and the International Bank of Reconstruction and Development[4] (IBRD) – whose main

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[2] From the original: "objetivo velado desses organismos é de que esses programas sejam suficientes para não agravar a pobreza e pressões sociais, mas que sejam mínimos de modo a não alterar a realidade social, perpetuando o distanciamento entre ricos e pobres" (PEREIRA; SIQUEIRA, 2009, p. 223). (N. do T.)

[3] "On its origins, the IMF had the role of providing financial resources for countries that were in a deficit of their external accounts, due to adverse junctures, deflecting a worsening of the crisis" (PASTORINI; GALIZIA, 2006, p. 75). (From the original: "Ao FMI, nas suas origens estava reservado o papel de prover recursos financeiros para países que apresentassem déficits nas contas externas decorrentes de conjunturas adversas, evitando assim o agravamento da crise" (PASTORINI; GALIZIA, 2006, p. 75) N. do T.). Its prescription, according to Pereira (2000, p. 171), consists "in an auto-sustained development, in the balance between public expense and tax collection, in a permanent combat against inflation and in the prioritization of social politics that are minimal or focalized on extreme poverty". (From the original: "no desenvolvimento auto-sustentado, no equilíbrio entre gasto público e arrecadação, no permanente combate à inflação e no primado das políticas sociais minimalistas ou focalizadas na pobreza extrema". N. do T.)

[4] "The IBRD would assume the responsibility of financing infrastructure recovery and construction projects that are required for economical development" (PASTORINI; GALIZIA, 2006, p.75). (From the original: "O BIRD

objective involved the economical reconstruction and development of capitalist countries, specially on infrastructure issues (energy, transportation and communication) – and with the Marshall Plan this bank started also to finance investments that contributed to propel the economical development of Latin-American countries. On this issue, Brazil initiated a partnership with these multilateral organizations and which was enforced through the years, since the first loan on 1949, to the electric power sector (PASTORINI; GALIZIA, 2006).

After that period, between the fifties and sixties, to be more precise, Brazil experienced the "developmentism summit", as pointed Castelo (2012, p. 620). This model grew deeper and developed thanks to the introduction of financial capital in the country. It was responsible for the arrival of multinationals, which aimed to invest on durable consumption goods branch (JK government) and to start producing capital and industry-based goods, with a big support from the State (Vargas government). Brazilian political, economical and cultural control was in the hands of capitalism. Therefore, and according to Marini (2000, p. 87), it was sealed "an agreement between the Brazilian bourgeoisie and North-American economical groups". This way, the miracle came, the cake got bigger, but dependence and underdevelopment persisted, and social-economical inequalities increased, with immense losses for the working class" (CASTELO, 2012, p. 621).[5]

In the following years the scenario was not different: international support was intensified and diversified. In the mid-seventies the highlight was on social projects funding, on infrastructure financing, while resources were scarce for projects against poverty, especially in Latin-American countries. Besides those[6] elements, on that same decade there was a rise on interest rates in the United States, which had direct consequences on subordinate countries, and led the IMF to take charge about the reprogramming and refinancing of the debt[7] (PASTORINI; GALIZIA, 2006).

> The debt opened the gates so neoliberalism could enter, and the working sectors were those who suffered the most the negative consequences of the implementation of this big capital's political-economical project: poverty and unemployment raise, reduction of social and labor rights guarantees, loss of potential for struggle and organization, etc. It is in the eighties that most Latin-American countries apply neoliberal politics programs (PASTORINI; GALIZIA, 2006, p.66).[8]

It is impossible to deny that since the XIX century there have been social and political advancements, arduously conquered through the struggle between classes and the evident correlation of forces that predominated, and also years later, with the re-democratization process that culminated with the promulgation of the Federal Constitution, on 1988, with a social protection system guided by three spheres which compose it: social security, health and social assistance. According to Pereira (2000, p.152), from this period, called as of

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assumiria a responsabilidade por financiar os projetos de recuperação e construção da infra-estrutura necessária ao desenvolvimento econômico" (PASTORINI; GALIZIA, 2006, p.75) N. do T.).

[5] From the original: "um compromisso entre a burguesia brasileira e os grupos econômicos norte-americanos". [Dessa forma,] "O milagre veio, o bolo cresceu, mas a dependência e o subdesenvolvimento persistiram, e as desigualdades socioeconômicas aumentaram, com imensas perdas para a classe trabalhadora" (CASTELO, 2012, p. 621). (N. do T.)

[6] In that context, the analysis by Mandel, Tardío Capitalism (1979) about the structural crisis of monopolist capitalism is essential so as to complement this analysis.

[7] The explanations of debt as an imperialist domination mechanism, is in Lenin and Luxembrug.

[8] From the original: "A dívida abriu portas para a entrada do neoliberalismo e foram os setores trabalhadores os que mais sofreram as consequências negativas da implementação desse projeto político-econômico do grande capital: aumento da pobreza e desemprego, redução da garantia dos direitos sociais e trabalhistas, perda de potencial de luta e organização etc. É na década de 80 que a maior parte dos países da América Latina começa a implementar os programas de políticas neoliberais" (PASTORINI; GALIZIA, 2006, p.66). (N. do T.)

"Democratic Transition" or "New Republic", emerges such a concept of social protection, in which social rights as well as their fully realized policies were recognized as citizenship. That was a pioneering act in Brazilian politics, by officially recognizing the absence of social protection as a right, and, therefore, by assuring in a Federal Constitution a social protection with its own purpose of satisfying social minimums.

> On this Constitution the formal reformulation of the social protection system incorporated values and criteria that, although antique in foreign countries, at Brazil they sounded like a semantic, conceptual and political innovation. The concepts of "social rights", "social security", "universalization", "equity", "political-administrative decentralization", "democratic control", "social minimums", among others, became, in fact, key categories in the constitution of a new social politics pattern to be adopted by the country (PEREIRA, 2000, p. 152).[9]

Meanwhile, the universal pattern for social politics and the amplification of social rights[10], according to what was expected on the Citizen Constitution, were never successfully introduced[11]. By the contrary, since their promulgation[12] they were criticized and labeled by conservative parties, as not viable and inconsistent, due to their opposition to dominant neoliberal tendency (PEREIRA, 2000). As a consequence of these attacks, there was clearly a governmental opposition that applied maneuvers so as to retard or hamper the ordinance in

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[9] From the original: "Nesta Constituição a reformulação formal do sistema de proteção social incorporou valores e critérios que, não obstante antigos no estrangeiro, soaram, no Brasil como inovação semântica, conceitual e política. Os conceitos de "direitos sociais", "seguridade social", "universalização", "equidade", "descentralização político-administrativa", "controle democrático", "mínimos sociais", dentre outros, passaram, de fato, a constituir categorias-chave norteadoras da constituição de um novo padrão de política social a ser adotado no país (PEREIRA, 2000, p. 152). (N. do T.)

[10] "The rights with which social politics identify, and are accomplished, are the social rights, guided by the principle of equality, even though they have in their scope individual rights – guided by the principle of freedom. The identification of public policies with social rights is due to the fact that these rights have a perspective of equity, social justice, and allow society to demand the State for positive and active attitudes, so as to transform these values in reality" (PEREIRA, 2009, p. 102). (From the original: "Os direitos com os quais as políticas públicas se identificam, e vem concretizar, são os direitos sociais, que se guiam pelo o princípio da igualdade, embora tenham no seu horizonte os direitos individuais – que se guiam pelo princípio da liberdade. A identificação das políticas públicas com os direitos sociais decorre do fato de esses direitos terem como perspectiva a equidade, a justiça social, e permitirem à sociedade exigir atitudes positivas, ativas do Estado para transformar esses valores em realidade" (PEREIRA, 2009, p. 102). N. do T.)

[11] For a discussion about the historical configuration of social assistance and social politics in Brazil, the analysis offered by Paiva (1999, p. 14) is enlightening, as it analyzes the social-economical processes in which public social politics were produced in the Brazilian context. His studies show that "the historical configuration of social politics in Brazil has been characterized by the predominance of a discriminatory and restrictive profile, in terms of social rights. From the first meaningful measures related to social and labor legislation, it is evident that the logic of accumulation superimposed itself over the workers' egalitarian interests and aspirations, leading to the anti-democratic nature of the established relationship between the State and society". (From the original: "a configuração histórica das políticas sociais no Brasil tem se caracterizado pela predominância de um perfil discriminatório e restritivo em termos de direitos sociais. Desde as primeiras medidas significativas no campo da legislação social e trabalhista, pode-se constatar que a lógica da acumulação tem se sobreposto aos interesses e aspirações igualitárias dos trabalhadores, em decorrência da natureza antidemocrática da relação estabelecida entre o Estado e a sociedade" (N. do T.)).

[12] "For many, proposals of this kind, at that time, were anachronistic, since the transnationalization process as well as neoliberal ideology, opposed to such proposals, were gaining force and global dimension, thanks to, mainly, the real socialism decomposition, which directly or indirectly served them as a paradigm"(PEREIRA, 2000, p. 149). (From the original: "Para muitos, propostas desse tipo, naquele momento, eram anacrônicas, pois tanto o processo de transnacionalização como a ideologia neoliberal, contrários a elas, estavam ganhando força e dimensão global, graças, principalmente, à decomposição do socialismo real que lhes servia direta ou indiretamente de paradigma"(PEREIRA, 2000, p. 149). N. do T.)

the Constitution, and even the approval of the Organic Law of Social Assistance, which was delayed five years.

It was in this context permeated by economical crisis and political regression that conditions grew for a dissemination of neoliberal ideology in Brazil, although its establishment might have been somewhat slow[13]. Anchored in the argument that the new scenario was not suited for a constant State´s presence, those who followed the neoliberal orthodoxy started to legitimate private meddling policies (PEREIRA, 2000). What begins to rule, then, is the predominance of social politics implemented with the purpose of reducing social expense, the dismount of social rights arduously conquered and the reorientation of resources from public assistance to the attendance of capital's necessities, that is, a mitigating social politics, with a detriment on important mediations for the amplification of citizenship.

From this context it can be identified that the dependency condition of Latin-American countries directly interferes on social politics in several ways. Neoliberal theses that imposed an implicit dismount of social rights – historically conquered by working classes' pressure, organization and struggle – antique procedures that are taken as innovative resurrect (appeal to generosity, focalization on extreme poverty, overexploitation of workers, social politics privatization and reduction of State's functions), leading to a situation where market and society become in charge of the State's burdens. Other mechanisms and neoliberal practices that permeate social politics are associated also to the acceptance of social inequity as a natural fact, to the act of making individuals responsible for their own welfare and to the "deflection of the compromise of social politics with the satisfaction of social needs and the adoption of technical and punctual solutions, apparently neutral and easily controllable" (PEREIRA; STEIN, 2009, p. 111).[14] Such dynamics generate tragic consequences on society, as the State limits its role on social protection and appeals to the generosity of the richest so as to soothe the suffering of the poorest. It is, thus, a perverse scenario, in which resources that should be invested on social politics, especially in Social Security, are misappropriated so as to maintain the neoliberal economical policies that restrict the amplification of social rights.

This configuration of the Brazilian social protection system is intrinsically related to several factors, with a highlight on the strong and contradictory relationship between nations' center and periphery, in terms of economical power, as pointed by theories of dependence and subordination to external market, essentially to financial capital.

For Netto (2001) this process is situated on a context of monopolist capitalism, in which the State extended its functions and guaranteed a control over labor force, which is occupied and a remainder, to rapidly attend capital's interests and logic, that is, the warranty for the monopolies' profits. Meanwhile, for that to happen the strategy used by the State to respond the capital's demands in the era of monopolies, consists on lengthening its social-economical maintenance and legitimation baseline, absorbing the working class demands, institutionalizing the access to citizenship rights. This process is marked by confrontations and collisions between classes, with a State that regulates social relations by means of force and persuasion.

In a society where a monopolist capitalism regime rules, one of the strategies identified by the State, as a political and economical instance of the bourgeoisie to attend the

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[13] In the Latin-American context, Brazilian adhesion was considered as a bit belated, only at the end of the eighties, after Chile, Bolivia, Mexico and Argentina. The situation presented on this period was one in which Brazil was coming out of a military dictatorship, thus creating an unfavorable climate for neoliberalism, at least at the beginning (SADER, 2004 apud PEREIRA, 2004, p. 154).

[14] From the original: "desvio do compromisso da política social para com a satisfação das necessidades sociais e adoção de soluções técnicas e pontuais, aparentemente neutras e facilmente controláveis" (PEREIRA; STEIN, 2009, p. 111) (N. do T.)

population's demands, is the constant and systemic intervention to deal with social related refractions, prioritizing and applying social policies with the purpose of preserving and controlling labor force (occupied and remainder), and regulating the minimum platform for consumption. Aligned with this thought, Iamamoto (2009), on his studies, points out that as financial capital is subordinating society and its sovereignty, it consequently imposes its logic of unending growth and universal commodification. This process worsens and deepens all kind of inequities and paradoxically turns invisible live labor, responsible for creating wealth and the subjects that achieve it.

> the social "question" is something more than poverty or inequity. It expresses a *trivialization of humanity*, resulting from the indifference towards the sphere of necessities of the majority and the rights that are relevant to them. Indifference towards the destinies of huge contingents of working men and women, submitted to a historically produced poverty (and not naturally produced), universally subjugated, abandoned and disdained, as they are leftovers for the standard necessities of the capital (2009, p. 31).[15]

The author mentions that, on a scenario ruled by capital orbit, the multiple expressions of the social issue – materialized under several forms – become a target of philanthropic and meritorious actions, as well as of selective and focalized programs on the combat against poverty, aligned with the privatization of public social politics, whose implementation is delegated on private organizations of the civil society. That is, the State's intervention on social and economical life is limited to the strictly necessary, while the market obtains a legitimate and integral freedom which feeds profit expectations.

The market's endeavor for the population's welfare supply is a successful foray for the reduction of the State's functions, the dismount of historically and arduously conquered rights, intense social fragmentation, social expenses reduction and "the benefit from the private regulation of misery" (PEREIRA; SIQUEIRA, 2009, p. 219).[16] On the actual scenario the State is not worried about being the social politics conductor; on the contrary, it backs off and tends to coalesce public and private forces and resources with an expressive recognition and valorization of informal networks (domestic and voluntary employment) for the supply of non-institutionalized social protection. In relation to market, the author emphasizes that it never had a social vocation and, therefore, "despite the practice of philanthropy as a marketing strategy, it prefers to improve on its own specialty, which is to satisfy preferences, aiming at profits, and not social necessities" (PEREIRA, 2008, p. 34).[17]

Allied with this strategy, the emphases on market and family are introduced as the principal agents of social protection supply. In the case of family, it is not about an innovative attitude, since "the Brazilian governments always benefitted from the autonomous and voluntary participation of family in the supply of welfare for its members" (PEREIRA, 2008,

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[15] From the original: "a "questão" social é mais do que pobreza e desigualdade. Ela expressa a *banalização do humano*, resultante da indiferença frente à esfera das necessidades das grandes maiorias e dos direitos a elas atinentes. Indiferença ante os destinos de enormes contingentes de homens e mulheres trabalhadores submetidos a uma pobreza produzida historicamente (e, não, naturalmente produzida), universalmente subjugados, abandonados e desprezados, porquanto sobrantes para as necessidades médias do capital" (2009, p. 31). (N. do T.)

[16] From the original: "lucrar com a regulação privada da miséria" (PEREIRA; SIQUEIRA, 2009, p. 219). (N. do T.)

[17] From the original: "a despeito de praticar a filantropia como estratégia de marketing, prefere aprimorar-se na sua especialidade, que é a de satisfazer preferências, visando ao lucro, e não necessidades sociais" (PEREIRA, 2008, p. 34). (N. do T.)

p. 29).[18] That is, family is configured as an ideal private instance and, therefore, must be held responsible for the social protection of its members, especially in a context of capitalist formation, under the aegis of liberalism (MIOTO, 2010).

On the scope of those following neoliberal ideology and the practice focused on extreme poverty, which permeate the social political environment, the fragmentation and short-term logic dominates. There is no serious study about reality, since what strengthens is the short-range knowledge. In this case, what is prioritized and prevailed are the social installments ruled by immediacy and which offer instantaneous results, generally accountable (PEREIRA; STEIN, 2009).

The criteria for the selection of those that are on a famine situation are based on family rent, arguing that in the implementation of public policies the purpose for selectivity is only to guarantee the access of those social groups previously considered as meritorious (MORENO, 2000). On the track of this ideology, individual preferences substitute social necessities on the definition of policies and it is evident that right is superseded by merit "and history, whose sense of totality is essential to think about complex and long-term changes, is limited to localized and isolated events that require punctual responses" (PEREIRA; STEIN, 2009, p. 108).[19]

These conditions undoubtedly reveal an imperial North-American influence upon Brazil, reigned by the logic of privatization. And to escape of such an influence, according to Sader (apud PEREIRA, 2004, p. 157), reveals as an urgent task for most countries, since it implies to surpass the space of social politics and to "reinvent socialism, relocating it at the same time on the historical horizon".[20]

Conclusion

The ideas exposed in this document show that, historically, the Brazilian social politics model has been structured through a late capitalist economical development. Its formation was – and still is – conditioned by the external interests and determinations of economical, political and social transformations, with a centrality that is delegated to international organizations and multilateral agencies which attend capital's interests, and derives from a scenario with a fragile and unstable democratic regime, assaulted many times by the authoritarianism of its leaders, considering the military dictatorship of 1964.

Based on this frame, Brazilian social protection, until the eighties, showed trends that were not very universalist, prevailing the interests of the elite and the Brazilian bourgeoisie, aligned with international interests, and without taking into account the needs of the national population majority. The apparent attitude of *protection for all* still prevails, contradicted by reality and by governmental actions. What is going on in the Brazilian context is development with dependency, which allows the emergence and intensification of social inequities, exacerbating more and more social issue expressions. And the solution neoliberal ideology proposes, so as to ease the consequences on social issues, is the reconstitution of free market, with a strategy that enforces the State's reduction and intervention in certain areas and activities, principally on social matters.

In this context, social politics are substantially altered on its guidelines and on their functionality, and the social issue is depoliticized and disqualified from its *status* as a public

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[18] From the original: "os governos brasileiros sempre se beneficiaram da participação autonomizada e voluntarista da família na provisão do bem-estar de seus membros" (PEREIRA, 2008, p. 29). (N. do T.)

[19] From the original: "e a história, cujo sentido de totalidade é essencial para se pensar em mudanças complexas e de longo prazo, se restringe a acontecimentos localizados ou isolados que requerem respostas pontuais" (PEREIRA; STEIN, 2009, p. 108). (N. do T.)

[20] From the original: "reinventar o socialismo, recolocando-o ao mesmo tempo no horizonte histórico" (N. do T.)

and political issue of national range. A process called (re) philanthropization occurs, meaning a displacement of social politics from public sphere, moving to a private one, with the come back of philanthropic actions.

On a political dimension, this process indicates that social-related expressions have been answered fragmentarily, and its manifestations are dealt with as individualized, psychologized social problems, understood as people or from a moral nature. It is an ideological perspective that moves structural issues to a personal level, with the imposition of social politics which promote privatization and are unfavorable for the universalist principle of the right to citizenship, as many Brazilian laws preconize. It is a movement based on a conservative conception of society, in which it is conceived that social welfare guarantees are a responsibility of individual people and their families, that is, of the private context. From this, the consequence is a State that tends to abandon its responsibilities as supplier of social goods and services, commandments that are transferred to civil society through decentralization, paved on the optics of privatization.

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ADRIFT: ICELAND, THE CRISIS OF 2008, AND THE CHALLENGE OF REINTEGRATION INTO THE GLOBAL ECONOMY

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Abstract

The Icelandic experience of boom and subsequent bust in the wake of the 2008 economic crisis is an extreme example of the vulnerabilities and tough choices faced by states in the current global economic order. This paper will use historical analysis, international relations theory, and some aspects of international political economy to illustrate how the crisis came about, was dealt with, and the options faced by Iceland going forward as it seeks to re-integrate into the global economy. In so doing, this should provide a useful analysis for scholars seeking an interdisciplinary explanation of these myriad factors in a single source.

Keywords: Iceland, Crisis, Currency, Banking

How does one small state, floating lonesome on the edge of a giant, manage its relations therewith? How can a proverbial pimple engage without being engulfed? Iceland has been an interesting case study in this; it has provided both a what-to-do and a what-not-to-do in the space of a generation. It will be the goal of this paper to explain how this has been so, and the paths that these actions now leave open to it as it moves into a new era of Icelandic/European relations. From this, lessons from the Icelandic example will be offered for other small states, which face similar quandaries.

In order to accomplish this, the paper will take a chronological approach to its analysis. We will first take a brisk ride through the history of Iceland's relations with Europe, so as to give us a historical basis. From there, we explore the boom – Iceland's rise as a banking powerhouse that punched above its weight, and the bust – Iceland's buckling like the knees of a battered pugilist from the blows of the FOREX market. We will then examine the repercussions faced, the methods with which these were dealt (especially in the case of the Landsbanki settlements), and how this shaped the relationship with Europe. From there we move to the options that Iceland faces in the future as it sets out to regain its footing in the international financial regulatory regime, especially as it relates to the FOREX market and currency exchange. We will then explore to see if there are any lessons from this bout to which future small-size contenders should adhere. In so doing, an interdisciplinary approach (historical analysis, international relations, and international political economy) should add a comprehensive viewpoint to scholarship on the Icelandic experience and its lessons for other states and actors in the global economic order.

Theoretical Background

For this paper, the ideas will be examined through the same prisms of Realism and World Systems Theory as my previous work in IR, as this approach utilizes both a state-based and a systemic approach. (McDonald, 2014).

Dougherty (1997, 68) has given a six-point framework for Realist thought that will serve as the working definition for this paper. These can be summed up as: 1) the state is the

primary actor, 2) that international systems are inherently conflictual, 3) that states have sovereignty – but that there exist "nevertheless gradations of capabilities", 4)that states are unitary actors, 5)that states are rational actors seeking to benefit national interest, and 6) that national interest lays in obtaining and preserving power. It is upon these tenets which Realism will be defined in this paper.

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.

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, 2009).

Iceland and Europe: Background

Iceland and Europe have a relationship with deep roots. From supposed original settlement by Irish monks, to Norwegian rule, and then long-standing Danish rule, Iceland's civilization and society has its origins in Europe (Hjálmarsson , 1993). As the CIA Factbook describes it, Iceland is made up of "a homogeneous mixture of descendants of Norse and Celts 94%." It is difficult to be much more European than that.

There is in fact, even a German origin to Iceland's final steps towards independence in the 1940s (Hjalmarsson, 1993). Iceland had existed as a quasi-independent state since 1874, but had left the responsibility for its foreign affairs with the government of Denmark. In 1903, Iceland became an officially sovereign state, but through a "personal union" with the Danish king, still retained no control over its foreign affairs. The German influence on the process came, not through diplomacy, but through war. It was the invasion of Denmark in 1940 that gave Iceland the final push into the foreign policy realm, but its attempted stance at neutrality was for naught, as the British came to set up camp shortly thereafter, soon replaced by the Americans (*Ibid.*). After the war, flush with foreign currency and Marshall Plan

money, Iceland set to secure its position in world affairs, most especially through becoming an original NATO signatory (Brittanica, 2013).

In modern times, the economy has continued to grow, but it has had a fluctuating rate, due do it makeup (Danielson, 2008). First off, it is unusually dependent upon the fluctuations of the fish market, with 40% of its export earnings coming from a product both unstable in supply and demand. This is compounded by its second large-export product – aluminum – also being subject to the vagaries of the international metals market, one that is also prone to fluctuation. Nonetheless, it was not these variables that would prove to be the undoing of the Icelandic economy – it was something much bigger, and much more ephemeral.

Iceland: Banks and the EEA

Just as in the old Hebrew tale of the Golem, it was the Icelanders themselves who created the monster that – while aiding them in the short term – proved to be destructive in the end. The financial sector of Iceland was tightly regulated into the 1980s (Carey, 2009). All three of the main banks were government owned, and currency controls were tightly implemented. The economy continued on at a moderately successful rate, but maintaining a highly-valued currency held up the development of industries that were not related to the fishery. To get around this symptom of 'Dutch disease', Iceland entered in the European Economic Area in 1994. It was this that proved to be the Golem – as it created a brief opportunity for the society to thrive, but left massive destruction in its wake.

EEA membership represented a seismic shift in the design of the Icelandic financial sector. The three major banks very privatised over the period of time up to 2003. Alongside this, there was a shift in currency policy. Tight currency controls were exchanged for bands of acceptable fluctuation. These bands were gradually widened until, in 2001, they were eliminated altogether, and the Krona was allowed to float unfettered on the FOREX market.

These two changes would be much for any economy to handle on their own, but it EEA membership meant that Iceland had to conform all of its banking regulations with those required for membership in this organization. This meant that it was now party to a reciprocal branch and subsidiary arrangement with all 29 other member states (*Ibid.,* p.6). In short, this meant that any of the Icelandic banks (having been recently privatized amid accusations of political favouritism) were now able to open branches *or* subsidiaries in any of the other EEA countries. The essential part of this agreement would prove to be this 'or', as there was an important distinction in the regulation of a branch or of a subsidiary. For subsidiaries, the supervisatory burden laid with the host country. Due to this, the EU Deposit Guarantee Schemes Directive regulation stipulates that the weight of possible repayment rests upon the host country. For branches, however, this was not the case. Any EEA bank could open a branch in another member country and still have its regulators – and deposit insurance scheme – situated in Iceland. This quirk of the law would prove to be a contentious point in the tumultuous times that lay ahead for Iceland's banks, and the EEA countries in which they were to establish branches.

2008: Meltdown

Everything was fine until it wasn't. In 2008, the storm clouds gathered, and then unleashed a hellstorm that decimated this new-look Icelandic economy in the blink of a historical eye. It didn't originate in Iceland, and one could even say that the Icelandic banks were sustainable without the foreign shock, but one could also say that Titanic floated very well without icebergs – this does not absolve the decision not to carry enough lifeboats.

On 15 September 2008, US financial services firm Lehman Brothers filed for bankruptcy protection (Sorkin, 2010). The Dow Jones dropped 500 points in just that day, but for the purposes of this paper, that is not the crucial point. Financiers and regulators

everywhere were afraid of other collapses; industry giants such as Merrill Lynch (who had long been pegged as the next-most likely to fail after Lehman) and Wachovia (who had to immediately cover about $500million in Lehman assets contained just in its 'Evergreen Investments' hedgefund) were all looking dangerously unstable.

More importantly for Iceland, the exposure was not just limited to Wall Street (*Ibid.*). Japanese giant Mizuho Trust and Banking was forced to write down 11.8 billion yen in lost loans to Lehman. The Royal Bank of Scotland faced more than one and a half billion in unrecoverable loans to the same. The contagion was spreading – and it would manifest itself through one symptom that would be near-fatal to the Icelandic economy: an unwillingness to give short-term credit.

Credit Default Swaps are the lifeblood of the 'shadow banking system', which is the actual circulatory system of the global economy (Carey, p,32; Krugman, 2010). They allow the giant banks of the world to exchange huge amounts of capital overnight, and thus keep meeting short term obligations as riskier long-term obligations accumulate. The problem in September 2008 was that, given the prevalent threat of institutional collapse, this overnight lending dried up instantly. Thus, the financial crisis of 2008 for Iceland was actually more of a liquidity crisis, but it still hit home.

The economy imploded. The stock market dropped 90% of its value (Bloomberg, 2012). Inflation increased to 18%, and unemployment rose ninefold. The government took control of the second and third largest banks on 7 October, and then the next day had to take control of the largest. The IMF had to come in with a bail-out loan of $2.1 billion USD, the fund's first loan to a Western nation since 1976 (BBC, 2013). It imposed strict currency controls, and, amid egg-pelting protests in the streets, the government resigned. The fallout did not end domestically, either, as the UK government of Gordon Brown invoked harsh 'Anti-Terrorism' legislation to freeze all UK assets of Icelandic bank *branches*, calling Icelandic policy "effectively illegal".

Causes of Collapse

It was, as the scholars put it, "the predictable end of a non-viable business model." (Baldwin, 2008, p.1)

There are myriad reasons as to why the Icelandic economy bit the dust in the aftermath of the chaos on Wall Street in 2008. There was a rapid expansion in the level of household and non-financial corporation debt (Carey, p. 21) An overheated labour market was fed with high levels of immigration, making it harder to sustain full employment. High demand for housing led to equity borrowing that increased general exposure, and the list goes on. For the purposes of this paper, though, it will be best to focus on the design of the banking industry, as this is the part that, through the EEA, was most linked with the EU. The collapse will also be examined through the above-presented lenses of Realism and World Systems Theory.

The Icelandic banks were not over-extended in terms of credit – by the loose relative standards of their global competitors. Danielsson, in fact, stated that "Icelandic banks were better capitalized and with a lower exposure to high-risk assets than many of their European counterparts." (p.11) This is not to say, however, that these banks were prudently run.

As was stated above, there was controversy about the manner in which the Icelandic public banks were privatised. They were predominantly sold to local investor groups, against the misgivings of the Financial Supervisory Authority (FME in Icelandic) (Carey, p.6) The sale was largely seen as a political decision, had ramifications in the outlook of the bank's investment portfolios, as the new owners were not traditional commercial bankers, per se. As Carey quotes from the Janarri report – commissioned in the aftermath of the crises to improve

regulation of the financial sector – the new owners had "the mindset of investment bankers, which favoured a strategy of rapid growth and highly leveraged, aggressive deals." (*Ibid.*)

In a classic example of sticking to what one knows best, these so leverage-inclined pushed the Icelandic banking sector to unprecedented levels of immersion in – and exposure to – the world economy, especially the shadow banking system. These 'new' banks set out on a course of daring that would have perhaps even shaken the heads of their Norse ancestors. The banks would borrow large amounts of money in foreign capital markets, loan the money to Icelandic investment companies (often controlled by the same majority shareholders as the banks), who would then use this money to buy stakes in other foreign firms. This hat trick of market exposure created profit as long as credit was forthcoming, but the level of foreign exposure became high even by modern banking standards. As Carey (p. 8) notes, Iceland's International Investment Position (IIP) spelled out the results of such a strategy. Net external debt increased by 142% in the four year bloc leading up to 2007, and net equity assets rose by 99%. The rise in equity assets by itself would of course not be a bad thing, especially if it resulted from revaluation of internal assets, but that was not the case here. It instead represented foreign assets purchased with foreign money denominated in foreign currency – an ominous hat trick for a relatively small economy. Indeed, these levels represented, by far, the highest levels of any OECD country, most of whom had been investing abroad for decades, not a few years like the banks of Iceland.

This exposure came home to roost quickly once the crisis hit. The cost of credit default swaps exploded, and then they became unavailable altogether (Sorkin, p.429). As the 'assets' (i.e. debts) of Icelandic financial institutions had reached almost ten times the size of the Icelandic GDP, investors worldwide knew that trouble for the banks meant trouble for the economy, and thus the value of the Krona crashed (Danielson, p.11). This made the potential repayment of foreign currency denominated loans even more difficult, and thus unlikely, leading to a run on the banks as investors and depositors tried to salvage as much of their assets as they could. Trading was halted, the banks were nationalized, currency controls were implemented, but the damage was already done. Iceland's economy had been wiped out by this hat trick of market exposure, and it was going to be a painful road back. This was exacerbated by the fact that one of these banks – Landsbanki – had opened branches in the UK and the Netherlands, and had taken on deposits of more than 4 billion Pounds (Economist, 2013).

Landsbanki – Troublemakers, Terrorists?

Landsbanki were adroit in exploiting the 'branch' loophole in the EEA agreement that was discussed above. Through an online subsidiary (also registered in Iceland) known as Icesave, it offered high-interest savings accounts to UK and Dutch depositors, offering higher return on savings to depositors from these nations while avoiding the regulatory gaze associated with their markets.

Once the run on the banks started, Landsbanki, of course, was overextended. The repayment totals would have amounted to a staggering $17,000 per Icelander (WSJ, 2013). Once the bank was nationalized, the government declared that they would not repay foreign depositors. The UK and Dutch governments paid the amounts to their domestic affected, and then took Iceland to the EFTA Court to sue for damages – alongside the UK's punitive anti-terror legislation, there have been whispers of the Netherlands blocking any future EU membership for Iceland.

This year, the EFTA has ruled in favour of Iceland, absolving them of further responsibility in the matter outside of normal liquidation of a bankrupt asset. This selloff of assets should cover most of the cost, so the financial impact of the ruling is not as severe as it was first thought to be, but it does reveal a regulatory hole that needs to be closed.

IR Lessons

So how then, does the Icelandic experience fit into the international order? This question will now be examined, through the two schools of thought presented above.

Realism

Iceland is a small player who tried to run with the big boys, a realist thinker would likely say. Other countries could support banks that got in over their heads – Iceland simply could not. Moreover, because of their small size and influence, their institutions were shut out of the credit default swap market, as other institutions could not place faith in Iceland's ability to back its institutions.

The same goes for Iceland's currency problems. No one was going to lend Iceland money in a bit-player currency like the Krona, thus it had to increase its exposure by borrowing in another currency. Thus, trouble in the Icelandic economy became a vicious cycle – lower confidence in ability to honour debt led to higher default swap rates, leading to higher debt loads, which meant that their size relative to GDP increased, which lowered confidence in the Icelandic economy as a whole, which led to depreciated value for the Krona, which in turn increased the cost of repayment, starting the whole process over again. There was simply no way for a small state to pay its way of crisis in the manner that a large state that borrowed in its own currency such as the USA could.

It is interesting to note, in a realist perspective, the decline of former power-players like the Netherlands and the UK in this affair, but it is not related to the central theme of the paper.

World Systems Theory

It would seem, in a world systems point of view, that Iceland is suffering the role of the semi-periphery. It models the behaviour of the core, yet is perpetually unable to enjoy the same sustained benefits of the system in the manner that core actors do. It emulates their institutions, but the global power-balance is set up such that the dominant core remains dominant; the semi-peripheral states are given the institutions to facilitate 'exchange' with the core, but never the control of enough resources so as to facilitate a transition to core status.

There is a potential positive development here, though, from a World Systems perspective. Normally, these core/periphery relations do not stop at the water's edge; these relationships are usually present in domestic affairs as well. In Iceland, however, the presumed impunity of the core actors has met a wall of resistance. Voters twice rejected proposed Landsbanki repayment deals in referenda, and there has even been some prosecution of those core members deemed responsible for the maelstrom, with former chiefs of two of the banks having been indicted and standing trial (Bloomberg, 2012). Iceland's thumbing of its nose against the norms of the system – austerity for the periphery, impunity for the core – would surely be seen as a welcome development for a World Systems devotee.

Epilogue: Moving Ahead as an Example?

"For a country that four years ago plunged into a financial abyss so deep it all but shut down overnight, Iceland seems to be doing surprisingly well," opined the New York Times' Sarah Lyall in 2012. In this assessment, she is not alone. The indicators are strong: unemployment is at 6% and falling, and the economy is expected to grow by 2.8% for fiscal year 2012. How then, has Iceland carried on, where others have failed?

First of all, it did not succumb to pressure to over-insure the private debts that other small states have swallowed to poisonous effect. Ireland took a different tack, and the results are not as encouraging. Ireland guaranteed the obligations of its banks to "a reckless degree, wrecking the country's public finances." (Charlemagne, 2013) Ireland's tax payers will be on

the hook for this debt for years to come, while Iceland is already moving ahead, with half of the jobless rate of Ireland, and healthier deficit, debt, and credit default swap rates than its Celtic compatriot.

It does, however, have at its disposal a tool that many small states have lost – an independent currency. The devaluation of the Krona – while difficult on imports in a northern island nation – has allowed for a quicker recovery of the export sector (Lyall). This is an option that other small states, such as this year's crisis-child – Cyprus, would surely enjoy having in their toolbox of fiscal and monetary repair. Also, the Icelandic government had a small debt ratio going into the crisis, having paid down debt in the boom of the 2000s (Carey, p.28). This allowed it to have a more sustainable outlook going forward when seeking new debt, and thus receiving lower rates. Indeed, Iceland is already ahead of schedule on its repayment of international obligations taken on during the crisis (Lyall).

As for what happens next with Iceland, the answer is unclear. The debate will largely centre on the choice of currency (Valmardsson, 2012). The most obvious choice for many would be entry into the Eurozone. As it is already an EEA member, Iceland has already conformed to much of the legislation that the EU requires for membership (as an aside, the rules that led to the Landsbanki 'branch' situation have also been amended). EU and Eurozone membership would allow it to "cooperate with EU countries as a sovereign nation, which has a say in the decision and policy making in all fields of cooperation," according to Prime Minister Johanna Sigurdardottir (*Ibid.*).

This is not the only option, though. Some have made the suggestion of adopting the use of the Canadian dollar as an official currency (Icelandic Review, 2013). There is logic to the argument, as both have large export sectors (including fishing and aluminum industries), and that the Canadian dollar has been stable throughout the crisis and has a similar outlook going forward. The downside though, is that almost 80% of Iceland's trade goes to the EU, not to Canada, so efficiencies there would be lost.

There are questions about either course of action that persist, though. Perhaps Iceland should maintain its trend-bucking ways and hold on to 'the world's smallest independent currency."(*Ibid.*) Indeed, as Bloomberg editors asked in September 2012, "Why would Iceland want to join (the Euro) now? Euro-member nations such as Greece and Ireland offer testimony to the risks of being yoked to a currency along with stronger economies." There would be pains associated with removing the capital controls in a country that imports a great deal of its products for domestic consumption. Would these be any worse than the losses of policy autonomy (especially in the fishery) and the monetary flexibility that Euro inclusion requires? It is not an easy question to answer. Similarly, the Canadian dollar is relatively steady, but it is steady at a high value, and could potentially rise higher (depending on resource prices and other factors) – thus affecting the exports upon which Iceland has rebuilt its economy. Perhaps the best option would be for Iceland to maintain its own currency while joining the eleven EU states in their transaction tax regime (McManus, 2013). This would allow Iceland to retain maximum sovereignty, while providing both revenue and a disincentive for investors to flee the Krona. Iceland has weathered the storm, and the option of joining the Euro has only gotten dimmer in light of the Cypriot mess. Perhaps maintaining the Krona while joining the Transactions Tax regime would be the best way to ensure that it keeps the all the tools it needs to navigate the choppy waters ahead, and thus chart a course for other small states that sail the same seas.

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SYSTEMS APPROACH TO SUCCESSFUL CO-OPERATIVE ENTERPRISE DEVELOPMENT IN KENYA

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Abstract

This is a desk researched paper which starts with an introduction to systems approach by incorporating the understanding to the approach. The paper proposes an expert system approach that incorporates Quality Function Deployment (QFD) methodology for the identification of the strategic components of a Co-operative Society for a Product Data Management (PDM) system.

An understanding of the systems approach is elaborated according to the phases which a system is expected to go through. The current systems approach to successful Co-operative enterprises in Kenya is explained. This has been done by noting three major components, namely; formation of the co-operative enterprise detailing what it takes for such enterprises to be formed, the management of the co-operative enterprises indicating the three major organs in the management(members, officials and staff), and the government with its two major roles, that is the promotion and the legal functions.

The paper has proposed a conceptual framework for the successful co-operative enterprise development in Kenya. Further, the paper has elaborated on the various factors which should be considered for successful co-operative enterprises in Kenya. In the last chapter of this paper, there are some suggestions for the various factors that should be taken into account if the proposed model is to be implemented.

Keywords: Systems Approach to Co-operative Enterprise

Introduction

The paper proposes an expert system approach that incorporates Quality Function Deployment (QFD) methodology for the identification of the strategic components of a Co-operative Society for a Product Data Management (PDM) system. According to Midha P.S. (2004), a PDM can help any organization in carrying out its collaborative product development activities by providing a platform through which information can be shared to come up with successful enterprise development. It also helps in managing the different activities in product development process.

In the proposed Systems approach, the PDM requirements are directly correlated with the PDM functions. This helps in prioritizing the PDM components/functions and in providing a transparent way of understanding the correlation between the PDM requirements and the PDM components/functions. According to Lewlyn L. R. Rodrigues, N. Dhamaraj, B, R. Shrinivasha Rao (2006), New Product Development (NPD) project is a competitive idea in an Organizational competitive strategic weapon, yet many NPDs projects fail due to the dynamic nature of critical success factors such as time, cost, quality and scope.

Definition of Systems Approach

According to the Centre for Strategic Management (2007), a "system" is defined as a set of components that work together for the overall objective of the whole. A system is a series of inputs (Phase C) to a throughput or actions (Phase D) to achieve your outputs (Phase A) along with a feedback loop (Phase B) in the environment, to measure success.

Understanding Of Systems Approach

Systems' thinking is an approach for developing models to promote the understanding of events, patterns of behaviour resulting in the events, and even more importantly, the underlying structure responsible for the patterns of behaviour. The Co-operative Organizations should be more concerned with the underlying structures which can enable them undertake successful ventures.

According to Warren, K. (2002), the approach to systems thinking is perceived to consist of the following steps:

1. Definition of the situation
2. Consider whether systems thinking is appropriate
3. Develop the patterns of behaviour.
4. Evolve the underlying structure.
5. Identify the leverage points
6. Develop an alternative structure
7. Stimulate the alternative structure.
8. Develop an adoption approach

Current systems approach of co-operative enterprises in kenya

The current systems approach to successful Co-operative Enterprises in Kenya starts with the idea of a group of people having the same common bond and seeing a sense of coming together to pool up resources in order to solve economic or social problems. Such groups must be participating in economically viable activities which can uplift their standards of living and increase their economic and social welfare. The Government can identify such groups to sensitize them and educate them about Co-operatives. In the process the Government can facilitate the registration of such groups as Co-Operative Enterprises. After the registration, the Government continues to play a crucial role of promotion and legal functions. The co-operatives registered are therefore managed by the members through their Annual General Meeting (AGM), Management committee elected by the members and the staff/employees.

Even though Co-operatives in Kenya have contributed and still contributing to significant development in Kenyan economy, some Co-operatives have collapsed in the passed and this situation calls for a thorough scrutiny of the Systems Approach to successful Co-operative Enterprise Development in the country. It is envisaged that the Co-operative enterprises which are started in the beginning and seen to be having a clear vision for its formation can not collapse easily.

The Current Model of Systems Approach for Factors Leading To Successful Co-Operative Enterprise in Kenya
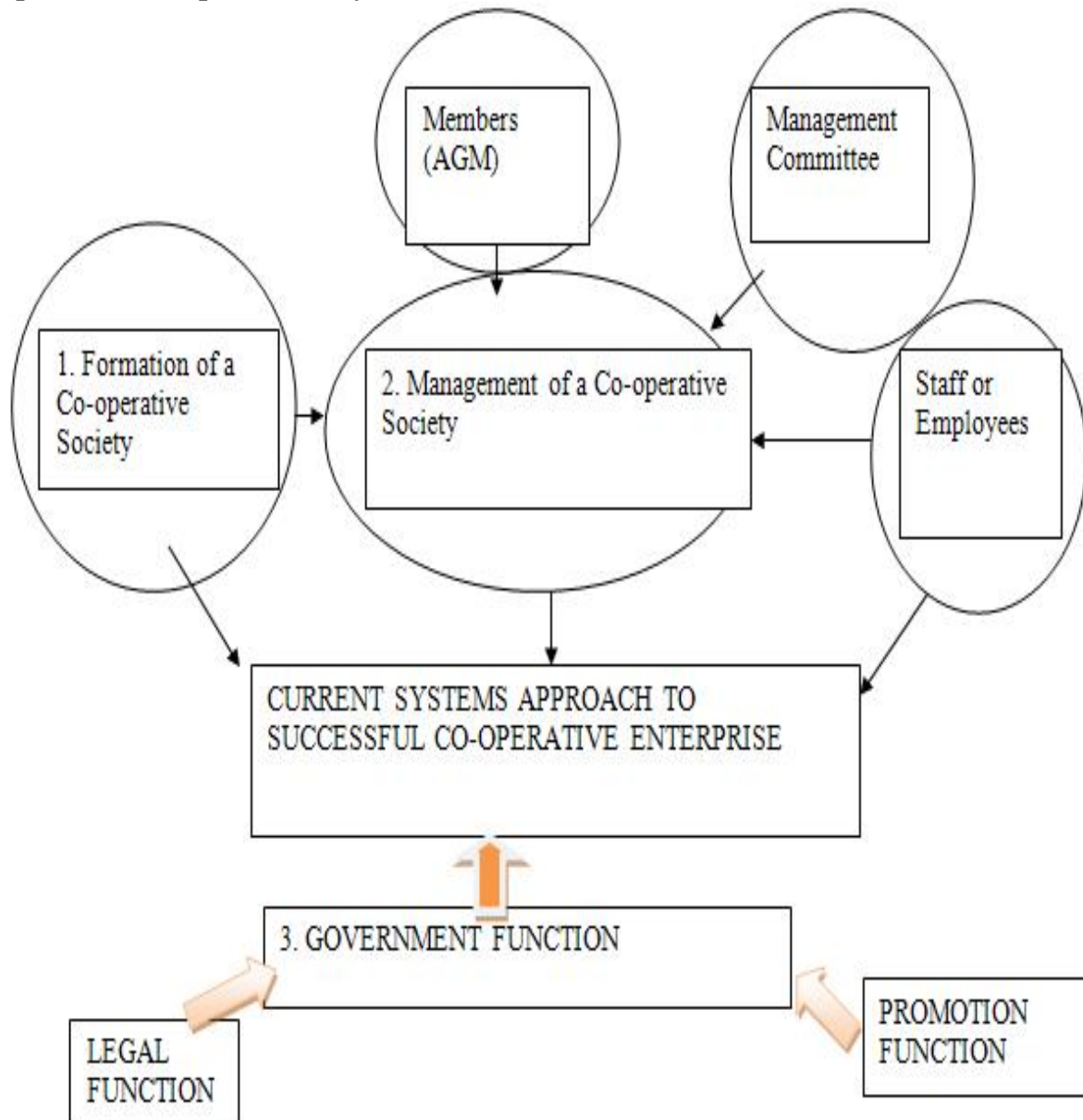
Formation of a co-operative Society

According to Ouma S. (1992), to launch a Co-operative, it is necessary that four major jobs should be done. The tasks are the following:

- o Determine the need for a Co-operative and its potential for success.
- o Decide on the form and plan of the organization.
- o Incorporate and complete the organization into a permanent going concern.
- o Obtain members, capital, management and Co-operative volume.

Once the above four issues have been taken into consideration, the steps towards the formation of a co-operative society starts. These steps are as follows:

1. Preliminary meeting
2. Work of the survey committee
3. The survey report
4. Appointment of the organizing committee
5. Pre-co-operative education day
6. Drawing of the Constitution and by-laws
7. Members first meeting
8. Registration of the co-operative society
9. First General Meeting

Management of a Co-operative Society

After the formation of Co-operatives in Kenya, they should be managed viably by various organs. The levels of management may vary from one co-operative society to another depending on the products to be delivered to the members and the number of members within the co-operative society. Generally, the organization chart below show the general levels of management indicating the levels of authority, responsibility, and communication within the co-operative organization.

A model of an Organization chart for a Co-operative Society in Kenya
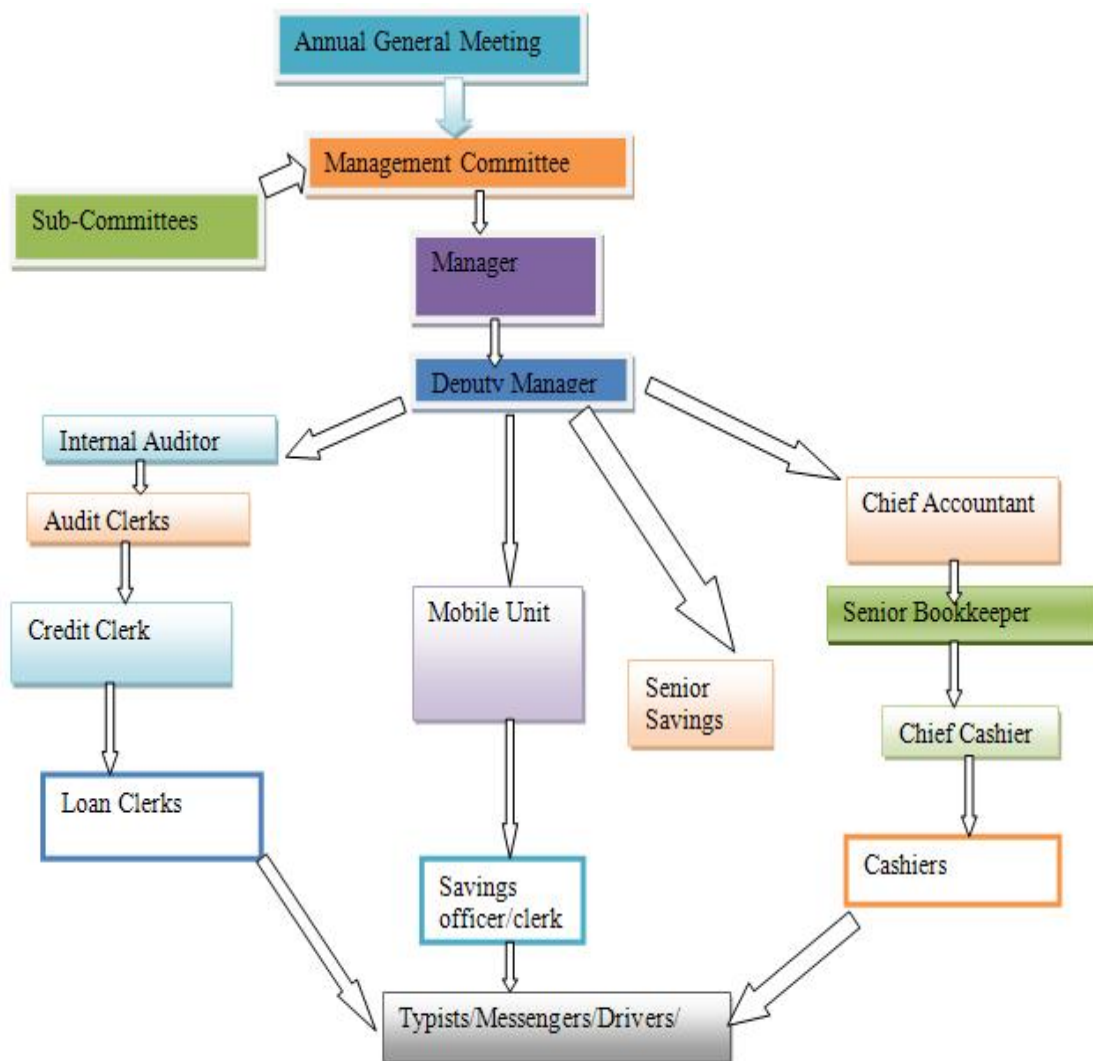
The organization chart above can vary from one co-operative society to another, although the above can serve as a guide.

Current Functions of the Government

There are two major functions which the Government undertakes:

Development function

The development function involves the following tasks:
1. Promotion:
2. Supervision and advice
3. Education and Training:

The legal function
1. Registration:
2. Auditing:
3. Management:
4. Borrowing:
5. Dispute handling:

Critical Review Of the Current Systems Approach to Co-operative Enterprises in Kenya

The above current model has suggested three important aspects of formidable co-operative enterprises, namely; process followed in the formation of co-operative enterprises, the management committee functions, and the function of the Government. What seems to be working well among the three is the management committee functions. However, the process of formation, and the Government functions need to be strengthened.

The formation process has been well covered, but the co-operative organizations which are being formed seem not to go through the whole of the process detailed above. If they have to undertake this process the way it is detailed above, then feasibility study of the co-operative enterprises could be taking place more effectively. The Co-operative enterprises are currently being formed on the basis that there is some common bond existing among the founders. Proper scientific feasibility study is lacking. There should be thorough feasibility study to be undertaken for Co-operative enterprises to become viable ventures.

The Government can be playing a significant role in streamlining the operations and the management of these Co-operative enterprises, but after the liberalization effect, the Government roles have reduced tremendously.

The proposed systems approach to successful co-operative enterprise in Kenya

The proposed Systems Approach to Successful Co-operative Enterprise Development has been considered to entail all the factors that should be taken into consideration for any successful Co-operative enterprise. It is important that the proposed Co-operative enterprise should start with members having the motivation to participate in the economic activities which they are undertaking before considering forming a co-operative enterprise. A fact finding of common bond of a group of people alone is not enough for proper evaluation that such a group can be found viable to form Co-operative Enterprises. The figure below helps illustrates that the first important steps towards successful Co-operative enterprise is positive attitude by all the founding members. The positive attitude will then lead to motivation or drive towards that kind of Co-operative enterprise which will lead to feasibility study, identification, and finally selection of the enterprise. This concept is illustrated below:

Conceptual Framework towards Successful Co-operative Enterprise
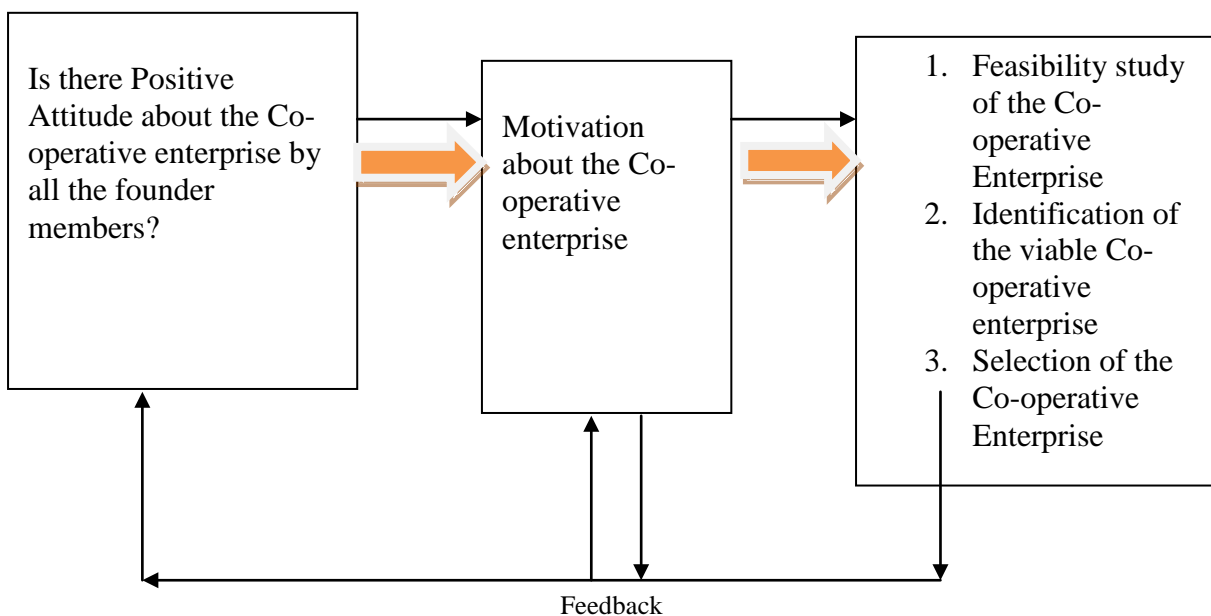
The above conceptual framework can be elaborated further by the proposed systems approach to successful co-operative enterprises in Kenya as shown in section 3.1 below

Proposed Systems Approach to successful Co-operative enterprises in Kenya
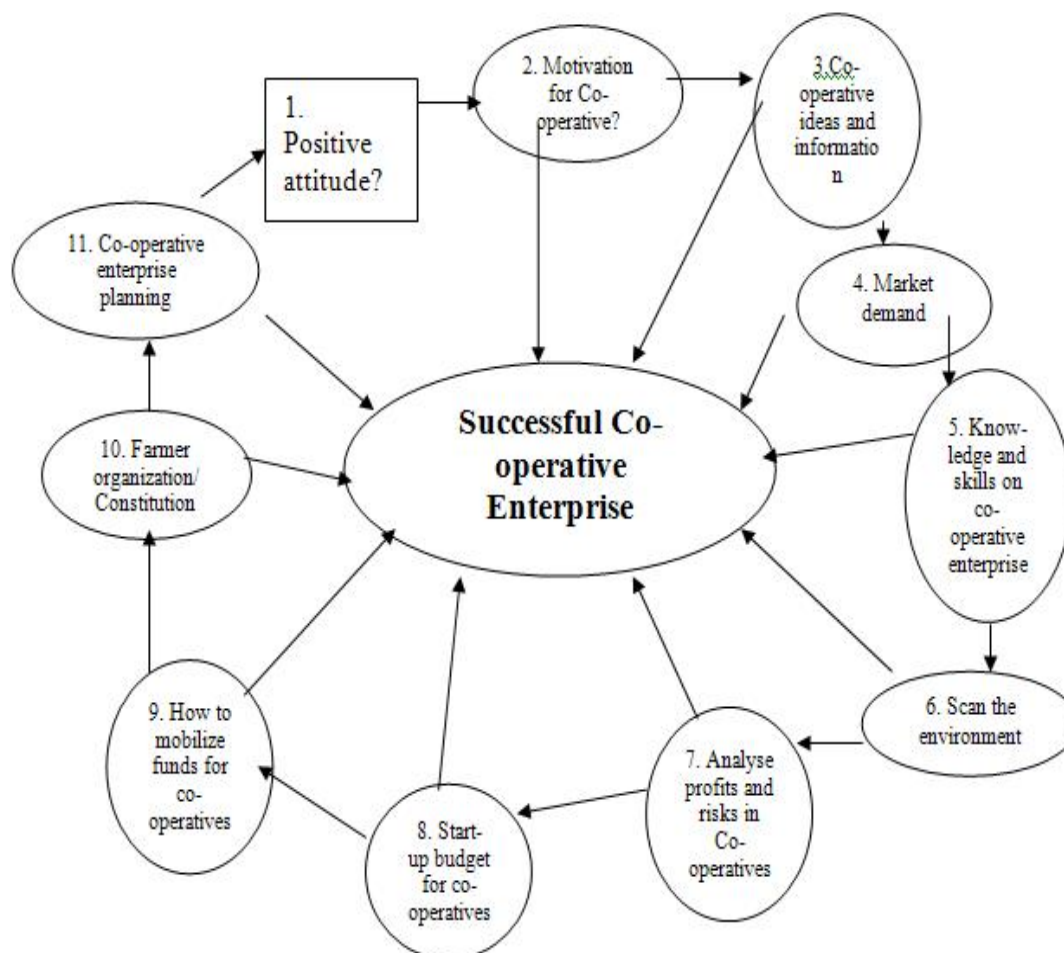
Conclusion

For any suggested system to work, it has to be tested over time whether it conforms with what can be rationally considered as practical. The implementation may vary from one co-operative society to another. According to Goodman, M. & Karash, R. & Lannon, C. & O'Reilly, K. W., & Seville, D. (1997), what can work well within a certain co-operative organization may not work well in another. However, there are certain conditions which are generally considered to be very important for a system to work effectively in any organization. According Sauter V. (1997), these may include; Measures that address the system itself, the process of the design, and mutual understanding between the various stakeholders. The strategies suggested can be summarized as follows;

- ➢ Ensure that the system does what it is supposed to do the way it is suppose to do it
- ➢ Keep the solutions simple for everybody in the co-operative enterprise to understand
- ➢ Ensure user involvement in the system which has been developed. The users here are considered to be the co-operative society members and the other stakeholders in the whole chain. This is done by developing a satisfactory support base
- ➢ Commitment to change is also very important and this comes only after the users have realized that the system is beneficial to them.

> ➢ This change should be managed overtime by the various implementers to ensure that it works from time to time.
> ➢ Institutionalize the system by making it a legislative decision within the co-operative movement. This can be made easier by giving incentives to the users at the initial stages. The incentives given can vary from one co-operative society to another, however, they need not be elaborate or even financial which if withdrawn the system may fail to work effectively. When the incentives have gained some attention for some individuals, these individuals can be used to convince others to work towards implementing the new system within other forthcoming co-operative enterprises. This is also what Warren, K. (2002) suggests in his writing about systems theory approach.
> ➢ System Evaluation: This is done in order to ensure that the system is effective and successful. This is done by ensuring that the system reflects the intended output and the necessary inputs had been taken into consideration.
> ➢ Technical appropriateness is done to ensure that the technical requirements of the decision makers are achieved. The decision makers in the case of a co-operative enterprise are the members of that co-operative organization. If their technical requirements are not met, then this proposed system of ensuring successful co-operative enterprises will have failed and the implementation effort considered failure.
> ➢ Senge, P. (1990), puts it that measurement of challenges should be done from time to time to ensure that it continues to be successful when it is being implemented by the various co-operative organizations. Review of the steps suggested in chapter three should be done. Any additional attribute to successful implementation of the co-operative enterprises can be done. It therefore means that the suggested system should be dynamic and flexible to the environmental facets.
> ➢ The Co-operative Organizational Appropriateness should also be checked to ensure that the system supports the co-operative organization's style of management from the time of implementation up-to the time it is considered to be operational.

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DETERMINANT OF CAPITAL STRUCTURE DURING THE CRISIS PERIOD: EVIDENCE FROM THE RECENT FINANCIAL CRISIS (2007-2009)

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Abstract

We examine the factors that affect the capital structure decisions of private firms in the credit crunch period. The fixed effects model is used the study research methodology. The final sample of the study includes 4,973 private firms. Results of the study show that sales growth and tangible assets is significant determinants of firms' capital structure both in the pre-crisis and during the credit contraction period. It further highlight that profitability is significant in normal time period only. It does not play an important role in firm financing decisions in the credit drought period. The crisis dummy is significant which means that credit supply conditions is also one of the important factors that need to be consider while determining the financing mix in the crisis period. Hence the results suggest that demand side and credit supply friction are significant factors to consider in the firm financial decisions especially in the credit contraction period.

Keywords: Capital Structure, Financial Crisis, Private Firms, Fixed effects, credit supply

1. Introduction

Capital structure has occupied a central position in the firm financial decision. It become in the lime light of the academicians and researchers after the Modigiliani and Miller (1958) theory of capital structure. According to them "*the market value of any firm is independent of its capital structure and is given by capitalizing its expected return at the rate ρ_k appropriate to its class*"(p. 268). To state it differently, the market value is not affected by altering the firm financial mix. However, Modigliani and Miller (1958) theory of capital structure was based on certain restrictive assumptions such as no taxes, and no transaction costs.

Subsequently, an intellectual debate about the optimal capital structure aroused among the academicians and researchers which has lead to the emergency of several capital structure theories. The most noticeable among them are the pecking order theory (Myers, 1984; Myers & Majluf, 1984), the agency theory (Jensen & Meckling, 1976); signalling theory (Ross, 1977)and the bankruptcy cost (Titman, 1984) etc. These alternative theories of capital structure have provided an explanation in favour of relevance of capital structure to firm value. In other words, the firm financing mix affects its value, in an imperfect market.

In search for a model that better explain and enhance our understanding about the optimal capital structure, researchers have identified number of variables such as age, risk, growth, size, asset tangibility, profitability, and liquidity etc. (see for example, Bhaird & Lucey, 2010; Bharath, Pasquariello, & Wu, 2009; Cassar & Holmes, 2003; Chen, 2004; Daskalakis & Psillaki, 2008; G. Hall, Hutchinson, & Michaelas, 2004; Nicos Michaelas, Chittenden, & Poutziouris, 1999 a; N. Michaelas, Chittenden, & Poutziouris, 1999 b; Ozkan,

2001; Psillaki & Daskalakis, 2009; Rajan & Zingales, 1995) as a function of firms financing mix decision.

All the above mentioned studies have identified various variables and provided evidences that have further enhanced our understanding about the capital structure. However, in line with infinite supply of capital assumption of Modigliani and Miller's (1958), majority of the above mentioned studies have used firm level characteristics (such as   age, risk, growth, size, asset tangibility, profitability, and liquidity etc) and   modelled them as a function of firm financing mix. In other words frictionless in the supply of credit is assumed by these studies.

Recent research, however, has called into question the assumption of infinite supply of credit (see for example, Choi, Getmansky, Henderson, & Tookes, 2010; Faulkender & Petersen, 2006; Leary, 2009; Lemmon & Roberts, 2010; Morellec, 2010; Shafiq Rehman & Saeed Akbar, 2011a; Shafiq Rehman & Saeed Akbar, 2011; Rehman, Akbar, & Ormrod, 2011; Sufi, 2009 a; Voutsinas & Werner, 2011).   Other studies have provided evidence regarding the sensitive of firm financing mix to shift in the credit supply conditions (Graham & Harvey, 2001; Shafiq Rehman & Saeed Akbar, 2011a; Shafiq Rehman & Saeed Akbar, 2011; Rehman et al., 2011). Similar findings is also observed for the investment decisions (Campello, Graham, & Harvey, 2010; Shafiq Rehman & Saeed Akbar, 2011b). Lemmon, Roberts and Zender (2008) highlight that identified determinants of the capital structure explain little of the variations in leverage ratios. Likewise, Morellec (2010, p. 5) argues that "*our analysis raises doubts about the usefulness of models of corporate decision that focus exclusively on demand factors in several real-world applications*".

The objectives of the study are therefore, to examine the factors of firm capital structure both in normal time period and in the crisis period. To state differently, to check whether credit supply conditions play any role in explaining firm financing decisions?.

2. Literature Review

Empirical studies have made a good progress by providing evidences which has enhanced our understanding about the firms financing mix decisions. These studies have identified and used various variables in their model as a function of firm financing mix. These variables are asset tangibility, growth, firm size, , risk, liquidity , age, and profitability (see for example, Cassar & Holmes, 2003; Chen, 2004; Daskalakis & Psillaki, 2008; G. Hall et al., 2004; Leary, 2009; Nicos Michaelas et al., 1999 a; N. Michaelas et al., 1999 b; Ozkan, 2001; Rajan & Zingales, 1995). Similarly, other studies have used corporate strategy (Barton & Gordon, 1988; Jordan, Lowe, & Taylor, 1998), management behaviour (Williamson, 1988), industry effect (Graham Hall, Hutchinson, & Michaelas, 2000), and corporate control issues (Harris & Raviv, 1988, 1990).

All the above mentioned studies have identified various variables and provided evidences that have further enhanced our understanding about the capital structure. However, in line with infinite supply of capital assumption of Modigliani and Miller's (1958), majority of the above mentioned studies have used firm level characteristics (such as   age, risk, growth, size, asset tangibility, profitability, and liquidity etc) and   modelled them as a function of firm financing mix. Frictionless in the supply of credit has been assumed by these studies.

The study by Lemmon, Roberts and Zender (2008), for instance, have highlighted that variation in leverage ratios is not fully explained by the traditional determinants of financing mix. Other studies such as Morellec (2010) has further cast doubt on the usefulness of the existing corporate financing decision model that has focused exclusively on demand side factors. Further, evidence in favour of finite supply of capital is provided by existing literature (see for example, Chava & Purnanandam, 2011; Choi et al., 2010; Duchin, Ozbas,

& Sensoy, 2010; Faulkender & Petersen, 2006; Gan, 2007 a; Ivashina & Scharfstein, 2010; Leary, 2009; Lemmon & Roberts, 2010; Shafiq Rehman & Saeed Akbar, 2011a, 2011b; Rehman et al., 2011; Sufi, 2009 a; Voutsinas & Werner, 2011).

Hence, one may conclude that if the supply of credit is frictionless, then considering both the demand and credit supply condition is critical for understanding the behaviour of firms. Our understanding will be largely incomplete if we don't account for demand and supply side factors together. The study will address this gap in the existing literature by focusing on both demand and supply side factors.

3. Research Methodology and Data

To achieve the objectives of the study, we model determinants of capital structure not only as a function of demand side but also supply shocks side factors,

$$Y_{it} = \alpha_0 + \beta_1 \, f(\text{demand shocks})_{it} + \beta_2 \, g(\text{supply shocks})_{it} + \mu_{it} \qquad \qquad (A)$$

Y_{it} is a measure of firms' financing decision, $f(\text{demand shocks})_{it}$ are firm specific factors which includes firm age, firm size, growth, profitability, and asset tangibility which are likely to have an impact on firms' financing decision . The coefficient of interest is β_2 which measures the supply shocks. To examine the affect of demand and supply shocks factors on the firm financing decision, we adopted and followed the model of Akbar, Rehman & Ormrod, P. (2013); and Rehman, S. & Akbar, S. (2011), which is as follows

$$\text{Total Debt} = \beta_0 + \beta_1 *ROA + \beta_2* GT + \beta_3* CR + \beta_4* GT *CR + \beta_5* ROA *CR + \mu_{it}$$
(1)

ROA is a measure of return of assets (performance), Cr' represents crisis dummy for the crisis period. GT is a measure of firms' growth opportunity.

3.1 The Data and Sample of the Study

This study employs the panel data set of UK private for the financial years 2004-2009. In the context of the study, the panel data set is constructed by observing a cross-section of firms over a period of time. Panel data is appropriate in this case as it allow researchers to discover and measure effect, which is not possible in pure cross-sectional and time series data (Baltagi, 2005; Psillaki & Daskalakis, 2009). In addition, panel data can take into account firms' heterogeneity to greater extent (Baltagi, 2005; Psillaki & Daskalakis, 2009). Hence, panel data estimation provides an appropriate basis for studying the determinants of firm financing mix during the crisis period.

3.2 Sample Selection Process

The data for the private firms are collected from the Financial Analysis Made Easy (FAME) database. Consistent with the previous literature (for example, Brav, 2009; Michaely & Roberts, 2007), the study excluded assurance company, public investment trusts, , limited liability partnership, guarantees, and unlimited companies. The purpose is to restrict the analysis to limited liability companies - the type of companies which are most appropriate for both the capital structure theories and the company act (Brav, 2009; Michaely & Roberts, 2007). The study constructed private firms' sample as follows:

1. This study excluded financial sectors firms (such as banks and insurance sector) from the sample for the standard reason.
2. Consistent with the previously published studies (see for example, Brav, 2009; Chava & Purnanandam, 2011; Duchin et al., 2010) the study exclude firms in the public sector and regulated industries, which is consistent with the existing literature. .

3. The issue of missing observations is a serious problem in any research study (especially in studies on private firms). In order to avoid this problem, this study took insight from the existing literature (Chava & Purnanandam, 2011; Lemmon & Roberts, 2010; Sufi, 2009 a & b), and required that firms must have non-missing values for its main variables.

4. Results and Discussion

To achieve the objectives of the study, the demand and supply side factors are modelled as a function of leverage. Table 1 report that results obtained from the estimation of model 1. It shows that coefficient of ROA is negative and highly significant which is in line with the pecking order theory predictions. It shows that firms rely heavily on internal finance in the normal time period (see for example, Aggarwal & Kyaw, 2010; Daskalakis & Psillaki, 2008; Gaud, Hoesli, & Bender, 2007; Voutsinas & Werner, 2011). However, the Coefficient of ROA is negative but not significant during the crisis period. As a result robust conclusion cannot be drawn. It may however, suggest that ROA is not significant determinant of firm financing decision during the crisis period.

Further positive coefficient is observed for the growth variable in the normal time period. The result is also highly statistically significant (i-e   1% or better). The result indicates that more external credit is needed by the growing firms in the pre-crisis period. One of the reasons may be lack of availability of internal finance in these fims. Consequently, they rely more on external debt for financing. It is also been argued that lack of availability of internal funds to finance growth, rapidly growing small firms in particular borrow more debt. Moreover "… *fast growing firms are likely to issue more debt"* (Michaelas, Chittenden and Poutziouris (1999 a) p. 121).

The result of growth is largely consistent with the findings reported in earlier published studies (see for example, Cassar & Holmes, 2003; Chittenden, Hall, & Hutchinson, 1996; Nicos Michaelas et al., 1999 a; Nguyen & Ramachandran, 2006; Sogorb-Mira, 2005). However, the findings report negative coefficient of growth variable in the credit drought period. This shows that growing firms cannot obtain credit especially in the credit drought period.

Further the coefficient on PPE (tangibility of assets) is positive in normal time period and become negative in the credit contraction period. The results is however, highly significant in both time periods, which shows that tangibility assets is one of the important factors that explain the firm leverage ratio in both time periods. Now we turn our attention to our main variable of interest which is CR. The positive coefficient of CR crisis dummy variable is observed from the findings reported in table 1. This result is however unexpected. It may however, suggest that shift in the credit supply can have an impact on the firm financial decisions.

Table 1 Credit Contraction and Financial Mix of Private Firms

Variable	Coefficient	Std. Error	t-Statistic	Prob.
ROA	-0.602491	0.025396	-23.72384	0.0000
GT	0.459905	0.003876	118.6393	0.0000
PPE	0.107468	0.008859	12.13151	0.0000
ROA*CR	-0.031255	0.035050	-0.891734	0.3725
GT*CR	-0.358828	0.012937	-27.73696	0.0000
PPE*CR	-0.116611	0.012825	-9.092695	0.0000
CR	0.448242	0.013274	33.76751	0.0000
R-squared	-0.009047			
Adjusted R-squared	-0.009334			

Dependent Variable is total debt ratio; Cr is crisis dummy variable

In other words credit supply condition is an important determinant of firm financing decision.

5. Robustness Checks

The above results are obtained by running simple panel regression model, without accounting for the random or fixed effects. To empirically test which model is the best in our case, the study performed the Hausman (1978) model specification test. In unreported analysis, the test result supports the fixed effects model. On the basis of this test, it is concluded that fixed effects model is appropriate in our case. To put it another way, it is the best model for this study.

Other econometric econometrics problems such as heteroscedasticity and serial correlations also need attention. Presence of such problems not only affects the efficiencies of the estimated coefficients; but can also bias the estimation results. These issues are called for by adjusting the standard errors that are robust to serial correlations (Arellano, 1987; White, 1980). The results of t-statistics reported in table 2 are adjusted for these problems. In other words they are based on robust standard error. Hence, the results are not driven by any econometric issues.

After adjusting for heteroscedasticity and serial correlations issues, the study run the fixed effects model. The empirical results are reported in table 2. R-square is now 85% which shows that model is best fit. Majority of the variables are highly significant with expected signs. However, profitability which was significant during the crisis period in table 1 is now insignificant in table 2. Similarly, tangible asset which was significant during the crisis period in table 1 become insignificant during the crisis period in table 2.   Our main variable of interest CR is negative and highly significant which shows that credit supply condition has negative impact on the firm leverage ratio.   The results propose that consideration of demand and supply side factors are important for better understanding the firm financing decisions during the crisis period.

Table 2 Credit Crisis and Financial Mix of Private Firms; after accounting for fixed effects, heteroscedasticity and serial correlations

Variable	Coefficient	Std. Error	t-Statistic	Prob.
C	0.493033	0.010313	47.80522	0.0000
PPE	0.081144	0.020427	3.972340	0.0001
GT	0.027358	0.006311	4.335272	0.0000
ROA	-0.307790	0.026285	-11.70965	0.0000
CR	-0.064379	0.011218	-5.739108	0.0000
PPE*CR	0.002768	0.009429	0.293531	0.7691
GT*CR	0.053556	0.009686	5.529510	0.0000
ROA*CR	-0.217190	0.030348	-7.156674	0.0000
R-squared	0.854214			
Adjusted R-squared	0.818647			
F-statistic	24.01696			
Prob(F-statistic)	0.000000			

6. Conclusion

The main objectives of the study are to examine the factors which have an impact on the financing decision of private firms especially during credit drought period. To this end, the study extracted data from the FAME database. The findings demonstrate that majority of control variables are highly significant and have expected sign. The study concludes that

shift in the credit supply condition can have adverse consequences on the firm financial leverage. The results further suggest that demand and credit supply condition should both be consider especially during the crisis period to better understand the firm financing decisions.

The findings of the study contribute to the exiting literature in a number of ways. First, the study contributes to the burgeoning literature which has called into question the demand-driven approach to corporate finance (see for example, Becker, 2007; Duchin et al., 2010; Faulkender & Petersen, 2006; Gan, 2007 a; Ivashina & Scharfstein, 2010; Leary, 2009; Lemmon & Roberts, 2010; Shafiq Rehman & Saeed Akbar, 2011a; Shafiq Rehman & Saeed Akbar, 2011; Rehman et al., 2011; Rehman & Rehman, 2011; Voutsinas & Werner, 2011). The findings reported in the study contribute to the existing literature on firms' financing decisions by providing evidence which suggests that credit supply condition and demand side factors should both be consider while deciding the firm financing decisions especially in the credit contraction period.

Second, this is the first study which has examined the factors that affect firm financing mix in the credit crunch period. Hence the results of the study will help to better understand the firm financing decision during crisis period and hence fill gaps in the existing literature. The key contribution to the literature is that shift in the supply of credit can have significant consequences for the financial, performance and investment policies of firms.

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SPIN-OFFS AND THEIR PARENTAL INHERITANCE: TO WHAT EXTENT IS BUSINESS MODEL AFFECTED BY LEGACY?

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Abstract

Scholars in management sometimes use metaphors referred to biological theories in their studies and research works. Among those metaphors, the one about heredity is often used to investigate on organizational and business strategy issues. We aim at further investigating on the extent to which the characteristics of legacy helps in explaining subsequent development of spin-offs. In order to shed a light on the tension between inherited patterns and the new trajectory that may characterize spawned ventures' development we propose a model aimed at investigating which blueprints elements might exert an enduring effect on business model at birth and to which extent their persistence (or abandonment) determines subsequent business model innovation.

Under the assumption that academic and corporate institutions transmit different genes to their spin-offs, we hence expect to have heterogeneity in elements that affect business model and its subsequent evolution. This is the reason why we carry on a twofold analysis in the biotech (meta)industry. Under a multiple-case research design, we thoroughly analyse business model construct; especially we focus on fundamental design elements and themes which scholars individuated to decompose business model construct. The purpose we have is to isolate the dimensions of business model that may have been the object of legacy and the ones along which an experimentation and learning process is more likely to happen.

Keywords: Business model, spin-offs, heredity, business model innovation, organizational learning

Introduction

One important metaphor, referred to biological theories, used to investigate on organizational and business strategy issues is the one concerning heredity. According to Nelson (1995) this particular aspect of biological theories of evolution, involves the reproduction and transmission of genes to offspring and is evidently uses in analysing spin-offs that clearly have a parental heritage. Parent organizations shape their nature at birth and differences among spin-offs can be traced directly to their parents "who provide them with distinctive, but limited knowledge" (Klepper and Sleeper, 2005).

While there has been much concern about the effect of heredity at the moment of spin-offs' birth, further investigation is needed to understand if blueprints inherited from the parent organization, helps in explaining also "post start-up performance" (Phillips, 2002). What is still unclear is the extent to which legacy influences the spin-off beyond formation, if there are some characteristics of the genetic heritage that are supposed to have the most powerful and enduring effect on the subsequent development of the spin-off, or on the other hand, if some of them are more likely to be discarded. According to Stinchcombe (1965) prior history has an enduring impact on subsequent organizational outcomes, so the imprinting released by

parent organizations on spawned ventures is irreversible. However, some recent contributions are beginning to question about the validity of this tenet for the heredity metaphor.

In order to shed a light on the tension between inherited patterns and the new trajectory that may characterize spawned ventures' development, Ferriani *et al.* (2012) proposed a process model of intergenerational learning and spin-off performance. Reimprinting is the concept they introduce to identify the process of combination and re-combination of retained and new knowledge. In this contribution, authors explicitly refer to a clear distinction between spin-off's business model and parent organization's one, but this conceptualization still lacks of a framework to acknowledge along which dimensions and across which stages, business model is shaped and changes.

We propose to use the business model construct to observe the multiplicity of factors that may explain the roots of value creation by spin-offs. Thus, using such a holistic framework and analysing how it has evolved through the time and along which dimensions, we are then able to observe whether there is a similarity in kind of forces inherited from established organizations, and whether a deviation from imprinted patterns has occurred.

We contend that spin-offs inherit different blueprints, which are a function of the contexts were they have been generated. We aim at ascertaining if this difference in lineages is also reflected in the business models they adopt and affects (or not) business model innovation as well. For this purpose we have selected five case studies in the biotech industry, aiming at isolating the elements that may have been the object of legacy and trying to assess the emergence of a learning process through the analysis of business model evolution, along the same dimensions.

The reason for choosing to carry out a twofold inquiry is that in the spin-off literature two types of parent institution have been identified: higher-education institutions and well-established industrial firms represent the two major sources of new high-technology firms. Moreover, since universities and corporations have different research focus and a different orientation in performing marketing, production and distribution activities (Zahra *et al.*, 2007) and founders possess different human capital characteristics (e.g. Colombo and Piva, 2012), we might expect them to transfer different endowments to their spin-offs. Hence, we might expect also to have heterogeneity in elements that affect business model design choices and its subsequent evolution.

I.

Spin-offs can be defined using the form proposed by Agarwal et al. (2004), as "a distinctive class of entrepreneurial entrants that inherit knowledge from industry incumbents through their founders". This definition is crafted adopting a knowledge-based perspective, which assumes that knowledge is acquired largely through personal experience (Nonaka, 1994). In our opinion, this definition that assumes a process of knowledge inheritance by a progeny firm (e.g. Phillips, 2002) needs to be integrated with relevant contribution by Klepper and Sleeper (2005), whose main and explicit focus is on heredity. Spin-offs are, indeed, defined as "entrants founded by employees of firms in the same industry" and because of this they "inherit general technical and market related knowledge from their parents that shape their nature at birth". This approach is clearly consistent with the view that considers entrepreneurs as organizational products, as suggested by Freeman (1986).

Heredity metaphor has already been used in management literature to explain entrepreneurial phenomena, especially the creation of new firms; its use builds the seminal and crucial argument of imprinting by Stinchcombe that dates back to 1965. According to Stinchcombe (1965), "groups, institutions, laws, population characteristics and sets of social relations that form the environment" are contingent and deeply imprint an organization with characteristics existing at the era the new organization was founded. Stinchcombe himself has

provided evidence to support this argument in the case of unions, professional full-time armies and in other types of organizations and industries.

Since this seminal work, several studies have argued that conditions existing at birth have a lasting imprinting on organizations' subsequent evolution. Some scholars have focused their attention on the effect of genetic characteristics on firm survival (e.g. Carroll and Hannan, 1989; Bruderl et al., 1992; Shane and Stuart, 2002); others have been interested in firm growth (Bamford et al., 1999; Heirman and Clarysse, 2004) and some of them have investigated the effect on the choice of particular organizational strategies (e.g. Baron *et al*., 1996). The idea of an everlasting imprinting is also found in other studies: Bamford *et al*. (1999) demonstrated the lasting impact of initial financial capital and environmental munificence on profitability; more recently Milanov and Fernhaber (2009) demonstrated that new ventures' initial alliance partners (that could be also parent firms) may strongly imprint new venture network evolution, influencing its subsequent size and focal firm centrality.

But, on the other side, e.g. Chatterji (2009) found that the extent of knowledge transfer and/or overlap between parent organization and spin-off does not influence the performance of the latter. Also Klepper and Thompson (2006) observed that (at least in some industries) spin-offs do not derive their superior average performance from any overlap with their parents. Moreover, on a highly speculative basis, they maintain that spin-offs have the necessity to deviate from their parents' trajectory to obtain success, establishing their sources of uniqueness and their competitive identity. Ferriani et al. (2012) tried to shed a light on the tension between imprinting irreversibility and the new trajectory that may characterize spawned ventures' development. This contribution is of particular relevance because authors who a light on the phases subsequent to the initial imprinting process and on events and conditions (deliberate or serendipitous) that have a role in deviation from parental pattern. Moreover, authors explicitly refer to a clear distinction between spin-off's business model and parent organization's one. However this conceptualization still lacks of a framework to acknowledge along which dimensions and across which stages, business model is shaped and changes.

Since we are addressing aspects that cover multiple factors that may explain the roots of growth and value creation by spin-offs, a possible solution to address all this issues is to introduce in the analysis the construct of business model. A relevant element of the business model construct is related to its holistic properties, thus consenting to transcend the focal firm and span its boundaries for the analysis of the activities involved in value creation. This holistic perspective allows to take into account the interdependencies among activities that are "created by entrepreneurs or managers who shape and design both the organizational activities and the links (transactions) that weave activities together into a system" (Zott and Amit, 2010; Zott, Amit and Massa, 2010). Furthermore, as stated by Chesbrough and Rosenbloom (2002), the business model construct assumes a legacy approach by itself. Indeed, according to those authors, knowledge held by the firm, its customers and third parties is cognitively limited and biased by the early steps of the firm.

What is exactly inherited from parent organization and how it is translated in spawned ventures' business model? Blueprints elements affecting initial business model design are long-lasting or are there some characteristics along which spin-offs' business models evolve thus deviating from inherited trajectory? Does heterogeneity exist among spin-offs' business models designed by companies having spawned by an academic or a corporate parent?

Among all the definitions proposed by scholars and practitioners (e.g. Afuah and Tucci, 2001; Amit and Zott, 2001; Osterwalder and Pigneur, 2010) we choose, in coherence with our framework, the definition proposed by Zott and Amit (2007 and 2010). Business model represents the construct that allows to depict the "content, structure, and governance of transactions designed so as to create value through the exploitation of business opportunities".

Content refers to the exchanged good or information and to the required resources and capabilities in order to enable the exchange. The element of structure, instead, refers to the parties that participate in the exchange and the ways in which they are linked, while governance refers to the ways in which relevant parties in the exchanges control the flow of information, resources and goods. Another advancement of business model theorization is furthermore determined by the individuation of design themes that may characterize business model choices; those themes that are not mutually exclusive and may be present at a certain extent in any given business model, are individuated in novelty, lock-in, complementarity and efficiency (Zott and Amit, 2010).

Our problem is now to understand whether and how those business models change and if their assumed heterogeneity is preserved by the time because of persistence of imprinted pattern by parent organizations or, on the other hand, if this heterogeneity is eliminated by learning processes that, in the same industry, lead to similar business models also in the case of firms having, institutionally, a different endowment. For this purpose we decided to carry on a twofold analysis, looking both at corporate and academic spin-offs.

Our analysis has been conducted only in one industrial sector: biotech industry. In this industry spin-offs are high in number and are a substantial fractions of entrants, and being both high tech and science-based, it is characterized by a significant evolution in company organization and management (Nosella *et al.*, 2005). Moreover, for science-based businesses, experimentation and innovation in business models, structures and arrangements, are as important to the health of these sectors, as the experimentation and innovation in science (Pisano, 2006).

Selected case studies have been chosen on a theoretical, and not on a sampling, basis. The criteria we adopted to select case studies were the following: spawned ventures orientation to economic profit; the age of spawned ventures; manifest change in business model since foundation; and, of course, heterogeneity in parent organizations' main characteristics, distinguishing between corporate and academic spin-offs.

In the remainder of this section we will provide short description of the organizational contexts we observed, together with some insights on the most relevant evidences we observed. All the information below were collected thorough public sources (companies websites, parent organizations' websites and press notices, specialized magazines, business and local press articles) and semi-structured interviews to members of funding teams and members of management and scientific board currently in charge. Data were then triangulated and some differences in spawned ventures endowment were observed, together with changes in business model design elements and themes.

The first involved corporate spin-off is an integrated biopharmaceutical company, publicly owned and focused on research, development and manufacture of active ingredients derived from natural sources as potential therapeutic agents. This spin-off was originated in 2001 from another private company (founded almost 50 years before) focused on developing compounds to correct coagulation and thrombotic disorders. This company may count on relevant collaborations with primary research institutes and with other companies to maximize the commercial opportunities for all parties involved in the venture and to potentially move drugs to the market faster. Second corporate spin-off we consider was spawned off in research laboratories of a large multinational pharmaceutical company. Nowadays, it is specialized in developing research programs for and in collaboration with other companies in the entire life science industry. Activities performed by this spin-off are to be considered a service for its own customers wanting to support them in respective drug discovery programs. Moreover, the company by the time has begun to perform proprietary lead discovery programs in selected therapeutic areas.

The other two selected case studies are spin-offs that, on the other side, have been developed in an academic context. The main traits which distinguish those ventures from the corporate spin-offs mentioned above are mostly represented by financing choices and the extent of licensing activities. The first academic spin-off we refer to is active in the discovery and development of fully proprietary therapeutics for well-defined therapeutic area with a huge potential market. This company went across two VC funding rounds and is now engaged in the development of its first research product. There is no evidence of licensing choices, however it has been included in the analysis as it seems to have lost lineage attributes: the purpose of activities is not simply research, but has become also the performing and management of development activities to complete clinical trials and development activities. It seems that this spin-off and its business model have significantly evolved. The forth case we consider is an academic spin-off founded in 2003 within a Science Department at an Italian University, located in central Italy. This spin-off is supposed to have mixed inheritance. Indeed, beside the University, also a well-established pharmaceutical company participated to its constitution. Moreover this company may count on a relevant number of partnerships with primary players in the pharmaceutical industry, and by the time, its mission has changed: outstanding research services to other companies are combined with first proprietary research activities. All of those aspects claim for an in-depth analysis in order to uncover which has been the role of the University and/or of its corporate partner in the imprinting process and how relevant it was.

Furthermore, a fifth case study was introduced in the analysis. Reasons why this choice has been made have to be found in the particular conditions that characterized the inception of this spin-off: a joint venture between a big pharmaceutical company and a research institution, located in an existing and well-known science park in northern Italy. In this case, localization seemed to have a central role in conditioning the founding and development of the company. Nowadays it is a biotechnology drug-developing company, with a primary focus on novel cancer therapies; it covers all functions, from discovery to proof of clinical activity. Moreover, service activities are provided also to other companies.

In two of our concerned case studies we observed that imprinting was more pervasive and that an external force was urged to produce change in imprinted dimensions of business model architecture, thus determining business model evolution. The case studies we are dealing with are the two academic spin-offs: they needed an external force to fully understand why a change in the business model was to be made and along which dimensions this change ought to happen. In aforementioned case studies, significant change in one of the business model dimensions, especially along the content design element, was observed when an external force pressed to change the activities, inherited from the parent organization. Accordingly to insights coming from previous studies (particularly McGrath, 2010), we may conclude that the external force introduced into the company commitment to experimentation. This happened because its intervention allowed surmounting the cognitive bias on the characteristics that the model ought to possess. In our analysis we also found some insights on faster processes concerning the transformation of some dimensions of the business model construct. This happened because experimentation and learning processes encountered less internal resistances. In those cases, the reduced level of resistances is surely ascribable to the presence of an organizational leader who already benefits from high trustworthiness and legitimacy, since he was also the same who drove company foundation.

Conclusion

Our cases studies show that the biological metaphor of transferring genes from an organization to another has its relevance. In particular, in our case studies, some activities and the way they are performed do not change also when the parent organization do not directly

exert any influence on the progeny. However, this research, in line with recent findings by Garnsey et al. (2008), Chatterj (2009), Ferriani *et al.* (2012) provides additional evidence that imprinting is not irreversible, in contrast with the tenet of its highly enduring effect (e.g. Boeker, 1989; Marquis, 2003).

Other aspects are important in estimating the value of our research study: the first one is represented by the choice to conduct a twofold inquiry that compares strictly academic and corporate spin-offs (excluding other start-ups), in the same industry and normative context, mainly at the same life-cycle development and having started activities with comparable dimensions as expressed by the number of employees.

Another important aspect is represented by the adoption of a holistic approach, thanks to which we may trace assumed initial heterogeneity and its evolution along a set of dimensions that is wider than the number of dimensions or variables previously considered by other (both qualitative and quantitative) research studies. In this perspective, genetic differences are less evident, when a holistic approach is adopted and a large number of dimensions describing heredity (and its effects) is considered. Moreover, if the assessment of differences in genetic endowment is made adopting also a dynamic approach, the pervasiveness of blueprints' influence is found to be diluted since no huge resistances to change seem to be in place at both academic and corporate spin-offs.

Finally, our study allows also to trace any modifications that might have intervened and diluted inherited blueprints, since data are not referred to distinct points in time, but cover, instead, the development trajectory of each of concerned companies.

By adopting the inherent dimensions trough which business model construct is operationalized by Zott and Amit (2010), namely business model design elements and themes, we have evidences that some of them change as a long as the spawned venture stays on its market. Content is supposed to be the more pervasive one since our findings show that in corporate spin-offs this dimension changes very slowly or, it doesn't change at all, thus testifying that the selection of activities that a corporate spin-offs performs autonomously do not need to change fast because the selection was made on the basis of extensive market knowledge developed at the parent company. Governance and nature as design elements are more likely to change and there is no radical difference in the endowment of academic spin-offs when compared to corporate ones.

With respect to design themes, the dimensions identified by Zott and Amit (2010) as the value creation drivers, we may look at them as the signs of the cultural forms in place at the parent organization. In this perspective, we also move a step forward on the comprehension of their role on spin-off performance, as solicited also by Ferriani *et al.* (2012). The most pervasive theme is to be found in the prevalent quest for novelty, shared both by founders and managers of academic spin-offs and corporate spin-offs. This gene doesn't change as long as the spawned ventures grow. On the other hand, our findings show that the gene that is most likely to be modified (and clearly not completely discarded or erased), especially in academic spin-offs, is represented by complementarity. In particular in academic spin-offs, by the time, we found evidence of a growing importance assigned by founders still in place and managers in charge to the searching for the most suitable partner to enrich company resources and provide outstanding new technological opportunities.

Shortly we may conclude that academic spin-offs need a longer time to engage in business model experimentation, and that the change is triggered often by an external agent. This finding may be considered an enrichment of Chatterji (2009) contribution on the prominence of less-technical knowledge in the spin-off processes. Chatterji (2009) found evidence that the parent-progeny relationship is shaped not by technological endowment, but by other non-technical and less apparent forms of knowledge.

We are aware that it is no possible to generalize our results, not only because our cases have been selected on a theoretical base and do not represent a sample, but also as the frame of reference for our research is different from the previous ones. Altogether, since we adopted a holistic perspective to assess the differences in inherited dimensions between academic and corporate spin-offs, we are confident that especially the insight on the dilution of initial difference represents a contribution for further research on organizational inheritance. Indeed, it claims for a higher use of holistic approach in understanding spawned ventures heterogeneity both at birth, especially when analysing their development trajectories.

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ADOBE STRUCTURES AS OUR CULTURAL HERITAGE AND THEIR FEATURES

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Abstract

History indicates that the very first homes were built with the use of natural and local materials. Adobe (which is produced from soil) was an important building material and it was used by the groups that established the first settlements. The archaeological excavations (especially in Anatolia and Mesopotamia) continuously prove this indication.

At first, humanity led a life in migrant shelters against the harsh and destructive conditions of the nature, but later gave the most beautiful examples of architecture by using materials that he found in his vicinity. Soil has been used as a building material until today and still continues to be so, especially in Anatolia, Mesopotamia, Yemen, Libya. Soil is a very economical material that can be easily shaped. It can keep its form against natural effects and has a very high temperature and permeability resistance.

Technological developments have influenced the whole world and provided numerous conveniences and created many positive effects, however they also brought with them a lot of environmental problems that affect the nature and the mankind. To resolve such problems (such as the change in climatic conditions, the increase in temperature and drought, the extinction of some species), the humanity must design structures that are sensitive to the environment.

Considering human health and unification with the nature in a building design that is sensitive to the environment, the most suitable material to provide such qualities would be the soil based adobe which has been used both in rural and urban settlements since the Çatalhöyük Neolitik settlement in Anatolia.

In this study we will examine structures that were built with soil based material, by giving examples from the past to the present. These structures can be continued not only in Anatolia and Mesopotamia, but also in different parts of the world.

Keywords: Anatolia, clay, adobe, structure

History Of Adobe Use In Structures

In history, adobe was used as the main building material in many parts of the world (especially in Mesopotamia) in military, religious and civil architecture. The Mankind has been in a constant need for certain materials to for his survival since his very first existence. Neolithic age is an important revolution and the people in this age started to domesticate animals, engaged in farming and constructed shelters. Most likely, the Mankind continued his life in the area that he settled in the Neolithic and the Chalcolithic periods and in this process, he built living areas by using local materials found in his close vicinity. As a result, he started to live in permanent settlements and he built shelters by shaping and combining the land and forest products, various stones found in stream beds and materials such as reeds and straw.

> *"It can be easily said that the soil use (soil being a very simple tool) is as old as the Mankind. The soil that we walk on softens and becomes muddy by rain water, floods and puddles. It's a well known*

fact that the human and animal tracks left on soil eventually dries and hardens with the sun and air. So it is very likely that the idea of shaping the soil by kneading it with water and drying it in the sunlight is a product of this first intuition and principle."(ÇELEBİ 2012)

Adobe has been a major construction material from the very begining of the history and it still widely used in the the present day in Central Asia, Asia Minor, Africa and in many other regions such as South America. We frequently encounter single and multi storey buildings that are made of adobe in many countries and in Anatolia. Adobe has a rather widespread use and it is produced by certain technical specifications. As a result, the soil turns into structures.

Figure 1. Dark Regions are used to show the adobe.(Ref: Acun Seden, Erol Gürdal A Renewable Material: adobe, adobe with plaster)

The Making of Adobe

"In order to make adobe, the soil that is used in the making must have certain qualities, such as the viscidity in its chemical structure.

"The soil type used in the making of strawy adobe consists of two main materials:
a) The bonding fine material called "colloids" if the diameter is less than 0,001 or "clay" if the diameter is in between 0,001 – 0,005 mm
b) The filling coarse material which is the coarse section that serves as the filling agent between the bonding material. They are called;
"Fine sand" if the diameter is in between 0,05 -0,25 mm,
"Coarse sand" if the diameter is in between 0,25 -2 mm,
"Pebble" if the diameter is greater than 2 mm." (ÇELEBİ 2012)

So in the light of the above mentioned information, we can define adobe as a combination of the fine-grained sand and the stoney mineral aggregate with clay. If the soil does not possess the specified qualifications, then sand and clay must be added in order to bring the soil to the right consistency for adobe making. The mortar can be slurried by adding water and straw.

"For the quality of adobe clay, the water which will be added to the soil must be adjusted properly. Just as in the making of concrete, the

> *mixing water should be at the optimum value. If water is added excessively, the drying of the adobe will be very difficult and shrinkage problems will occur. The durability of the adobe will decrease as well." (ACUN, GÜRDAL 2003)*

For making adobe that is suitable for construction, the mud is poured into wooden molds and then dried in the sun. Adobe sizes varies according to the different regions of the world, but especially in Anatolia, the sizes are as follows:

Length: 30 -35 cm
Width: 15-17 cm
Height 10 - 12 cm

Picture 1. Adobe mold

Adobes in full size are called "the mother" while the ones in half size are called "The lamb."

Picture 2. Adobe making

Today adobe is still used extensively as a building material in the Eastern Anatolia, the Southeastern Anatolia and the Central Anatolia. Its history goes back as early as 9000 thousand years ago. Excavations clearly show that the use of adobe in Anatolia campus was widespread. For example, in the construction technique of the ancient cities such as Çatalhöyük and Bogazköy, we clearly observe that it was adobe that constituted the basic structures.

Two Cities in Anatolia That Were Built with Adobe

Today, adobe (which is still used as a construction material) gives its best examples in Anatolia. One of the best examples is the Çatalhöyük campus and its history goes back to the Neolithic and the Chalcolithic periods. Çatalhöyük is one of the first cities that used adobe. UNESCO has considered it as a world heritage site. The city is in Central Anatolia, in the province of Konya. It's history goes back as early as 9000 years ago. It continued its existence between 7400-6000 B.C. As a result of its reconstruction, 18 layers of settlements were formed. The city was constantly built on itself (in layers) as a result of the abandonment and the filling of the old houses. The largeness and the high population of Çatalhöyük (which surfaced in the archeological excavations and research) shows that they had a strong understanding for art, culture and architecture. The houses were built adjacent to each other and none of them has stone in its structure. They were completely built with adobe.

Figure 2. Çatalhöyük City plan

These adobe houses usually consist of a warehouse, two rooms, a cellar and a kitchen. Their designs are completely identical. During the excavations, no structural elements such as windows and doors were observed. The houses are entered through a hole in the roof. Visiting neighbours was also done via the roofs and therefore no streets were formed. The upper covers of the houses are comprised of a flat system. Various plants and wooden parts were placed between the wooden beams that were attached to the walls. This flat top cover system was formed by the compaction of the soil that was laid on this framework.

Figure 3. Çatalhöyük settlement

We observe from archaeological excavations that the adobe was used in Hittite civilization also. The capital of the Hittite civilization is Hattusa (or Bogazköy) and it is 82 km away from Çorum province. It is estimated to be the first capital city of Anatolia.

Picture 3. Archaeological excavations and restored house in Çatalhöyük

"Hattusa is believed to have been a residential area since 3000 years ago B.C. The city was first identified by the French historian, architect and archaeologist Charles Texier. The city's name Hattuşaş was confirmed in the excavations that took place between the years of 1907-1912. After the establishment of the Turkish Republic, the first archaeological excavations were done in Alacahöyük also, with the guidance of Mustafa Kemal Atatürk. During the excavations, the archaeologists discovered at least 5 layers of cultures in the pavilions that were built in the city: Hattian, Assyrian, Hittite, Phrygian, Galati, Roman and Byzantine."…

The city was divided into two parts, the Upper and the Lower Town. It spreaded around about 1 to 2 square kilometers on a hillside. While the Lower Town was occupied by houses, the Upper Town had temples. It is estimated that 40 to 50 thousand people lived in the city of Hattusa.
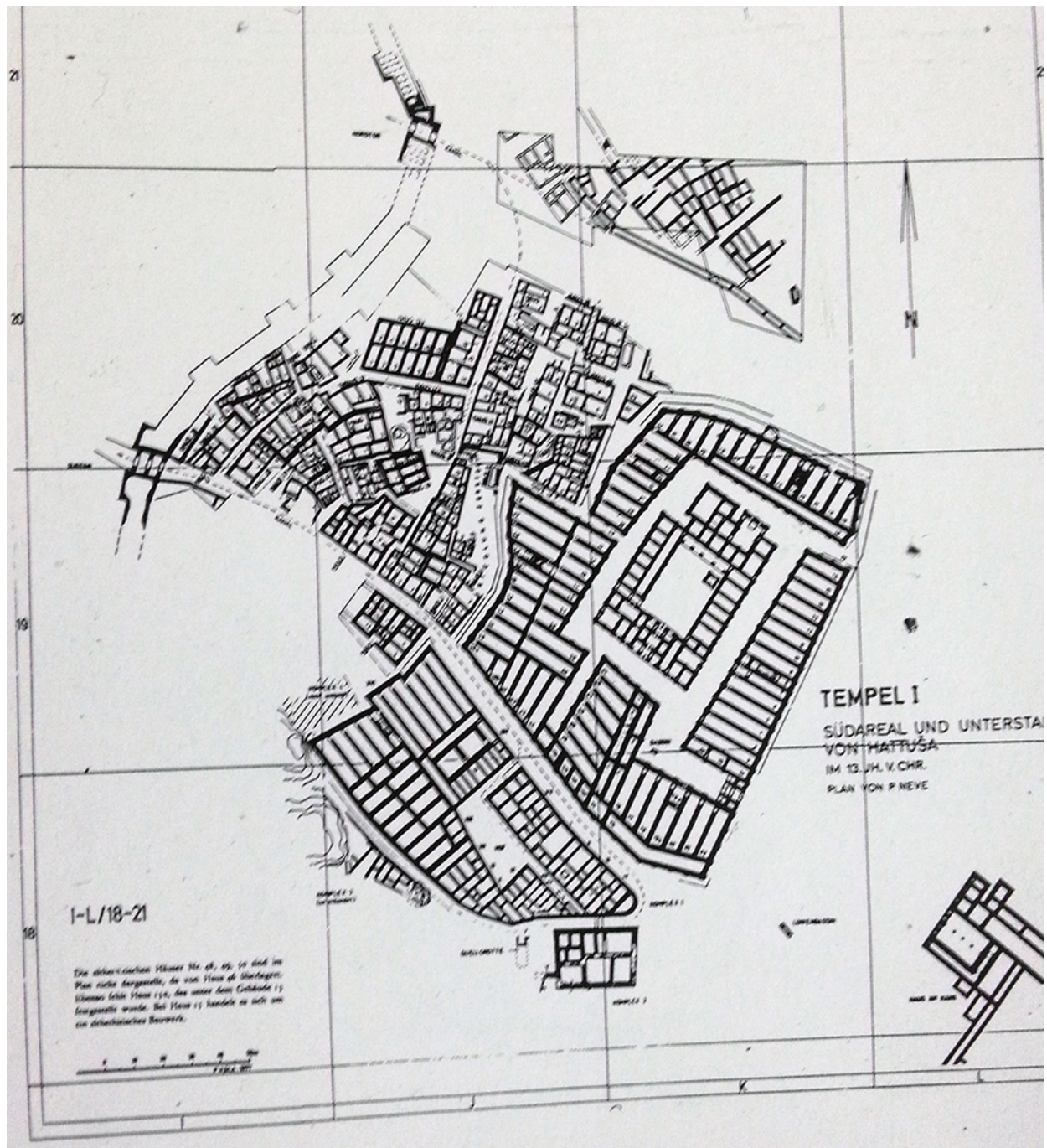
Figure 4. The capital of the Hittite civilization Hattusas City Plan

They used stone and adobe very heavily in the buildings that they built, however, in Hattuşaş, only adobe was used (unlike in Çatalhöyük) as the filling material. They built their Hittite cities inside ramparts (or city halls). These ramparts were made by placing one adobe brick after another onto a foundation of stone wall.

> *"city walls shaped coffer wall systems, consisted of side by side*
> *places behind the a twin walls, regular intervals on the outside of the*
> *tower with ledges between the outer wall of the tower and city gates*
> *that recurring at regular intervals" (ALP 2000)*

The city center was reached via roads that led into the city gates. The ramparts of Karahöyük (another Hittite town near Konya) were also built in the above-mentioned method. Archaeological studies in Karahöyük show that the city had a rather ruly establisment plan.

The city consisted of streets that either intersected each other on town squares or ran paralel to each other. And houses that were built side to side, back to back on such roads. Most houses had two to four rooms. They were entered via a street door and a courtyard. The access from the front door to the rooms was made possible via wooden doors. The walls of the houses were built with adobe bricks that were layed side by side and on top of each other on a stone foundation that was sometimes in one and sometimes in two rows. Between the stone foundation and the adobe structure, wooden girders were used that extended horizontally and lengthwise. Muddy soil mix was used between the stone foundation and the adobe wall. They used the muddy soil mix between the adobe bricks also. The walls were plastered with muddy soil mix as well. just as in Alacahöyük. Their surface was plastered by white soil or lime also. These white walls were sometimes enlivened in-places by the making of different shapes. In these houses, window openings were observed rather rarely.
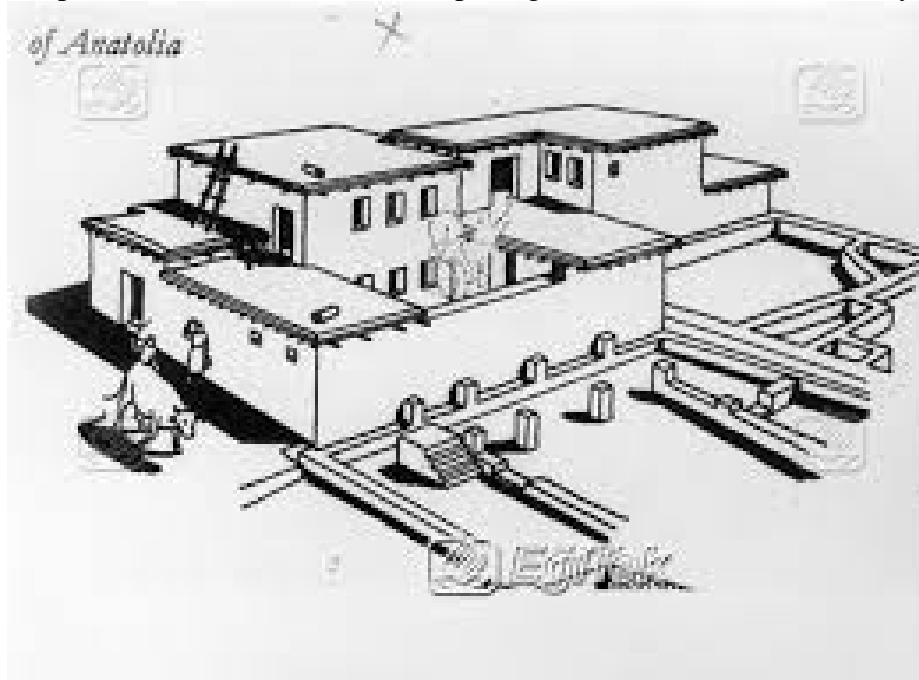
Figure 5. Hittite House

The development of Anatolian type of construction goes back 10 or 12 thousand years ago. And today, in certain areas of Anatolia, houses are still being built with the same principles.

> *"The idea of lifting the Anatolian house from the ground (to provide air ventilation from the bottom and thus to protect it from moisture) began in those days. The walls of the houses consisted of wattle-and-daubed timber frames covered with adobe and clay." (BEKTAŞ 2013)*

Traditional Anatolian houses are the best examples of building settlements in accordance with the nature –not against it– and of a great cultural diversity and contentment with only what's available in the nature.

The Use Of Adobe In The Traditional Houses Of Anatolia:

> *"Traditions –especially in architectural styles– don't occur even in several centuries." (BEKTAŞ 2013)*

Traditional houses in Anatolia are mostly integrated with the streets. They were formed according to many factors such as the local climate, the traditional structure, the historical and cultural heritage and the available material. They are are compatible with the nature, frugal, unpretentious and yet serve to many purposes.

All across Anatolia, adobe was used very widely as a building material. It is a powerful insulator against cold and heat. It balances the inside moisture. If well protected, it is resistant to rain. And much more resistant to fire.

Today, it is possible to see the artistic examples of these houses in areas such as Balaban Malatya, Konya Şükran village and Harran. The famous Turkish architect Cengiz Bektas defines the adobe house as flollows:

"The soil arises from the ground, becomes the walls that create the roof and again returns to its horizontal position. This texture is sculpturesque."

In the East, the Southeast and the Central Anatolia, the use of adobe in structures is very common. Adobe was usually used in the braiding of the divider members (the walls). In these regions, the use of soil and soil derivatives is closely related to the local climate and nature. Due to the continental climate and the lack of tree species, the production of adobe became mandatory.

It is possible to examine the use of adobe in structural systems in two main groups.

Massive Adobe Structure Systems with…
- ***Adobe blocks***
- ***Wrought adobe***
- ***Built-up adobe***
- ***Hybrid adobe***

Light Adobe Structure Systems with…
- ***Filled adobe blocks***
- ***Cast Adobe Filled" (ÇELEBİ 2012)***

Adobe blocks in the group of Massive Adobe Structure Systems are used on carrier walls only. These walls are woven by the bonding of adobe bricks with the adobe mortar. The stone foundation is started from the level of the water and the soubassement, then built up to a certain height and then connected to each other with wooden girders. Wrought adobe construction system is used for vineyard houses and garden walls.

> ***Built-up adobe bricks are not suitable for building residential structures. They are used where there are no other possibilities are available, and in the construction of simple garden walls and levees, and in the hybrid adobe construction system, and in the emergency situations and repairments. (ÇELEBİ 2012)***

The light adobe construction systems (as in the second group) are found in many parts of Anatolia. Adobe is used as a filling material in wooden skeleton systems. It is possible to name this system as adobe block filling. On the other hand, in the cast adobe filling;

> ***"The gaps in the carcasses are attached to vertical wooden members that are connected from the top and the bottom. Then, among these members, cages that are in the horizontal direction are built by use of wattles. Finally, The gaps in the carcasses (with a cage on one surface) are filled by pouring-in adobe." (Celebi 2012)***

The use of adobe in structures will be examined in two sample regions.

1. Eastern Anatolia Region, Balaban village of Malatya Province:

Balaban is a member of the Historic Villages Association. It's construction is made entirely of adobe. It was established on a small hill and consists of 1 to 2 storey contiguous adobe structures that are completely organic. The upper covers are completely composed of soil and flat roofs. These flat surfaces are ideal for summer hang-outs and for drying fruit and vegetables. Between two houses, there are crossovers that are completely free of the ground floor. These complex, organic houses are blocked by dead-ends in many places. They have

access to each other via interconnecting doors and crossovers on the ground floor also.
Therefore, it is possible to walk around the entire building without ever exiting the street. The ground floors of the houses are used for food storage while the upper floors serve as living spaces which consist of rooms lined up around a sofa. Each room is equipped to serve a family's multiple needs. The common toilet and bathing places are in another area.
Every room is suitale for sleeping, hanging out, heating, cooking, eating and storage.

Picture 4. Adobe structures in Balaban (Ref:http://www.aklimbaskayerde.com/2010/iklim-degistikce-eriyen-kerpic-kent-balaban**)**

Picture 5. Adobe structures in Balaban (Ref:http://www.aklimbaskayerde.com/2010/iklim-degistikce-eriyen-kerpic-kent-balaban)

Southeastern Anatolia Region, Akçakale District of Urfa Province

You can see the conical shaped domed adobe homes in Urfa Urfa Akçakale on Birecik way. They are all made of adobe and their roofs are plastered with soil. The inside height is 5 meters. The history of conical shaped domed adobe homes goes back to 6000 B.C. Domed house tradition continued up to 3000 B.C. around Mesopotamia, the Aegean region and the Trans-Caucasus. However they stil continue their existence today in the boundaries of South Eastern Anatolia, in Urfa. Conical shaped domed houses in Harran were also made with the same technique used in Akçakale homes. However, tile bricks were used instead of adobe.

And they were stacked with the overlaying technique. The adobe houses can remain rather cool in the summer and stay quite warm in the winter. They consist of domed rooms that are stacked side by side.

Picture 6. Conical shaped adobe structures in Akçakale (Ref. http://www.panoramio.com/ photo_explorer#view=photo&position=5258&with_photo_id=74065596&order=date_desc&user=709943)

Conclusion

In the context of the basic principles of the ecological architecture, it is becoming increasingly important in our age to use structural materials that are friendly to the nature and also integrated with the environment. It has become necessary to design structures by taking into consideration many factors such as the underground and above-ground energy sources, the nature and the topography. Under the status quo, especially in the conditions of our country, we see that many lives are taken by structures that are built without the consideration of the increasing population, unplanned urbanization, environmental conditions, the climate, the topography. For example, the increasing floods that took place in recent years are all a result of our incompatibility with the nature. However; the areas where the first civilizations flourished are Mesopotamia and Anatolia. Structures in these areas are the best examples for ecological settlements in terms of material selection, human-space relations, sturdiness, aesthetics, nature-space relationship and settlement texture..

The fact that the traditional structures should remain friendly with the environment is explained by the famous architect Cengiz Bektas as follows:

"The mankind who created the House does not see all other creatures and everything in the universe as an environment created for himsef. He does sees himself as one of the other creatures and as someone who exists with them at the sametime."

This insight emphasizes that the world of architecture should make its designs based on the universal oneness.

To integrate with nature, we need and should use natural building materials. The aim of this study is to show that adobe (as one of the best natural material supplies) should be strengthened under the current technical conditions and resources and be used again in today's architecture. Why adobe?

• Produced from soil which is readily available in nature.
• Economical.
• It is a good insulator against heat and cold.
• Balances moisture.
• Does not pollute the environment
• Compatible with the environment
• Provides natural air circulation
• It is more economical than wood and stone

It is possible to build contemporary settlements with the re-use of traditional and local ingredients and without the need for high technology. We can still make living spaces that are comfortable, at peace with the nature, handy, easy to live in, aesthetic, robust and suitable for human health.

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A RELIABLE METHOD TO ANALYSE SOCIAL NETWORK SITES WITH INTERVIEWS

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Abstract

The paper determine the dimensions of social capital which has been described from Sander / Teh (Sander & Teh, 2014a). The dimensions can be used to measure and identify social capital in social network sites. The dimensions are formulated on a theoretical basis. The aim of the paper is to explore the use of social network sites by students and to identify parts of the social capital theory in social network sites under consideration of the framework. This paper use the results of 59 structured interviews with students analysed with a software to explore the behaviour of students in social network sites under consideration of the social capital theory. The second purpose for this paper is to use a method to analyse expert interviews as a qualitative method with a software. The software provides an objective perspective on the data as good as objective a method can be. This method can give critical feedback about an individual interpretation from a human researcher and new insights in the collected data. Further provides the method a reliable result for interviews as any replication provide the same result.

Keywords: Social capital, social networks, structured interviews

Introduction

Social network sites are a new part of our society with many changes for individuals. There are many reasons to be member in social network sites and to use social networks. That is the reason to explore the behaviour of social network sites member to improve the processes of organisations and to increase the knowledge about social network sites. Social network sites is a new fast developing part of the society and influence humans' daily life (Sabatini & Sarracino, 2014, Boyd & Ellison, 2007, Weber, Loumakis, & Bergman, 2003). The mechanism in social network sites has differences compared with real networks. This paper has collected data with a qualitative method but the analysis has been done objective with a software. The software analysis tool reduces the human interpretation of the results. That reduce the biases and increase the reliability. This method provides a valid result and provides another perspective on the method qualitative interviews. The analysis with the software support the results of the interpretation of individuals of the interviews or gives important guidance to rethink about the interpretation. The third issue can be that the analysis with software generate new ideas and perspectives (Qu & Dumay, 2011). The structured and guided interviews are more reliable and comparable as they avoid biases by the interviewer. The limitation of this method is the automatism of the interpretation of the data. Associations and information can disappear because the software cannot recognize the full data. The meaning of words and impression depends on the context and the software is not able to

recognize the differences or to evaluate the importance of the word. That has to be under consideration by the interpretation of the results.

The explanation of process in social network sites can be done with the social capital theory. This theory has different dimensions which have been evaluated by Sander / Teh. The further step is to determine the dimension from Sander / Teh. The identified dimensions are described in figure 1 below. The paper supports the explanations of social network sites and gives an impulse for further investigations. The dimensions are needed to measure social capital and to identify the existence of the theory. The results can support the creation of a questionnaire for example and explain the behaviour of network members (Sander & Teh, 2014a, Züll & Mohler, 2001). The paper will be used to confirm and to fine tuning the dimensions to get a more useful tool.

Social capital	Similarly	User of social media platforms has similar interests and skills like network members in real networks.
	Impact	Influence of people on each other in networks, people can follow advice or deny advice.
	Demographic Data	The demographic background of the people influences social capital because people have different experience, skills and resources.
	Trust	People need trust to exchange resources or information, without trust is social capital impossible.
	Involvement / engagement	People who are member of social networks can have a different number of contacts and different history to the network.
	Activity	People can have different levels of activity to take part in social media and to create social capital – they can use the network active or passive.
	Investment	People investing time to use social media, they are using their resources and information as an investment.
	Benefits / Advantage	The benefits of the people are advantages they have against people who are not member in the network, the access to resources and information which have only network members.

Figure 1 Dimensions to measure social capital cf (Sander & Teh, 2014a)

The dimensions demography data, similarly and involvement / engagement are not deeply compiled as the sample are students with similar demographic background and interest. That means a concentration on this dimensions is less fruitful.

Social capital and social network sites

Social capital theory explains the mechanism in social networks. The theory describes and explains behaviour of social network site member including the positive and negative

effect of membership in social network sites. The theory demonstrates the advantages and disadvantages of social networks. The ties between network members and the structure of networks is an explanation for the social capital theory. The main part of the theory describes the exchange of information and resources in social networks. Another reason to be member in a network is the prestige which provides the membership in a network. Important that social networks operate is trust and obligations. This theory has to be tested for social network sites that the social capital theory can be expanded and the research gap can be filled (Sander & Teh, 2014b, Sabatini & Sarracino, 2014, Adler & Kwon, 2002, Coleman, 1988, Granovetter, 1995, Burt, 2000). Especially the employment seeking process needs further research as organizations use social network sites to identify potential candidates and try to encourage them to apply taking into account also possible negative aspects..

Social network sites are a new kind of social networks. Social networks are a construct of ties between network members. The ties provide access to needed resources and information. The ties can have different structures which influence the value of the connection (Granovetter, 1973, Burt, 2001). The technical changes provides with social network sites a new kind of social networks with new conditions for network members. The internet changed the communication and gives the opportunity to maintain relationships independent from time and destination. This is a large advantage for individuals and provides many advantages. Social network sites are internet platforms, which require a registration and provide the opportunity to create a profile. Part of the profile is visible for other user and gives the opportunity to provide information about the network member from one side but from other side it shows information often very sensitive and personal as in most cases people would like to show their success, achievements and not so much problems, which could be related to employment seeking. Further it could be possible to create relationships and to communicate with other network members to exchange resources and information. The new kind of technology and social capital theory provides a new situation and new kind of social capital. The internet substitute part of the real world and provides new forms of relationships. The results are new networks, which have millions of members worldwide. Those new kinds of networks provide the opportunity to create global networks and support the communication and exchange of information with a relatively small investment. (Williams, 2007, Boyd & Ellison, 2007, Sander, 2012, Burt, 2000, Quan-Haase & Wellman, 2002). Those circumstances change the society and have a large impact on the daily life. That gives the substance to the research question to explore social network sites under consideration of the social capital theory.

Method

The paper use 59 structured expert interviews collected with students at the University of Ludwigshafen. The interviews are structured and guided interviews. All participants are university students, they are participating regularly in social network sites, they are registered member of social network sites and they use for several years social network sites. This interviews has been interpreted by the authors and the results has been presented in "Determining the Indicators of Social Capital Theory to Social Network Sites" (Sander & Teh, 2014c). This paper uses the software *Context*[21] to get further information from the data and to improve the results of the research. *Context* calculates the frequency and ratio of occurrence of words in the interviews. The interviews have been prepared for the analysis. Frequently appearing words – stop words - which are not of interest has been deleted by the software (Züll & Mohler, 2001). After the software provided the results, the terms has been summarized to groups of terms with similar meanings or synonyms to get a better overview

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[21] http://context.lis.illinois.edu/

about the results (Liebold & Trinczek, 2009). That preparation supports the analysis and gives a good overview about the data.

The importance of the terms is given by the frequency and the ratio of occurrence in the interviews. The frequency counts the number of terms in all interviews. The ratio of occurrence in the interviews is calculated with the formula "Interviews which contain the term divided with all interviews" (Züll & Mohler, 2001). The analysis is independent from the researcher because the software is doing the analysis with all interviews with the same method. The results are comparable figures. Only the interview content is under consideration and described with the software. The influence on the results of the analysis of the scientist is reduced on a minimum. The typical critic at expert interviews that this kind of method contain subjective interpretations can be avoided and reduced with the use of a software (Olugin Olguin et al., 2009). The software has more functions regarding interviews and networks but for the analysis of interviews in German language are only the mentioned functions above useful.

The qualitative method interview is useful to give an explanation of social phenomena in the society. The analysis with the software provides figures to make the results more comparable and the automatic analysis with the software avoid human influence on the results. The objective of the expert interview is to investigate and analyse the behaviour and emotions of individuals (Wolf, 2009, Mayring, 2000, Qu & Dumay, 2011). The network mechanism and behaviour of the network member can be described and explored with that method.

The sample for the respective empirical part of the research consists of students in Germany. Fifty-nine students interested in employment findings and members of social networks have been involved in the structured interviews. The participants are using regularly social network sites. The gender distribution is 58% female students and 42% male students.

The participants are between 20 and 35 years old. The age distribution is described in the table below.

Age of participants	Percentage
20 – 23	42%
24 – 26	48%
27 -	9%

Table 1 Age Distribution of Participants in Structured Interviews (Source: Interviews conducted by Tom Sander, 2014)

Results

The results are presented with the German word in Bracket behind the English translation mainly in the following tables. The main reason to be member in social network sites is friends. The word friend is mentioned 37 times in all interviews and 40% of the students mentioned the word friend in their answers. The plural of the word friend "friends" are 72 times and occurred in 71% of the interviews. In addition there are 13 more interviews with the word "Bekannte" (Acquaintance) which is of the same kind for friends.

Term	Total Frequency	Ratio of occurrence in the interviews
Friends (Freunde)	37	0.40350878
Friends (Freunden)	72	0.71929824
Acquaintance (Bekannte)	13	0.19298245

Table 2 Frequency and ratio of occurrence in the interview for the term „friend"(Source: Interviews conducted by Tom Sander, 2014)

That friends are important in social network sites supports the former findings that relationships and the contact to other person has been an important issue for the students. This result is similar to research results of real networks (Wang & Wellman, 2010, Weber et al., 2003, Steinfield, Ellison, & Lampe, 2008). They use the word contact and synonyms for the word contact very often as described in the table below.

Term	Total Frequency	Ratio of occurrence in the interviews
Contact (Kontakt)	110	0.75438595
Contacts (Kontakte)	13	0.15789473

Table 1 Frequency and ratio of occurrence in the interview for the term „contact"(Source: Interviews conducted by Tom Sander, 2014)

These results explain the importance of relationships in social networks and is an indicator that individuals use their network to maintain relationships. Further is the social group in social network sites important. Students organize themselves in social network sites. Twenty-two percent mentioned in their answers the word „group". This gives the indication that students use the social network sites to create their own group at social network sites. The social network is a private place. Twelve percent of the interviews contain the word "private".

Support is an import issue for social network sites. The students have used words in relationship with help frequently as described in the table below.

Term	Total Frequency	Ratio of occurrence in the interviews
aided (geholfen)	30	0.5263158

Table 2 Frequency and ratio of occurrence in the interview for the term support / help (Source: Interviews conducted by Tom Sander, 2014)

Information is one of the main reasons to be member in a network; the students use the social network to exchange information, to identify information and to be posted about events. Frothy-three percent of the interviews contain the word "information"(Frequency 45). In addition, 14% mentioned in their answers that they are informed and 8% that they have been informed via social network sites. That describes social network sites as an important source for information and is a reason to be member in social network sites. Ten percent of the students post information on their social network sites profile and exchange information there.

One of the main thing they are publish in social networks are picture. Twenty-sixth mention picture and 9% mention the synonym photo in their answer. That is the main identified information that is exchanged in social networks.

They use the Network to communicate with other network members. Fourteen percent of the students mention that they use the social network site to communicate with each other. Communication with other network member is an important part. They can have access to international friends and use the integrated chat function of social network sites.

The trust in networks especially data protection is a large issue. Twenty-one percent mention in their answer about negative aspects of social network sites data protection or the misuse of private information. Especially the misuse of private data is an issue and the students think critical about advertisement in social network sites.

Term	Total Frequency	Ratio of occurrence in the interviews
Advertisment (Werbung)	11	0.1754386
Advertisments (Werbungen)	3	0.05263158

Table 3 Frequency and ratio of occurrence in the interview for the term advertisement (Source: Interviews conducted by Tom Sander, 2014)

The main social network for students is *Facebook*. The word "*Facebook*" is 112 times content of the answers of the students and occurs in 66% of the interviews. In addition the word "*facebook*" appears 12 times. The second largest network that is mentioned from the students is *Xing* with 15% and *Linkedin* with 5% ratio of occurrence in texts. *Xing* and *Linkedin* are business related networks; *Xing* is a large business network in Germany. That gives the impression that the private related social network sites are more important than

business related social network sites for students. This is an indication that individuals use their social network sites for their current interests and investigating for network sites, which gives them the largest benefit.

Conclusion

The results support the determination of the dimensions. That provides the opportunity to measure social capital with this framework and to identify social capital in social network sites. Those findings are an important result for further investigations of social network sites under consideration of the social capital theory.

The theoretical dimension for social capital has been particular confirmed. The results demonstrate clearly that one of the main reasons is the exchange of information or to get access to information. Social network sites are similar as social networks are a place to maintain relationships and to communicate with friends. The main exchange of resources, which can be identified in addition to information, are picture / photos. That is the most often mentioned resources that is provided in social network sites. This result gives the indication that only intangible resources are exchanged at social network sites.

Network members mention in their answers that the networks have helped them and that they use social networks to communicate with other network members to organize their daily life, to have an advantage.

The largest negative issue is data protection. Students are aware that data protection is an import point and they have to protect their data. This is an indicator for trust in social network sites. Another negative aspect is commercial advertisement, which can be in relation with misuse of private data.

The social networks are a private place for students and there does not exist many indicators that they use their social network sites for professional reasons. For example the employment seeking process or related issues is only a few times mentioned in the answers of the students.

The results support and confirm the results of the paper "Determining the Indicators of Social Capital Theory to Social Network Sites" (Sander & Teh, 2014c) and give a deeper insight in social network sites. The use of social network sites and the behaviour of social network sites member is described by the results.

The analysis with the software provides an excellent opportunity to analyse expert interviews with a reduced subjective interpretation of the researcher to provide a more objective insight in the research field. The analysis can be done several times with the interviews and anytime the same results. That demonstrates the reliability of the method and results. The limitation of the method is the misguiding of the scientist. This method has to be used carefully as it is easily possible to oversee or misinterpret results. This result is only a part of the exploration of social network sites and need further scientific activities to get a full picture.

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THE ISLAND *ERYTHEIA:* A CLASH OF DISCIPLINES

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Abstract

"Classical Studies", or the study of Classical Antiquity, is an ample category covering several disciplines: philology, history, archaeology. They all have to work with written sources at some point, but they rarely do it in a coordinated way. More often than not, material remains or topographical studies don´t play a role in philological interpretations, while archaeologists and historians don´t see the need for a philological reading of texts written by ancient authors, considering them mere tools to confirm their own conclusions or even deceptions to be discredited. This lack of organization is, as we will argue here, at the root of continued misconceptions like those which surround the identity and location of the island of Erytheia, which can be solved by an interdisciplinary approach.

Keywords: Philology. Archaeology.History.Greek and Latin literature.Topography

Instruction

First of all, I must confess that I am a philologist. I´m not an archaeologist or a historian, though I have read works produced in these fields, because anyone studying Antiquity reaches a point, sooner or later, when they cannot ignore those closely related disciplines anymore. Or so, at least, is how it should be.

I have been studying, among other things, matters related to the geography of the Far West of the ancient world (SW of Spain), where "Erytheia" is a much-mentioned place name in all periods from Hesiod to StephanosByzantios[22]. The more this place name came up in my research, the more I felt like I had to do a proper study of what it meant and where it was located, because the sources on the subject were confusing.

Studying the ancient sources was the easiest part –for that is what philologists do best. "Erytheia" was a mythical location (its name is related to the word ἐρυθρός, meaning "red"[23]), home to the three-headed monster Geryon, owner of a magnificent herd of cattle, and the adversary of Herakles in the Tenth Labour performed by the hero in the service of king Euristheus[24]. In the Greek mindset, such a monster would naturally live at the edges of the world, far away from "civilization"[25]. This meant the shores of the Ocean, which was originally not a sea but a river encircling the world, and only later became identified to what we know as the Atlantic Ocean[26]. On the other hand, a mythical place near the Ocean tended,

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[22]Hes.*Th.* 290, Stesich. Fr. 7 *SLG* (= Str 3.5.4); Hdt. 4.8., Ps.-Scym.150-162, Apollod.2.5.10, Str.3.5.4, Mela 3.47, Plin.4.120, Aristid.*Or.*40.12, D.P. 452. Avien.*ora.*309-314, St. Byz., s.v. Ἀφροδισιάς.

[23]*Cf.* Pliny the Elder´s etymology in 4.120: Plin.4.120: *Erythea dicta est, quoniamTyri aborigines earumortiabErythromariferebantur*. About the meaning of this red colour in connexion to myth, cf. SERGENT (2006: 120), BALLABRIGA (1986: 50-51).

[24]A complete account of the myth can be found in D.H.1.39-44, Apollod.2.5.10 or D.S.4.17-25. Hesiod´s version is more synthetic.

[25]Examples of mythical monsters located at the shores of the Ocean can be found in *Od.*16.150-151, Hes.*Th.*215-216, 274-276, 290, 308-309, 325-327, 333-335, 517-518; Fr. 360.

[26]ROMM(1994: 172-214).

more often than not, to be identified with an island, the natural refuge of the outwordly[27]. There are abundant examples of this: the Blessed Islands, Cerne, Sarpedonia, Ogigia and the famous Atlantis are only a few of them. Erytheia is another. After its first appearance in an archaic mythical poem, there will be some hesitations, some different traditions: sometimes it will be an inland region, sometimes an unidentified place, and once it is even set in the East. But little by little, the idea that it is an island located in the Far West will assert itself, and for Herodotus it is already the opinion of the majority[28].

But then, which island was it? Ancient authors were fond of identifying mythical locations with real geography, especially as the legendary West became better known. Sometimes those identifications sparked a neverending debate where a final position could not be reached (like the "hot issue" of Homeric geography in *The Odyssey*); sometimes a consensus of sorts was established. More often than not, there were strong ideological considerations and interests behind those locations of mythical landscapes, as they could be employed to support territorial claims, to give prestige to cities and peoples, or even to question the educational system (for a great store was set on whether Homer was knowledgeable in geography, and could therefore be considered a man versed in the scientific disciplines, or just a fanciful poet whose works should not be used as the textbook of Greek education[29]).

Behind the location of Erytheia there was also ideology. Pherekydes, an Athenian genealogist of the V century BC, was the first to identify it with the island-city of Gádeira (present-day Cádiz), an important Phoenician colony in the SW of Spain[30]. This was right in the middle of a historical period where Athens was trying to establish a rule of the seas, and expand its business interests all the way to the Far West[31]. During this so-called imperialistic period, the figure of Herakles becomes a symbol of Greek civilization defeating the barbarians everywhere, and his enemies were often identified with either enemies or rivals of the Greek world: Alebyon and Dercynes with the Ligurians, Busiris with the Egyptians, the Trojans (whose city the hero is the first to conquer, a generation before the heroes of the *Iliad*) with the Persians, and Geryon, the mythical king of Erytheia, as I have argued elsewhere, is the *alter ego* of the Gaditanians who control the area of the Strait[32]. Traces of Gaditanian dislike of this interpretation, and their proposal of alternative ones can be found in several texts going as far as the Imperial period[33]. It is a fascinating subject, though peripheral to this discussion.

The important point is that, since the fifth century BC until the end of Antiquity, the identification of this mythical place with Gádeira is the dominant, better established one. This goes so far that, in modern books, research papers and exhibition panels, "Erytheia" is given as the *real* name of the island; as if the inhabitants themselves had ever called it like this.

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[27]G<small>ABBA</small> (1981: 57), P<small>RONTERA</small> (1989).
[28]Hdt. 4.8. On the Eastern location, cf. the same Hdt.4.8.
[29]About this debate on Homeric geography, cf. Book I of Strabo´s *Geography,* P<small>RONTERA</small>(2003), andA<small>UJAC</small> (1966: 34-36).
[30]Str.3.5.4.
[31]A<small>NTONELLI</small> (1997).
[32]F<small>ERNÁNDEZ</small> C<small>AMACHO</small> (2013).
[33]Mela 3.47, Philostr.*VA*.5.4.
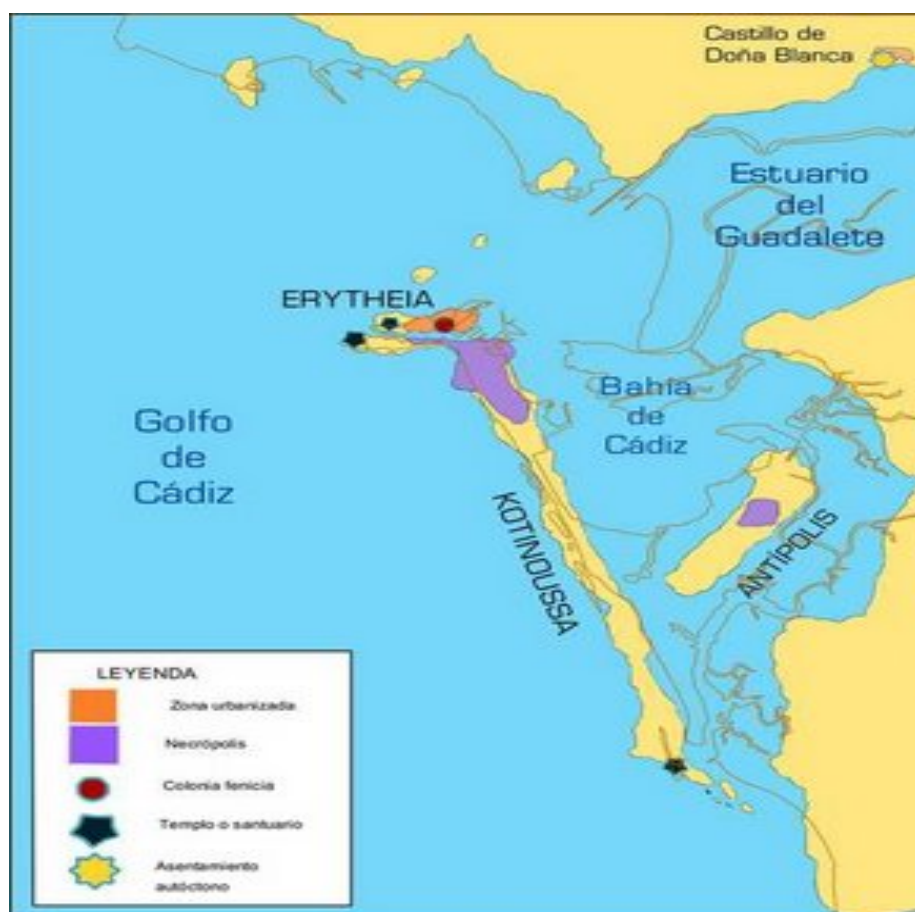
Map depicting the hypothetical disposition of the islands of Gades in Antiquity. San Fernando is depicted as a separate island. Image by Rodríguez Gómez, cf. http://cadiz.pueblosespana.es.

So far, so good. But now, we come to the complicated part. Gádeira, Gadir, or Gades in Latin, was not a single island, though many sources make it so for the sake of simplicity. In fact, it was an archipelago, hence, possibly, the plural form of the name. And here is where the confusion begins. The authors who go as far as to describe the place in detail speak of two different islands, to which a string of mostly legendary names is attached. "Erytheia" is usually the smaller of the two, sometimes the larger. This is not surprising since we are not speaking of a real name here, but of a mythical name attributed to a real place. The traditions are therefore varied and approximative[34].

What is rather more surprising is the fact that, in many modern sources, the islands are given as three[35]. To "Erytheia" and its larger counterpart (often known as "Kotinous(s)a", but sometimes Erytheia as well), they add yet another island which is often identified with the location of the neighbouring town of San Fernando. However, even if San Fernando had been

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[34]The most comprehensive account of the many names attributed to the islands is Plin.4.120: *in ipso verocapiteBaeticaeabostiofreti p. XXV Gadis, longa, ut Polybius scribit, XII, lata III. abest a continenteproxima parte minus pedes DCC, reliqua plus VII. ipsiusspatium XV est. HabetoppidumciviumRomanorum, qui appellanturAugustaniUrbe Iulia Gaditana. abeolatere, quo Hispaniamspectat,passibusfere C altera insula est, longa M passus, M lata, in qua priusoppidumGadiumfuit. vocaturabEphoro et PhilistideErythea, a Timaeo et SilenoAphrodisias, abindigenisIunonis. maioremTimaeusCotinusamaputeosvocitatamait; nostriTarteson appellant, PoeniGadir, itaPunica lingua saepemsignificante. Erythea dicta est, quoniamTyri aborigines earumortiabErythromariferebantur. inhacGeryoneshabitasse a quibusdamexistimatur, cuiusarmenta Hercules abduxerit.*

[35]Blanco Freijeiro y Corzo (1976), Ramírez Delgado(1982: 84-87) Aubet(1987: 227-236), Mangas y Plácido(1994*:* 98), Millán León(1998: 34) Alonso Villalobos, García Prieto andBenavente González (2009).

a separate island, ancient sources do not describe any third island as part of Gádeira, or give it any name[36].

Elsewhere[37], I have also argued that the Phoenicians who founded the colony would not have recognized a third island as part of their city, and this for clear-cut ideological reasons. Tyre, their metropolis, was made of two islands joined into one, and the original foundation myth of the city links these two original islands with the two Ambrosian Rocks which floated adrift in the sea until the first sacrifice linked them to the ground. This, in turn, is represented everywhere, from official coins to the city temple of Melqart, under the symbolic image of the twin betyls, and Gadir was the Tyrian colony which made most of this symbol, which was reproduced in its own temple of Melqart, highlighted in its own foundation stories, and the origin of the famous legend of the Pillars of Heracles which gave the city fame[38]. The number two is too important to be sidestepped so easily.

And yet, those who see a third island sometimes claim that Strabo and Avienus support this theory in their geographical descriptions[39]. This is false, a mistake caused by a superficial reading of texts which as a rule compile information from several older sources and do not always synthesize it perfectly. This is very obvious in Avienus, who gives, back to back, two descriptions of the exact same area taken from different sources, which use slightly different (but recognizable to the trained eye) names -and therefore mentions the smaller island *twice*[40]. As for Strabo, he, too, mentions the same island not twice, but *thrice,* for different reasons: first, to speak of the emigration of part of the population from the other island, second, to use it as reference for the location of the city in the larger island, and third, to add that certain authors have identified this smaller island with the mythical Erytheia. There is no evidence in the text which can support the claim that, either the second or the third time, he is suddenly speaking of a totally different island which has not been mentioned before[41].

This matter of the two or three islands could be more extensively dwelt upon, but the complexities are many and the need for brevity paramount. Instead, the focus will be on how lack of interdisciplinary coordination was, actually, at the root of the confusion which first brought this "ghost" third island to light.

There was a period, rightly denounced by archaeologists, when the information provided by ancient sources was the sole evidence required to study the topography and chronology of the ancient city. The discipline of archaeology was neither developed nor given the importance it deserved- in part because of the great difficulty of conducting digs in a fully built modern city. Historians read the texts, in the original versions or in translation, and made their own educated guesses about topography, which consisted on matching past landscapes to present day ones[42]. The sources spoke of a larger island and a smaller one,

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[36]Sometimes, as in the map above, this third island is called "Antipolis", from the Greek term used in Strabo´s text meaning either "the opposite town" or "the opposed town". This is not, however, a name.

[37]In a paper read at the "XXII Jornadas de FilologíaClásica (HomenajePóstumo al Profesor Luis Charlo Brea)", at the University of Cádiz, the 28/05/2014.

[38]LópezMelero (1988).

[39]*Cf. supr.,* especially the considerations on Avienus in Alonso Villalobos, GarcíaPrieto andBenaventeGonzález (2009).

[40]*Cf. OM.* 257-313, especially the repetition of the *monsArgentarius/monsTartessiorum*, in vv.284 and 304, and the *arxGerontis*in vv.259 and 300, with the expression *ut supra sumuselocuti* ("as we said above" vv.300-301) joining both slightly divergent but essentially coincident descriptions of the area, the first of which describes the *Gadir (…) oppidum* (v.263), and the second the *Erythia (…) insula* (v.305).

[41]Compareτὴνἐπὶτῆϛπροκειμένηϛνησῖδος (a little adjacent island) to προσεχὲϛδ᾽αὐτῇ (...) πρὸϛτῆνησῖδι (opposite the smaller island -speaking of the city-), and τὴνπαραβεβλημένηνταύτῃτῇπόλεινῆσονπορθμῷσταδιαίῳδιειργομένην (the island located near the city, separated by a strait of one stadium).

[42]The most commendable work done in this area is García y Bellido (1978); the most famous

sometimes providing detailed measuring for each of them (the smaller one measured 1x1 miles according to Pliny, and the larger one 12x3); however, there were no such two islands in the present day. That was why speculation located the smaller island either in the present day "Castillo de San Sebastián", or else in present day San Fernando, since it is joined to Cádiz by a thin neck of land and it could be speculated that this neck of land had not existed back then. Both of those islands were identified with the famous Erytheia; it seemed that the location game begun by the Greeks 2,600 years into the past had not yet ended[43].

Then came a great archaeological discovery. In 1976, J. Ponce Cordones and J.R. Ramírez Delgado found that there had been an ancient channel dividing present-day Cádiz in two islands: one, smaller, to the NW, and the other, much larger, to the SE[44]. The mystery was uncovered: this channel, named "Bahía-Caleta" because of its location, had separated "Erytheia" from the larger island, the one many call "Kotinoussa". There was no need for any further speculation about other islands, as the one NW from the channel, allowing some leeway for Greek and Roman spatial description idiosyncrasies[45], fulfilled the specifications quite well: size, location, distance from the continent. Archaeology had helped understand the ancient sources and at the same time it had legitimated the information they provided. Those who worked with texts and those who did the field work had benefitted from each other. Or had they?

It is at this point that the confusion occurs. Historians and archaeologists had been claiming for so long that San Fernando had been a separate island that they simply did not stop in 1976. Superficial readings like those mentioned above were used to justify this, and proper philologists were generally not interested in matters of topography. The interdisciplinary update that the interpretation of the ancient sources required after such a major event did not happen, and a third island remained in many modern accounts as a ghost in the machine.

Then, in 2009, a second major study was brought forth: it was the confirmation, by geologists this time, that the present-time San Fernando had not, in fact, been separated from Cádiz in historical times, and so could not have been a "third island"[46]. This was but a confirmation of what Pliny, Strabo and Avienus had described in their geographical works. However, misled by the superficial readings of historians and archaeologists, even the geologists who made that study had to confess their perplexity at how the "ancient sources" would not agree with their discovery, hesitating a guess that maybe the ancients had used the word "island" for any elevation close to the coast. This paradox (geologists trying to reconcile their discovery with something that the ancient sources never actually said) is only made possible by the lack of coordination between historians, archaeologists and philologists.

SCHULTEN(1925-1955). *Cf*. RAMÍREZ DELGADO (1982: 29-65) for a general history of that tendency.
[43]*Cf*. n. 14.
[44]RAMÍREZ DELGADO (1982).
[45]*Cf*. JANNI (1984) about these idiosyncrasies in spatial descriptions, which, according to him, are an effect of the "anticartographic mentality" prevalent in Antiquity.
[46]ALONSO VILLALOBOS, GARCÍA PRIETO andBENAVENTE GONZÁLEZ (2009).
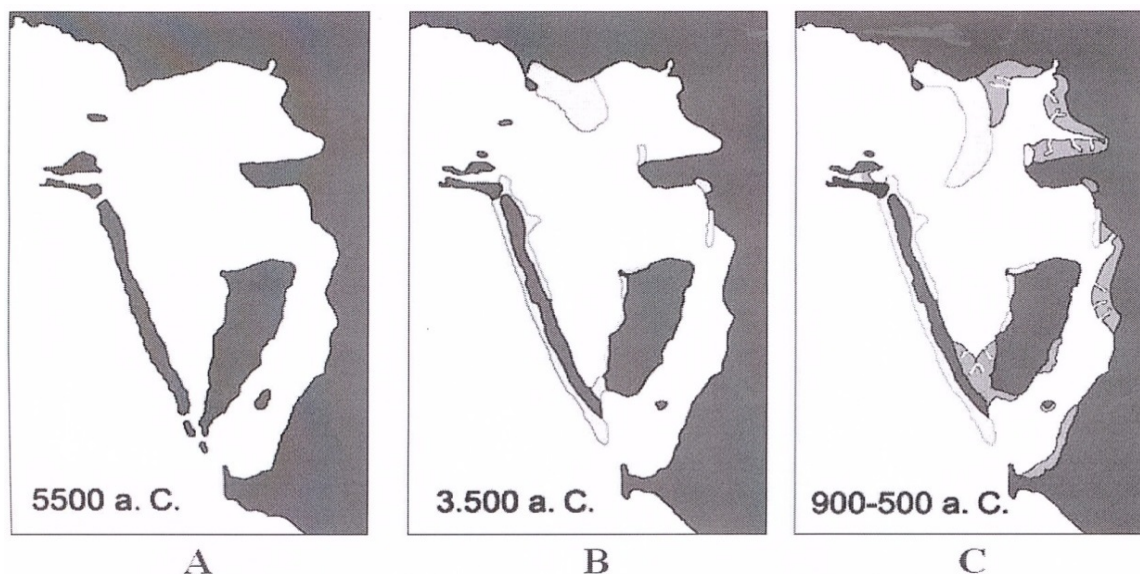
Map depicting the geological evolution of the islands of Gades. As it can be seen in this chronology, San Fernando was already joined to the larger island in historical times. (Image to be found in C. Alonso Villalobos, F.J. GarcíaPrieto, J. Benavente González, 2009).

This coordination had a chance of being achieved in the relatively recent update of historian A. Schulten´s*FontesHispaniaeAntiquae*, a compilation of all ancient sources dealing with the Iberian Peninsula. The new project, named *TestimoniaHispaniae Antiqua*, provided the sources in their original language together with a translation and a commentary, and intended to be, like their predecessor, an ultimate tool for historians and archaeologists, who are further estranged from the philologists today than they ever were by the vagaries of an educational system which does not necessarily teach specialists in Ancient History and Archaeology to read Greek and Latin. Finally there was an opportunity to do some philological work on the sources about the island of Erytheia, asides from bringing the information up to date with the more recent discoveries. However, instead of a philological reading, we get a strange new definition of the island Erytheia:

> la parte de la provincia de Cádiz enmarcada por la desembocadura del
> Guadalete -o más bien por el caño de Sancti Petri- y la del Barbate.
> (...) Dentro de ella quedaban englobadas las campiñas de Chiclana,
> Conil, Vejer de la Frontera y la parte sur del término municipal de
> Medina Sidonia[47].

Erytheia, as we discussed above, as the name of a mythical place, has been identified with the smaller island but also with the larger one, depending on the author and the text. Avienus, which is the author followed by the commentator who builds this theory, clearly identifies it with the larger. However, since he is linking information from several sources, when he describes Erytheia as an island he has already described Gádeira (Gades for the Romans) *as a city*, which as every ancient and modern scholar knows, was *on* the island (and still is). The commentator has, once again, misunderstood one geographical entity as two different ones[48]. Therefore, once again, we have to deal with a phantom island, which has been located not in San Fernando, but in a large chunk of the modern province of Cádiz. The idea that the ancient authors gave the word "island" a different meaning altogether than us moderns has proved very productive.

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[47]Mangas yPlácido (1994: 97-98; 1999: 488).

[48]*Cf. supr.* n. 19.

The most "high-profile" controversy to involve the island Erytheia, however, was the one involving the remains of the ancient Phoenician city -or lack thereof. To understand it, we must mention the ugliest of all consequences derived from the lack of coordinated efforts among disciplines studying Antiquity: the mistrust, and dismissal, of one another. Not too long ago, a sector of the archaeologist community began defending the theory that the ancient city of Gadir, the Phoenician settlement, had never been in the island. This controversy was favoured by two circumstances: the fact that no comprehensive digs could be undertaken in the NW of the island, being as it is heavily populated, and, most remarkably, the discredit which had fallen over the written sources as a result of the plethora of wrong and superficial readings done mostly by historians with no expertise in deciphering Greek and Latin texts, and no knowledge of genre or context[49]. For a time, those texts became the enemy which could not be trusted: the authors who wrote them had no idea of what they were talking about, they drew their information from unreliable sources or either they were lying. Luckily, archaeology itself reasserted the truth. Stars and administrations were aligned to allow an archaeological dig to take place in the southern slope of what used to be the smaller island, the "Erytheia" of many sources, and the ancient city was found[50]. The findings which came out during the last years, as numerous as they were significant, were opened to the public in 2014. It is to be hoped, not only that written sources will once again be restored to their position of importance, but also that they will be better studied -and better read- from now on. Otherwise, if they are allowed to fail again to provide efficient and up-to-date tools for the needs of archaeologists and historians, they will once again fall into discredit, the next time a controversy arises.

As can be seen from this brief exposition, there are many troubles researching the history and location of a single place name which can be avoided if the present approach to the sources is changed to a coordinated effort between those who understand the texts -the philologists-, and those who use them -the historians and archaeologists. Such an approach would also benefit the philologists themselves, as working closely with historians and archaeologists would shed light on the ancient sources as they are cross-checked and projected over the real landscape. Any discovery, any new understanding, any updated reading with the potential of being a game-changer should be immediately integrated into the system of every discipline. The island "Erytheia" is a case in point: superficial readings, extended misconceptions, ignorance and even rejection of what other disciplines can contribute to one´s own have helped spread a number of errors which have proven too long-lived for comfort: the use of "Erytheia" as an actual place name instead of a mythical identification which can shift location from the smaller to the larger island, the third, nameless island living on after the smaller island in the sources had finally been discovered, the theory that the sources are lying and the city was located elsewhere entirely, are all examples of this. This is as good an opportunity as any to call for an interdisciplinary approach to the studies of the past which will prevent these things from happening.

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[49]RUIZ MATA (1999: 14): "La posicion que mantengo contradice en gran parte a la mayoria de las opiniones expresadas y defendidas *sin bases consistentes, enraizadas en la fidelidad al texto escrito*" (la cursiva es nuestra); AUBET (1987: 176-178): "fuentes de información tardías, muy alejadas de los hechos, forzosamente subjetivas y (…) con escasas garantias de fiabilidad".
[50]ZAMORA LÓPEZ*et. al.* (2010: 203-236).

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IS THE SENSE OF BELONGING A STRATEGIC RESOURCE FOR ADOLESCENT IDENTITY?

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Abstract

In the international literature the abstract representation of the adolescent as a product of childhood and pubertal maturation has obscured a deeper reflection on the real generational conditions of contemporary adolescents. The different situations in which adolescents are inserted imply a necessary redefinition of their sense of belonging to depart no more from the usual pre-built schemes but by a practice, become mandatory, which is that to make choices. This implies not only a high reflective capacity of adolescents to redefine the contours of the semantic of their world life but also to combine and distinguish at the same time the virtual reality from the real one. In this paper we show that for the digital natives belonging remains a criterion for defining the personality and the overall identity of the adolescent. In the light of these assumptions a pilot study (qualitative and quantitative) has been carried out among adolescents in three Italian cities with the aim to investigate the nature of the link between the adolescent growth and the sense of belonging, in order to understand if and in which terms this could be a strategic resource for identity.

Keywords: Adolescence, generation, belonging, identity, community

Introduction

The analysis of the correlation between youth phenomenon and generation is important because the prevailing visions (psychosocial, demographic and economic) assume that young people experience a process of transition. This approach has been criticized by recent studies of the sociology of youth that, adopting a generational perspective, show that youth is a condition marked by economic, social and political issues. In agreement with the analysis of Why and Woodman, the radical transformations that took place after 1970 have led to a profound change in the post-1970 generation, strongly influencing subsequent cohorts. In this change of lifestyle, of subjectivity and processes of adaptation it is interesting to analyze how new cohorts, marked by the digital era, are related with the dimension of membership. In the light of these assumptions a pilot study (qualitative and quantitative) has been carried out among adolescents in three Italian cities with the aim to investigate the nature of the link between the adolescent growth and the sense of belonging, in order to understand if and in which terms this could be a strategic resource for identity. The results of the research outline two important considerations. First we note that, together with the prevalence of a symbolic cultural dimension of belonging (Durkheim, 1995, original edition 1912), subjectively felt (Weber, 1922), coexists (but less important) the ascribed dimension (Tonnies, 1988, original edition 1887). The multi-dimensionality also implies a presence of multiple affiliations (Simmel, 1890) where the relational and a-spatial dimension are linked to that symbolic-cultural. Secondly, analyzing the formation of the identity in relation to values, belonging and otherness, it is clear that the cultural belongings and relationships are associated with values of solidarity and universal and of greater tolerance to form an open-

porous identity while, where the ascribed dimension is related to particularist and familistic values, a strong intolerance promotes the formation of closed-localist identities.

The article is structured as follows. The first section describes the theoretical premises about the belonging as a generational factor, in the second paragraph the methodology and techniques of analysis used in the research are described, the third section presents the definition of community and the meaning of the concept of belonging while in the fourth the mechanisms that govern the formation of identity in relation to baseline values, the quality of the sense of belonging and otherness.

Theoretical premises: belonging as a generational factor

The study of the youth cannot be separated from the analysis of radical structural changes that the late modern society has produced. There are widespread highlights how today's society is characterized by the dissolution of shared identities and its related sources of identification (characterized by the ethnic and class belonging and the ideology of progress and religion): everything has to be constantly reinvented by the individual who is the only terminal interested by the mandatory choices in a seemingly neutral and without conditioning context. The youth - more than any other category - is extremely involved within this context marked by the process of individualization. This means that young people are constantly forced to test themselves given that the process of individuation involves "the paradox to create, to design, to stage not only their own biography but also its links and its relationship networks... "(Beck and Beck-Gernsheim, 2002). We move from a prescriptive to an elective structure characterized not so much by the emergence of the autonomy of the individual but rather by the emergence of an elective biography that is known more as a biography at risk or "do it yourself".

The "do it yourself" biography requires a significant daily commitment in individual in order to redefine the criteria of his/her own identity and life orientations. This, as argued by Beck, is a biography at risk or, better, an acrobatic << biography >> because "it is - some openly, some secretly - a state of permanent danger" (Beck and Beck-Gernsheim, 2002). In this structured reality the adolescent, and young people in general, are committed to building their lives through new routes where the experimental logic sets the pace to that prescriptive. This calls for the need to rethink the studies on young people mainly focused on a conceptualization of their status as a transitional stage or phase of life (Why and Woodman, 2006). The most significant criticisms regard the importance of a universal vision and an a-historical development, thought in linear terms and determined mostly by psychosocial dynamics in which the economic, cultural and social dimensions have an ancillary role and a simple frame (for the transition processes of adolescent or young person in general) (*ibid*: p. 498; Woodman, 2012; 2013). In this article, unlike the psychosocial approach, in line with the recent international literature on youth (*ibid*; Woodman 2012; 2013), we propose to read the status of the adolescent rather as a transitional phase, a generational reality actually located within a specific social, political and economic milieu. It is assumed as interpretive context the generational perspective that has a long sociological tradition and only recently has been taken up and subjected to a renewed interest. This approach, although it has been subject to substantial criticism, "it is still a useful concept to guide the studies about the young people" (Woodman, 2013). Among the aspects considered still fertile in the operation of the renewal of the interpretative paradigm of contemporary youth reality, the concept of generation developed by Mannheim (1997) can be included and mostly the fact that although it expresses a condition of sharing a common historical experience, however not always young people who face a similar set of generational conditions develop similar attitudes and beliefs (Corsten, 1999: 259). This means that within a single generation different generational groups or units can be formed that are related and are measured in a different way compared to the

historical, social, political and economic context in which they are inserted. There is no doubt that the current structural condition, characterized by a strong process of individualization (the crisis of traditional structures, new processes of institutionalization, emergence of an elective biography), the application of the generational unit understood "as a group or category in which different young people can be unequivocally placed seems limited" (Woodman, 2013). While, according to the analysis of Wyn and Woodman (2006), the radical transformations that took place after 1970 led to a profound change in the generation of post-1970 (Andres and Wyn, 2010) strongly influencing the subsequent cohorts, on the other hand the specific structural conditions within which young people live and find the ways of reacting to them lead to a different position of this group - generational unit - either compared to previous cohorts and to the future ones. The current status of adolescents is characterized more and more like a generation that must continually make choices, to reinvent the links, the relationship with the tradition, identity, family and peer group as well as with the agents of socialization (crossed by an orienting crisis). Their sense of generational belonging becomes unstable, reversible, and self-centered on their own ego who must constantly make decisions and weigh contradictory choices in a large spectrum of possibilities. More specifically if on the one hand adolescents are characterized as a generation who makes choices, experimentation and exploration, including new forms such as the web, social networks and internet, on the other hand they are also a generation at risk of disorientation, neo-tribal closures or demotivations and disclaimers. According to this view in the current historical context we need to know not so much the psychosocial perspective that describes adolescents as a transitional phase that follows a linear development at the end of which they take roles defined and structured, as the impact that social elective structures have on their identity and their world views. The approach on the generations moves the focus from the dimension centred on the transition (from adolescence to adulthood, from the familiar world to that of the peers, from a child body to an adult body) to the "placement of young people whithin the political, economic and cultural processes that give context to the current generation is both body and give meaning and experience to the youth in a distinctive way" (Wyn and Woodman 2006). In line with these considerations it seems clear that the generational approach highlights a strong correlation between the rise and the spread of the process of individualization, as specific aspects of adolescents of the second modernity, and the emergence of new modes of perception and interpretation of reality. The article's aim is to help clear how the concept of belonging is conceived and valued by adolescents in a process of building identity characterized more and more by an elective and/or "do it yourself" biography deeply focused on the size of an ego that is increasingly devoid of a prescriptive framework which guides and fixes precise and irrevocable selection criteria. The focus of the work is based on the theoretical assumption that the social belonging understood as "the status of being part of something or to be in contact with something" (Pollini, 2005a: 493; Pollini, 2005b; Gubert 2000), although neglected, desecrated by a globalized, individualized and precarious society, remains one of the key assets in differentiating elective biographical paths from those at risk (expressed in many regressive forms). It is assumed that although the adolescent is freed from traditional affiliations (classes, ideologies, religion, tradition) that defined the individual and collective identities, keeps feeling the need to redefine the links and affiliations. Unlike previous cohorts the adolescent of contemporary society is forced to invent his/her sense of belonging no more based on prescriptive inherited factors (which assumed a sacred and static character), but on personal criteria and guidelines worth only in reference to the experiences subjectively carried out. In line with these considerations, it was necessary not only to opt for a subjective dimension of belonging (Weber 1922) (focusing on the personal definition), but also to outline a concept of belonging in multidimensional terms. In this regard it is worth remembering that while the sense of belonging of young people

seems (certainly in this research) emerge in relational symbolic and cultural terms, rather than territorial and emotional it does not exclude a reference to the more prescriptive or territorial dimension. While it is clear the spread of the meaning of belonging based on relationships subjectively constructed and released by the spatial dimension (as indeed already present in the works of Simmel, 1890), it is also strong the need, within the biographies of adolescents, to read and invent the tradition, culture, values and education in relation to the formation of a biography and identity that needs an anchor, albeit problematic, to a symbolic dimension or a cultural community (Durkheim, 1995). This requirement, as subjectively experienced as precarious and unstable, often represents the only resource that adolescents may have and put in place to prevent the fall in regressive forms of belonging as the anomie (often mistaken for trivial forms of cosmopolitanism) (Beck, 2006), or the identity closure (based on new forms of tribalism and intolerance) (Sennett, 2012; Giardiello, 2014). In conclusion, although the belonging presents a certain dose of ambiguity (belonging determines the opening or closing), it is still clear that it has, despite the many contradictions, a central role in the formation of identity. Far from being disappeared or resized, belonging and especially its experience, is not only an important predictor of discomfort but also an explanatory factor of the social and cultural condition of adolescents.

Research methodology and hypotheses

The aim of the research is to understand how the advent of a complex society and globalization together with new forms of nomadism, virtual communication, growth of cities and entropic loss of sense of place, has questioned the community as a form of co-existence and therefore as a space within which significant experiences growth.

On the basis of these considerations, a pilot study has been carried out. In particular a qualitative and quantitative research has been conducted with pre-teens between 11 and 14, enrolled in a middle school in San Leucio, a rural community in Southern Italy, and in one of the neighbors of Bari, a medium-sized city in Southern Italy, and Rome. In each reality, by using a non probabilistic sampling, a middle school has been identified. The first phase of the research has been characterized by the use of the technique of the focus groups.

The use of focus groups has been twofold: the emergence of the research hypotheses to be verified empirically in the subsequent quantitative survey and the preparation of the questionnaire. The 15 members of each focus group have been selected with the help of an assistent moderator (the school teachers) by considering the criteria of age, sex and residence in the neighbor. The author of the paper has acted as moderator. Parent consent and young adolescent assent have been obtained.

In the second phase the questionnaire has been administered to a sample of preadolescents by randomly selecting a section from each school. A total of 101 questionnaires have been administered in San Leucio, 63 and 47 in Bari and Rome respectively. The different sample sizes does not affect the results since comparative analyses have been carried out only for exploratory and not inferential scopes. The questionaire has demonstrated good reliability (Cronbach's alpha of 0.88).

Definition of Community and meaning of belonging

In this section the object of analysis concerns the definition of the community and the meaning of the concept of belonging. The first step was to analyze the dominant semantic representation of the concept of community in the adolescent culture. Respondents were asked to define the term "community" choosing, between the items proposed, the two main meanings and sorting them in order of importance. The following three types of community were built based on emotional/affective dimensions, on structural/territorial dimensions and on secondary socialization.

The results indicate that in all the 3 areas considered the emotional/affective dimension has recorded the highest acclaim. For the adolescents of Rome, Bari and San Leucio community is a social reality that is generated especially in family and friendships. On the basis of a common feeling, that identifies the community as a fundamental element of identity and as a matter of pre-structured reality, it is possible to identify two typological variations.

In the community of San Leucio the emotional relational structure has emerged where the community structure territorially defined is identified as the spatial and cultural context in which the primary sociality expresses and manifests. The emotional/relational dimension of secondary sociality comes out especially in the cities where on one hand the concept of community weakens the local reference and on the other it is recovered the idea of community as secondary socialization.

But to which type of community adolescents are more linked? The data shows that adolescents show a link to the territorial realities closer to them: for San Leucio is the village, for Bari is the city while for Rome is the neighborhood. It is clear from the research that the reference to territoriality takes only a potential value of orientation that can become a key resource (psychological, social and cultural) only if it can give meanings of affective/relational and cultural type in the place of belonging.

In this context, community and membership are two concepts similar but also different. For the respondents on one hand, community and membership are actually going to occupy the space of the deep meanings of the personality of an individual, on the other hand the concept of belonging takes on a complex meaning since it can contemplate the concept of local community, but it can mean a variety of aspects that are not always and necessarily associated with specific territories.

In the data analysis, as far as it regards the sense and meaning of belonging, we proceeded to identify the higher frequencies expressed with respect to a set of items designed to outline the possible definitions of belonging. According to the first ranking of the respondents we noted that the 26.09% in Bari, the 24.75% in Rome and the 23.40% in San Leucio attached to belonging the following meaning: to share the same interests regardless of where you live. The prevalence of the meaning of the sense of belonging in relational terms without proximity is also confirmed on the basis of the results from the second list in which the sense of belonging is defined more on the quality of the relationships that develop among adolescents based on the sharing of common interests than by reason of a spatial contiguity. This does not mean that the concept expressed by adolescents does not consider very relevant the cultural (shared culture and tradition) or affective dimension (feeling affection towards the people who are part of that community). The data show that the respondents (27.54% in Bari, 17,82% in San Leucio and 14.89% in Rome) have expressed a concept of belonging significantly characterized by cultural dimensions. Equally important is the emotional dimension that showed significant percentages: the 18.84% in Bari, the 23.76% in San Leucio, the 17.02% in Rome.

The second analytical mode involves a type of interpretation based on the formation of different types of membership constructed by summing similar items. The construction of these typologies allows to analyze the role of this dimension in the formation of identity. Specifically the typologies are the following: affective, cosmopolitan, cultural and localist/spatial. This analysis shows that the sense of belonging based on the sharing of culture (the same language, education, culture and tradition) prevails over the cosmopolitan (share the same interests regardless of where you live). Furthermore it should be noted as the weight of cultural belonging grows to a greater extent where it is higher the significance of a cosmopolitan belonging (eg in Bari). In this context, we must add that the affective dimension, despite not having registered a high consensus as that obtained from the previous

two dimensions, remains a significant background in the construction of belonging while the territorial and ascribed typology scored the lowest consent. The results show that the more adolescents express a cosmopolitan sense of belonging the more they need to attach to a substrate culture. This comes out through the comparative analysis between the three contexts in which Bari expressed to a greater extent this trend. It also emerges as the place itself does not produce identification and belonging. It's obvious that for the adolescents "feeling part" of a place occurs through a process of signification that is generated only when a change occurs that leads to perceive the places from << in itself >> to << for itself>>.

The identity formation

If the previous pages have made it possible to reconstruct the problematic meaning of membership, the structure of values and attitudes towards diversity, the purpose of this section is to explore the mechanisms of identity formation. The multiple correspondences analysis has been applied in order to identify the structure of the associations between the views expressed on membership, on the map of the values and on the judgment expressed on diversity.

Figure 1a shows that among the respondents of Bari the maximum level of tolerance is generated by the presence of solidarity/self-realization values, a sense of belonging formed by a cosmopolitan conception and by a need for cultural and affective roots (affection towards the people of the community). The area of intolerance is characterized by individualistic/competitive values and by a localist sense of belonging. It is a type of membership dominated by the spatial and ascribed dimensions but devoid of any cultural identification.

It's interesting to note that the two paths outlined produce the formation of an integrated porous identity (on the left of the figure) and of a closed identity on the right. The first is developed when the subject is able to recover the cultural identity without excluding from her/his own worldview other forms of belonging centered on shared interests that develop beyond the place where s/he live. Moreover, it is worth noting how this process expresses an identity that represents a merger between the values of solidarity and high levels of acceptance of diversity. The second identity emerges when there is no integration between a cosmopolitan sense of belonging, cultural dimensions and civic/solidarity values.

porous/integrated identity

Maximum tolerance	Rooted/integrated cosmopolitans	Solidarity / Self realization	Individualistis / Competitive	Ascribed spatial localists	Intolerance
	Sharing of interests beyond the places	Work	Success, money and carrier	To be born in the same place	
	Sharing of culture and traditions	Tradition	Competition	To have family roots in a certain place	
	Commun future	Family		To meet frequently the same persons	
	Affection towards the peolple of the community	Study			
		Cultural interests			
		Entertainment			
		Life enjoyment			
		Democracy			
		Equality			
		Self realization			

tolerance, sense of belonging, values,

ascribed/closed identity

Fig. 1a. – Path of identity formation - Bari

porous/integrated identity

Maximum tolerance	Rooted/integrated cosmopolitans	Aesthetic/ Solidarity/ Self realization	Individualists / Competitors	Ascribed spatial localists	Intolerance
	To share the interests beyond the place	Equality	Success, money and carrer	To be born in a certain place	
	To share culture and traditions	Love	Competition	To have family roots in a certain place	
	Commun future	Traditions and places		To meet frequently the same persons	
	Affection towards the people of the community	Democracy		To speak the same language	
		Sports		To live in a certain place	
		Cultural interests			
		Entertainment			
		Self realizatione			
		Easy/Comfortable life			
		Family			

tolerance, sense of belonging, values

ascribed/closed identity

Fig. 1b. – Path of identity formation – Roma

Figure 1b, relative to Rome, outlines an association between the variables considered largely similar to that shown in the previous chart. What differentiates the two territories is the presence of markedly aesthetic values, such as the easy/comfortable life and sport activities, and the composition of a concept of localist/ascribed belonging characterized by the item "to speak the same language". By comparing the two areas it is confirmed the weight and importance of the spatial and cultural variables, as well as the values and the opening/closing attitudes respect to the diversity able to draw different identity profiles.

As far as it regards S. Leucio, Figure 1c paradoxically describes a much more complex reality of the previous two. Four types of different identities can be detected. Looking at the dial on the left top we observe a closed/culture localist identity that is the result of the association of self-realization/instrumental values, a localist cultural sense of belonging and a strong level of intolerance. Continuing counterclockwise, in the left lower quadrant a localist closed/spatial identity is observed, determined by the presence of common self-realization/traditional values, a localist/spatial sense of belonging and a weak index of intolerance. Continuing to analyze the graph, in the right bottom corner, it is possible to observe the formation of a localist/open identity generated by a path consisting of familist/hedonist values and a concept of localist cultural/affective belonging as well as a rate of weak tolerance. In the upper right, finally, there is the presence of a fluid identity made up of solidarity/traditional values, cosmopolitan/familist belonging and a high level of tolerance. It should also be emphasized as on one hand the localistic accentuation of membership (both in the cultural and spatial version) and the absence of universalistic and collective values determine processes of intolerance and closed identities, on the other hand a fluid identity without cultural roots produces a "banal cosmopolitanism" unable to determine the processes of social and collective change. On the basis of the findings it is easy to see in this small community the presence of a new form of inequality. It is expressed primarily on the cognitive behaviors resulting in closure, intolerance, with localist identities, unable to initiate reflective processes and the evaluation of the own culture and tradition. Also there is a dramatic split between two social groups in which on one side it is outlined the formation of an elite without any feeling of belonging and on the other the formation of social sectors that live belonging in unthinking and crystallized terms.
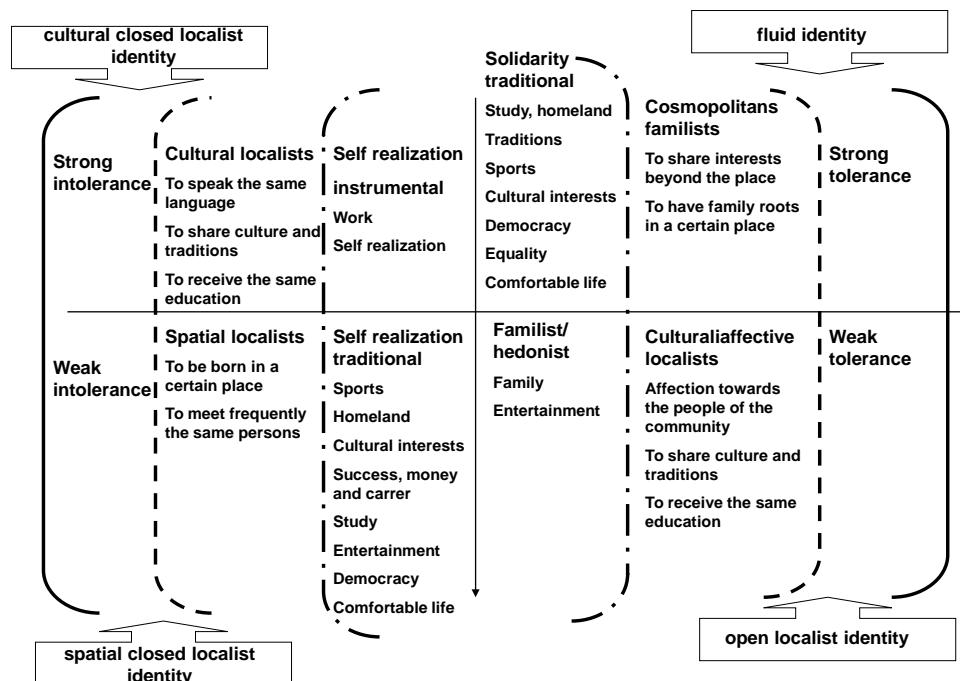
Fig. 1c. – Path of identity formation – San Leucio

Conclusion

Recently, the international literature places more and more evidence that the representation of adolescent understood as an abstract product of infantile and pubertal maturation, as a standard model in transition, has obscured a deeper reflection on the real generational conditions of contemporary adolescents. It is obvious that the various situations in which adolescents are included as school, peer groups, social networks, imply a necessary redefinition of their sense of belonging starting no more from solid, pre-built patterns but from a practice, become mandatory, to make choices. This implies not only a high reflective capacity, almost hermeneutic, of adolescents to redefine the contours of the semantic of their life-world but also to combine and separate at the same time virtual reality (in which adolescents are deeply involved) from the real one. In general, research has shown that the sense of belonging of the digital natives despite assumes contours more electives and less tied to inherited prescriptive factors, remains a defining criterion of the personality and identity of the adolescent. If adolescents retreat into a familiar, emotional community almost dominated by the tyranny of intimacy (Sennett, 1976), do not give up to choose, to reflect and to experience the roads, the biographical paths aimed to reconstruct a semantic framework fragmented and precarious, that gives meaning and strength, though not definitive, at their existence. Undoubtedly, the research shows that in the society of flows, of digital age, a sense of social belonging understood as being part of a group or something is not deleted rather transforms itself radically changing its nature. More specifically, what happens is a blend of symbolic elements and relationships supported by a research of an identification subjectively felt respect to a cultural milieu although devoid or poorly anchored to a defined spatial dimension. Although this does not happen and it occurs an a-critical and irreflexive adherence to the spatial reality or to a process of undocking respect to the symbolic and cultural dimensions of their own communities, adolescents experience an acrobatic bibliography whose fall implies a collapse actually regressive on the plane of the identity construction. In this case, we have the formation of a double regressive mechanism which has a strong impact on the construction of identity: one is the formation of a banal cosmopolitanism centered on a narcissistic ego that is considered part of the world from the sharing of a culture of consumption and media mainly lived in a non-reflective way, and the other a return, with no symbolic and reflective mediation, to prescriptive structures that provide identity security. It is a reaction to the difficulties to choose and design his/her biography from himself/herself, from which it is possible to escape through an encapsulation into new tribal identities based on the logic in-group / out-group. It is clear that the quality of the experience and perception of belonging plays a central role in building the lives of adolescents determining, in a decisive way, relationships, links and life practices that adolescents generate and develop towards their life-worlds. If the international literature has shown that, for example, to establish a sense of belonging in the period of early rehabilitation is essential for the well-being of young people and adolescents with a history of Refugees (Correa-Velez, 2010), it is equally important to reflect on the reflective processes that lead to revise and reconstruct the concept of belonging in a highly individualized society. It is just starting from the specific condition of adolescence as digital and biographical generation that the sociological research, and the social sciences in general, should investigate areas and contexts too often analyzed only according to a psychosocial or psychological approach.

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YOUTH PERCEPTIONS OF VIOLENCE IN MEXICO, AN EXPLORATORY STUDY

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Abstract

Violence and youth are key issues in contemporary society, whether youths are the victim of violence as in the case of the student teachers in Mexico, or the perpetrators of violence, as in the case of Western adepts to the ISIS jihadist cause. This paper analyses the results of a recent online exploratory survey by the author of youth perceptions of violence in Mexico in comparison with national statistics generalised across the adult age group. The outcome is discussed in relation to the ongoing investigation into the disappearance of the rural student teachers in Guerrero, Mexico and Wilkinson's and Pickett's global analysis of the relation between social and economic inequality and the increase in violent crime. Finally these issues are related to Mexican family values and morality in order to gauge the possible challenges involved in addressing the factors involved in the issues raised.

Keywords: Youth, violence, respect, inequality, patriarchy

Introduction

Violence and youth are two themes whose interrelation is currently a cause of rising concern, either in relation to the globally reported phenomenon of western jihadist volunteers or the disappearance of 43 students in southern Mexico. In both cases youths have become both victims and perpetrators of violence, for children and youths are a large percentage of refugees in the Middle East, girls are victims of rape and abduction, yet the jihadist cause is attracting young people in the Middle East and from Europe to their cause, including "jihadist brides" from western countries. Similarly, in Mexico, there is concern both for those youths which are victims of violent crime at the hands of drug cartels at the same time those youths are joining such groups, or adopting violence in their daily lives and also as a preferred form of protest. What are youth perceptions of this climate of violence?

The following article discusses the results of a study initiated in Campeche in the Yucatan Peninsula in the South east of Mexico, concerning youth perceptions of violence. The questions that the research project sought to answer concerned the nature of youth experience of violence in Mexico; how widespread is the experience of violence; which forms of violence are predominant; who are the perpetrators; who are the victims; what is the impact in their lives; what is their experience of the response by state authorities. These and other questions were posed in the form of exploratory research by the author into youth perceptions and experience of violence in Mexico with the objective of identifying the contours of youth experience. The results are discussed in relation to events in Iguala and issues of social and economic inequality.

The national and local context

Contestants were mainly from Campeche, Yucatan and from Mexico City. The last population census in 2010 registered a national population of 112,336,538, with 8,851,080 in Mexico City, (known as Federal District), Yucatan, 1,995,577 and Campeche 822,441.

All three entities are amongst the federal entities with the lowest reported homicide rates in 2013. Out of a total of 32 federal entities, Yucatan maintained the lowest rate of 2 homicides per 100,000 residents, Campeche was in 6th lowest position with 8 and Mexico City (Distrito Federal) was in 14th position with 12, whilst the highest was Guerrero with 63 and Chihuahua which had 182 in 2010, in 2013 registered 59. (INEGI, 2014)

Although the number of homicides in the South-East and in Mexico City are low and remain stable since 2007, crime statistics are not. Campeche is in 17th lowest position with 23,710 victims over the age of 18 per 100,000 residents, Yucatan in third with 18,438, and Mexico City in 29th position with 33,068. (INEGI (ENVIPE) 2014, 2014)

Statistics regarding perceptions of security give a majority in Campeche regarding their locality as secure (64.5 secure, 35.2 insecure); as well as in Yucatan (71.6 and 28.2), but in Mexico City the majority regards the City as insecure (48.2 and 51.5). (INEGI (ENVIPE) 2014, 2014)

Nevertheless the first two set of statistics refer to reported violence and all three sets of statistics refer to an age group of 18 and above, information about which age group are most likely to be the victims of crime are not included, or the perception of security per age group.

The 26 of September of six student teachers were, on the orders of the mayor, shot by in Iguala in the southern state of Guerrero, police and 43 of their fellow students were handed over by police a criminal gang according to the statement the 22 of October of the Chief Federal Prosecutor. The investigation continues whilst national protests grow.

Methodology

The research design is a mixed method in a case study approach, (Robson, 3er edición 2011) using national statistics on levels of violence as background reference to an online questionnaire to elicit information from young people on their perceptions of violence and current media and academic discussion of the ongoing events in Iguala.

Using Google Drive an exploratory questionnaire consisting of 10 questions was posted in the Web for a period of 10 days and publicised via the authors Facebook account amongst her colleagues and her current and past students in the states of Campeche and Merida in the south-east of Mexico and Mexico City.

Data from the online results were exported and processed using SPSS and frequency tables and graphics were generated and analysed.

Results

All 10 questions were answered by the 89 contestants generating zero lost values.

The response to the question "Do you feel that there has been an increase in violence where you live in recent years?" the answers indicated that 69 of the 89 respondents answered a lot or excessively with only one respondent answering "none" and 18 "a little" or "Regular" indicating that 77.5% of the contestants feel that violence is increasing in recent years

Graph 1: Do you feel that the level of violence where you live has increased in recent years?

Do you feel that the level of violence where you live has increased in recent years?

49,4 — A lot
29,2 — Excessively
13,5 — Regular
6,7 — A little bit
1,1 — Not at all
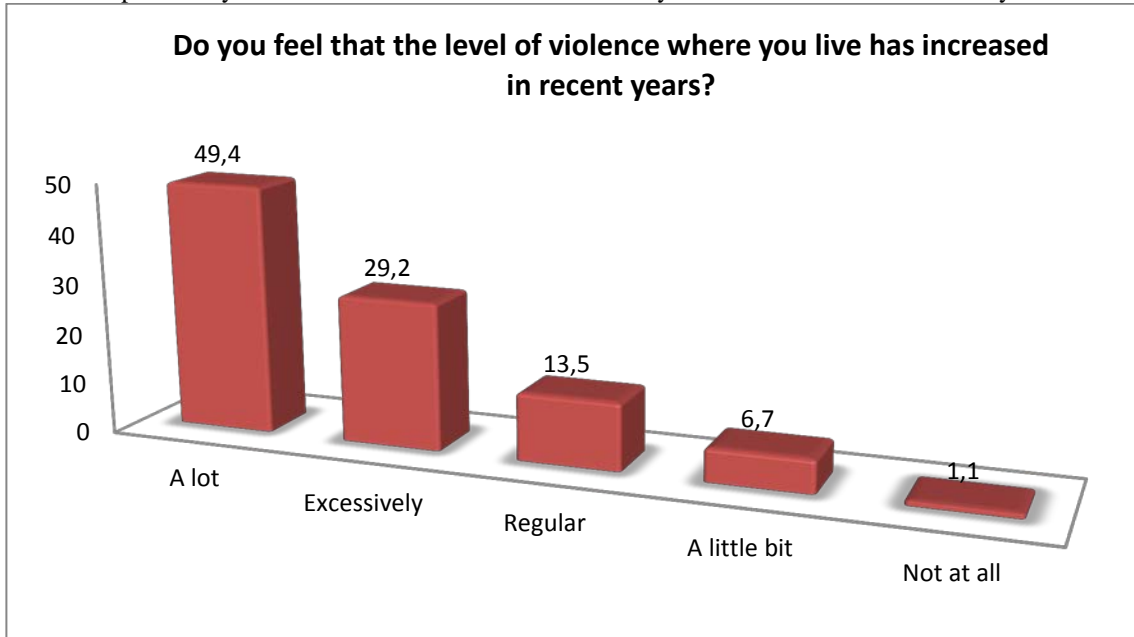
To the question "Which of the following forms of violence do you believe are most present in the community in which you live? The contestants were asked to choose between seven types of violence or specify "other" and the replies were varied. A total of 40 chose the option "Theft, assault or kidnapping", a total of 16 chose violence in the family or between couples. Amongst contestants which chose the option other, one wrote "Violence in all senses". In accordance with national statistics the experience of conflict between organized crime is not prevalent in these areas.

Graph 2: "Which of the following forms of violence do you believe are most present in the community in which you live?

Which of the following forms of violence do you think is present in the community in which you live?

44,9 — Theft, assault and kidnapping for ransom
13,5 — Violence on behalf of authorities against youth involved political protest
10,1 — Violence within the family
7,9 — Other
6,7 — Sexual assault
6,7 — Police Coercion and extortion
6,7 — Emotional Violence between dating couples
3,4 — Confrontation between groups of organized crime
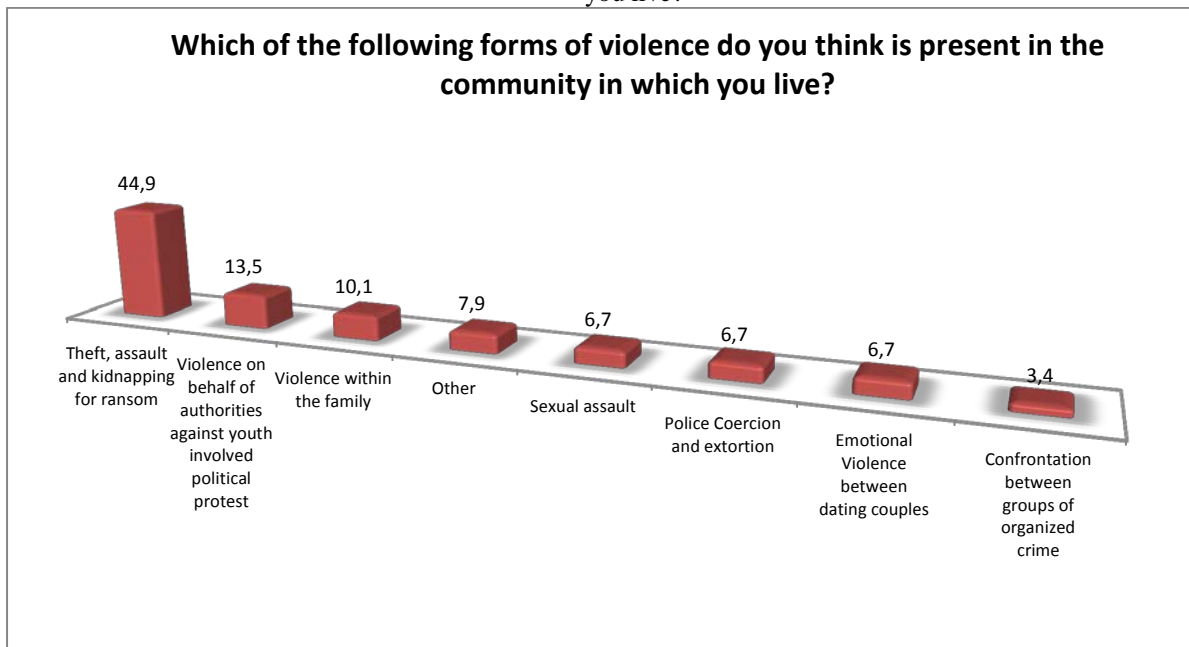
In order to determine how close their experience or perception of these forms of violence has been, the following question asked "have you been or do you know a young person who has been the subject of an act of violence in recent years?" The results indicated that twelve had been the victim of violence, in thirty cases the victim had been a friend or

family member; in twenty six cases the victim was someone they knew and in 16 cases someone in the community and in only four cases did the contestant not personally know of anyone. This means that 76.4% of the contestants had a direct experience of the impact of crime, or 95.5% had a personal or close experience of the impact of crime.

Graph 3: Have you been or know someone young who has been subjected to an act of violence?

Have you been or know someone young who has been subjected to an act of violence in recent years?

Yes, a friend or family member	34,8
Yes; someone I know	29,2
Yes, someone in my community	18
Yes, me	13,5
No	4,5
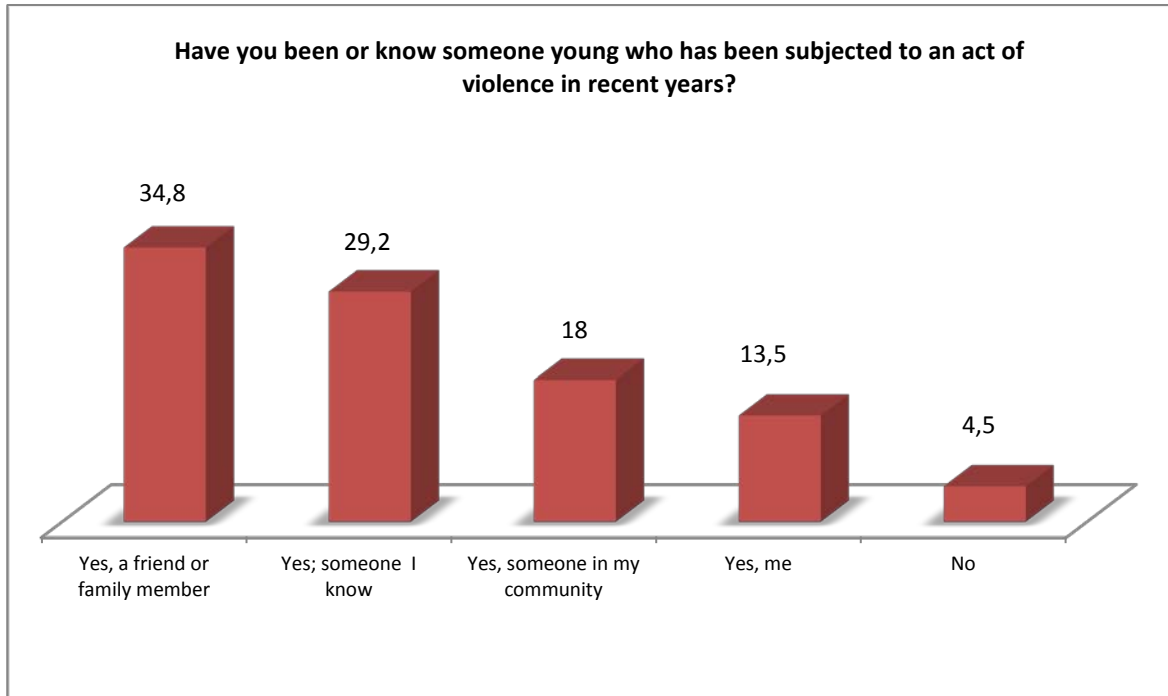
The next question asked which type of crime that person suffered, using the same seven types of crime in the question about the form of crime prevalent in their community and the results were similar although not the same.

Graph 4. What type of violent act occurred to you, your friend of the person you know?

What type of violent act occured to you, your friend or the person you know?

Theft, assault and kidnapping for ransom	47,2
Violence within the family	13,5
Violence on behalf of authorities against youth involved political protest	12,4
Emotional Violence between dating couples	10,1
Police Coercion and extortion	7,9
Sexual assault	3,4
Witness to confrontation between groups of organized crime	3,4
Other	2,2
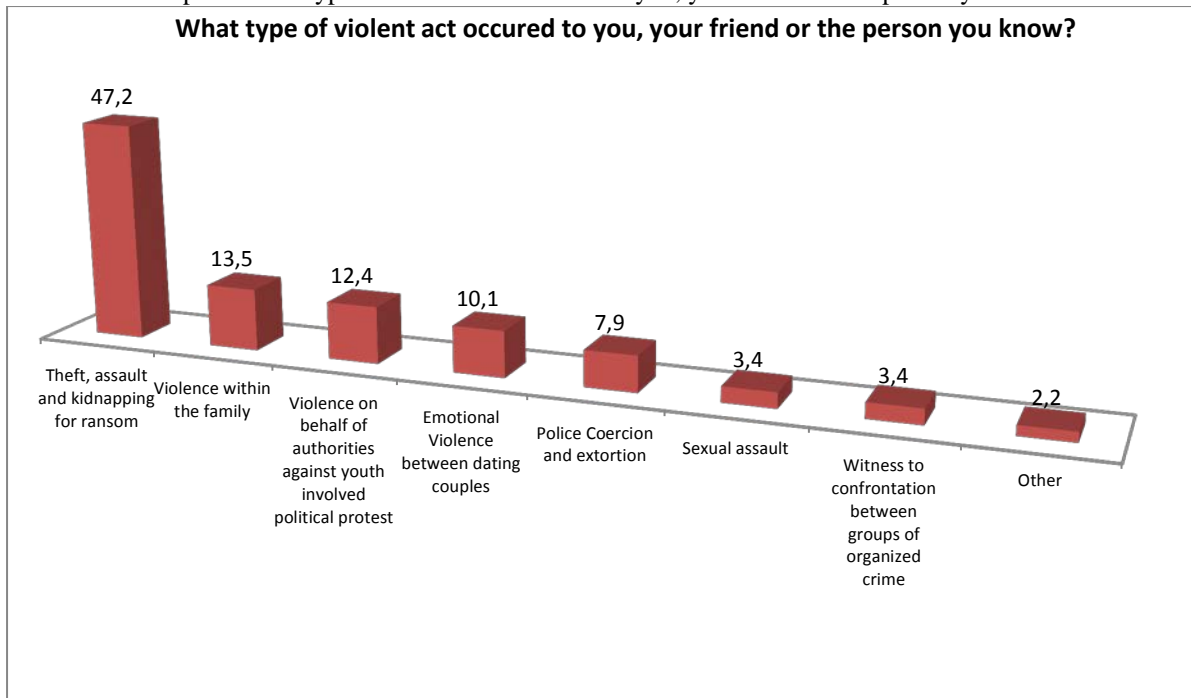
The above results show that more contestants have experienced violence within the family and amongst couples and also police coercion than those that consider these crimes are prevalent in their community (see graph 2).

In response to the question as to whether the crime was denounced to the authority's 19.1% replied "no, I do not trust the authorities" and 24.7 % replied "no, there´s no point, they do not resolve it"., implying that 43.8% are not reported. Only 2.2.% reported transparent investigation into the crime.

Graph 5. Was the incident reported to the authorities?
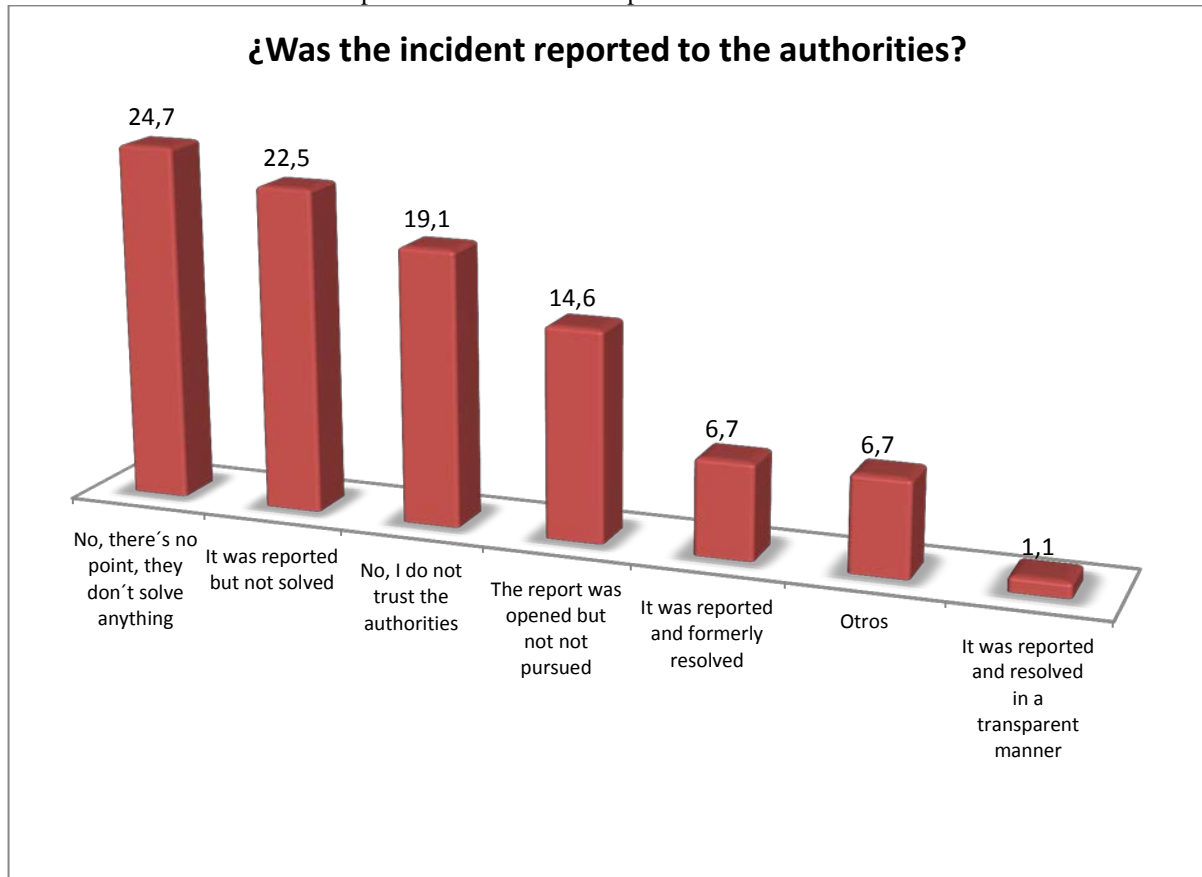
Asked directly about transparency and whether the authorities are realizing a good job in reducing or eradicating violence, the results were the same in both questions: 56.2% said there was no transparency or no good work and 30.3 % little transparency or little good work, giving 86.5% perceiving little or no transparency or good work in reducing violence and only 1.1% reporting excellent transparency or a good job..

Table 1: Do you consider that there was sufficient transparency on behalf of the government institutions involved in the investigation of the crime?

		Frequency	Percent	Valid Percent	Cumulative
Válidos	None	58	65.2	65.2	65.2
	A little	17	19.1	19.1	84.3
	Regular	10	11.2	11.2	95.5
	A lot	3	3.4	3.4	98.9
	100%	1	1.1	1.1	100.0
	Total	89	100.0	100.0	

Table 2. Do you consider that the competent authorities are realizing a good job in reducing/eradicating violence?

		Frequency	Percent	Valid Percent	Cumulative
valid	Not at all	50	56.2	56.2	56.2
	Little	28	31.5	31.5	87.6
	Good	10	11.2	11.2	98.9
	Excellent	1	1.1	1.1	100.0
	Total	89	100.0	100.0	

Asked about the factors which are related to the increase in violence, with reference to a list of six factors 50.6% answered that it was a combination of all six factors, 18% that it was a result of the increase in unemployment and 14.6% the lack of an adequate education.

Graph 6: Do you consider that any of the following factors is related to the increase in violence?
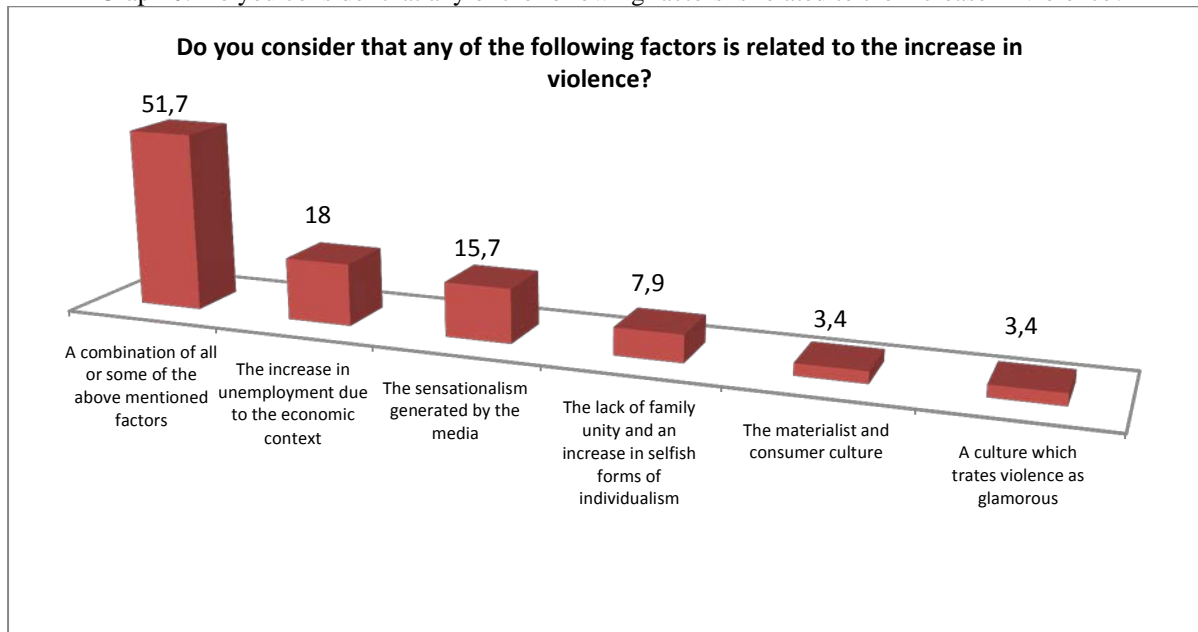
In response to a question about whether violence has in any way modified their life or life habits those who answered regular, a lot, or definitely totalled 64%.

Graph 7: Has the violence modified you life form or habits in any way?
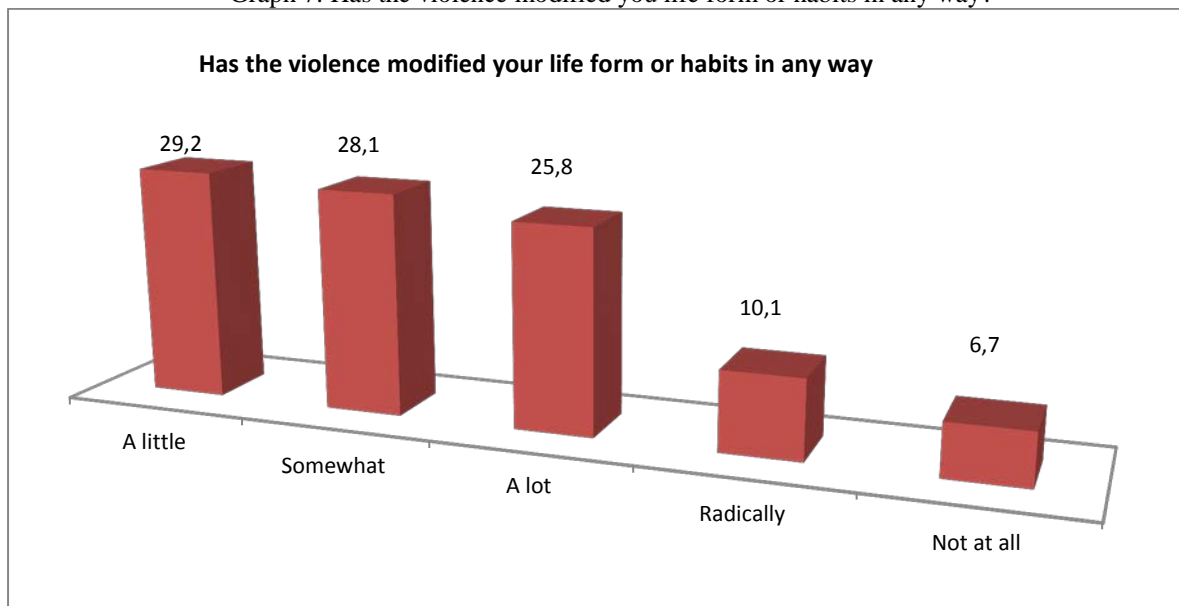
Finally, in response to the question as to whether they consider the disappearance of 43 student teachers in Ayotzinapa as due to a lack of respect by the authorities regarding the rights of youth to engage in political protest, 84% answered definitely.

Graph 8: Do you perceive the disappearance of 43 teacher training students in Ayotzinapa as a lack of respect on behalf of the authorities for the right of students to political protest?
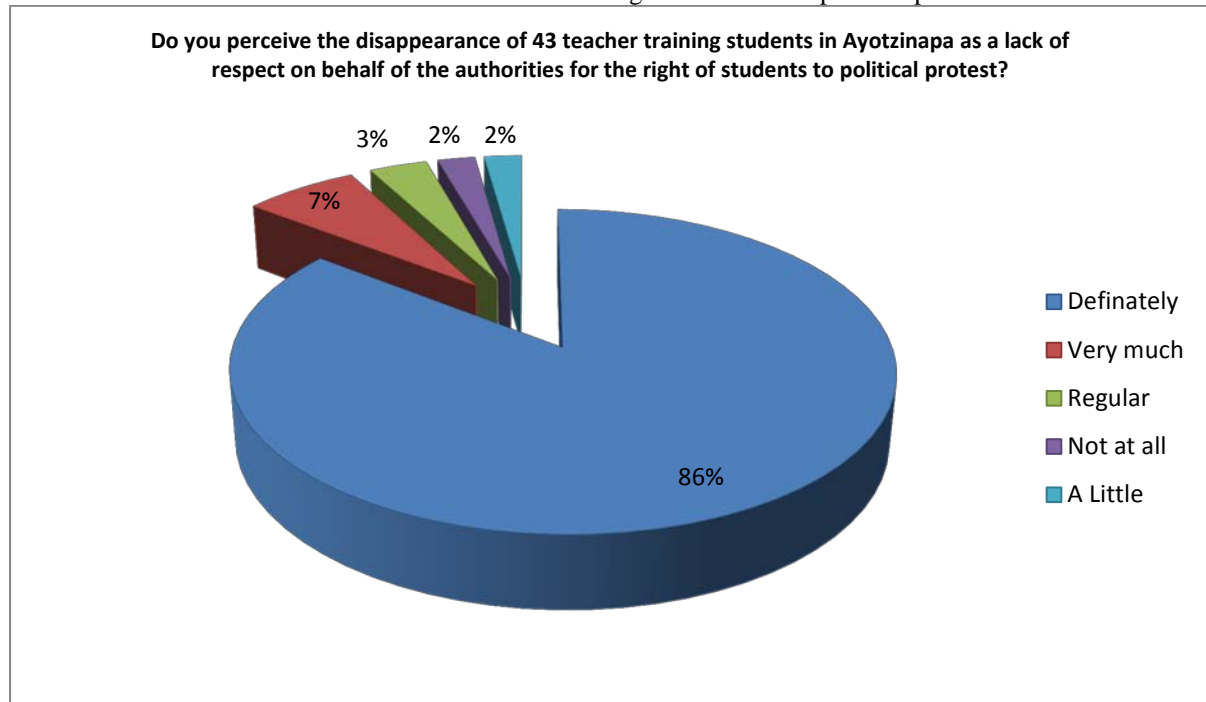
In resume, the results showed strong tendencies in the perceptions of violence amongst contestants. The type of violence identified is in accordance with government figures that in the three federal entities of Campeche, Yucatan and Mexico City the type of crime which is prevalent is not homicide but rather theft, assault and kidnapping for ransom, indicating a principal factor is economic.. Nevertheless, the contestants are 77.5% of the opinion that violence has increased, a perception which is no doubt related to the fact that 95% of the youths that replied to the questionnaire had had a personal or close experience of the impact of crime, with 13.5% being direct victims of crime. The results of the survey also contradicted government statistics concerning the security of their locality, only 4.5% had no experience of crime, directly or indirectly.

Alarmingly 43.8% say the crime was not reported either because there was no point or because they did not trust the authorities. These results were reflected in the questions about transparency with 86.5% reporting little or no transparency and their view that there was little or no good work by authorities in reducing violence. 64% confirmed that violence had modified their life to a medium extent, a lot, or in a definite sense. 84% considered recent events in Iguala as a lack of respect for the political rights of youths. Finally unemployment and inadequate education were considered as causal factors whilst 50% considered the causes were a combination of factors.

Discussion of results

The recent murder the 26 of September of six student teachers and the disappearance of 43 more in Iguala in the southern state of Guerrero, has been met with increasing indignation both nationally and internationally. Ongoing reporting and analysis of the political and social implications of this event have centred on the question of the apparent impunity of authorities involved in the abuse of power. Whilst it is clear that the question of

impunity is closely related to the question of justice, or rather the indignation regarding the injustice of the legal system in Mexico and a social and political class which believes themselves to be above the law, this discussion does not address the question as to why such excessive violence is perpetrated in the first place. Questions have resurfaced concerning the extent to which crime is endemic in different levels of government and law enforcement. (Bailey & Garzón, 2014) and the debate concerning the historical exercise of power in the country through the structure of patrimony. (Fábregas Puig, 2014), but little or nothing has been said or written concerning the pathological level of violence involved in this crime, not to mention the associated crimes that are emerging as different pits (9 by the 24th October 2014) with human remains are uncovered in the vicinity only to be disregarded as the solution to the case in question. (Camacho Servín, 2014)

There is another aspect to this event and it concerns the age of the victims, they were all youths from a local teaching college and reports have suggested that the mayor ordered them to be rounded up and taken away, believing on the basis of previous personal experience, that they intended to demonstrate and interrupt the presentation of his wife's annual report as the head of the municipal family development programme. (El animal político, 2014) The implication would appear to be that the mayor's reaction was along the lines of "how dare they think of interrupting his wife´s public address?" and that they should be dealt with in a way that other´s in the future would know their place.

The pathological level and nature of the violence perpetrated appears to be related to issues of those in the political and criminal class of protecting one´s public profile above all else, and treating the life of others as something which has less value the lower down in the social hierarchy they find themselves. In vertical patriarchal, patrimonial societies, youth finds themselves far from the upper echelons of that structure, and particularly poor rural youth.

A total of 84% of the contestants of the online survey indicated that without doubt there is a lack of respect for youth rights to political protest. Furthermore the level of youth experience of crime contradicts national statistics as 86.5% had a direct or indirect experience of crime in their locality. Does this indicate that youth are more aware of violence or more likely to be the victims of violence?

Youth opportunities in modern consumer societies

Europe is commemorating this year the beginning of the 1st World War, a period in which Mexico was living its own upheavals from the Mexican Revolution which began in 1910. The result of the 1st World War was the Second World War and Europe and the United States had learnt that the defeated nations had to be helped to rebuild their economy and self-respect if a long lasting peace was to be achieved, at in the case of Japan, far less foresight was shown in terms of the outcome of the end of the Ottoman Empire in the Middle East. Hobsbawm wrote in "Extremes. The short twentieth century 1914-1991", (HOBSBAWM, 1994) this lead to the golden years of post war economic development in Europe and Japan based on the Taylor production models developed in the United States of America. The social welfare model of economic development and full employment saw a reduction to spending in food to 13% of household incomes with the result that the majority of working households could consume the new products in production such as fridges, televisions and washing machines and cars which would change daily life.

Post war prosperity and Keynesian economics saw not only the advent of the consumer society, but also the Social and Cultural Revolution which was to result from the new social youth strata, a group characterized by its new found economic and social independence. The generational abyss opened up as for the first time young people's technological aptitudes means that they know more than their parents and youth culture

became participant in the internationalisation of culture through music. Nevertheless, the consolidation of the identity of youth as a social group was their commercial targeting of as a consumer group due to their acquisitive power during the post war years of full employment. Nevertheless Hobsbawn also sees in the triumph of individualism the rupture of the social fabric and the rise in levels of public insecurity.

Furthermore, youth as a group would become object not only of consumer market policy but also of government social and economic policy. In the Age Of Discontinuity Peter Drucker argues that knowledge workers were produced before knowledge jobs were created as a result of extended schooling, initially the result of the extended life of the average worker due to the introduction of technology into the workplace. Nevertheless, extended schooling soon became an economic tool to massage unemployment figures by delaying youth entry into the market place and Drucker describes how job profiles which previously required high school graduates transformed into profiles for college graduates. (Drucker, 1992)

From the 1990's youth higher education became promoted as a prerequisite to success in the knowledge economy whilst higher education provision was seen as an area of niche opportunity for private established U.S. universities to expand as a global franchise, (Russell L. , 2011) whilst the WTO classified education as a "commercially competitive activity" (Bottery, 2000) However, even before the financial market crash in 2008 this model of mass insertion of highly educated youths in highly paid knowledge jobs was already being questioned. (Lauder, Brown, Dillabough, Halsey, & Eds, 2006) In Mexico research showed that insertion into the labour market continued to depend on social networks rather than skills. (Russell, 2014)

In short, youths were being encouraged to spend ever longer periods in education before entering the labour market, to invest ever higher amounts to achieve the credentials for well-paid work, yet the reality very often did not correspond to the rhetoric of public policy, indeed Brown and Lauder´s research shows that by the beginning of the new millennium graduate job opportunities had become more competitive and growing inequality in returns. By 2010 the newly emergent phenomena were the "NEET" generation. Those that drop out of the either option are called NEETs (not in employment, education or training) in English speaking countries, or NINI´s (neither study nor work- *ni estudian ni trabajan*) in Mexico. (Russell L. D., 2014)

Wilkinson and Pickett argue that "it is poor young men from disadvantage neighbourhoods who are most likely to be both victims and perpetrators of violence" (Wilkinson & Pickett, 2010 p132) and this had to do with the question of social status. They quote James Gilligan, a Harvard Medical School psychiatrist as claiming that he has "yet to see a serious act of violence that was not provoked by the experience of feeling shamed and humiliated … and that did not represent the attempt to … undo this "loss of face". And whilst women use clothes and makeup to "enhance their sexual attraction" men compete for status, so that increased inequality ups the stakes in the competition for status, so that as inequality increases so does violent crime. They cite statistics from the United Nations *Surveys on Crime Trends and the Operations of Criminal Justice Systems* to support their claim.

The situation is exacerbated in more hierarchical societies:

Shame and humiliation become more sensitive issues in more hierarchical societies: status becomes more important, status competition increases and more people are deprived of access to markers of status and social success- (Wilkinson & Pickett, 2010 p141)

The roots of social inequality

The question of inequality in Mexico has its roots not only in economic policy but in a culture based on maintaining social hierarchy. Writing in 1993 Mexico´s Nobel renowned writer Octavio Paz explained:

The slowness of the process of modernization is explained to a large extent by the double tradition in our country. Mesoamerica and Spain: two civilizations which did not profess idolatry for change. Remember what we said about the persistence of the image of the Aztec "tlatoani" in the popular sensibility. The Mexican family is profoundly traditional and in it is a figure which corresponds to the figure of the "tlatoani" and the president: that of the father, of the patriarch. Thanks to the Mexican family, Mexico continues to be Mexico: at the same time, the family and its morality have been the obstacles of change. They have been the source of nepotism and patrimony. (Paz & García, 2008 p60)

Nevertheless, Mexican family values continue to be held up without distinction or analysis as that which holds Mexican society together and that which consequently requires reaffirming in order to overcome the violence. This is a message which the Catholic Church strongly advocates, but also other civil groups. Yet in many ways Mexican family values remain important to maintain the fabric of society, they continue to be not only provide emotional support but also are the basis for the establishment of the horizontal networks on the basis of which most Mexicans try to navigate and survive the vertical state structure (Adler 1994). These family values are also entwined, as Paz points out, with elements of the mythical basis of Mexican culture. As a result, analysing and teasing out the positive and negative aspect of Mexican family values remains a complex and delicate matter. Nevertheless, it is worth noting that in the online survey only seven of the correspondents considered this as a principal factor contributing to the violence, perhaps reflecting a change of perception amongst this age group.

Conclusion

Wilkinson´s and Pickett's explanation that the relation between levels of social and economic inequality and levels of violence is due to increased competition for status, particularly amongst young males, concurs with the findings of the exploratory research into youth perceptions of violence in various aspects: that youth perception and experience of crime is higher than national statistics based on averages across the adult age group; that crime related to both economic and emotional factors is high; the prevalence of the view that the crime perpetrated in the Iguala reflects a lack of respect towards youth rights; and finally it concurs with the fact that the perpetrators of the crime in Iguala were political figures competing for public status and the victims were poor rural youths.

The fact that social inequality feeds economic inequality and that social inequality is imbibed in traditional Mexican family values indicates the level of the challenges this problem involves. It also potentially accounts for the fact that most discussions have centred around the question of the impunity which surrounds the perpetrators of the crime whilst little discussion is directed at the heinous nature of the crime itself given the age group at which it is directed. It is to be hoped that the attention this crime continues to attract will generate more discussion and analysis and also the possibility that the present article will help shape the focus that discussion will take.

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IS ISLAM USED AS A POLITICAL IDEOLOGY? WHY AND HOW? PJD MOROCCO AS A CASE STUDY

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Abstract

The twentieth century saw a rapid rise of groups of Muslims who use Islam as an ideological weapon for their political ends. This is the current commonly referred to in scholarly and media writings as Islamism and its proponents are designated as 'Islamists', not Muslims, in order to stress that they are attributing an ideological dimension to Islam.Unlike some Islam oriented parties, the PJD (Party of Justice and Development) in Morocco does not focus on the following precepts: madawiyya (a return to the Islamic principles), shumuliyya (a comprehensive application of Islam in all sphere of life) and al da'awa al nidaliyya (a call for struggle to bring about the Islamization of the state and society). To demystify this exception, my approach draws on aspects of Adonis's study of the Islamic tradition (the Constant and the Changing), The Order of Discourse of M. Foucault 1971 and Lotman's idea on the study of text in relation to the outside world or context.

Keywords: Changing, Constant, Discourse, Islam, Islam-oriented parties, Political ideology

Instruction

The twentieth century saw a rapid rise of groups of Muslims who use Islam as an ideological weapon for their political ends. This is the current commonly referred to in scholarly and media writings as Islamism and its proponents are designated as 'Islamists', not Muslims, in order to stress that they are attributing an ideological dimension to Islam.

There are many Islam oriented groups, but as might be expected the use of scriptural language is a common characteristic of their rhetoric. For instance, they all use scriptural references as an immutable source of authority in the social, ethical and political spheres.

While they do not always share the same strategies and goals, they nevertheless resort to the same sources of authority and deploy terms of references. For instance the central role that Islam occupies in their political activities, stressing that they are not simply Islamic political parties engaged in politics but they are political parties founded on Islam as an ideological platform.

Unlike some Islam oriented parties, the PJD (Party of Justice and Development) in Morocco does not focus on the following precepts: *madawiyya* (a return to the Islamic principles), *shumuliyya* (a comprehensive application of Islam in all sphere of life) and *al da'awa al nidaliyya* (a call for struggle to bring about the Islamization of the state and society). To demystify this exception, my approach draws on aspects of Adonis's study of the Islamic tradition (1986) (*the Constant and the Changing*) , *The Order of Discourse* of M. Foucault 1971 and Lotman's idea (1980) on the study of text in relation to the outside world or context.

My approach in this part draws on aspects of Adonis study of the Islamic tradition in which he identifies two currents: the constant (al thabit) and the changing (al mutahawil). According to Adonis, the constant is a current based on revelation, i.e. the religion of Islam, and provides the foundation of Arabic civilization/culture (thaqafa). It also ascribes to it a

priority of claim to authority based on its interpretation of the past. The changing, on the other hand, is a current that refuses to accept the Constant's priority of claim, and relies on its own differing interpretation of the same past. One of the characteristics of the constant is a theology that plays on the ontological status of revelation. He explains this status as one that transcends time and the categories within which time is subsumed, i.e. past, present and future.

If some radical Islam-oriented movements have opted for violence to change the *status quo* or reach power, the Moroccan case the PJD is an exemplary experience of a participatory Islam-oriented movement and/or party. In other words, in Morocco, the PJD displays another expertise wherein a pacifist Islam-oriented party moved to participation.

The search for change towards politics radically in the first case or gradually in the second one brings into light some remarks related to the PJD's approach towards change. I can mention two remarks. The first one is concerned with the changing and the transformation in the party (leadership and structure). The PJD reflects a type of transformation that responds to and interact with the crisis. This interaction occurs in tandem with the constant wherefrom the movement derives its ideology and vision, notably ethics and religious education. Nevertheless, this constant undergoes a revisit in the party's congress theses and electoral programs because of the oppressed cries. In other words, the leadership responds to either the needs of the oppressed (socially, economically, culturally or politically) or changes in the society (Burgat, 2003; Darif, 1999; El Ahmadi, 2007; Fuller, 2004 and Tozy, 1991).

The second remark is to the variable of change. Regarding this variable, this study has highlighted that change is apparently vivid in the PJD's action which started with Da'awa (Islamic youth) later MUR among all people in society to gain partisans. Once this is done, the movement moves into structuring its institutions because it has evolved in its vision. Hence, the PJD adopts new mobilization strategies to cope with the changing forces, relationships and positions. The variable of change is supposed to respond to and interact with the requirements of pragmatic action. According to Othmani[51], pragmatism is the sole key to end up conflicts within Moroccan Islam-oriented movement. Besides, he justifies the importance of the political participation. When he was at the helm of the PJD (2004 – 2008), he deemed the renewal of the Islam-oriented movement and/or party's discourse as a necessity dictated by the pressing pragmatism. In other words, it is a fundamental prerequisite to bridge the gap between the Muslim world and the West. The finding of change as a pragmatic tool used by the PJD to respond to a given context or to the monarchial priorities is a dominant feature in the party's ideological orientations. For instance, the findings suggest that the PJD political ideology in the electoral programs, the party *manifesto* and congress theses oscillates between some core principles of the Third way and some core features of political Islam. This aspect is due to and/or conditioned by the rules of the political game imposed by the regime and the requirements of the party participation in the political arena. These findings concur with previous studies. Moreover, this conclusion is supported by the findings from Boukhrass (2011) research which states that the PJD has not stepped over the threshold of acceptable mobilization in topics it chooses to campaign on. The PJD's electoral programs (2003, 2007, 2009 and 2011) are a good illustration for this point.

In this respect, the PJD's pragmatism usually pre-supposes its theorizing or a clear vision. The party vision is never prior to its action; hence, pragmatism is a distinctive feature of participatory Islam-oriented movements and/or parties. In this regard, the techniques of the PJD's production of ideology are pragmatism because the party claims it follows the dominant

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[51]   See Othmani, S. D (2011). Fi Fiqh al Addine wa Siyyassa (On Juriprudence of Religion and Politics). Beyrout: Arab Diffusion

power (the regime). Besides, the PJD focuses on the innovation of doctrine and ideology in order to adapt to the governing reality. This finding is consistent with Belal (2012) and Wegner (2011) who found the pragmatism shapes the participatory Islam-oriented parties.

As Islam-oriented parties evolve, they are in the process of absorbing pragmatic elements. In other words, these may come to include major elements of liberal democracy as their preferred political vehicle. The PJD's endorsing liberalism is also clearly stated in the electoral program 2003. The PJD's political ideology orientations have demonstrated the party's savviness and ability to strike alliances with groups that do not share its ideology. In addition, the PJD's electoral programs manifesto and congress theses reflect the diversity of political ideologies that stretches from conservatism to liberalism while emphasizing more core principles from political Islam and the Third Way.

Overall, Esposito (1995) also found that Islamic law is the product of divine prescriptions and human interpretations conditioned by social contexts. Similarly, this study confirms that Islam, like religious traditions, is an ideal for Islam-oriented movements and/or parties, which has taken many forms historically and which has been capable of multiple levels of discourse, conditioned by reason or human interpretation and historical social contexts. In this respect, both Othmani (2011) and Raissouni (2004) state that although the period of prophet Med and the Medinian state remained the ideal paradigm, historically, there was no single, detailed model of an Islamic state.

Likewise, Abid El Jabri (2006) illustrates this point when he states that the notion of state in Islam wasn't depicted or regulated within religion; however, it was left to Muslims for debate according to their welfare and needs. The latter are conditioned by the era the Muslims live in.

For this reason, this study borrows some of Lotmanian semiotics Bernoussi (2012) which qualifies its pertinent ideas and ubiquitous implementations on texts and culture (mainly Russian) of paramount heuristic importance. According to Lotman (1980), while studying the formal features of the text, he contextualizes them in the outside world, the text's life. In other words, a text dictates the reading conduct. It is a matter of text/context relationship.

Unlike other Islam-oriented movements, the PJD with its da'awa partner the MUR seek to adapt Islam to the challenges of contemporary society; they are also concerned to frame its ideology through what is essentially an intellectual defense of the religious identity.

Besides, the party doesn't seek to bring about Islamic system of governance. Rather its primary goal is to adapt Islam to modernity, and influence political trends and developments to facilitate this. With this objective in mind, they approach the foundation texts on the basis of contextual hermentical theory rather than a literal reading of them. This point was supported by respondents in the semi-structured interviews (Belal, Tozy, Ben Hammad) and Nelly Lahoud (2005).

In the present study, the semi structured interview respondents from the PJD's and the MUR's leadership and scholars brought up the constant in the PJD's ideology. The constant is conditioned and shaped by some factors such as the monarchy and the Islamic law. Reams have been written on this issue Belal, 2011; Boukhrass, 2001; Darif, 1991; Tozy, 1991; Wegner, 2011; Willis, 2006. On the ideological level, there is a fundamental tension in Islam-oriented parties and movements between the notion that law must be based on God's word, thus confirms to the Islamic law or 'Sharia' and the idea that in a democratic system laws are made on the basis of majority rule by parliaments freely elected by people. According to the PJD's manifesto, electoral programs and congress theses, Sharia is a source, rather than the source of legislation.

Besides, in the PJD's manifesto[52], there should not be a split between religion and public concern in Islam. The party considers Islam both a creed and a law. Islam is not only values, rituals and ethics, but also a way of life that encompasses intentions, principles and rules. Hence, the horizontal relationship between the political and the religious in Islam is neither a split nor a complete fusion between the two spheres[53]. The religious is ubiquitous in the political which operates as a guiding agent, an inspiring spirit and the nation's power.

The relationship between religion and state in Morocco is a clear bond set up by the constitution (article 19). This article states that Islam is the official religion in Morocco. Besides, all legal texts are not prone to change since historically Islam has been and is still the fundamental pillar upon which the Moroccan state has been founded. This constant is clearly stated in the PJD's manifesto, electoral programs and congress theses.

In addition, the party insists on the principle of defending Moroccan society's Islamic identity through legislative and institutional means whenever that identity is threatened. This also involves a basic discourse founded on respect for religious morality. This conservative of the ideology tainted most the PJD's discourse in its electoral programs, manifesto and congress theses.

In this respect, Laroui (2003) defines ideology in its second meaning as a thought-pattern that calls for a myth far away and disconnected from the social reality, for instance the call for Islamic authenticity. In other words, the individual refutes reality and resists change. On the other hand, the Islam-oriented parties do not bring new projects; however, they turn to the past and bring back some claims, ethos and cultural components. Furthermore, they cannot find appropriate language to depict the new emerging realities. Therefore, they return to the past in order to interpellate memory in the name of a fertilizing utopia through the imaginary[54]. Similarly, Abid Al Jabri (2006) states that the tradition/religion (thurat) does not imply the history of a tradition that extends to the present; it also conveys the active sense of seeking to shape a political present by interpreting its identity in terms of a particular image of its past. For this reason, the PJD, in its electoral programs, manifesto, congress theses and electoral platforms, focuses on a/ reinforcing the Islamic Identity, b/ defending the Arabic language and c/ strengthening the Arabization policy.

This study takes the view that those movements that utilize the ideology of political Islam are not primarily religious groups concerned with issues of doctrine and faith, but political organizations using Islam ethics as an alternative ideology to attract, criticize, and de-legitimize the governing elites and the power structure whereon their authority and legitimacy are based. In other words, the movement or party's use of Islam is an instrument of political protest to delegitimize the hegemonic or status quo powers. These findings are consistent with the studies mentioned in the review of the literature, notably Burgat (2003) and Fuller (2004).

In Gramsci's conceptualization of ideology, its role as an instrument in unifying the masses - through education and preparation – remains its central function. Thus, Gramsci[55] is not interested in creating an ideology per-se, but he focuses on the role of ideology as a tool to unify divergent interests.

Political Islam is employed as a political ideology to unify a desperate group of individuals who are primarily unified through their opposition to the current elites. Through

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[52] . The PJD's manifesto issue 7. pp: 28- 29

[53] . Othmani, S. (2011) fi fiqh addin wa siyyassa. (On Jurisprudence of Religion and Politics). Beyrouth: Arab diffusion

[54] . Karl Marx in the eighteenth Baumaire of Louis Bonaparte wondered on the reasons that urged the French rebellions to express their experience through names, slogans and metaphors borrowed from the Antic Republic of Rome.

[55] . Gramsci. (1971). Selections from the Prison Notebooks p. 349

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the political Islam's core ideological pronouncements- equity, justice, freedom and brotherhood- the PJD seeks to preserve a degree of homogeneity and unity of action between diverse groups of individuals. However, the PJD provides an ideology that espouses ideas of social justice by applying the same concepts used by other ideologies, such as socialism and liberalism. Hence, the party's use of these terms remains 'rallying slogans' for the alienated and marginalized members of society (Darif, 1991; Tozy, 1994; Wegner, 2011; Willis, 2006).

Since the constitution defines Morocco as a "Muslim" state and not "Islamic", this study could barely consider the PJD as having a tendency of political Islam even if the party's electoral programs (2002,2007 and 2011 and the congress theses (1998 and 2008) and official manifesto (see appendix D) contain some core principles of political Islam ideology. Nowadays, with the coming back of religion, political Islam in Morocco cannot flourish because the constitution of 'Imarat al Mouminin' (the commander of the faithful) stands for the spiritual protection. Meanwhile, it is a preventive action which disseminates a realist culture of moderation as well as the respect of other opinions and creeds. Consequently, the monarchial institution is deemed crucial in managing the religious field and sustaining the political and cultural unity of Morocco.

The second factor that shapes the constant in the PJD's ideology is the monarchy. The PJD represents what might be described as 'legitimized Islam'[56] or ' State Islam'. The party does not question the Moroccan kingdom's political foundations. Besides, it does not endorse a revolutionary rhetoric of social change aimed at creating an Islamic State[57] . On the contrary, it holds that state and society are not to be Islamicized because Morocco is already a Muslim country[58].

Since its inclusion in formal politics, the PJD has made sure to accommodate the interests of the monarchy and not to challenge its actions in its electoral programs; manifesto and congress theses. The party has dealt with difficult tasks of appeasing the regime without losing its oppositional credibility. For instance, the PJD has amended its ideological orientations in the aftermath of May 16th, 2003 terrorist attacks in Casablanca. The PJD's leadership has adopted the doctrine of self-censorship. Besides, despite its focus on moral issues, the party has always been prudent to stress that it does not have a monopoly over religious matters. The PJD insists that it is not a religious party but a political one with an Islamic marji'iya (orientation) whose essence is the promotion of an ethical civil society[59]. Furthermore, the PJD avoids questioning the monarch's prerogative of being the commander of the faithful.

Overall, the PJD's acquiescent policy of subordinating its ideology and reformist goals to monarchial priorities is to escape exclusion, repression and harassment (Boukhrass, 2011; Zeghal, 2006). Likewise, since the post-colonial monarchy has strived to appropriate Islamic language and institutions[60] and has given then a content and a form that have strongly influenced the shape of the Islam-oriented movements and/or parties along with their ideologies. The PJD adopts ideological positions that are more concerned with political mobilization than the theological definition of their political practices and ideals.

Due to the context and the regime's restriction discussed in section two of this part entitled "the constant in the PJD's ideology", the party opted for pragmatism and moderation vis-à-vis the monarchy; this has resulted in factional alignments inside the party. Two groups within the PJD have generally coincided on their preference for a careful conduct in regard to the regime: the old Islam-oriented leaders (preachers) and the technocrats. Some of the older

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[56] . See Amghar (2007)
[57] . See Belal (2011)
[58] . See Othmani (2011)
[59] . Ibid
[60] . This institutionalization was on the first Moroccan constitution in 1962.

leaders (Benkirane, Othmani and Baha) have not explicitly called for changes in the nation-state, but tended to view the role of the PJD as more of a political instrument that, alongside the Islam-oriented movement organization (the MUR), injects more Islamic values into politics, notably ethics.

The PJD's political ideology is founded on a political and ideological vision emanating not only from the Islamic frame of reference in the Moroccan state and society, but also from the Moroccan cultural heritage and values[61]. First, they aim to alter the individual's demeanor in order to sustain the religious paradigm in society. Second, they target political reality[62]. This finding is in tandem with Melucci (1996) theory of new social movement[63]. In this respect, Melucci advocates the movement can shift from targeting the state to targeting society and everyday life or social codes. The technocrats (Boianou, Boulif, Choubani, Hamiddine, Khalfi and Rabah),in turn, wanted much greater role for parliament and the elected government, but wanted to achieve these changes through an increase in popular support which would allow them to form a cohesive government rather than by directly confronting the monarchy. Only a third group, the activists (Ramid and Raissouni), has been ready to denounce more openly interference by the regime in the party affairs (Belal, 2012; Boukrass, 2011; Darif, 1991; Tozy, 1994; Wegner, 2004 and Zegal, 2006). This was mainly prior to May 16th, 2003 Casablanca attacks.

Therefore, the PJD's ideology is characterized by tides continuities and discontinuities because there are several conflicting ideas among the PJD's elites' discourse. For this reason, this study has adopted a mixed method to approach the PJD's political ideology. First, the study worked on what the institution (the party) produces such as the electoral programs, congress theses and the official manifesto. Second, semi-structured interviews with different PJD's groups (preachers, activists and technocrats) were conducted to fathom out some conflicting and shared ideas by the three groups.

The event of May 16th terrorist attacks in Casablanca are of the utmost importance for understanding the PJD political ideology's trajectory before and since then. The party took a number of steps to preserve its legality that did not correspond to its policy preferences, ideology or the strategy it had devised to increase its power in the future. For instance, the party's endorsement of the personal status code "Mudawana" and the anti-terrorism law is an alienation from the Islamic part of the PJD's agenda. Belal and Tozy have stressed this point during the semi-structured interviews.

The second framework within which this study operates is the Order of Discourse by M. Foucault (1971). In the order of Discourse, Foucault states that the mastering of discourse and the powers they generate aims at this:
- Determining the condition of their application
- Imposing a certain number of rules on the individual who holds them
- Not permitting everyone to have access to them
- There is a rarefication, this time, of speaking subjects
- None shall enter the order of discourse if he doesn't satisfy certain requirements or if he is not, from the outset, qualified to do so.

To be precise, not all the regions of discourse are equally open and penetrable; some of them are largely forbidden (pp. 38-39). In fact, a discourse can pertain to the two categories aforementioned by Michel Foucault. For instance, da'wa (proselytizing) is open to everyone; nonetheless, it is definitely controlled by the state and its religious scientists (Ulama). Therefore, the PJD and the MUR, the party and the movement respectively, are

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[61] . The PJD sixth congress thesis: Democratic Activism is a Way to Reform. July 19th, 2008. p:20

[62] . Ben Kirane (1990). The Islamist Movement: the Problematic of the Approach. Casablanca: Al- Jadida Impremirie.

[63] . See the review of the literature, the section entitled: Typology of Islamist Movements.

bound to act within the order of discourse. Accordingly, the PJD's ideology remains moderate, balanced, progressive and positive towards the regime. In addition, religion seems to be less a matter of importance for the party. The PJD's electoral programs, congress theses, manifesto, electoral platforms and congress mottos have not devoted either enough or some space to religious issues. The election and party websites investigated in this study feature almost no religious content. In this sense, the party has been consistent with the role of the 'Commander of the faithful' in religious matters.

In Morocco, the religious basis of monarchic rule set limits for the Islam-oriented movements and/or parties' political agenda. The status of 'Commander of the faithful' and 'guarantor of the respect of Islam' together with the popular belief in the king's sanctity, has allowed the regime to control the production of religious meaning and to co-opt religious scholars.

Islam-oriented movements and/or parties should not trespass some redlines. In other words, they aren't allowed to operate in the public religious realm. The regime is tolerant when a movement or party provides religious education to its members. In fact, a discourse can pertain to the two categories aforementioned by Michel Foucault. For instance, da'awa (proselytizing /call for) is open to everyone; nonetheless, it is definitely controlled by the state and its religious scientists (Ulama). Therefore, the PJD and MUR, the party and the movement respectively, are bound to act within the order of discourse. Accordingly, their ideology remains moderate, balanced, progressive and positive towards the regime. In addition, religion seems to be less a matter of importance for the PJD. The party electoral programs, congress theses/motto and manifesto have not devoted enough or no space to religious issues. The election and party websites investigated in this study feature almost no religious content. In this sense, the party has been consistent with the role of the commander of the faithful in religious matters.

For the party, religion is no path for politics. Yet, since the party's use of the Internet in 2002, the PJD's websites gave links to those that were full of Islam-based rhetoric and language such as al Tajdid (Renewal) and al Islah (Reform). These latter are platforms for the founding movement (MUR) to disseminate its religious message. Besides, they feature links to Da'awa websites. However, in the aftermath of Casablanca attacks on May 16th, 2003, the websites refrained from doing so.

The PJD's case also fully demonstrates that legalized Islam-oriented parties can support, commit to, and abide by the rules of transparent electoral competition without necessarily abandoning their religious claims and moral conservatism. In this regard, the state and the legalized Islam-oriented party (PJD) resemble each other. Nonetheless, they must be read in a relation of continuity because state-controlled religious and political institutions orient and authorize the content of the Islam-oriented movement and/or party's language. As mentioned previously, the order of discourse is operating to tune and set redlines to the discourse/ideology produced.

Overall, there is continuity in the PJD's self-evaluation and reflection which keeps the party work constantly responding to challenges, be it political, social or economic. On the other hand, the discontinuity is the product of political context that shapes congress theses and political programs. In other words, the PJD's political ideologies have experienced several touch-ups either to fit a political context or to obey the order of discourse (see electoral programs 2002 and 2003 comparison).

The PJD's political ideology is heterogeneous because the core principles of political Islam overlap with other key cores from other ideologies. The party borrows concepts, ideas and visions from elsewhere.

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DIFFERENTIATION STRATEGY OF AGRIFOOD WITH IMPACT ON ECONOMIC AND SOCIAL DEVELOPMENT OF VULNERABLE POPULATIONS
CASE STUDY OF COLLECTIVE TRADEMARK

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Abstract

The competitiveness development in agribusiness is based on implementing a value-added and marketing strategy for the agrifood product that positions it into national and international market. Instruments related to Intellectual Property, in order to be included in the property's right allows differentiation as an intangible asset, providing legal security and guaranteeing that the income generated by such differentiation get back to the farmers. In this case study referred to Rabbit production in the province of La Rioja, Argentina, collective trademark is the right tool to apply since it enables the construction of "social capital"; bringing together stakeholders around a production and marketing scheme, empowering them and transcending the economic´s aspects. The implementation of trademark's strategy is reached after a process of knowledge's construction that allows improvements with the use of existing technologies and resources that helps to increase scale's economy, and the incorporation of entrepreneur's associations. Those actions have been supported and driven by local development's policies of the local government.

Keywords: Collective trademark, rabbit's production, product differentiation, vulnerable populations

Introduction

In Argentina territory, and specially in La Rioja's province, the rabbit's production requires an analysis of its potential and a review of the sector through the study of the production and industrial chain, its current status, recent dynamics and future projections, which will provide a studies frame of competitiveness of the strategic productive sectors.

The production chain of the rabbit meat sector is disjointed and poorly organized since this activity is developed in small farms where farmers have limited technical knowledge. Thus it becomes difficult to achieve scale, production volumes and quality standards in order to become the real protagonist not only of domestic but also international market.

In international market, the competitiveness of the rabbit sector, the most important factor that influences the sales value is strongly based on the performance of other competing economies. There is not another fundamental condition, even the international prices do not affects the sales value. So that the performance should focus on achieving the sector's transformation and organizing the production's chain including: genetics, nutrition, animal health and productive technologies. Not only farmers but also processors are important actors in the rabbit's value chain and processors should support it implementing safety and quality systems at the slaughterhouses. Furthermore, it is necessary to promote the generation of

skilled and trained human resources, with knowledge in regional production's technical aspects basically in quality and productive capacity in order to develop genuine competitive advantages.

There is a potential in domestic market that can not be missed, knowing that local consumption is very low compared with other countries, (an estimated 2.93 gr / capita in 2013), for instance promotion of activities related to rabbit's consumption based on quality and healthy rabbit meat could stimulate the growth of the domestic market's consumption. Regarding the exports, there are already developed markets, and still margins to increase local consumption, nevertheless all efforts should focus on activities that increase the competitiveness of the sector. A logical sequence would be: i) focusing on the local market; ii) strengthening the competitive position of the product; iii) developing other regional markets, iv) progressing on the international market, bearing in mind the current and potential dimention of the European Union, the main importer.

In this sense, the development of a trademark that differentiates the product based on rabbit meat's quality is esential for ensuring the sustainability of the sector in the long term. The trademarks are Intelectual Property's instruments and they promotes the differentiation's appropriation as an intangible asset because they main function is to protect property rights. This occurs not only on individual trademarks but also on the collective ones, including geographical indications and denominations of origin. These instruments protect value added of the products and allow the appropriation of the rent by farmers and processors.

In the rabbit activity's case, at least in Argentina, because it is a productive sector associated with resource-poor farmers with small-scale units, atomized in the territory, collective trademark is the best choice to lead the product differentiation's process. It constitutes a kind of seal that distinguishes the products and / or services produced by farmers and processors, and this kind of associations contributes to the development of social economy. Besides, trademark highlights the development of the social economy, giving to the entrepreneurs the tools to increase sales, and facilitating rescuing associative values toward the market's greater integration and promoting social and economic inclusion of these major vulnerable sectors.

Enterprise Collaboration Agreement (ACE) proved to be the right kind of formal organization, fullfilling the need to create a company, and adding the needed flexibility for this particular business. The actors involved in this ACE are commited to achieve the requirement to standardize processes trough a quality protocol. Such agreements create a new legal entity, and it is usually implemented in projects sponsored by governments or international institutions. This new entity is owned by the government or institution that finances project, in this case the province of La Rioja.

During the process of the agreements negotiation's it is mandatory to specify the enterprise's scope, contributions and responsibilities, as well as the definition of the distribution financial results; the terms of the profits that the entity will produce and an analysis of the risk conditions and uncertainty, essential for decision making. The willingness to participate in a shared project arises from the conviction that this is the best way to achieve individual goals.

I.

The provincial government is primarily responsible for designing strategies and public policies to consolidate the productive bases of strategic sectors in order to increase their competitiveness. The concept of competitiveness, sustainable and genuine, is developed through the process of knowledge and enables continuous improvements in technology and the use of existing resources, facilitating the adaptation to changing contexts. Meaning that

the use of economies of scale is the main objective for reaching more efficiency where product differentiation is the most determining factor.

Implementing a differentiation strategy for a food product, has among its key objectives, add value, as a way to improve their position in the market. Besides if this product is the result of regional economies and has a number of players in the production and marketing scheme, it strengthens and improves the "social capital" boosting the economic and social development of its actors.

From this perspective it is understood that government intervention is useful to solve market failures and create the favorable conditions in the competitive environment, both in terms of organizational and institutional character.

In the international market, global production of rabbit meat has grown steadily during the period 1980-2008, and the level of production is not distributed evenly across regions of the world, Asia being the largest producer, followed by America and Europe (FAO). The production of rabbit's meat is concentrated as in only seven nations representing 90% of it. On the side of exports, warns that China is the nation that has the largest number of exported tons, followed by Hungary, France and Belgium. The rabbit export in Argentina in 2013 was 75 tonnes, of which 47 corresponded to the fresh meat category (MAGyP). Europe being the main export market for rabbit's meat from Argentina.

In the domestic market, production takes place in various regions of the country; however distance to the slaughterhouse is one of the most important variables at the moment of defining the location of production. In Argentina, only two facilities fullfills the requirements for export and there are fourteen establishments authorized to federal transit and they are localized in seven provinces in the country (Buenos Aires, Cordoba, Santa Fe, Mendoza, San Luis, La Rioja and La Pampa). There are also slaughterhouses with provincial empowerment in most of the provinces and other ones with municipal authorization.

As for the main product, rabbit meat, highly prized and accepted for its low cholesterol and low fat content, has characteristics that make it very valuable for a healthy diet, important attribute for today's consumers. The subproducts obtained such as skin, blood, urine, offal, manure, legs, and the leather- without significant extra costs, generate revenue enhancing profitability.

In recent years, the government of the Province of La Rioja impulsed rabbit sector development aimed at capturing unemployed labor and thereby alleviating rural poverty that was identified in several locations in the Region. It was necessary to regard a model that would take into account the "local character" and the particularity of the supply and demand of the product.

Historically, in Argentina in general, and in the province of La Rioja in particular, has lacked a strategic vision. This is a sector where the supply chain is disjointed and poorly organized, however at 2014, of the total national production, 22% corresponds to the province of La Rioja. As for the location of production, is observed that the highest average volumes were obtained to the north of the province, in the Famatina region.

The macro and micro context allows to infer that there is a growing national demand and unmet global, especially from the European Union, which gives a positive outlook for exports. But to access these market opportunities, the road is to achieve a high quality product at competitive prices.

Construction of a Collective Trademark

Since 2003 the province of La Rioja implemented a Plan of rabbit production favoring local production, with the participation of families and producers (over 180 breeders) formed three Cooperatives and three Civil Associations. The involved actors, both provincial and national authorities and also officials received training, technical assistance, social support

and funding from the provincial government and Federal Investment Council (CFI), in order to consolidate the activity.

Its main action was the development of a system to facilitate the growth of the productivity and of quality in breeding rabbit for subsequent marketing at the local, national and international markets. This allowed to develop a favorable image the Province due to transferring a positive value to their products. Thus, developing a trademark that differentiates the product based on the quality of rabbit meat was vital to ensure the viability of the sector, in the long run.

In general the activity takes place on small farms with varying degrees of productive development, being difficult to achieve scale, production volumes and quality standards. The way of breeding is intensive type, maximizing the potential productivity of mothers and facilities. Each producer, at the start of the program had an average of 20 mothers. It is reared in cages or modules (cells buried), whose dimensions are 1.5 x 3 m. Cells harboring 10 females and their offspring until weaning at 42 days. The fattening cages are metal of 50 x 70 cm and they are used after weaning with 8 or 10 rabbits each.

The program includes the modernization of a former municipal slaughterhouse in the town of Sanagasta providing it with adequate infrastructure and equipment to have the authorization of SENASA – National Institution responsible for ensuring the quality and safety of food of animal origin circulating in the country- with capacity of 1,500 head of cattle in a day shift and two trucks, one of them is for live animals and other animals slaughtered and chilled, with enough carrying capacity. The logistics of the program includes a truck and enough personnel provided by the Province, and also support to advance in production scheme with the slaugherhouse, as well as provides the feed of the animals, key item in rabbit production for its high impact on production costs.

As for the relevant and inherent in production and operation with hybrid rabbits (Hycat) requieres stands of surface small, thus a rabbit in a space of forty square inches (40 cm²) produces between 100 and 120 kg of meat / year. The flexibility of the tecnical requirements allows to develop different systems and production processes, according to the market situation, or destination where production is directed; in fact, in the Famatina and Bermejo occurs with "semi-industrial cages under shed gable" and areas of La Rioja Capital, Chilecito, Villa Union and Facundo Quiroga occurs under the system of "buried cage "(specially designed for these areas).

Regarding the processes, because issues of distances, artificial insemination is performed in areas with good access, but it was opted for the use of reproducers (breeding) males in areas of difficult access. The gestation period of 42 days allows a very rapid reproduction, obtaining a greater amount of kits / female / year, following the rapid growth of the animal, 2.5 kg. in 70 days, with a conversion rate of 3 to 3.5 kg feed / kg of meat produced. The rotation cycles are short, making a rotation interval of 42 days in breeding females and 70 days of fattening.

Regarding labor, and to the facilities maintainance in a traditional small production, one person can handle between 50 and 80 breeding females, with an average of 3-4 rabbits / female / month in the first year production which would mean an offspring between 150-240 rabbits / month. To the extent that the producer becomes more efficient in the second or third year, can double performance. The activity involves the inclusion of youth and women in the production of rabbits for meat, fully bred in captivity.

The program, according to their objectives, developed a methodology consisting of training and technical assistance related to the differentiation strategy. Thus, workshops in which the various aspects related to the management and production, reproductive, collective trademark strategy, management systems and quality assurance, animal welfare, certification, development of best practices, and business strategies and marketing oriented to producers /

processors / marketers related with technical production of rabbit, were discussed with the active participation of technicians, officials, legislators and the private sector, in general.

The workshop activities included the direct participation of farmers in preparing the Quality Protocol, reaching the exchange of ideas, deepening the model that had been spread, and the development of capacities of different groups. The aim was to achieve a future implementation of a quality management system capable of accompanying consolidation desired by the provincial government model, besides of supporting technically and economically the Provincial Program also caters mostly rural population with need of assuring a part of their income and also will ensure their livelihood, trying to transform subsistence economic activities, and convert their weakness into markets in strengths through the integration into the value chain, making a profitable and sustainable business.

The challenge was to design a quality protocol so unified and instances of non-conforming products were reduced to the minimum, thereby ensuring the product image as a healthy and quality decline.

As a result, many indirect beneficiaries were integrated to the value chain, like other producers, such as potential suppliers of alfalfa, suppliers of beans; the meat industry, employees thereof, suppliers of cleaning, etc. as well as technical officials of the province in both the public and private sectors.

These workshops were aimed at the training of assistants, they were all producers with varying degrees of knowledge about the production aspects, basic quality concepts, practical aspects of its implementation, benefits of having a quality protocol, and the need of an active participation, among others. The producers were very interested and eager to receive more training on these issues, and the cases developed and analyzed within the same program, were mitigated by having a quality reviewed system by themselves. Attendees were also trained to start keeping records of activities and events with the aim that they can adjust their work plans.

The program had a public-private joint very clear, and was intended to develop the agribusiness chain of the La Rioja rabbit, it was why it worked closely with producers and technicians involved in the Provincial Plan, and was able to obtain regional information processes, trained employees, each inputs in production on time, and make adjustments in addition to promoting the creation, updating and monitoring of records, a situation that did not exist ex ante.

The direct participation of farmers predicted the possibility of implementing and certifying a quality plan, a situation that gives undoubted advantages to the actors involved in the program front of competitors, suppliers, customers and institutions and the benefits of a business plan reached by the development strategy of the trademark.

The main objective was to coordinate and integrate the value chain, through a management system certifiable quality and auditable as well as performing product traceability with the definition in the protocol applicable to the productive sector, to slaughter and to marketing, to offer safety and quality assurance to local and international consumers.

The second stage of the project coincided with almost all second visits to the various producer groups, therefore, their work was oriented to the preparation of the final quality protocol. Those meetings were very practical and successful since it was a way to collect the different experiences that producers brought to the meeting including the new knowledge, concerns and issues associated with implementation.

Thus, surveys and worksheets were made to reach a consensus process between the producers and the development of a Quality Protocol that included how to work with producers, as well as incorporating the Good Manufacturing Practices, track and manage quality, animal welfare, personnel training requirements, good manufacturing practices, the Standard Operating Procedures for Sanitization included therein, and if necessary the design

of a Hazard Analysis Critical Control Point for the refrigerator. Similarly, the requirements for transportation, packaging and marketing are developed. The practice of using registries to develop selfcontrol in the production process and the processing (in a refrigerator) was initiated.

Finally, it was analyzed together with stakeholders (public and private sector) the possibility of create a company with the purpose of manage the business of rabbit production and it was found that the best format was the Association of Corporate Collaboration (ACE). This kind of partnership has the goal of share efforts, risks and responsibilities in certain projects, have the infrastructure and contractual elements required to undertake an activity that exceeds the individual development opportunities effectively.

Conclusion

This widely recognized and proven, both internationally and nationally, that instruments including product differentiation protocols generate trust and commitment among the members of the value chain, and promotes and encourages the adoption of systems of quality management improve production processes and strengthen schemes of production, processing and marketing of food products.

The collective construction of social capital was a crucial aspect, and started with the production implementation of the protocol, including overcoming distances and differences between localities Rioja. The confidence and the engagement construction stakeholder, was achieved through participation in more than 20 workshops and whose purpose was to exchange information on the processes, time used, inputs for each production scheme. The information allowed to set and agree the Quality Protocol proposed by the computer program and had a driver effect and delayed the producers to quickly complete the steps before they would join the program. The preparation of records and allowed for systematic monitoring and evaluation; annual budgeting, analysis of problems and pose possible solutions.

The development of social capital and the adoption of a common protocol, strengthened this project, which was to move efficiently to the constant and unpredictable changes in market behavior, marketing externalities, such as inflation, taxes, and / or changes political direction. So it is essential to consider the key elements for successful implementation of the program were: the development of social capital and the adoption of a common protocol, the result of consensus and the development of the producers themselves.

In this case study we conclude that activities favored obtaining the desired results such as inclusion of rural people without work to a family production scheme that enabled them to obtain resources to support and facilitated them also stability, the adoption breakthrough technologies to improve productivity indicators.

Is expected in an upcoming agenda to determine whether the Program contributed to meet the primary needs of beneficiary groups in generation of own resources and sustainable source of employment, and social inclusion and a certain grade of empowerment.

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Annex – Summary of the Quality Protocol of Rabbit Production
From Province La Rioja - Argentina
Purpose

Valuing rabbit production, satisfying customer requirements as regards compliance with quality standards and safety of the meat product.

Scope of the Protocol

Description of activities to be performed by actors in the production chain of the product "Rabbit Rioja".

| GRANJA | TRANSPORTE | FRIGORIFICO | TRANSPORTE | BOCA DE EXPENDIO |
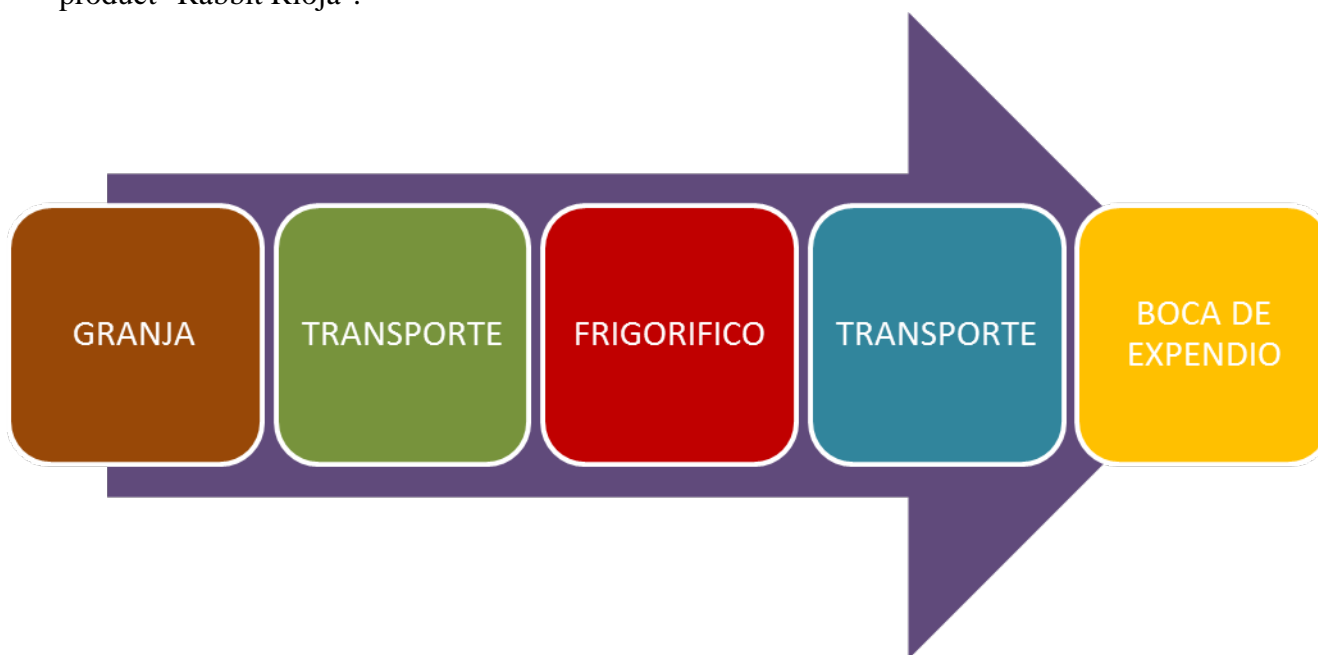
Quality Policy

To produce rabbit meat meeting the highest standards in respect of animal welfare, product quality, traceability and food safety, following the objective of meeting the needs of our customers.

General Requirements
Production System and registrations

Producing establishments (farms) must meet the following requirements:
• develop their activities within the framework that dictates the "rabbit Plan of La Rioja"
• Be registered in RENSPA-SENASA-Res 249/2003 and Res. 618/02

Personal

Staff working on farms as well as carriers, should possess the knowledge needed to care for the health, welfare and production of animals in their care.
The training of personnel working with animals is provided by technicians, documenting attendance at such training courses.

Animal Welfare

It is defined as "a state of complete physical and mental health, where the animal is in complete harmony with the surrounding environment"
Therefore facilities and production activities should provide the animal:
• Sufficient free movement.

- wide access to water and food.
- healthy environment to avoid negative effects on the quality of the final product.
- Freedom to express normal behavior
- Adequate Health.

Records and tracking of animals

Records Contain the information required by the protocol in terms of Births; Animal movements (admissions, discharges and deaths); Food and health treatments.

The owner of the establishment must keep updated and supplied technical personnel records.

Facilities

It works with two types of facilities: semi-industrial or warehouse system without cell system buried

Field

They should be ready in protected places of annoying noises, strange people and transit vehicles. They must also be non-flooding and ventilated.

The facilities must have:

• Perimeter fence to prevent the entry of other animals, strange people
• Provision of potable water and electricity
• Protection against the sun, wind and rain. For this eaves and forest shade or used hurdle.
• An efficient drainage system and collection of excreta to prevent the escape of ammonia.

Management of breeding stock

HYCAT rabbit breed is used, this is a dual purpose breed, and ethane is used to produce meat and skin.

The reproduction method is assisted by artificial insemination. The cannulas are acquired in a production of semen. Mothers are selected by the same producers of the campuses.

The onset of reproduction is done when reach 3,200 kg liveweight.

Reset criteria used are as follows:

• ill mothers (Mastitis, Sore Hocks, staphylococcal)
• Abortions, Bad calving, decreased fertility or infertility
• Poor maternal fitness

Production between the various cooperatives will sync and ensuring stable production throughout the year. Females receive hormone production management to synchronize jealousy and thus calving, calving, weaning and sales.

Operation fattening

Fattening cages are the same as the breeding cages, about 6 animals per cage are used, enabling a good mobility and does not cause overcrowding. This cage is movable so that it can be located anywhere according to need.

The slaughter weight of around 2,300 kg and 2,500 kg

Weaning

It is performed between 24 and 30 days from the birth of the kits. They take fattening cages for rabbits separating replacement females of fattening for slaughter.

Feeding

The animals must be reared under the exclusive supply of pet food to be purchased together to ensure the quality and equality between different producers.

They must be kept in conditions which ensure physical and chemical integrity and avoiding pests. Keep clean and dry feeders with lids in place to ensure that pests do not proliferate or wet. Provide potable water in sufficient quantity for each category of production.

Health

Farms must have a Health Plan signed by the responsible veterinarian. It also details activities to be developed on the premises; flutter cage, application of insecticides, cleaning chip, etc.

All drugs or vitamins used must be approved for use by SENASA and respect the dose, dosage, indications, routes of application, dates, storage temperature and time restrictions or pre-slaughter withdrawal exist to prevent waste prohibited in the flesh of the final product. They will be stored in a closed and away from other animals and children.

Transport

Loading and unloading must be done neatly, slowly and without shock. The transport vehicle must be enabled, and comply with regulations. The charge density should be such as provided by SENASA Resolution 97/99. The troop of animals accompany the respective identification and documentation (DTA) the producer handed to the carrier, who must complete the required data in the appropriate section of DTA Res. 495/03 SENASA.

Once the animals loaded and sealed the truck will be transported directly to the refrigerator without detours.

Refrigerator

To ensure traceability and origin of the final product, the refrigeration plant must develop operating procedures and systems of verifiable records of animals from the different establishments.

Control of origin and placement of the animals in the fridge

Documentation (DTA) and integrity of seals is recorded on the entry form animals.

Assigning troop number and handling

They are assigned a number Troop. Veterinary checkup pre-mortem (res.4238 / 68 SENASA) is performed.

Slaughter

The troop will be included in the list of slaughter and be slaughtered in full on the date assigned. Then they will be designed as suitable to the cold storage awaiting final packaging cattle.

Packing and shipping

After cooling-aired in the cold room, proceed to the packaging of whole or pitted cattle. The containers have a label that identifies the product, dates of manufacture and expiry, the legend "Once thawed do not refreeze" for the case of frozen and batch number that equals the number of troops to easily identify the origin. The release is done in refrigerated trucks authorized by SENASA, transported separately cooled and frozen.

IMPACTS OF PENSION REFORMS ON THE KENYAN PENSION INDUSTRY

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Abstract

The emergence of full-fledged reforms in Kenya from the introduction of the Retirement Benefits Authority in 1997 has rekindled hopes among the ageing population in Kenya. This paper examines the effect of the NSSF Act 2013 contribution rate by use of a contribution rate model as well as Kenyans' perception towards the yet to be implemented Act by use of questionnaire analysis. The study asserts that the set 6% is sufficient to meet the welfare conditions of Kenyans. Further, this study also identifies the main social welfare reforms put in place, as well as the effects and challenges towards implementation of the reforms on the performance of the industry with a critical theoretical look at the NSSF Act 2013.

Keywords: Pension Reforms, retirement, Contribution rate, social security, poverty

Introduction

Over the past three decades, the living condition of older persons in Kenya has deteriorated. This is as a result of the erosions of their economic power, changes in the family structures and roles, particularly on the care of older members of the immediate family unsustainability of the pension schemes and inability of government to fulfill her expected role in the care and support of older persons in the community (Reynaund, 2000). Worldwide older persons are regarded as vulnerable group, hence, it has been accepted that older persons, the children and women are in dare need of government attention. This is because poverty affects this class of people than any other categories in contemporary world especially in developing countries. Various efforts by various successive regimes in the country to address the needs of older members of the society have proved abortive.

Kenya being a British colony has adopted so much from the British system of saving. These include the formation of the National Social Security Fund (NSSF), similar to the state pensions of the United Kingdom (UK) and the occupational pension funds (Mghali, 2003). Ginneken (1998) defines social security as benefits that the society provides to individuals and households through public and collective measures to guarantee them a minimum standard of living and to protect them against low or declining living standards arising out of a number of basic risks and needs. Social security is thus a social insurance program. For our case in Kenya we have NSSF.

The social security after retirement concerns for the Kenyan work force is a factor that leads to growth of the pension industry. This has been so because a large task force of the Kenyan population is increasingly being employed in the private sector which has designated occupational pension schemes for the employees. There is need to replace income after the active working years for a person who has been used to a pay check at the end of every month. Reforms to improve the efficiency of the social security sector are therefore highly

needed. A vast understanding about the operation and implications of these laws is highly needed thus the basis of this report. The dilemma of efficiency of these reforms with regards to the pension industry is a big question to all stakeholders.

This paper evaluates the impact of reforms on both private and the social security system in Kenya. Specifically;

To identify the possible impacts of these identified reforms.

To identify the challenges towards implementation of these reforms.

The remaining part of the paper examines similar work done in pension reforms while section 3 looks at the contribution rate model. The data analysis and discussion of the results is done in section 4. The fifth section discusses the research findings which are based on analyzing the impacts of pension reforms.

Related literature

The need for reforms in social security is a question being impressed by many countries around the world. The OECD Secretary-General Angel Gurría asserts that "Further reforms are needed". We cannot risk a resurgence of old-age poverty in the future. This risk is heightened by growing earnings inequality in many countries, which will feed through into greater inequality in retirement. This struggle to meet the above addressed issue is the main reason as to why many countries are reforming their pension industry.

The lifecycle hypothesis by Modigliani, (1963) deals with economic decisions on retirement saving in particular the rationalization of an individual's income in order to maximize its utility over his lifetime. It stated that households accumulate savings during their working careers up to their retirement, and de-accumulate wealth thereafter.

The Chilean model of pension reform of 1981 replaced an earlier pay-as-you-go (PAYGO) and public pension system with a new compulsory system of individual funded and privately managed pension accounts based on Defined Contribution (DC) principles was credited for linking old age social security with the facilitation of macroeconomic growth. World Bank personnel in particular suggested that the Chilean case proved that a shift of pension provisions from the public to the private sector and from PAYGO to DC would maintain social protection while increasing economic growth via the deepening of financial markets (World Bank, 1994). In fact, the system delivered poverty pensions rather than old age security to most contributors. The former center-left Chilean government decided to phase in a new public and tax-financed basic social pension system in order to provide additional income for current and future pensioners with very small funded pensions (Riesco 2009).

Secondly came the Nigerian 2004 reform which was inspired by the experience of Chile, an economically more advanced country, Nigerian policy-makers attempted to replicate the 1981 Chilean pension reform Orifowomo 2006; Casey, 2009. Before the 2004 reform in Nigeria, the formal private sector was covered by a pay-as-you-go pension scheme, the Nigerian Social Insurance and Trust Fund (NSITF). However, its scope and coverage were more limited than those of public sector schemes. Only some larger enterprises offered access to the scheme and, since its foundation in 1994, the NSITF's accumulated capital and pension payouts were low while administrative costs were high (ILO 2006). The resulting pattern of pension provisions was highly fragmented, and the available data suggest that only 10 percent of the Nigerian workforce (about 4.8 million out of about 48 million) belonged to the Formal employment sector, out of which about 3.7 million also belonged to a pension scheme (Casey, 2009).

On the Kenyan scenario Odundo, (2003) report on Supervision of public pension funds in Kenya points out some of the loopholes in the Kenyan social security system. One of the main challenges is the fact that the Kenyan investment profile is characterized by a lack of

diversity. Further Odundo, (2003) points out the fact that NSSF Kenya is faced with poor record keeping. This has led to delays in determining benefits precipitating a US$100 million unallocated suspense account. Figure 1 below is shows the different reforms that have so far been implemented in Kenya.
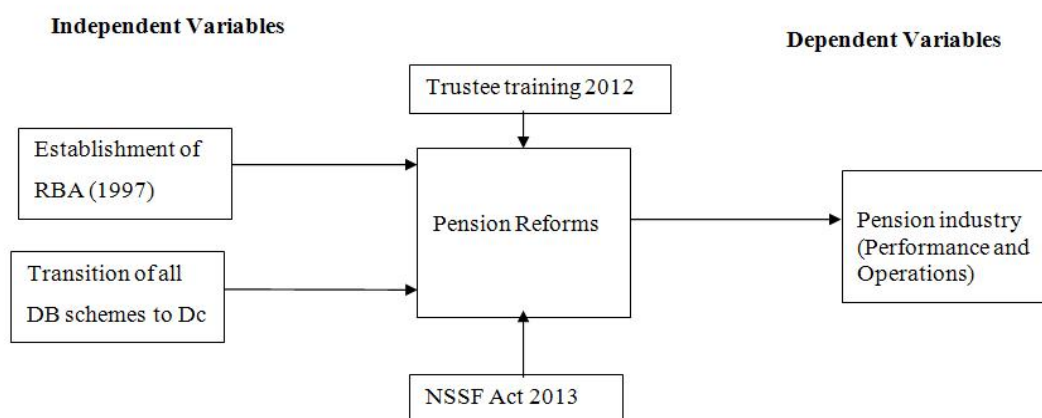
Figure 1: Different pension reforms

Methodology
Contribution rate model definition

The objective of a pension model is to evaluate the financial viability of a pension scheme or pensioner to confirm the income and expenditure that should remain in force over a definite period of time or make recommendations on the necessity to revise the contribution rate to maintain a sustainable benefit (Latulippe, 1997)

Model Assumptions

Assume that salary amount, S; Interest rate, r; Salary increase rate, e; Assuming an individual would like to maintain a given lifestyle after retirement his/her salary is expected to increase constantly at a rate r^s. Then the monthly effective will be

$r^m = (1+r^s)^{1/12} - 1$

A mortality table will then be prepared from the principle; $q_x = 1 - P_X$

Table 1 below shows values used for the specific assumption;

Table 1

Assumed Age of Entry	25
Assumed Retirement age	60
age of the ,member at date of valuation	30
Rate of pension accrual	80
Rate of Pension Increase	5.00%
Assumed annual salary growth	1.50%
Interest Rate	18%
Inflation Rate	7.36%

Table 2

Male Percentage	67%	
Female Percentage	33%	
Salary level	Min	Max
Males	$4,011	$14,815
Females	**$4,411**	**$11,024**

Dollar - Kshs Conversion Rate	90

170

The model also incorporated mortality assumption; that is the Association of Kenya Insurers (AKI) tables were used.

Model Specification

The main objective was to determine the appropriate contribution rate that the individual can use to contribute an amount that will be able to sustain him/her during the retirement period. This was by use of a contribution rate model whereby a hypothetical situation of an average earning Kenyan was considered.

All the contributions were accumulated to age 60 years and the expected pension benefits discounted to age 60 years, using excel functionalities. An appropriate standard contribution rate that can make the difference between the individual contributions and his/her benefits equal to zero such that he/she does not under or over contribute was calculated. The model was meant to give an approximate estimate of the appropriate contribution rate to help compare with the proposed 6% in the proposed bill.

The model uses the following pension standard contribution rate formulas;

Attained Age Standard Contribution Rate (AASCR)

$$AASCR = \frac{\frac{(R-X)S}{A} \times \left(\frac{1+e}{1+i}\right)^{R-X} \times a'_R}{S \times a_{\overline{R-X}|}} \tag{1}$$

Where R is assumed retirement age, X is the age of member at date of valuation, S is salary at date of valuation, A is rate of pension accrual, E is assumed annual earning (salary) growth, I is discount rate, a^1_R is value of annuity payable from age R (allowing for any spouses pension and pension increases) and $a_{\overline{R-X}|}$ is an annuity to determine the present value of all future earnings (Allowing for the timing of contributions and salary increases)

Entry Age Standard Contribution Rate (EASCR)

$$EASCR = \frac{\frac{(R-E)S}{A} \times \left(\frac{1+e}{1+i}\right)^{R-E} \times a''_R}{S \times a_{\overline{R-E}|}} \tag{2}$$

Where E is assumed entry age, $a_{\overline{R-E}|}$ is an annuity to determine the present value of all future earnings for a new entrant and a''_R is value of annuity payable from age R, based on assumed proportion of males and females in the scheme (Allowing for any spouses pension and pension increases)

Projected Unit Standard Contribution Rate (PUSCR)

$$PUSCR = \frac{\frac{1 \times S}{A} \times \left(\frac{1+e}{1+i}\right)^{R-X} \times a'_R}{S \times a_{\overline{1}|}} \tag{3}$$

Where is $a_{\overline{1}|}$ is an annuity to determine the present value of earnings over the next year (Allowing for the timing of contributions and salary increases)

Current Unit Standard Contribution Rate (CUSCR)

$$CUSCR = \frac{\frac{1 \times S \times (1+e)}{A} \times \left(\frac{1}{1+i}\right)^{R-X} \times a'_R + (CUAL \times e)}{S \times a_{\overline{1}|}} \tag{4}$$

Where:

$$CUAL = \frac{P \times S}{A} \times \left(\frac{1}{1+i}\right)^{R-X} \times a'_R \tag{5}$$

Data analysis, discussions and findings
The data analysis and finding
Data was obtained from self-administered questionnaires, completed by 50% of respondents from different pension schemes in Kenya. Secondary data was also obtained from various researches done on the Kenyan pension industry.

The four funding methods of valuation of pension standard contribution rates gives the 6% line graph to be the average for all the four methods. This implies that the stated contribution rate in the act could be fair and is note lean on any particular individuals. The 6% deduction is not to be imposed on employees immediately but will be increased gradually over the next five years. Employers will also be required to match the deduction by every employee. An average employee changes jobs at least seven times during his or her working life. Under the current law, he can access up to 75 per cent of his pension contribution.

Attained Age Method (Attained Age Standard Contribution Rate (AASCR))
In this method, the model targets a stable level of contribution which can then be adjusted as appropriate with adjustment in the model parameter (age, salary retirement etc.) Assuming that the benefits are expected to be paid over the expected future membership of the beneficiary, this method gives a total contribution rate of 10.33%. This is to mean 5.16% employer contribution and the same rate also applies to the employee contribution. The deviation between the model result (5.16%) and 6% percent could be as a result of other extra scheme expenses like the regulatory levy and scheme administrative expenses. 6% could be a good contribution rate according to Attained age method.

Entry Age Method (Entry Age Standard Contribution Rate (EASCR)
The results are similar to **AASCR** above. The only difference is that for this method the calculations are performed at the beginning of the member`s service period. In this case the entry age assumption (25 years) was used. The method gives a total contribution rate of 11.6%. This means 5.8% employer contribution and the same rate also applies to the employee contribution. These results are on average in agreement with 6% in the NSSF Act.

Projected Unit Method (Projected Unit Standard Contribution rate (PUSCR))
In this method, the present value of all benefits that will accrue in the year following the valuation date, by reference to service in that year and projected final earnings divided by the present value of all members earnings in that year. The method gives a total contribution rate of 11.92% as highlighted below. This is to mean 5.86% employer contribution and the same rate also applies to the employee contribution. These results are on average in agreement with 6% in the NSSF Act.

Different stakeholders' perspective about Impacts of pension reforms in Kenya.
Scheme Members expressed fears that whereas there is an opt-out clause in the Act, it could prove hard for companies to get the necessary waiver to run their own schemes. As the country moves towards implementing the proposed reforms, the NSSF will be expected to operate three funds the current provident fund, the new pension fund and a new provident fund.

Fund Managers
A higher contribution as expressed by some respondents means an additional expense on employers and may affect the new employment thus erasing the need to create about one million jobs promised by the Government. The old provident fund will be given five years to

settle its dues to members, after which it shall be closed down. East Africa has been looking for ways to reform its pensions sector.

On the other hand this increase in contribution rate may prompt an increase in the level of contribution to be invested hence more income for fund managers.

NSSF Perspective

NSSF research justifying the need for NSSF's transformation depicts that only 3.1% of elderly in Kenya above the age of 55 had reported receipt of any pension. It is therefore with this concern that we need such a reform to address the above issue.

Other factors that affect the performance of the pension industry in Kenya

The respondents indicated that the determinants already identified may influence the financial performance of pension schemes. The trustees considered the global economic conditions as crucial in determining how the Kenyan economy is going to perform. They cited the recent 2008-2009 global financial crisis which affected the general world economy .This crisis also shrank the gains which had been made by the retirement benefits schemes as most investments incurred losses.

They also noted the importance of analyzing the political situation in the country before investing in any sector. The long term strategies adopted by the scheme determine the strategies to be adopted by the fund managers in investing the schemes funds. This goes a long way in delivering good returns to the scheme.

Government regulation is also another factor which affects the performance of retirement benefit schemes. Some regulations cited was where the government allowed deferred members to withdraw some of their benefits before retirement. This occasioned losses in some schemes' since the funds had been locked up in long term investments.

From the questionnaires it was clear that already 86.5% of the sample data are registered members of NSSF. Of which 23% are satisfied with NSSF services. Some of the reasons given for satisfaction include the fact most people are aware of the tax benefits pegged on their NSSF contributions. Some of the positive aspects highlighted include the fact that all employees including self-employed persons can participate in the social security. The provisions that exclude contributions from attachment, including in bankruptcy proceedings, are commendable for their intention to insulate the retired against poverty. Most of the respondents are confident that NSSF will benefits will do help them meet their retirement needs.

On the other hand, some of the reasons given for those who are not comfortable with the act include their past bad experience with the old NSSF scheme. Respondents pointed out the fact that the act has several negative provisions that would impact on the retirement benefits industry and increase unemployment. It came out clear that the act re-establishes a statutory fund with no clarity as to whether it is to take the form of a trust or a body corporate and the reference to "pension" schemes rather than "retirement benefit" schemes limits the opt-out option to pension schemes. The NSSF Board of Trustees is set up as a body corporate thereby causing confusion and ambiguity as to whether the Fund is established as a statutory fund or as a trust. Furthermore, the NSSF Board comprising two principal secretaries, seven cabinet secretaries and a managing trustee appointed by the Board will be largely appointed by the Government. The Bill makes occupiers of premises liable to inspection and any employer, servants and agents of such occupier, and any employee, shall be required to furnish a Compliance Officer all such information and documents for inspection. This is notwithstanding Article 31 of the Constitution that grants natural and corporate persons the right to privacy including the right not to have their person, home or property searched; information relating to their family or private affairs unnecessarily required or revealed. The

Second Schedule to the Bill provides for the compulsory transfer of members from the old provident fund to the new fund, but prohibits the transfer of assets, including members' contributions, to the new fund.

Misappropriation of funds and mismanagement of investments come out clear from most of the respondents. According to the report by Auditor General, NSSF may have incurred up to 76.5% of contributions on administration fees. It is on this premise that is act has attracted scrutiny and criticism from most of the stakeholders.

Transparency of the act is one of the major concerns raised by the respondents. It is clear that stakeholder education is needed as most of the respondents as much they are so emotionally negative about the bill they seem not to understand the key aspects of this bill. Most of the respondents were not able to clearly state what the bill states. One thing that came out clear is that most respondents are aware of the increase in contribution rate though they cannot really explain how the increase is to be incorporated. With lack of awareness, most stakeholders pointed out the fact that the Bill risks creating greater confusion in the retirement benefits sector. As part of a solution for the same the respondents are of the opinion that there awareness sessions should be organized in order to enlighten the public.

60% of the respondents are both members of NSSF as well as private pension. Members are fascinated with the tier 11 option of opting out as this will help grow their private pension. Specifically the private pension administrators are of the opinion that this will help grow their industry as most of their trusted members will go for the opting out option. It is of concern to them that this provision of contracting out of regulations referred to in the Fourth Schedule, are yet to be prescribed and therefore employers cannot benefit from the said provisions. The CEO of RBA in his reports said that though the Bill has room for employers with sound benefit schemes to opt out of the mandatory NSSF contributions, the conditions for opting out have not been well defined under the proposed law. This is what brings tension to private pension holders as they are not sure if the provision may be made not to be in their favor hence stands a chance to lose out.

The opt-out provision of the NSSF Act 2013 is evidently a blessing as indicated by private pension scheme members. Members are of the opinion that in opting out one may use the opportunity to set up a private pension scheme account, take advantage of contributions beyond Tier 2, which are available to all members of private pension schemes as well as diversify your retirement savings investment strategy. Some of the reasons given as to why they want to remain in their private schemes included: Increased transparency on reporting and investing, Ease of accessing account statements, Ease of managing contributions beyond Tier 2, Ease of managing third party pension transactions, such as mortgage guarantees, Ease of accessing pension benefits upon attaining retirement age and Portability of the pension scheme

Conclusion

Reforms will always be welcome. I laud efforts by the forces driving the changes in NSSF. We support especially the drive to at least ensure that the benefits that NSSF provides to Members at their retirement are meaningful and if this is the only way Members can secure their retirement, so be it. For employers who have adamantly refused to allow their Members to enjoy the benefits of having their own occupational retirement benefits schemes, the new Fund will at least create a platform that will allow worker feel like their retirement welfare is at last secure. The current move to conform NSSF to the provisions of the Retirement Benefits Act is also long overdue and should be encouraged. It is hoped that investment returns will continue to increase as the administration costs reduce or at least arrested.

However, we must reiterate the need for NSSF (at least in the mutated form) will be fully compliant with the Retirement Benefits Act and more so that its management will be

required to accept the complete oversight of the Retirement Benefits Authority. This will inject professionalism, transparency and accountability

There is therefore a need to engage all the stakeholders in the pension's industry/sector so as to allow them air their views on the Act and have their   contributions incorporated. This is in line with good Corporate Governance and industry best practice.

It is further opined that consequent to the NSSF Act 2013, the RBA Act No.3 of 1997 ought to be amended to provide that all employers must enlist their employees in a retirement benefit scheme of their choice or the NSSF. This is in line with international best practice industry standards. Consequently, the Retirement Benefits Authority (RBA) should be mandated to fully oversee the activities of NSSF in accordance with the provisions of the RBA Act;

The Pension Industry seeks a fair competitive environment where each player is given a freehand to offer service to members in the retirement industry.

According to the ILO, Universal Pensions are basically 1st Pillar social assistance measures formulated and funded by the state. A major element of the scheme is "Government or State Funding' through taxation measures so as to avail social security benefits to ALL persons and not just persons in employment. The social assistance is most critical to persons who cannot afford to support themselves and usually takes the form of social programmes such as Income Support or un- Employment Support, housing, medical aid etc. to persons who are vulnerable to a society. This is the basis of the Act.

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THE RELATIONSHIP BETWEEN WOMEN'S EDUCATION AND HUMAN DEVELOPMENT

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Abstract

The main purpose of this paper is to study the relationship between Women's Education in primary, secondary and higher education and human development level. This relationship is studied in three groups of countries with high, medium and low human development during the period 2000-2009. The results, based on panel data model estimates show that in countries with high human development, higher educated women have more effective role in human development index. However, in countries with medium human development, secondary education of women has led to increased human development index. In countries with low human development level, all levels of education are conductive to improve the level of human development.

Keywords: Women's Education, Degrees, Human Development Index, Panel Data

Introduction

One of the most important macroeconomic purposes for any country is to gain economic development. Today in the world and especially in the developing countries, most focus is on how to achieve all aspects of development, namely the sustainable development and human development. Therefore, the most of development economists' attention focus on the issue of how these objectives can be achieved in a shorter time (Koulaie& Hafezian, 2006).

Today, without the participation of women who constitute half of the world's population, achieving the real development would not be possible. So the assessment of women's participation in the development process seems to be more important. In this regard, given that the world women's education share has a growing trend, need to review the status of women participation in economic, health and political sections and creating type of reliable mechanism to strengthen their active participation is necessary (Mousavi Khameneh et al, 2010).

Given the importance of human development and educating women as the future mothers, this paper aims to identify the appropriate level of women's education and investing on them, based on the degree of development of the countries. Here there are two major hypotheses which should be introduced as:

1- The higher education of women in all countries has a significant and positive impact on human development.

2- Higher education of women in countries with low human development, has less impact on the human development level of countries.

The paper structure is as follows: in section two and three, theoretical background and research literature is presented. The fourth section introduces the variables, data and model. Model estimation results are presented and analyzed in section five and finally in section six, conclusion remarks and policy proposals are debated.

Theoretical framework of women's education role in human development

The role of women in development was paid more attention, since the early 1970s. Evidence shows that modernization and development have led to imbalance in outcomes for men and women, so that men have been the beneficiaries of this process and women, the victims (Ketabi, 2005). Certainly a society which tries to achieve development, should consider reducing inequalities in all political, cultural, social and economic dimensions, in particular the inequalities which the measure is sexuality. Development has never been a neutral follow and often neglects women from many aspects and hurt them. However, a part of the Millennium Development Goals is to ensure that by 2015 all children, both girls and boys would be able to finish a full course of primary schooling and gender discrimination in primary and secondary education, preferably by 2005 and at all educational levels in 2015 wiped out. Still amongst 680 million children in developing countries who are in elementary school age, 115 million children do not attend school that girls constitute three-fifths of the number. The statistics are where the world moves to appropriate use of its manpower, developing countries can have a role in the development of the society in the use of human resource by proper training and it does not work unless determining the status of women in society and trying to raise their awareness through education and giving them the right to freedom and equality. Therefore, the purpose of education is necessary in order to achieve other development goals (Mousavi Khameneh, 2010).

Gender differences in general and gender gap in education particularly, are considered the major obstacles to economic growth and development. The developing countries in recent decades' experiences show that increasing investment in human resource, especially women's education, provides background necessary to achieve higher economic growth and social welfare. Because women participation as half of the potential labor force can be effective in the community development, eliminating gender disparities and gaps in various sectors of the economy and the education not only leads to more "equality" but also higher "efficiency" (Emadzadeh, 2003).

One of the most fascinating and meaningful reports of United Nations, is the human development report, which is published each year since 1990. According to this report, life expectancy, education and income are factors that need to be improved to cause a positive change in the human development index. Obviously this is not possible without a comprehensive program to achieve these goals. Human development index alone indicates the status of a country and any positive or negative changes in it, shows the moving forward or backward of the country. This index is based on three indicators of life expectancy, education and Gross Domestic Product. Furthermore, education directly improves HDI and has the positive impact on the other two measures namely long and healthy life and achieving a standard level of living (King, 1987). HDI value for a country suggests the extent of the path to achieve its defined objectives. These goals include: average lifespan of 85 years, access to education for all and a decent level of income. HDI index is a measure which takes figures between 0 and 1. So that, the countries which their HDI is closer to 1, should take a shorter route to reach these goals. The human development reports divides the world countries into three categories: countries with high human development (0/8-1), medium (0/5-

0/799) and low (0-0/49) as criteria to classification (2005, Koizumi, M.D, Hisako)[64]. One of the benefits of HDI is to show how low-income countries can have even better performance than higher-income countries. HDI does not focus only on income. The difference between HDI and GDP, shows how countries with similar GDP, have large differences in HDI, and it's due to the use of their wealth (Anxo and Lindh, 2010).

Research background

In recent decades, extensive studies on the role of women in development have been done at international level. Although most of these studies have been conducted in developed countries, but the importance of this subject has led to formation of valuable studies also in developing countries. An important outcome of extensive research in the field with remarkable advances of econometrics and computational tools in the past decade has motivated revising the premade models and more comprehensive and accurate studies.

Barro and Lee (1994) have reported remarkable findings from regression of years of education of men and women. Their findings show that a large gap in men and women's education is associated with low economic growth. In contrast, the results of Daller and Gatti's research (1999) in Latin America showed that Women's Education cannot be associated with low economic growth. Also in this study, the relationship between gender inequality in education and economic growth has been studied in 5 years period from 1975 to 1990. The researches against Barro's comments found that completing high school education for women has a positive relationship with economic growth, while finishing high school education for men has negative relationship with economic growth.

Some research also indicates the role of Women's Education in relation to the rate of employment. Munch and Wignbergen (2009), have examined the factors affecting the labor market participation of women in different age groups in Europe during 1995 to 2008. The results of this study show that higher education in each age group has positive impact on women participation rate. But only a high school education level until the age of 40 increases their participation rate in the labor market, so for the older age groups, has no effect on the rate or may even have negative effects. In general it was found that Women's Education in higher degrees, in each age group, will increase their participation in the labor market and an increase in participation rate can help reduce pressure on economic growth and financial stability in Europe.

Ince (2010), using time series regression and VAR model, has investigated the different levels of women education, fertility rate and the other human development indices on gross domestic product growth over the period 1980-2009. The results show that the level of women's education has a positive effect on their situation in society. Tending to participation in labor market is more among women with higher education. This means that increasing years of education among women, increases their participation rate in labor market which leads to an increase in GDP.

Barro (1990), in his article entitled "education and economic growth", concentrated on human capital as a tool for economic growth. The results show that Women's Education in secondary school and higher education is not efficient in the labor market of many countries, but the growth clearly depends on the education of males at the elementary levels. The study also doing the same work for OECD countries, acquires relatively similar results for this group of countries.

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[64]-During the recent years, countries have been divided into two groups in terms of human resource development, namely high human development and very high human development. But regarding the research study period, previous classifications have been utilized.

Anxo and Lindh (2010), in an article entitled "the impact of women on India development", have examined the effects of active population parameters, the rate of the employed women labor force between 15 to 64 years old and women participation in secondary school on human development index in the period 1980-2006. In their study they found that the HDI index introduces development concept better than GDP. The final result proved the point that education is an essential factor for development.

Model Estimation and data

This study is based on panel data econometric model to examine the factors affecting human development index with emphasis on the role of women. In recent years with development of econometrics methods, using panel data across studies is important. One of the main reasons for the importance of this method is increasing the data, degree of freedom and thus boosting the confidence level of the results (Baltagi, 2005).

In this model, the human development index (HDI), considered as dependent variable. HDI index is measured based on three criteria, long and healthy life, access to knowledge and standard living. The model independent model variables include: Percentage of educated women in primary, secondary and higher education. The control variables such as per capita income and the cost of health care, is considered in the model to prevent occurrence of clear bias and eliminating serial autocorrelation of disturbing items.

To collect the data which are needed for the model estimation, WDI 2010 software package and human development reports have been used. In the estimation of the considered model, the data of the all countries in three groups of countries with high human development, medium and low have been used.

For the analysis of panel data, the Breusch-Pagan and Hausman tests have been used which the results indicate of existing a unilateral model with fixed effects. Also the estimation results of the model examining the relationship between the Women's Education level and human development for each group of countries have been presented according to the experimental and theoretical foundations divided into three groups of countries with high human development, medium and low. In general, according to different classes of countries that have been classified in three groups, the model is identified as:

$$\text{HDI} = f(\text{Sp}, \text{Ss}, \text{St}, \text{z}) \tag{1}$$

S_p is the percentage of women with a primary degree, S_s the percentage of women with a high school diploma and S_t the percentage of women who have a university education. Z represents other control variables that influence human capital. Thus the experimental model of present research is the following log-linear model.

$$\tag{2} \ln(HDI) = \beta_1 + \beta_2 \ln(Sp_{it}) + \beta_3 \ln(Ss_{it}) + \beta_4 \ln(St_{it}) + \beta_5 \ln(GDP_{it}) + \beta_6 \ln(H_{it}) + U_{it}$$

Model estimation results for countries with high human development

Model estimation results for countries with high human development are shown in Table 1:

Table 1: Model estimation results for group 1

Independent Variables	Fixed Effect
C	-1.554 (18.481)*
Sp	0.015 (1.1160
Ss	0.007 (1.599)
St	0.25 (7.303)*
GDP	0.103 (14.621)*

H(Health)	0.026 (8.829)*
F=1468.143 R2 =0.995	

Numbers in parentheses indicate t-statistics and significance at the 1% level.
Source: Research findings

The estimation results of Women's Education role model in countries with high human development indicate that increasing in the proportion of women in education in the universities leads to improve in human development index in these countries. The results are considered from different directions. The main reason for the lack of impact of Women's Education on human development in these countries is the possibility of free and compulsory education up to the end of high school and also households can afford for their children's education so that most people in this age period benefit from these studies. Hence the possibility of increasing the number of women in these degrees (with respect to the exercise of virtually all of people) is highly unlikely.

In the academic sector in these countries the subject is slightly different, so that the following possible reasons for analysis of women's share positive effect in university education can be considered:

1. The education in some of these countries are provided for free but for others not.
2. Traditionally, men are the head of household financing. Over time, this has advanced to highlighting women's role in this field and their financial independence.
3. These degrees contain substantial unexploited opportunities by men.

So over time and according to empty capacities in the university degrees and the implicit desire of women to obtain an university degree in order to participate in the production, their presence has increased and this has led to improvement of human development level in this group of countries.

Model estimation results for countries with medium human development

Model estimation results for countries with medium human development are shown in Table 2:

Table 2: Model estimation results for group 2

Independent Variables	Fixed Effect
C	1.112 (9.513)*
Sp	0.035 (1.479)
Ss	0.060 (5.102)*
St	0.048 (8.597)*
GDP	0.014 (1.104)
H(Health)	0.013 (1.734)
F= 763/662 R^2=0/992	

Numbers in parentheses indicate t-statistics and significance at the 1% level.
Source: Research findings

To examine estimation results in the countries of this group, the women share coefficients for university and high school education have a positive and significant impact on human development, while the women share coefficients for elementary education has no effect on human development of these countries. In this group of countries, elementary education according to households' financial power is similar to the countries in the first

group. So according to the points mentioned in the previous section, women share in this level has no impact on human development. But for high school education due to new educating capacities, the women share in education, because of their remarkable growth over time, has boosted and directly increases the human development index (HDI). In association with higher education, the major explanations for the first group countries, will also apply in this group.

Model estimation results for countries with low human development

Model estimation results for countries with low human development are shown in Table 3.

Table 3: Model estimation results for group 3

Independent Variables	
C	-1.772 -(8.520390)*
Sp	0.077 (2.925)*
Ss	0.041 (3.651)*
St	0.021 (3.761)*
GDP	0.029 (0.902)
H(Health)	0.075 (5.752)*
F= 937/645 R^2=0/999	

Numbers in parentheses indicate t-statistics and significance at the 1% level.
Source: Research findings

In countries with low human development, increasing women share in all levels of education, has led to improvement in human development level in these countries. When examining relationship between variables in these countries it should be noted that the most of these countries due to low level of income and inefficient and not suitable income distribution system, there is no coherence in the different education levels. Illiteracy rate is high in these communities and the labor productivity is at least as possible. In these circumstances, a slight increase in the education level of each degree, given that these countries are in low levels of growth, because of the increased efficiency of the work force will greatly affect the social welfare. Thus, unlike the countries of first group, because of the prevalence of illiteracy in these communities, great potentials to attract training is quite likely, So that being literate in this group of countries is quite distinct and effective on the development of these countries, while in the first group countries, literacy is a primary and perfectly normal need.

In recent years, due to the activities of international organizations in these countries, the share of educated people in these societies has grown gradually. This has resulted that educated women can join to men in society production and play their role in improving the level of human development in their country.

A surprising result is the increasing effect of Women's Education share with lowering their educational levels such that effect of one percentage increase in women share in elementary level leads to 0/07 percentage improvement in human development of these countries. As it is shown the coefficient is 0/04 for high school and 0/02 for higher education. This shows that women in these countries have not yet presented effectively in the highest levels of management and decision making in such a way that increasing their share in higher

education due to their presence in universities has failed to show real impact on developing in these countries.

Conclusions and policy recommendations

The results for all three groups of countries are summarized in table 4.

Table 4: Comparative effects of women education on countries development

Education Level / Development Rank	Primary	Secondary	Higher
High Development	0.01	0.007	0.02*
Median Development	0.03	0.06*	0.04*
Low Development	0.07*	0.04*	0.02*

* indicates coefficient significance
Source: Research findings

As discussed in the previous sections, the first hypothesis stating that "Higher education of women has a significant and positive impact on human development in all countries" and the second hypothesis "higher education of women in countries with low human development, has lower impact on human development level of countries" both are not rejected.

By comparing the results obtained for each group of countries it can be stated that with increasing development levels of countries, the women share role in lower education becomes less and in higher education becomes more important. In this regard, the following points should be noted:

Increasing the share of women in education only leads to improvement of human development levels so that women by making use of the unexploited educational potential in the society could increase their educational level. In these circumstances, educated people with good productivity are added to the previous workforce of the society which can lead to an improved level of human development in their communities.

Women share in higher education can be effective in the presence of women in decision-making levels of the community.

According to the arguments presented and the results obtained in this study, the policy proposals divided into three groups of countries can be offered:

It seems that in countries with high human development, creating incentives for greater participation of women in society, leads to their welcome to university education which causes improvement in human development of these countries in a high level of economic growth.

It seems that in countries with medium human development, given the training facilities in recent years, helping women in higher education, has significant impact on development of these countries directly and in- directly.

Ultimately creating necessary conditions for the eradication of illiteracy due to the high impact of women share in basic education and higher participation of educated women in the macro-level management, can provide the appropriate condition for the growth of the countries with low human development.

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LA AUTORÍA EN LA TRADUCCIÓN: A PROPÓSITO DE LA TRADUCCIÓN AL ESPAÑOL DE *WOMAN & LABOUR* DE OLIVE SCHREINER

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Abstract

A close inspection of the first Spanish translation of *Woman and Labour* (Olive Schreiner, 1911) by Flora Osete (*La mujer y el trabajo*, 1914) leads us to research the circumstances that brought about its publication. The concept of authorship is revisited as well as the apparent fraud created by the substitution of the translator's name.

Keywords: Flora Osete, Pérez Hervás, Schreiner, authorship, translation

Abstract

Los libros en lengua extranjera de contenidos especializados los traduce un experto de ese sector en algunas ocasiones; en otras, van a parar de oficio a aquel a quien profesionalmente le toque. Nos planteamos el caso de Flora Osete, a la que se ha ensalzado y puesto en primera línea del feminismo por su papel de mujer-traductora de la obra de Olive Schreiner *Woman and Labour* (1911). Tras haber probado que el nombre de la traductora es un seudónimo o nombre alternativo de un hombre-traductor, cabe preguntarse si este aparente engaño hace menos creíble la traducción. Se revisa el concepto de la autoría en la traducción y el aparente fraude comercial derivado de la sustitución del nombre del traductor.

Keywords: Flora Osete, Pérez Hervás, Schreiner, autoría, traducción

Introduction

1. Origen y motivo: a modo de presentación

El estudio de la primera traducción al español de *Woman and Labour* (Olive Schreiner, 1911), firmada por Flora Osete (*La mujer y el trabajo*, 1914), invita a revisar las circunstancias que dieron lugar a esta obra. Nuestra investigación permite también dar cuenta de algunos aspectos del concepto de autoría en la traducción. Este trabajo incluye parcialmente la investigación de la autora en su tesis doctoral *José Pérez Hervás: escritor traductor y lexicógrafo* llevada a cabo en la Universidad Nacional de Educación a Distancia (UNED).

Hace falta decir como preámbulo que el reto profesional de sacar a la luz al verdadero autor de una obra va acompañado siempre de la propia historia interna que lo motiva. En una investigación previa, sin la que no se podría haber llegado a esta, se concluyó que el traductor al español de *Woman and Labour* no se correspondía, sin más, con el nombre que aparece en la portada: Flora Ossette (Silva & Silva, 2014). Al hilo de ello, surgen dudas e incertidumbres que solo se pueden responder a partir del entendimiento del porqué de la sustitución del nombre, en lo que, aparentemente, se podría percibir como un engaño comercial más de los

que se hacían en la época. Al margen de cómo llega a darse esta situación, se refuerza la integridad del texto a partir del cambio del género del traductor.

I.
Condicionantes y condimentos
Sustitución del traductor

La confirmación de que el autor original de la traducción de Olive Schreiner es el marido de Flora Osete: José Pérez Hervás (JPH), requiere empezar por la razón del cambio en sí mismo, dejando aparte, para después, la ortografía alterada del apellido Osete.

El cambio de género en el nombre del traductor confunde al estudioso por tratarse en este caso de un autor hombre que utiliza un nombre de mujer en un momento histórico en el que se hace, por sistema, lo contrario: las mujeres son las que firman con nombre de hombre o, alternativamente, con iniciales asexuadas. A comienzos del siglo XX, está bien estudiado, la mujer había de hacer así las cosas en lo que competía a la autoría para ser tomada en serio como escritora, y especialmente cuando se dedicaba a asuntos alejados de las ocupaciones tradicionalmente consideradas propias de mujeres. Que sea el nombre de la *esposa* el elegido como subterfugio representa otro reto que hay que solventar (v. § 2.3), dado que este tipo de trueque de autores entra en una rara subcategoría en el mundo de los seudónimos. Es importante hacer constar que el uso de un nombre de mujer por un hombre, fenómeno relativamente común en el mundo anglosajón, es infrecuente en España, e inexistente, hasta donde ha podido llegar nuestra investigación, en las letras latinoamericanas.

Panorama editorial, divulgación de la cultura y traducción

La difusión de la cultura en la península se da históricamente a la par del desarrollo de las grandes empresas editoriales, con Montaner y Simón, y Espasa a la cabeza. En un momento u otro de su vida, Pérez Hervás ocupó diferentes puestos de responsabilidad en ambas editoriales. La publicación masiva de obras de interés general es parte consustancial del momento histórico. Los catálogos de las editoriales de la época se llenaron con docenas de títulos, y con obras enciclopédicas que vinieron a justificar las inversiones, algo novedoso y de casi imposible realización antes de finales del siglo XIX y principios del XX.

Las traducciones, que son foco de nuestro especial interés en esta investigación, van a ocupar un lugar destacado en esta etapa por haber abundancia en las librerías de obras escritas originalmente en lengua extranjera. La traducción desde una lengua intermedia, por ello, se vuelve fenómeno habitual en ausencia de traductores competentes de todas las lenguas. El reciente descubrimiento del caso del vertido de los dramas completos de Shakespeare al español por Blasco Ibáñez es un ejemplo de ello. De acuerdo con Inmaculada Serón, las traducciones publicadas por el autor valenciano no se llevaron a cabo desde el original inglés sino que fueron producto de *reescribir* bajo un seudónimo antiguas traducciones al español realizadas en la mayoría de los casos desde el francés (Molina, 2014).

Aunque de aparente engaño se pudiera hoy calificar esta actividad, era práctica habitual en su momento. Pardo Bazán renuncia a aprender ruso para traducir directamente a los grandes literatos de esta lengua. Según nos dice, debido al tiempo que le costaría hacerlo – dos años, según ella– ya que *retardaría demasiado su deseo de conocer la literatura rusa ¡ya!* (Freire López, 2006). Como consecuencia directa de esta renuncia, Pardo Bazán traducirá a los rusos desde el francés.

La traducción de la obra *Narraciones de un cazador* de Turgueneff (Editorial Ibérica, 1914) es un intento de abordar el acceso y difusión de la literatura rusa por medio de un camino diferente. Se anunció la publicación con el reclamo de ser una traducción directa del original. Planeada la obra con esta pretensión, se le presenta a la editorial la necesidad de elegir un traductor y, por razones que se desconocen, la elección recae finalmente en JPH,

que, para nuestra sorpresa, averiguamos que no tenía el ruso entre sus lenguas de trabajo. No hay constancia documental del engaño implícito pero sí de que el que hizo la traducción fue él (Pérez Hervás, 1935). De que el ruso no estaba entre las lenguas que dominaba se colige del análisis de su abundante obra traductológica y queda confirmado en un comentario biográfico en *Espakalpe* (1935) en el que él mismo explicita las lenguas que domina. Por otro lado, de lo que sí tenemos constancia es de que la traducción acabará finalmente en la imprenta con las iniciales '*F.O.*' en portada.

Basta saber que JPH era suficientemente conocido en el *mundillo* de los traductores para que quede justificada la ocultación de su nombre. La estratagema quedó así a buen resguardo. La aparición de las iniciales *F.O.*, sin embargo, necesita de una reflexión aparte, que se hará más adelante en el apartado (v. § 2.3).

En 1935, aparte de declararse autor de la traducción de Turgueneff, Pérez Hervás también se proclamará autor de la traducción de Schreiner que motiva este trabajo. El dato aparece impreso en el apartado de *Otras producciones del autor* de su libro *Espakalpe*. En este último caso, en traducción para Montaner y Simón. El contrato de la traducción, a diferencia de otros similares, no consta en los archivos de Montaner y Simón que se encuentran hoy en la Biblioteca de Cataluña. Su hallazgo, como veremos más adelante con otro caso parecido, sería un documento definitivo de lo ocurrido, al especificarse en él, por costumbre, quién es el traductor y no el nombre de quién figura en la portada.

Si bien es prácticamente seguro que la traducción de Turgueneff la hizo JPH desde el francés, no podemos descartar totalmente el inglés, que era lengua que dominaba y de la que fue profesor, sí estamos en condiciones de asegurar que la traducción de Schreiner se hizo desde su original inglés. Hay que desestimar que lo hiciera desde el francés porque la única versión existente en esta época, que aparece publicada con fecha de 1913, es, a diferencia de la de Montaner y Simón, incompleta. La traducción francesa, debemos recordar, se proyectó como una versión *accessible à des lecteurs de langue française. Et cela surtout en l'adaptant à notre mentalité latine, en le* condensant*, en en élaguant les branches inutiles* […] (Gourd, 1913, Preface).

Como curiosidad, al realizar esta investigación, se ha descubierto que hay otra traducción, en este caso parcial, firmada por Gregorio Martínez Sierra ("La mujer moderna", *Blanco y Negro*, 1915), y de la que, por medio de un simple cotejo, se puede constatar que es independiente de la aquí estudiada. Caso de aceptarse que la traducción de Martínez Sierra fuera de María Lejárraga, su esposa, se plantearía, curiosamente, una situación inversa a la aquí presentada.

Flora Osete: en portada

Retomamos la difusión a gran escala de las nuevas ideas que se abrían paso en aquel entonces debido a que la obra *Woman and Labour* pertenece a esa corriente innovadora, en este caso en el apartado de las ideas feministas. Esto nos permite adentrarnos en el porqué del nombre de Flora Osete como traductora de la obra. Del análisis de las traducciones halladas de *Woman and Labour* (Silva & Silva, 2014) se obtiene un patrón invariable: todas están traducidas por mujeres, y casi siempre por mujeres feministas reconocidas. Hasta la autora de la traducción francesa, que escribía sus obras firmando con el *asexuado* nombre de T. Combe, es señalada en la introducción de Émilie Gourd a la traducción con un inequívoco *Mme* 'madame' (Lausana y Paris, 1913). El seudónimo, como curiosidad, ocultaba a la más tarde reconocida Adèle Huguenin.

La llegada del feminismo a España va a la par del desarrollo de una nueva masa lectora y consumidora de esta temática. La inauguración de secciones en la prensa dedicadas a sensibilizar y difundir una nueva percepción de la mujer y de sus derechos políticos son parte de esa tendencia. Un buen ejemplo de ello sería la sección *La mujer moderna* en Blanco

y Negro, espacio ofrecido en 1915 a Gregorio Martínez Sierra, y del que se puede hoy aventurar que contaría muy probablemente con la colaboración de su esposa María Martínez Sierra.

La presencia de un nombre de mujer en la portada de un texto orientado a un colectivo femenino se ha vinculado en esta época a la tendencia a publicitar la ensayística feminista y sobre la mujer en general, con especial atención puesta en lo que concierne a sus aspectos reivindicativos. Esta política era costumbre habitual en la editorial Montaner y Simón como lo atestigua el que ya en 1907, el libro *La mujer moderna en la familia* de Juan Bautista Enseñat apareciera firmado por *LA CONDESA DE A** en lo que hoy podemos calificar como un intento premeditado de ocultar el género del autor original. El contrato correspondiente del autor con Montaner y Simón, al que se ha tenido acceso, no contiene ninguna alusión a esta autora identificada misteriosamente como *La Condesa de A**.

La elección del nombre de *Flora Ossette* para ocupar el lugar del traductor ficticio de *La mujer y el trabajo* es asunto de complejo análisis que conlleva la difícil responsabilidad de desproveer a un autor-traductor de su obra.

Nuestra investigación ha permitido identificar el cambio de nombre del traductor como una extensión natural y lógica de aquella *F.O.* aparecida en la portada de Turgueneff. La circunstancialidad de ambos casos, Turgueneff y Schreiner, habría quedado en el limbo de los justos si no fuera porque el propio JPH se atribuye la paternidad de las traducciones. Lo que para él no era más que parte de su oficio, para ella requiere una conjunción de hechos extraordinarios: saber ruso, por Turgueneff; saber inglés, por Schreiner, y ponerlo en práctica una sola vez en la vida. No se entiende que con los contactos que JPH tenía como traductor, ella no participase en ninguna otra traducción. A la vista de lo investigado, se percibe como un remedio casero que, cuando se escarba, no cuesta encontrar repetido en otras bien documentadas ocasiones. El caso de Yasmina Khadra viene a colación. En una entrevista a Mohammed Moulessehoul, nombre encubierto tras Khadra, el autor relata el porqué de escoger el nombre de su mujer como seudónimo. Nos dice que llegó a él a partir de un *ofrecimiento-sugerencia* de la propia Yasmina Khadra. De esta forma se venía a resolver un conflicto externo –en este caso de otra naturaleza– escondiendo y protegiendo el cambio de nombre en el hermetismo familiar. El tipo de relación entre FO y JPH parece ceñirse a este modelo según se desprende de los comentarios directos de FO, que podemos reconstruir al quedar, por circunstancias históricas, impresos como *ejemplos autoritativos* de contenido autobiográfico en el *Gran diccionario de la lengua castellana (GDLC)*. La circunstancia del encargo a Pérez Hervás de la terminación del *GDLC* nos permite acceder a la voz, en este caso "lexicografiada", de Flora Osete.

A partir de la investigación de estos ejemplos (Silva & Silva, 2014) es posible recomponer el entorno familiar y el uso biográfico de estos en lo que se puede calificar de un cuasi diario familiar (v. § 4). Un estudio detallado de ello se puede leer en Silva (2015).

Feminismo y traducción

Algo se ha escrito sobre la *visibilidad feminista* en la traducción de Flora Osete (Rivas Carmona, 2011), y de cómo podría haber afectado el resultado de la traducción. Por tratarse según lo ya expuesto de una traducción de *hombre* no faltará quien piense en una posible adulteración del mensaje original de O. Schreiner (Castro, 2009). No hay sin embargo que temer en este caso por ello.

La formación académica de Pérez Hervás como jesuita y su posterior evolución ideológica hacia terrenos republicanos y anarquistas, así como sus escritos políticos e ideológicos, dejan poco espacio para dudar sobre su progresismo o vanguardismo social y revolucionario, que en este caso se suman. El intercambio de artículos de JPH con Federica Montseny en la *Revista Blanca* nos permite conocer de primera mano las ideas de JPH sobre

la mujer y la situación social que atravesaba en la época. La inclusión de pasajes copiados literalmente de la traducción de O. Schreiner nos da cuenta, por si cupieran dudas, de la interiorización en su propio ideario de las ideas traducidas. También, la lectura del ensayo crítico añadido a la traducción de OS nos confirma que JPH estaba bien informado sobre los contenidos que traducía. Es rasgo común de muchas de sus traducciones. El deseo de Montaner y Simón de incorporar ensayos en las traducciones, costumbre con arraigo en la editorial, hizo que, en el caso que nos ocupa, los intereses de ambas partes, y la pericia reconocida de JPH como escritor se aunaran en un proyecto común.

No merece mucho espacio el cambio ortográfico que observamos en el paso de Flora Osete a *Ossette*. Es toque artístico-ornamental, de poca incidencia en lo que aquí se presenta, que solo le da cierto aire exótico. Ornato que retomaría después la familia nombrando al trío musical de sus hijas como *Preziossette* juego de palabras fundiendo «Pérez y Ossette». En homenaje a esta transformación, su hija Ángela, compositora y pianista, adoptaría posteriormente el nombre profesional de *Pérez Ossette*.

El paso a la historia de Flora Osete

Garantizado queda el paso a la historia de Flora Osete, por si alguien ve un quebranto a la integridad de su nombre. Nunca quedará anónima. La coincidencia de que fuese Pérez Hervás el lexicógrafo designado para completar el *Gran diccionario de la lengua castellana* propició la oportunidad de incorporar su voz como autoridad. De entre las más de cuatrocientas citas entresacadas de Flora Osete y del propio Pérez Hervás, un centenar y medio de ellas nos recrean en forma biográfica la vida familiar y la complicidad existente entre marido y mujer. Aparte de la originalidad de incorporar el habla coloquial como lengua autoritativa, el contenido de las citas abunda en sus relaciones, ideas y posturas ideológicas.

Las circunstancias han hecho que FO haya sido mucho más citada por su participación en el *GDLC* que por el uso espurio de su nombre como heterónimo de JPH. Su nombre ha prestado servicio para el comentario de lexicógrafos y filólogos: Corominas y Pascual, Cuervo, Malkiel, Kohler (Silva & Silva, 2014).

Conclusion
Comentario final

Preservada la integridad de la traducción y garantizada la fidelidad al original, podemos afirmar con absoluta rotundidad que el cambio en la autoría de la traducción no traiciona el pensamiento de Olive Schreiner. La profesionalidad de Pérez Hervás queda por encima de toda crítica. Su producción y su trayectoria así lo acreditan: escritor, lexicógrafo, poeta, periodista, traductor y director artístico del *Espasa* (Silva, 2015).

El uso del nombre de su esposa no se debe analizar como un seudónimo más de entre los muchos que JPH utilizó en su vida profesional. Es azarosa complicidad que, de acuerdo con lo aquí presentado, tapa circunstancias editoriales de política comercial y prácticas de mercado hoy quizás repudiables pero habituales en la época en que se desarrollaron.

Un análisis estilístico, que es posible en variados y diferentes niveles, solo confirma lo dicho. El estilo recargado y ampuloso de JPH es reconocible en el conjunto de su basta obra como traductor y autor; y no se corresponde con el que podemos entresacar de la lectura de los ejemplos de Flora Osete en el *GDLC*. No es parte de este trabajo ahondar en ello.

Aunque no se puede dar por descontado que Flora Osete releyera la traducción, e incluso participara con sus comentarios en el ajuste del texto y del metatexto, todo indica que, por lo arriba apuntado, es imposible desligar a Pérez Hervás de la autoría primaria de la traducción.

La importancia de la autoría, se podría concluir, tiende a variar en cada época adaptándose camaleónica e interesadamente a sus propias necesidades y prácticas.

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ORIGEN DE LAS ESTRATEGIAS DISTRIBUTIVAS POR REDUPLICACIÓN EN ESPAÑOL Y PORTUGUÉS ANTIGUOS

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Abstract

Our knowledge about the unusual history of the syntactic construction *Reduplicaciâ³n Numeral Distributiva* (RND) in Medieval Latin, Old Spanish and Old Portuguese is very limited. A prefab example of RND is **E ovo [â€¦] en cada pared de amos los costados treinta varas de* V V *cobdos*â€; i.e., â€[â€] varas de V codos *cada una*â€™. Reduplicative numbers disambiguates collective and distributive semantic interpretations. This construction is documented throughout four centuries (10th C-13th C.) in western Spain and Portugal. Defining the nature of this structure and documenting its evolution are two major goals in this research.

Keywords: Numeral reduplication, distributive readings, Old Spanish, Old Portuguese

Resumen

Nuestro conocimiento sobre la Construcción Distributiva por Reduplicación Numeral en el noroeste peninsular medieval (latín medieval, castellano y portugués antiguos) es escaso (Sánchez-Prieto &Horcajada Diezma 1994, 1999): **E ovo […] en cada pared de amos los costados treinta varas de* V V*cobdos…* (G Estoria); i.e., 'varas de V codos cada una'. La construcción, con cuatro siglos de vida activa (s. X-s. XIII), se documenta en este trabajo con precisión. Hasta el siglo dieciocho (Ribeiro 1798) no hay fuentes historiográficas de la construcción, que se circunscribe al ámbito jurídico portugués. Hasta el S. XX no hay constancia lingüística (Alonso 1962, Corriente 1980, Leite de Vasconcellos (1959). Por la inexistencia de esta construcción en la tradición latina, se presentan sobre su origen hipótesis con un común denominador semita, justificándose, al mismo tiempo, su origen popular (Hofmann-Zantyr 1964, *Inquirições Gerais* de D. Afonso III, *SIVE FORALIA* 1258).

Palabras clave: Reduplicación numeral, distributividad, español antiguo, portugués antiguo

Presentación

No es frecuente encontrar una estructura gramatical que sirva para historiar con precisión la vida de un colectivo, y menos aún, cuando se trabaja con hechos de hace más de un milenio. El caso que presentamos es excepcional, modélico y novedoso. La ejemplar estructura aparece atestiguada por primera vez en el noroeste peninsular ibérico a comienzos del siglo X, y pervive hasta más allá del siglo XV. Con la reconquista y las repoblaciones ampliará sus dominios por los (futuros) reinos aledaños. Un ejemplo prefabricado de esta estructura, llamada técnicamente de Reduplicación Numeral Distributiva (en lo que sigue RND), sería el siguiente: "pagarán *seis seis* monedas", reduplicación que competirá en la Edad Media con "pagarán *seis* monedas". Si el segundo ejemplo permite la doble lectura colectiva y distributiva, el primero queda reducido a la segunda: no recibe el conjunto *seis monedas* sino cada uno. Podría decirse informalmente que la estructura posee una interpretación semántica próxima a la de aquellos casos en que en una carnicería le decimos

al empleado *póngame mitad mitad* 'mitad de uno y mitad de otro', o a aquellos otros en que en un tanteador de tenis decimos *están 30 30* '30 para cada uno o 30 iguales'.

Los datos proceden de la consulta de variados corpus entre las que se destacan Davies (2002), Davies y Ferreira (2006-), RAE (2004-2005), CICA (2008) y *Google Web Search*.

El colectivo protagonista y agraciado sujeto historiable es el *hispanogodo*, el cual, desde esta nueva perspectiva, no solo no se habría diluido tras las invasiones musulmanas en un macroscópico grupo "cristiano", como se ha propuesto en varias ocasiones (Castro 1962), sino que aparecería como un poderoso superestrato —en parte equiparable al de la Francia de los francos— con capacidad de liderar y marcar el futuro peninsular durante las siguientes centurias. La propuesta está sedimentándose, pero los datos que la avalan son incuestionablemente prometedores.

La excepcionalidad de la RND

Una construcción gramatical que se puede usar como bisturí histórico tiene por fuerza que estar engarzada en sus hablantes de forma inusual. La parcela filológica de la construcción, de suyo, es clara e incontrovertida: no hay una realidad evolutiva románica que pueda dar vida a la RND. Si excluimos la azarosa generación espontánea, que no nos ayuda nada, este tipo de estructuras no tienen cabida ni en la tradición patrimonial del latín ni en la de las primitivas lenguas vernáculas del noroeste ibérico: español, portugués y leonés. Su rareza está acreditada por el escaso número de lenguas —una treintena— que la tienen como propia (Gil 2009), y en Europa, solo el extrapeninsular húngaro. El que alguna de las lenguas con RND sea criolla (Durrleman-Tame 1984) tampoco favorece una adscripción a esta tipología. Por ello, nos vemos avocados a postular una "transfusión" o transmigración geográfica de algún tipo. El proponer, como algunos han hecho, que se debe a un contacto con el mundo musulmán o judío —grupos cuyas lenguas poseían la RND en aquel entonces— es poco restricto y, en verdad, no ayuda mucho en la investigación, pues de plantearse así el caso, debería haberse desarrollado también (esta reduplicación) en otras bien documentadas zonas de contacto, tanto peninsulares como extrapeninsulares. Y no es así. El este peninsular, sin ir más lejos, carece de RND (CICA, Horcajada Diezma & Sánchez-Prieto Borja 1999).

La filiación árabe —como dato filológico— la propusieron en su día Galmés de Fuentes (1956) y Martín Alonso (1962), aunque sin explicar por qué el hebreo no podía ser digno de tal consideración. Tampoco se explica fácilmente cómo un constructo lingüístico de los vecinos enemigos del sur puede pasar a ser parte integral de la administración notarial pública de un reino norteño cristiano.

La necesidad de renovar la codificación de la *distributividad* en latín ya era evidente durante el imperio; la decadencia de los numerales distributivos, de los que apenas quedan rastros —*sendos*, *dini* 'dinero', *trini* 'Trinidad, terno'—, y el préstamo temprano de la preposición griega *kata* 'cada' dan fe de ello. Aunque se acostumbra a percibir el *cada* medieval como muy próximo al actual, nada hay menos cierto. La historia de la lengua demuestra que *cada* tendrá que recategorizarse y gramaticalizarse como cuantificador. De la elemental observación de ejemplos como *cada unos* o *cada una tierra* o *dejando en los fuertes cada dos compañías* se puede convenir que *cada* no se asienta gramaticalmente hasta épocas muy posteriores a la tratada. Estos usos, hoy anómalos, son aún frecuentes a finales del siglo XVII (López Palma 1985, citando a Martínez Amador).

A diferencia de la tradición románica, las lenguas semitas sí poseían estructuras reduplicadas en la época gótica, tanto con numerales como con sustantivos (Corriente 1980). Dejando del grupo semita fuera el arameo, quedarían el árabe y el hebreo como firmes candidatos para nuestros fines. El hebreo hay que descartarlo desde un principio para no dejar colgando innecesarios cabos sueltos. Hay tres razones fundamentales para su desestimación:

i) la geografía del fenómeno: reducida a León y sucesivas expansiones; ii) la improbable presencia judía en la administración leonesa, dominada por *hispanogodos* y exiliados del sur (Díaz-Jiménez 1892); y iii) el reemplazo de las reduplicaciones en las traducciones del hebreo al latín. La *Vetus Latina* tiene una sola excepción: "de animantibus […] *duoduo*intraverant" (García de la Fuente 1986: 282). La Vulgata prefiere la coordinación: *unus et unus* 'cada uno', *septena et septena* 'siete pares de cada uno' (García de la Fuente 1986: 282).

La intromisión o hibridismo de diferentes fórmulas distributivas durante el periodo medieval no autoriza a concluir, en principio, que la estructura ya estuviera en desuso, pues formalmente se estarían combinando características formales diferentes. Si la fórmula por reduplicación permite, pongamos por caso, *recibieron VI VI*, elidiendo lo que se recibe (que se sobreentiende), la formula con *cada* no lo admite: **recibieron cada VI*. No insistimos más en ello por no constituir parte esencial de la investigación.

Para completar esta sección, queda recordar, con todo lo que conlleva, que nos enfrentamos a un trabajo de Historiografía y no a uno de Historia de la Lengua o de Lingüística Histórica.

Historia documental de la RND

La estructura de RND se halla documentada por primera vez (en nuestra investigación) en escritos notariales de *diplomática portugueza*, en el apartado de las repeticiones numerales en textos antiguos (Leite de Vasconcellos 1966 [1959], Ribeiro 1798). Se denomina a la formula *repetiçaõ consecutiva de número* (Ribeiro 1798: 105). En comentario aclaratorio, se indica que se usaba *para fazer a distributiva por diversas pessoas, cousas, o tempos* (Ribeiro 1798: 105). La marca que acreditaba la autenticidad de la repetición —un punto bajo el segundo número— se denominaba *suppontadura*. Hasta el siglo XX no atrae la atención del lingüista, que habitualmente no pasa de hacer notar su mera existencia (Alonso 1962, Da Silva Neto 1970, Galmés de Fuentes 1996 [1956], Leite de Vasconcellos 1966 [1959], Horcajada Diezma & Sánchez-Prieto Borja 1999, Sánchez-Prieto Borja &Horcajada Diezma. 1994). En Galmés de Fuentes 1996 [1956], Martín Alonso (1962) y Horcajada Diezma & Sánchez-Prieto Borja (1999) se habla de arabismo sin detenerse a mostrar por qué debería desestimarse el hebraísmo, llegándose a insinuar, contrario a lo aquí mantenido, que la traducción pudiera ser la fuente del contagio. Otras consideraciones sobre el borrado de las reduplicaciones por copistas y críticos pueden hallarse en Horcajada Diezma & Sánchez-Prieto Borja (1999).

Se sugiere también en la literatura especializada que la trasmisión nace del contacto castellano-árabe. La inexistencia de Castilla y Portugal en los tiempos pretéritos en que *nos movemos* en esta investigación, sin embargo, hace que la propuesta sea impracticable.

En Corriente (1980), aparece la RND como estructura viva en el árabe del pasado peninsular. En Horcajada Diezma & Sánchez-Prieto Borja (1999), se habla de la existencia de ejemplos en castellano, portugués y latín, fijando la presencia más antigua en el siglo XI. La mención del latín parece obedecer más a la cita informativa de la lengua misma que a justificar un pasado estrato cronológico. No se llega a precisar tampoco si el registro de la reduplicación es oral o iconográfico.

La ausencia de RND en el este peninsular nos da pie a restringir el espacio geográfico de actuación y su desarrollo. En el este, por ejemplo, no hay un reino godo equiparable al de León.

¿Y aparece en todos los géneros en un mismo momento histórico? En Horcajada Diezma & Sánchez-Prieto Borja (1999) se presenta una variedad de géneros sin llegarse a establecer una jerarquía secuencial que ayude a *visualizar* algún tipo de progresión. Se listan documentos de la cancillería regia, cartas privadas de compraventa, fueros, obras cinegéticas,

obras historiográficas, traducciones bíblicas, poemas de clerecía y tratados traducidos del árabe.

Las reduplicaciones de Berceo, en los siglos XII-XIII, y geográficamente fuera del reino leonés, no pueden explicarse sino como parte de una expansión de la construcción hacia el oriente a través de Castilla. Igualmente, las reduplicaciones de Alfonso X el Sabio se deberían tomar como una herencia del occidente leonés, históricamente Galicia. El paso de lo civil a lo literario requiere también de una atención especializada.

Leyendo los estudios filológicos existentes, se ha echado en falta un centro norteño desde el que irradiar las RND, amén de un procedimiento de evaluación del progreso espacio-temporal de estas. No es lo mismo hablar de la extensión del fenómeno lingüístico en el siglo X que en el XIV.

Se establece en la literatura especializada como momento de mayor pujanza de uso el siglo XIII, sin aplicarse el dato a la comprensión y evolución de la RND y de los que la tuvieron por suya.

Lo existente sobre el tapete

A pesar del trabajo precedente, que no es menor en absoluto, hay profundos jirones que debilitan el poder explicativo de lo afirmado. Algunas consideraciones, como refutar la filiación hebrea de la RND ya quedaron aclaradas, sin embargo, hay que hacer notar que confunde el que algunos autores insistan en la traducción como posible origen de la RND. Si se quiere partir de traducciones directas del árabe, estaríamos considerando documentos escritos en siglos posteriores. Galmés de Fuentes, por ejemplo, habla de ello en la traducción del *Libro de Acedrex*, identificándolo como rasgo estilístico del siglo XIII. Lo llama "repetición asindética de los numerales" (citado en Horcajada Diezma & Sánchez-Prieto Borja 1999: 294).

Desestimar la traductología como mecanismo de expansión y origen vendría apoyado por la antigüedad de los datos y las características de los documentos primitivos, puesto que tanto los foros de repoblamiento como los documentos notariales más antiguos no pueden tratarse como fruto de la traducción desde una lengua semita.

La lectura de Ribeiro (1798: 105) nos permite retrasar la antigüedad de la RND en más de un siglo al datarse el siguiente texto en *Er. 912*:

> Et quiminimefecerit et istumplacumexcesserit, pariet parte de quosistoplactoobservaveritdecemboves de *tredecimtredecim modios*. '[…] *cada uno* de los diez bueyes de pena, y no su conjunto, debería ser de *trece modios*' (para los que incumplieren el contrato). [Cartorio do Mosteiro de Pendorada].

La importancia de la fecha es capital ya que nos traslada a un periodo que antecede la fundación de los reinos limítrofes.

Si nos vamos a atrever a hablar en lo que continúa de un origen leonés (para la RND), fruto de la fusión de lo local godo con lo *hispanogodo* sureño es más por los acontecimientos históricos que concurren, entre los que sobresalen los hechos acaecidos en Córdoba, que por el hecho en sí de estar los documentos redactados en latín, que sería lo esperado. La voluntad de poner por escrito las lenguas vernáculas sería, de acuerdo con Wright (1989 [1982]), posterior a la documentación más antigua de la RND, fijada por este autor en el Concilio de Burgos de 1080.

En cuanto a la extensión geográfica original de la RND, ésta se debería fijar consecuentemente dentro de los márgenes que coetáneamente corresponden con cada avance de la reconquista. Un mapa aproximado del reino astur-leonés del siglo X nos daría un perímetro jalonado por Burgos, Palencia, Zamora y Oporto. Del lado árabe quedarían las marcas fronterizas de Zaragoza, Toledo, y Mérida.

La ausencia de RND en el este peninsular, cuya reconquista va más retrasada, ayuda a relativizar las teorías formuladas hasta la fecha, puesto que solo un argumento que elimine el oriente y al tiempo relacione el norte leonés con el sur bilingüe tendrá los efectos deseados. Desde una perspectiva que revaloriza lo gótico, como es la nuestra, el norte astur-leonés sería *de facto* un gobierno godo en el exilio que tras la caída de Toledo, capital visigoda, se enfrenta al empuje musulmán. Por entrar en conflicto con lo mantenido por Castro, hay que revalorizar la conciencia de *ser godo*, tanto en el norte, como ocurre en el caso de don Pelayo y descendientes, como en el sur, en el caso de san Isidoro, que escribe como visigodo, a pesar de su madre no serlo (Castro 1962). La trabazón "tribal" de los estratos superiores gobernantes del reino leonés con los distantes *hispanogodos* del sur cordobés pasaría a constituir un colectivo homogéneo levantado sobre la *basa* del reconocimiento mutuo de su parentesco godo.

Es difícil de imaginar que el norte tuviera en el siglo X, época de activa beligerancia norte-sur, población árabe que colaborara estrecha y sociológicamente con el poder real en las funciones administrativas. Tampoco parece realista creer que esta población poseyera un bagaje de latín y lengua vernácula local. Quede claro que no bastará cumplir con el requisito de ser bilingüe; los protagonistas de nuestra *epopeya* tendrán que viajar al norte revestidos de notable prestigio social y habiendo habido ejercido tareas que exigieran el acceso al ordenamiento jurídico islámico. También se necesitaría haber estudiado el *LiberIudiciorum* para poder dirimir y juzgar las consultas y disputas internas de la comunidad hispana, de gran autonomía en el sur.

Córdoba y León, polos gravitatorios

Los acontecimientos históricos de la Córdoba sureña van a proporcionar apoyos a nuestro predicamento. El fortalecimiento de Córdoba como capital del califato va a requerir de fuertes medidas fiscales, que serán las que a la postre provocarán la salida sin retorno de la población cristiana. La deportación o la sub-existencia se hicieron comunes e insostenibles. El papel de Toledo también necesita una revisión por su rol de antigua capital visigoda y parada obligada en el pasillo migratorio norte-sur.

De las tres grandes etapas mozárabes descritas en Menéndez Pidal (1950), las dos últimas quedan fuera de la cronología que manejamos: son de época posterior a las primeras documentaciones de la RND; por lo que, aunque pudieron haber contribuido a su realimentación, no deben ser consideradas fuente original de esta. Nos centraremos en lo que sigue en la primera etapa y en sus consecuencias tanto para la comunidad *hispanogoda* como para la RND.

El periodo de mayor influencia del sur sobre el norte se produce en los doscientos años que siguen a la invasión islámica. El prestigio del sur, con san Isidoro como pilar de referencia, se mantendrá intacto en el norte godo e incluso se acentuará como consecuencia de que destacados mozárabes godos alcancen altos cargos en la administración y las finanzas del califato, tanto por sus saberes como por sus contribuciones económicas a los califas (Sánchez 1980). La presencia de cristianos en la administración islámica está bien documentada (Menéndez Pidal 1950), su *hégira* al norte, también.

Se podría hablar de causas múltiples justificadoras del éxodo sureño (al norte); siendo la más reconocida, la religiosa, que encaja cronológicamente con la formación de la RND. Es la época de los martirios voluntarios, alentados en parte por el clérigo Eulogio y el seglar Álvaro. Los hechos fueron contados en el *Memoriale Sanctorum* que el primero de ellos escribiera en prisión. No se puede negar que estas circunstancias contribuyeran a agudizar la situación convulsa de la capital califal; sin embargo, en nuestra investigación, la religión no juega un papel decisivo, ya que lo que satisface y necesita nuestro enfoque no es la migración *per se*, sino una selecta emigración altamente cualificada a la que con rigor poder asociar la

construcción distributiva. Por ello, es necesario proceder a diseñar para el emigrante portador de la RND un tipo de *retrato virtual* de mayor complejidad: "ilustrado, con presencia social y económica, de educación bilingüe; y con conocimiento tanto de las leyes islámicas como de las germánicas". Esta acumulación de características se examina a continuación así como el marco histórico en que se inscriben.

Del año 822 al 852 Abd al-Rahman II pasa a reorganizar internamente el estado según los moldes iraníes adoptados por la dinastía *abbasí*. De esta época es la creación de la ceca y las manufacturas textiles palatinas, o *tiraz*, y la reforma y ampliación del ejército (Sánchez 1980). A la creciente urbanización de Al-Ándalus, época de fundación acelerada de nuevas ciudades (Madrid, Murcia, Úbeda), se suma una auténtica fiebre "del ladrillo", que produce entre otras magnas obras la ampliación de la mezquita aljama. La imposibilidad de llevar adelante estos proyectos sin un aumento de la carga tributaria, convertirá a la fiscalidad en la causa principal del levantamiento mozárabe de Córdoba (Sánchez 1980). El aumento indiscriminado de la tributación de al-Hakam I y Abd al-Rahman II queda reflejado en textos de Luis el Piadoso a los mozárabes cordobeses: "aumentando injustamente los tributos de que no erais deudores y exigiéndolos por fuerza os hacia de amigos enemigos […]". El propio Eulogio se hacía eco de los penosos tributos "que con gran angustia y fatiga" pagaban todos los meses (citado en Sánchez 1980).

Esta percepción de la sociedad en Al-Ándalus a finales del siglo IX no favorece la idea de una rápida fusión entre la población indígena y la arabo-bereber. La revuelta del Arrabal, barrio populoso entre la aldea de *Sequnda* y el río Guadalquivir, en el 813, es manifestación de la situación de caos social de Córdoba. El príncipe reinante, al-Hakam ben Hixam, había establecido un impuesto anual del diezmo sobre las mercaderías, que al ser mal recibido por el pueblo, acabó con la detención de diez notables que fueron ejecutados y crucificados. Según se cuenta en el Kamil fi-l-Tarif de Ben al-Athir, al-Hakam perdonó a los rebeldes, pero "con amenaza de muerte y crucifixión para todos los habitantes del Arrabal que no hubieran partido de la ciudad en un plazo de tres días" (versión de Fagnan en Sánchez 1980).

Otros problemas que asediaron a Córdoba capital, aparte de la asfixiante fiscalidad, el ladrillo y las persecuciones religiosas ya mencionadas, fueron las sequías y epidemias (873-874), las carestías y la revisión "a la alza" de los antiguos acuerdos de conquista firmados con la primera invasión. Queda por desenmarañar la identidad intelectual de los transmisores de la RND.

Un comienzo explicativo. Propuestas y respuestas

¿Por qué tienen que ser *hispanogodos* los que cruzan al norte y, más en concreto, cierto tipo específico de *hispanogodos*? Irrumpe en escena la necesidad del prestigio y la etnicidad. El prestigio del sur se halla inserto en la tradición astur-leonesa, y es resultado de reconocerle a la estirpe sureña la herencia y custodia de los valores más genuinos del pueblo godo. Se le sumaría, como añadido, el poseer además como propia la cultura islámica. Conviene aclarar que el uso del término "mozárabe" debe entenderse en un sentido no especializado. Desde nuestra perspectiva, el ser mozárabe, en principio, no abriría automáticamente ninguna puerta a la corte leonesa ni a ocupar responsabilidades de la administración en el reino. Hace falta sentirse parte común de un tronco godo peninsular para dirigirse al oeste y no en otra dirección. El este peninsular, por su parte, carecía de un reino godo al que acogerse. Así, aunque se hubiera emigrado al este, nunca se hubiera podido haber accedido a un puesto en que aplicar la RND. Sánchez Albornoz y Wright aportan documentación de la vida en León y su corte que avalan lo susodicho. León, por otra parte, no olvidemos que es el centro del norte contraparte de la Córdoba del sur. Se lee en Wright (1989: 247): "Había un reguero constante [a León] de exiliados, que a veces —con el apoyo

oficial— se convirtió en torrente". Más adelante: "Mucho del material del Noroeste escrito en estos siglos *fue copiado por inmigrantes del Sur o bajo su dirección*" [énfasis añadido]. Es de mencionarse también que en el 882, Alfonso III llevó los restos de san Eulogio a la capital del Reino, entonces en Oviedo. Con Ordoño II la capital pasa a León, en fechas coincidentes con los primeros textos hallados con RND.

La extensión de la RND en sucesivos periodos se podría rastrear y fijar en cada momento por medio de la siguiente lógica: bastaría confrontar la datación de la documentación en que se usa RND con la fechas de los periódicos límites de las re-poblaciones y conquistas norteñas. Este es trabajo que queda por desarrollar. El muro que fijan Toledo y las marcas árabes fronterizas, aventuramos, se debió a la debilitación social de la influencia de los mozárabes (godos), que defensivamente pasaron a escribir mayoritariamente en árabe. Según algunos autores, por causa de lo que podría hoy llamarse *crisis identitaria* (Sánchez-Prieto Borja 2008).

La fundación de los reinos de Castilla y Portugal convertirá a la RND en parte inseparable de la herencia leonesa en ellos, quedando los límites de la estructura distributiva fijados en la Rioja, Toledo, Extremadura y la mayoría, si no todo, de Portugal. La práctica continuada de la RND tras la independencia de Portugal (1128) confirma que su uso en Portugal y en el resto de los reinos aledaños tiene un origen común, y único. La época de mayor presencia de la RND muy posiblemente sea durante el reinado de Afonso III (1210-1279) [*SiveForalia* 1258]. En Castilla, y no parece casualidad, se correspondería con el mismo periodo (Horcajada Diezma & Sánchez-Prieto Borja. 1999).

La huida en sus primeros tiempos de Córdoba a León pasaría por Toledo, aún bajo dominio islámico. Lo sabemos por la documentación de la época (Díaz y Díaz 1969, Díaz-Jiménez 1892, Wright 1989). Ya en León, nos sirve de referencia la característica doble onomástica germano-romana y árabe de muchos de los emigrantes, que pasa así a convertirse en casi imprescindible identificación del exiliado portador de la RND. Según cuenta Díaz-Jiménez, "los documentos que contienen *firmas con nombres arábigos* son, por lo general, de suyo importantes, ya por las cuantiosas donaciones que en ellos se hacen, como por la calidad de los donantes, siendo los que los confirman, prelados, altos dignatarios y caballeros del reino". Los testificantes, *que aparecen habitualmente con nombres arábigos*, a no dudarlo "no serían berberiscos por constituir una de las clases más humildes de la sociedad". Y continúa Díaz-Jiménez, "si alguna duda quedara respecto a ser mozárabes las firmas que aparecen en la cartas del Tumbo legionense, al punto quedaría desvanecida ante la consideración de que *muchos anteponen su nombre propio al arabizado* como lo tenían por costumbre cuantos viviendo entre los conquistadores estaban investidos de algún cargo público, civil o eclesiástico" [énfasis añadido]. Algunos de los nombres citados son "Martinus, cognomento Zuleima; Adrianus, cognomento Omar; Vencemal, cognomento Abuanfal; Trasarigus, cognomento Aiub; Lupus, cognomento Abaiza". Se hace notar que en los casos de los conversos el nombre arábigo precede al cristiano: "Neyret, qui de baptismo Rademundus" (Díaz-Jiménez 1892: 133-134).

Una vez fijado que la reduplicación numeral llega al noroeste por vía del contacto con población bilingüe del sur quedaría por determinarse en qué medida fue de uso popular. Es problema espinoso del que intentaremos salir lo airosos que podamos. Los documentos *Inquirições Gerais de D. Afonso III* presentados en este apartado (*SiveForalia* 1258) tienen la peculiaridad de contener, si nuestra interpretación es correcta, información sobre su registro de uso. Las *Inquirições* son padrones públicos ordenados por el rey Afonso II de Portugal para corregir abusos por parte de las clases privilegiadas y *Concelhos* en lo que atañía a las propiedades reales. Se iniciaron con Afonso II y no se terminaron hasta Afonso III. Del característico estilo informativo en que están redactadas, sobresale el rasgo discursivo de

reproducir el verbo "decir": "dixit", "dixerunt"; y mientras no encontremos algo que objetar, no hay razón para no darle el valor del acto ilocutivo correspondiente. Dos ejemplos:

"De. Sancta. Maria. deligoo. Petrus martinizabbas. Johannes petriz. Martinusgunsalluiz. Guimaradiaz. […]. Martinuspetriz. iurati. *Dixerunt*quod omnes de istacollationedantRegi. *iij. iij. almudes* inter panem et uinum…" [énfasis añadido]. Esto es, '*Dijeron* que (todos los de la susodicha lista) han de dar al rey *3 almudes cada uno* entre pan y vino'.

(fl. 116, *Inquirições de entre Lima e Douro*. Documento 1 cont. De terra de Neuia).

Otro documento: *De. sancto. Tome. De Auezam*. (lit.):

"Petrus monacus. abbas. etfernandusgomis. Petrus fernandiz. […] Gunzalinus. Jurati*dixerunt*quod de .iiij. Casalibus. et de una seruizaia. quoddominus REX ibihabet. dantinde pro foro. *ij. ij. frangaos*. et*iiij. iiij. cubitos. De bracali*…" [énfasis añadido]. '[los mencionados] *dijeron* que de cuatro granjas y de un portazgo que el señor rey tiene allí han de contribuir por fuero con *2 pollos cada uno* y (también) con *4 medidas de brazal cada uno*'.

[fl. 8v. *Inquirições de entre Lima e Douro*. Documento 1 cont.]

Se pretende con la reduplicación, en este caso, soslayar que se pueda entender que el pago de los *dos pollos* y las *cuatro medidas de brazal* sean considerados un pago colectivo. Los dos textos verbalizan por medio de la reduplicación el pacto tributario distributivo al que se llegó.

Nada desdeñable sería, para terminar, el precisar un detalle que se suele pasar por alto: de todas las variantes vernáculas románicas, la sureña mozárabe y la leonesa son las dos con mayor semejanza, hecho que sin duda habría facilitado el trato diario y la asimilación.

Conclusion

El hecho de estar íntimamente ligadas las estructuras reduplicadas a un tipo muy determinado de colectivo, el *hispanogodo*, permite con confianza recrear sus andanzas peregrinas entre Córdoba y León de hace un milenio. Si bien a la larga no se llega a desarrollar en la península una patria germánica al estilo francés —las condiciones sociales tienen componentes añadidos de sobra conocidos—, el valor germánico-hispano o godo, en forma de superestructura, es, tras las invasiones y la caída de Toledo, un bastión en el exilio que se materializa en León y que reconoce en el vecino sur a sus compatriotas de estirpe, que serán, con su ida al centro neurálgico leonés, los *porteadores* e introductores de la RND. Cabos sueltos quedan pero, en esencia, lo dicho está documentado. En todo caso es osadía nuestra.

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"DESARRAIGO DE LA MUJER TRABAJADORA LATINOAMERICANA EN EL SURESTE DE ESPAÑA: EL CASO DE ALMERÍA"

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Laura María Bernal Jódar

Abstract

Este estudio tiene por objetivo analizar la situación de las mujeres latinoamericanas en la provincia de Almería. Dando una visión global del motivo por el que emigraron, y las razones por la que eligieron Andalucía como destino. Las migraciones económicas internacionales es un término internamente ligado al papel de la mujer, debido a la estrecha relación de mujeres que quieren mejorar su estado laboral y llevar adelante a su familia. Existe un influjo de la feminización de las migracionesinternacionales por el deseo de las mujeres de mejorar sus propias condiciones de vida. Al ser un procesode feminización no homogéneo, la composición de las corrientes migratorias depende en gran medida de los mercados de trabajo. La imagen de España y en especial de Andalucía hacia el exterior transmite una idea de sociedad de oportunidades con una mayor oportunidad para los inmigrantes de conseguir una mejor calidad de vida en el país de destino. Tras las encuestas realizadas a 58 mujeres latinoamericanas a lo largo de la geografía almeriense, resultaron que la mayoría escogen Andalucía por sus familiares y por razones laborales. La comarca que presenta mayor concentración de población extranjera es el Poniente Almeriense con 64.432 extranjeros, representando un 27,45% de la población.

Palabras claves: Inclusión social, vulnerabilidad, feminización de las migraciones, Almería

Estudio socio-laboral de la mujer Latinoamericana
Rol de la mujer en las migraciones económicas internacionales

Las migraciones económicas internacionales es un término internamente ligado al papel de la mujer, debido a la estrecha relación de mujeres que quieren mejorar su estado laboral y llevar adelante a su familia. Debido a la globalización se les brinda la oportunidad de poder mejorar su situación.Uno de los factores que favorecen mayoritariamente al flujo de migraciones de latinoamericanas a España, son los lazos históricos y las relaciones coloniales, así como la facilidad de idioma y contacto con Europa durante muchos años (Muñoz Jumilla, 2002). También existe un influjo de la feminización de las migraciones por el deseo de las mujeres de reunirse con sus parejas, realizando la emigración en solitario hacia el país de destino, aunque también existen casos en los que existe una mayor independencia de su cónyuge, siendo este fenómeno también protagonizado por hombres en los últimos años. (Aja y Carbonell, 1999). Sin embargo, tal y como señala Pearson (1986), el rol de la mujer en el papel internacional ha sufrido una nueva división del trabajo, por el factor de localización,

nuevas tendencias de localización de industria también ha hecho que las migraciones se disparen para paliar las necesidades de mano de obra en otros países.Otro de los determinantes de las migraciones internacionales por mujeres latinoamericanas ha sido el efecto de las "feminizaciones", según Balbuena (2003) ha sido el efecto que se desencadenó debido a las políticas de ajuste estructural en Latinoamérica.

Uno de los aspectos comunes tanto en la migración interna dentro del continente latinoamericano como la migración externa hacia España, es que en ambos casos las mujeres latinoamericanas se dedican a servicios domésticos mayoritariamente, lo que agudiza aún más el sector informal. El análisis de la participación de las mujeres en la migración internacional exige numerosas precisiones. Una de ellas es que Latinoamérica aglutina la mayor parte de las remesas mundiales (Nieves Rico, 2006).

Por otro lado, Martínez Pizarro (2003), en cuestión a las políticas de migración, se hace unánime el reconocimiento de que las políticas de migración ignoran a veces la cuestión de género, dejando a muchas de ellas como víctimas que impiden su reconocimiento como un actor social, y un motor unánime de la economía del país. Debido a la complicada tesitura en la que América Latina está inmersa, es uno de los continentes donde mayor es la proporción de mujeres que emigran al exterior, sin embargo también es interior e intrarregional (Villa y Martínez, 2002).

La emigración intrarregional se ve favorecida dentro de Latinoamérica debido a su proximidad geográfica y al deseo de muchas mujeres que se encuentran en situaciones precarias en sus países de origen a residir en otros países donde la economía y el estado están algo más estables. Según Nieves Rico (2006), la mayoría de migrantes intrarregionales residen en Argentina y Venezuela de emigrantes procedentes de Bolivia, Uruguay y Perú; en Venezuela provienen en su mayoría de Colombia. Entre la población de Centroamérica, los flujos migratorios mayoritarios son entre México y Estados Unidos, muchos de ellos indocumentados.Al ser un proceso de feminización no homogéneo, la composición de las corrientes migratorias depende en gran medida de los mercados de trabajo. También influenciado por el éxodo rural, movilizando a 100 millones de personas dentro de América Latina y Caribe, siendo actualmente un 70% población urbana (Varela, 2003). El estudio de Martínez Pizarro (2003) señala que las mujeres juegan un papel importante en el proceso migratorio porque dinamizan los núcleos familiares, creando enlaces de unión migratoria entre los países de origen y los países de destino.

Vulnerabilidad social laboral de la mujer inmigrante. Triple discriminación

La subordinación en términos de género, clase social y etnicidad constituye el marco de referencia de todo análisis de los procesos que producen y reproducen las formas de marginación y exclusión de las mujeres inmigrantes. Investigadoras como Morokvasic (1984) han descrito como resultado de la articulación de múltiples procesos de discriminación, en base al género, a la discriminación racial o de etnia y a la explotación como clase trabajadora, a la que denominan "triple discriminación".La mujer extranjera sufre en la sociedad receptora una triple discriminación: Discriminación como MUJER, como TRABAJADORA y como

Inmigrante

Las mujeres inmigrantes son un grupo vulnerable (IOE, 2001) y están sometidas a una triple discriminación, por una parte, a una discriminación de género alimentada por los prejuicios y los estereotipos; por otro lado, están discriminadas a causa de su nacionalidad, etnia y religión, y finalmente, están discriminadas a nivel laboral. Esta triple discriminación viene determinada por su condición de mujer e inmigrante en un ámbito mal regulado y en un mercado de trabajo que determina las características del tipo de trabajo que le corresponde ejercer a esas mujeres.

Comarcas almerienses receptoras de mujeres inmigrantes latinoamericanas

Actualmente, según los reportes del Instituto Nacional de Estadística (INE 2013), el 8,65% de la población residente en la Comunidad Autónoma de Andalucía es de origen extranjero, siendo el 16,25% latinoamericanos. Almería se encuentra entre las tres provincias andaluzas con mayor población extranjera, más del 20%, y aproximadamente el 2% son de origen latinoamericano. A nivel nacional existe una feminización del flujo migratorio latinoamericano y este fenómeno también se presenta en la provincia almeriense, donde 1,11% son mujeres latinoamericanas. Con datos del INE actualizados a 2013, la tabla 1 muestra el panorama demográfico de la provincia de Almería:

Tabla 1: Panorama demográfico de la provincia de Almería

Población total de la provincia de Almería		Población extranjera residente en Almería		Población extranjera latinoamericana residente en Almería		% de población extranjera residente en Almería		% la población extranjera latinoamericana residente en Almería	
699.329		146.656		14.785		20,97%		2,11%	
Hombres	Mujeres	Hombres	Mujeres	Hombres	Mujeres	Hombres	Mujeres	Hombres	Mujeres
355.658	343.671	81.127	65.529	7.004	7.781	11,60%	9,37%	1,00%	1,11%

Fuente: Elaboración propia, con datos aportados por INE 2013

La feminización de la inmigración latinoamericana es un rasgo que la diferencia de las migraciones procedentes de otras regiones. Excepto Argentina y Uruguay los demás países de la región reflejan una mayor presencia en España. Muchos de los tópicos relacionados con la victimización, dependencia y subordinación de la mujer latinoamericana cada vez tienen menos bases, sobre todo si dicha feminización se observa en un contexto en el cual los movimientos y organizaciones sociales de mujeres latinoamericanas adquieren mayor relevancia. De hecho que viene sucediéndose al interior de las familias emigradas es la transformación de roles convencionales a través de los cuales cada vez más mujeres son la cabeza del hogar, buena parte de los ingresos familiares se obtienen por el trabajo femenino (Gomez Quinteros, 2005).

La Comisión Económica para América latina y Caribe de la Organización de las Naciones Unidas (CEPAL) considera preciso evaluar si es efectivamente se produce un mayor empoderamiento de las mujeres inmigrantes, en especial si el proceso migratorio conduce a replicar inequidades de género en los países de destino y no las exime de las vicisitudes por las que atraviesan muchos hombres migrantes (CEPAL, 2004: 45).

Gráfico 1. Evolución de la población de extranjeros residentes en España segregada por sexo y nacionalidad (1998-2013).

Fuente: Elaboración propia, con datos aportados del INE 2013

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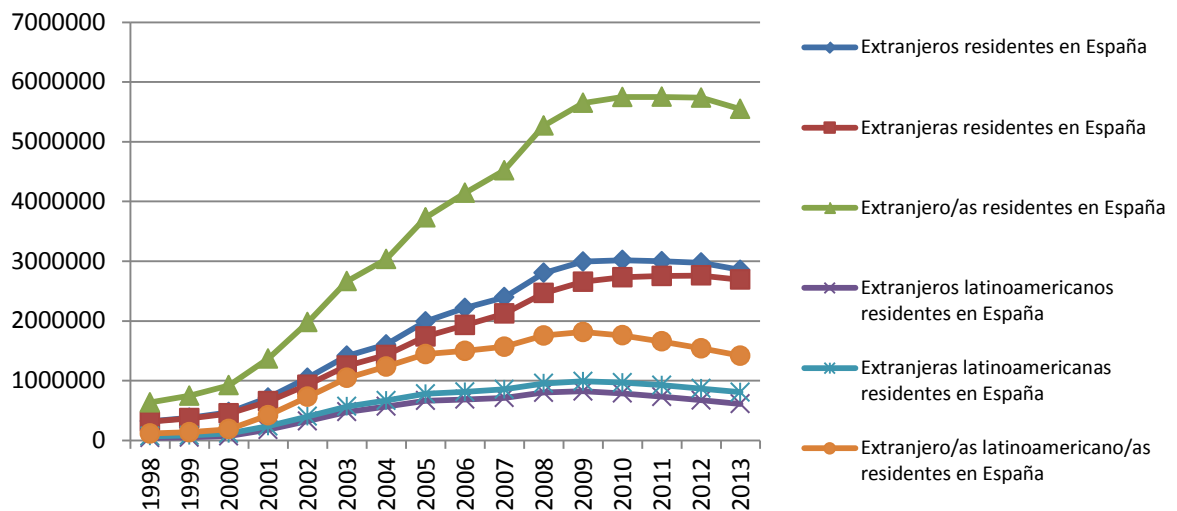
Como se puede apreciar en el gráfico 1 sobre la evolución de la población de extranjeros residentes en España segregada por sexo y nacionalidad (1998-2013), la población extranjera es mayoritariamente masculina, pero si el origen es latinoamericano se observa el fenómeno de feminización de la inmigración.

Posteriormente en el análisis de la población extranjera latinoamericana según nacionalidades, la mayoría de los países latinoamericanos presentangeneralizado el fenómeno de feminización de la inmigración latinoamericano. Como se puede apreciar en el gráfico 2, solamente en 3 de los 19 paísesla brecha entre la población femenina y masculina es mínima, casi igualadas, este es el caso de Argentina y Chile. Únicamente Uruguay, presenta valores de brechas positivas de masculinidad.

Gráfico 2. Brechas de feminización de la inmigración latinoamericana en España (1998-2013)
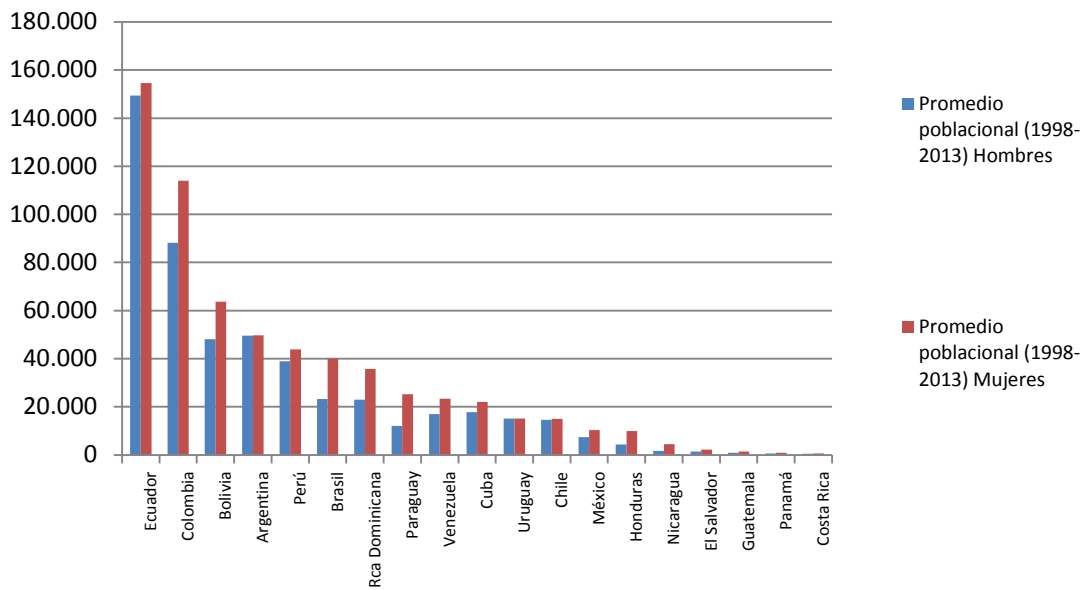
Fuente: Elaboración propia, con datos aportados del INE 2013

Gráfico3. Composición de la población femenina latinoamericana extranjera residente en la provincia de Almería. 2013
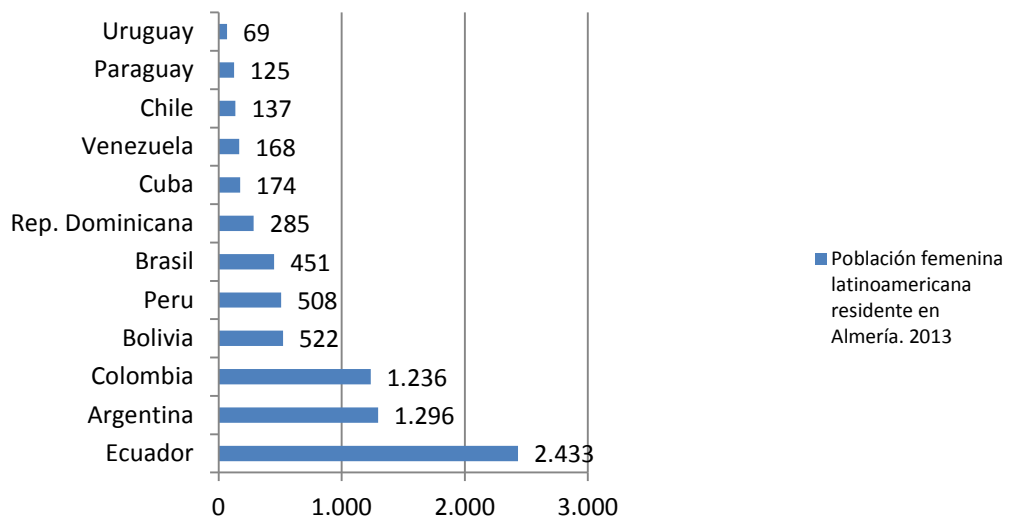
Fuente: Elaboración propia, con datos aportados del INE 2013

La composición actual de la población femenina latinoamericana extranjera residente en la provincia de Almería, se puede observar en el gráfico 3. Donde el mayor colectivo de mujeres latinoamericanases el ecuatoriano, seguido por el argentino y en tercer lugar por el colombiano.

La provincia de Almería presenta una distribución territorial en acorde a su geografía. Se distinguen 7 territorios principales, como se observa en la figura 1: Comarca Metropolitana de Almería, Poniente Almeriense, Alpujarra Almeriense, Levante almeriense, Los Filabres-Tabernas, Valle de Almanzora y Comarca de Los Vélez.

Figura 1. Distribución territorial de Almería.

Fuente: http://www.andalucia-web.net/almeria_prov.htm

La comarca almeriense que presenta mayor concentración de población extranjera es el Poniente Almeriense con 64.432 extranjeros, representando un 27,45% de la población. Incluso duplicando la población extranjera residente en la Comarca Metropolitana de Almería.Sin embargo la mayor concentración de población extranjera latinoamericana se encuentra en el Levante Almeriense, donde residen 5.118 de latinoamericanos, que representan un 18,28% de la población total de dicha comarca. También en esta comarca se encuentra la mayor concentración de mujeres latinoamericanas residentes, 2.518 latinoamericanas.El Poniente Almeriense ocupa el segundo lugar como área de residencia de la población extranjera latinoamericana, con 4.120. De los cuales, 2.288 son mujeres latinoamericanas.Finalmente, la comarca Metropolitana de Almería ocupa la tercera posición como área de concentración de población extranjera latinoamericana. Donde residen 4.008 latinoamericanos, de los cuales 2.229 son mujeres.

La provincia de Almería sigue la tendencia nacional del fenómeno de feminización de la inmigración latinoamericana. No obstante en la comarca del Levante Almeriense, Los Filabres-Tabernas y el Valle del Almanzora, el número de mujeres latinoamericanas es menor que el numero de sus congéneres masculinos.

Por último se analizará la composición de la población femenina latinoamericana extranjera residente en las comarcas donde hay concentración de dicha población. El gráfico 4 muestra que en el Levante Almeriense, la nacionalidad latinoamericana femenina predominante es la ecuatoriana, seguida de la colombiana y en tercer lugar la boliviana. En cambio en el Poniente Almeriense y en la comarca Metropolitana de Almería, las mujeres argentinas ocupan la primera posición, seguida de las mujeres ecuatorianas y colombianas.

Gráfico 4. Composición de las poblaciones femeninas latinoamericanas extranjeras que residen en comarcas almerienses donde hay concentración de población extranjera originaria de Latinoamérica.
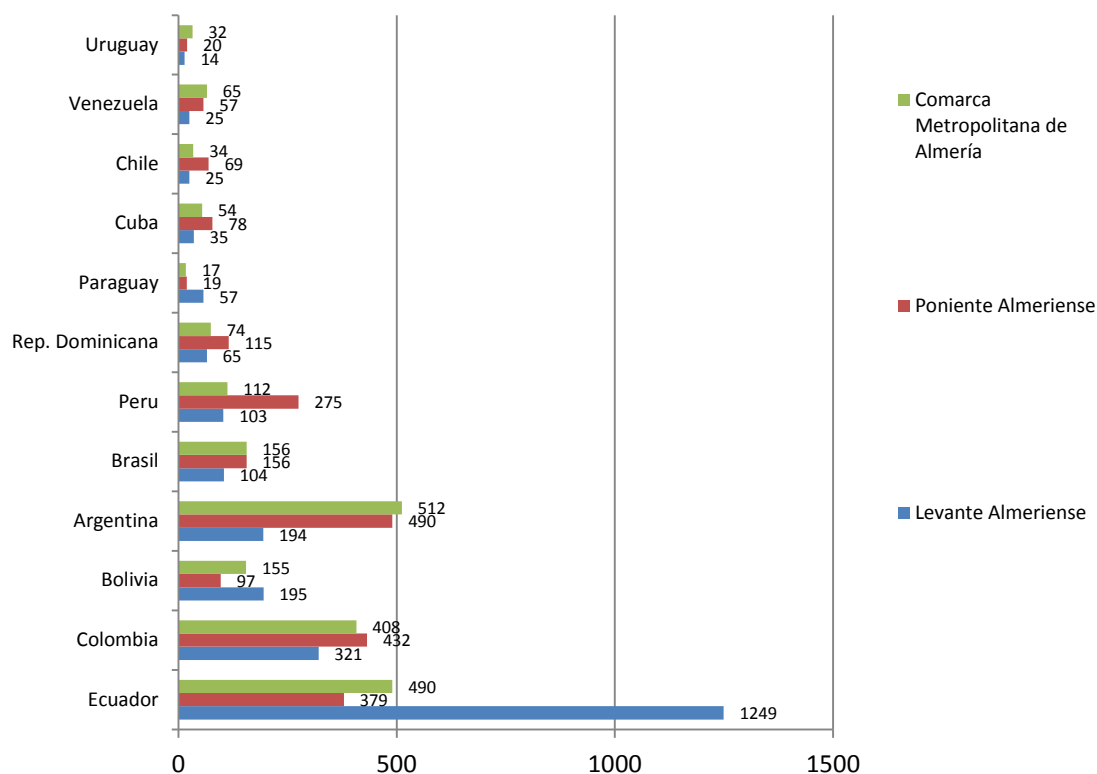
Fuente: Elaboración propia, con datos aportados del INE.

Mercado laboral e inmigración

El informe del Observatorio ARGOS (2011) expone que la contratación de extranjeros en Andalucía ha sufrido un descenso del 9,4%. Una de las causas ha sido por la recesión económica del mercado de trabajo, donde las tasas de desempleo han crecido de forma preocupante desde el año 2007. En contrapartida, cabe destacar que los extranjeros demandantes de empleo se han incrementado en un 8,7%. Los principales sectores son la agricultura (17,1%), construcción (17%) y hostelería (14%), sectores protagonizados mayoritariamente por población extranjera.

En general los extranjeros no piden mejora de empleo, puesto que demandan ocupar el mismo puesto de trabajo que anteriormente ostentaban, debido a la facilidad para la inserción por su experiencia laboral. La mayoría responden a un perfil de edad entre los 25 y 49 años, mayoritariamente con estudios primarios, y un 18% aproximadamente, de países como Colombia, Ecuador, Argentina y Bolivia.La distribución de la población inmigrante es mayoritariamente latinoamericana, siendo un 60% mujeres.

Según el informe de Inmigración Latinoamericana en España de Gil Araujo (2005) para realizar el análisis sobre la incorporación de los inmigrantes en el mercado laboral se ha de tener en cuenta la precariedad en el empleo, los tipos de contrato, los salarios y la segmentación de las actividades. También se ha de tener en cuenta la normativa para los inmigrantes no comunitarios a la hora de su inserción, por su situación jurídica.

De acuerdo con Martínez Martín et al (2011) el proceso de inserción laboral de los inmigrantes comienza con la incorporación al primer empleo y termina con una inserción laboral plena. Con todo ello el individuo suele definir un modelo de vida y de integración social. Muchos de estos itinerarios están divididos en países de origen y redes sociales.Sin embargo, la Encuesta de población activa (2010) indica que uno de los mayores problemas de inserción se debe a la alta temporalidad en la contratación laboral inmersa mayoritariamente

en Andalucía, esto es debido a los contratos temporales de campaña. En concreto en Andalucía se eleva a un 34% de temporalidad en contratos de trabajo.

El estudio de "Mercado Laboral y Mano de obra del colectivo de Inmigrantes Latinoamericanos" de la EOI (2002) afirma que el colectivo latinoamericano está cada vez ocupando más empleos en el sector turístico. Según datos de la Seguridad Social, el cuarto país de origen más recurrente es la República Dominicana, siendo una información mayoritariamente orientativa puesto que muchos de ellos llegan al país de forma irregular.El colectivo más abundante es el de Ecuador, seguido de Colombia y Perú. Teniendo en cuenta que tras la obtención de su nacionalidad española no figurarían en este enclave.

En el caso de la mujer, la profesión no está muy definida ya que también depende de la carrera profesional que haya estado previamente definida, sin embargo por restricciones en su perfil laboral suelen trabajar en el sector servicios, y domésticos. Tal y como aparece en las encuestas realizadas para este estudio, la mayoría de latinoamericanas que llegaron a España llegaron solas o solas y con hijos. También se dan casos de mujeres que llegan solas y dejan hijos a su cargo en sus países de origen.

La mayoría de ellos deciden salir de su país para mejorar su situación familiar, económica y social, y construir un nuevo futuro y un nuevo abanico de posibilidades para todos. Normalmente provienen de países donde la situación laboral, económica y política es precaria. La mayoría deciden venir a España por su cultura, idioma y también por tener antepasados o contactos. Sin embargo el sentimiento de desarraigo viene por dejar a sus familias en el país de origen, y también por un cambio brusco de hábitat que a veces viene amortiguado por tener contactos en el país de destino, aunque no siempre ocurre así, también cuando el sentimiento de soledad y de abandono se apiada de ellas.

Una medida de inserción que formula la "Guía Básica para la Incorporación de la Perspectiva de Género en el Proyecto Equal Ariadna" es la del autoempleo. La inserción laboral por cuenta propia o autoempleo conlleva superar ciertas barreras en su realización, que suelen ser mayores si se trata de emprendedoras y más visibles cuando se realiza desde una perspectiva de género.Como obstáculos especifica la generalización de características en función del género, el autoempleo ya que presenta obstáculos para su desarrollo de inserción laboral por dificultades de financiación y falta de apoyo en el entorno social, lo que intensifica la autoestima y motivación de las emprendedoras.

Análisis de los resultados de la encuestarealizada
Metodología aplicada

Se realizó una encuesta para recopilar datos por medio de un cuestionario previamente diseñado exclusivamente para recabar información necesaria sobre la situación de "Desarraigo de la mujer trabajadora latinoamericana en Almería". Se optó por una encuesta del tipo descriptivo con 40 preguntas directas y cerradas destinadas a la población objeto de estudio.El perfil de los individuos de la población objeto de estudio se determino de la siguiente manera: mujeres, inmigrantes, de origen latinoamericano, activas (que se ha integrado al mercado de trabajo, a través de trabajo formal/informal), mayores de 16 años y residentes en la provincia de Almería. Las preguntas que integran la encuesta se agruparon en los 4 siguientes grupos:

1. A su llegada a España…	Este primer grupo consta de 7 preguntas, sobre su situación personal a su llegada a España. Inicialmente se preguntó si se identifica con el sentimiento de desarraigo, motivos de su decisión a emigrar a España, país de procedencia, edad y estado civil a la llegada a España, si emigró sola o acompañada y si dejo hijos menores de edad en su país de procedencia.
2. Sobre su elección	El segundo grupo tiene 3 preguntas que corresponden sobre su

	elección de emigrar a Andalucía, sector en el que trabaja y lugar de residencia.
3. Sobre su vida…	El tercer grupo consta de 18 preguntas y profundiza sobre aspectos generales de su vida. Se inicia con la consulta del nivel educativo alcanzado en su país de procedencia, y si ha optado por continuar estudios en España. Sobre el nivel de ingresos de su hogar, las fuentes de esos ingresos, etc.
4. Sobre trabajo y economía familiar…	El último grupo está formado por 11 preguntas, se refiere a al tipo de trabajo que desempeña actualmente (autónoma, asalariada, desempleada) y la distribución de gastos, etc.

Se realizaron un total de 58 encuestas durante el mes de mayo de 2014 a lo largo de la geografía almeriense.

Resultados obtenidos y discusión

De las 58 mujeres latinoamericanas encuestadas en la provincia de Almería, sus países de procedencia son mayoritariamente Argentina, Ecuador y Colombia.

Gráfico 5. Elección de Andalucía como comunidad de destino.
Gráfico 6. País de procedencia de las mujeres latinoamericanas.
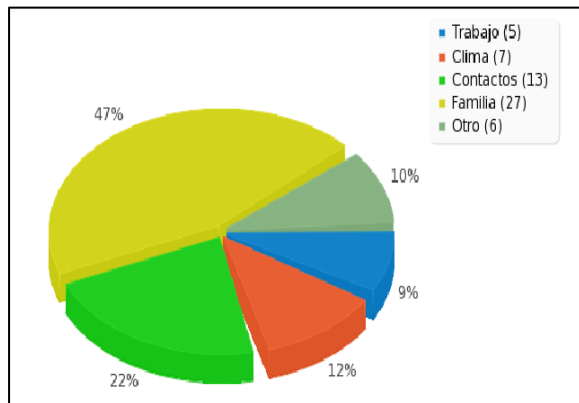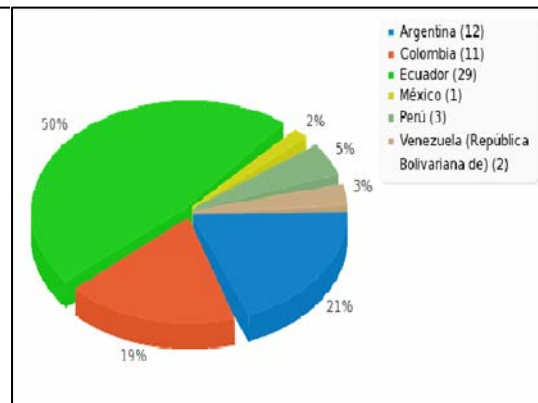
Fuente: Elaboración propia. Programa estadístico.

Tras la encuesta realizada, un 69% de las mujeres encuestadas confirmaron que vinieron a Andalucía por cuestiones familiares y de contactos, siendo el factor clima también uno de los condicionantes por el que eligen la comunidad de Andalucía como enclave para conseguir una mejor calidad de vida.

La mayoría trabajan en agricultura, comercio y servicios, en el sector servicios se incluye el servicio doméstico que constituye uno de los yacimientos más importantes para ellas. En la mayoría de ciudades andaluzas las mujeres inmigrantes están reemplazando a las autóctonas, así como en servicios a domicilio. El hecho también es que la inmigración posibilita una mano de obra con bajo coste por lo que origina una mayor demanda de mujeres latinoamericanas para esta actividad. También gracias a la ley de dependencia han podido especializarse en el entrenamiento especializado para poder desempeñar este tipo de trabajos, y también gracias a la afiliación en asociaciones para cuidado de mayores.También cabe destacar que es un sector en el que mayoritariamente está regido por mujeres, debido a que prestan servicios a personas en estado dedicado y se necesita que el puesto tenga una responsabilidad de cuidado y desempeño.

Como contrapartida, tan solo un 25% de la muestra cobra más de 1000 euros al mes, siendo bastante difícil poder sobrellevar la economía familiar y poder enviar remesas a sus países de origen. Contando con que muchas de ellas están en desempleo o han sufrido discriminación en sus puestos de trabajo.

Las mujeres latinoamericanas en Almería normalmente trabajan en el sector servicios y muchas de ellas en el sector de manipulado (Maleno, 2001).

Se ha comprobado en las encuestas destinadas a este estudio, que la mayoría de mujeres han condicionado su migración por las relaciones familiares, incluso algunas de ellas dejando hijos a su cargo en el país de origen (11%), también condiciona su estatus social y su nivel de vida y estudios, un 44% con estudios de Secundaria y un 31% con estudios universitarios. La movilidad en familia sigue siendo uno de los principales condicionantes para migrar, como en su caso que un 44% migraron en familia y ya estaban casadas, aunque para Gregorio (1998) hemos de tener en cuenta dos unidades de análisis interrelacionadas: el grupo doméstico y la red migratoria, ya que si tenemos en cuenta el grupo doméstico, se lograría tener en consideración la incidencia en la división del trabajo y a las condiciones laborales en el país de destino, ya que muchas mujeres cuentan con cargas familiares, que a pesar de tener un nivel universitario, le hacen no poder acceder a puestos de mayor responsabilidad.

Según Martínez Pizarro (2003), las mujeres migrantes crean redes transnacionales de migrantes, ya que son las que mantienen todo el contacto entre el país de origen y de destino, siendo sus remesas más altas que los hombres, según las mujeres encuestadas un 87% destinan al menos un 25% en remesas para sus familias en su país de origen. También así mismo, favorecen el clima familiar y la instauración de una inserción social y laboral para sus parejas ya que se encargan de las tareas domésticas y construyen y mantienen nexos de unión con la población autóctona del país de destino.

Aunque como contrapartida, según lo expuesto por Gregorio (1998) las relaciones y activación de contactos que integran esas redes transnacionales no siempre son características de las mujeres migrantes, sí en mujeres que trabajan de forma regularizada, ya que las mujeres dependen más de los hombres en los trabajos informales, puesto que son una carga social para su cónyuge ya que su situación es precaria debido a que las tienen contratadas ilegalmente.

De estas dos hipótesis se puede realizar dos observaciones palpables, la primera, es que se debe dimensionar la relevancia de género para la creación de esas redes transnacionales, y el hecho de que muchas de ellas migran solas no significa que lo hagan autónomamente para sustentarse a sí mismas, puesto que puede que sean víctimas de un desarraigo al emigrar solas y dejar a sus familias en su país de origen. Aunque normalmente muchas de ellas pueden establecer lazos fuertes para que su economía se vea favorecida y puedan enviar remesas a sus familias, tal y como se ve en este estudio (gráfico 7) muchas de ellas se ocupan en sectores de servicio doméstico, comercios, turismo y otras en el sector informal (el 100% de las encuestadas entraron en España de forma irregular), siendo un atractivo para ellas el mercado de trabajo español (36,21%).

Gráfico 7. Situaciones de motivación para venir a España
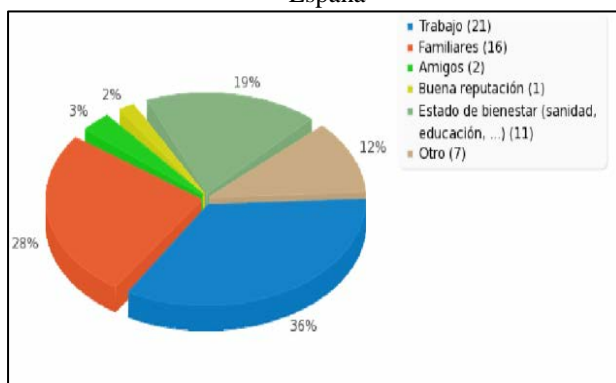
Gráfico 8. Ampliación de estudios en España
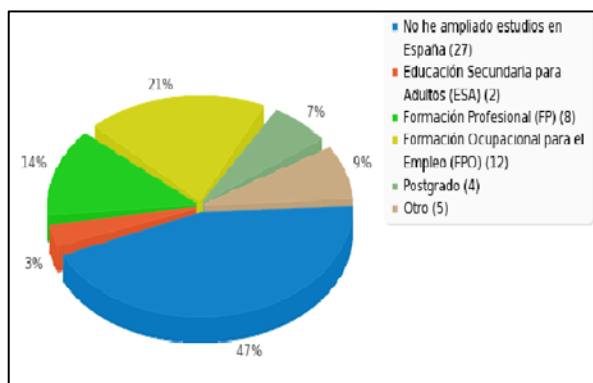
Fuente: Elaboración propia. Programa estadístico.

El efecto de las migraciones internacionales es un hecho social que equipara un doble efecto entre el país de origen y el de destino. En cuanto al país de destino las inquietudes latentes son primeramente las posibilidades que los inmigrantes tienen al integrarse en la sociedad autóctona, sin embargo como contrapartida tal y como indica Villa M. y Martínez J. (2002) existen unas mayores consecuencias en la profundización de las desigualdades de desarrollo, puesto que en muchos casos la sociedad receptora necesita de personal con alta cualificación y que debido a que el inmigrante entra en directa competencia con las plazas de trabajo de trabajadores locales, se quedan sin cabida para poder obtener unas condiciones laborales iguales que la población autóctona, dejándoles sin salida para poder mejorar su situación.

Una de las posibles soluciones para la inserción laboral de los inmigrantes es mediante la ampliación de estudios en España, sin embargo en este caso y de las 58 mujeres encuestadas, la mayoría de ellas llegaron en edad de trabajar y con estudios desde su país de origen, con lo que la mayoría han estudiado cursos de formación ocupacional, o directamente no han realizado ninguna ampliación de estudios (gráfico 8), debido a que su jornada laboral les impide poder dedicarse a estudiar, puesto que lo que realmente les motivo a llegar a España fue el mercado de trabajo.

El impacto de la inmigración en el crecimiento del país receptor es también una de las ventajas que presenta este fenómeno, puesto que los inmigrantes incrementan el consumo agregado, muchos de ellos tienen hipotecas y gastan la mayoría de su salario en el país, tal y como hemos señalado antes, el 25% de su sueldo va a parar a remesas, y sólo en un porcentaje menor. En contrapartida al haber muchas mujeres inmigrantes en economía informal, el impulso que podrían aportar a la productividad del país se ve en detrimento. A pesar de ello, también son grandes ahorradores, aunque según la encuesta realizada, solamente un 44% contestaron que su renta familiar en España podría equipararse a su renta en el país de origen.

Es indudable afirmar que el sector servicios es un espacio de oportunidad para las inmigrantes. Muchos de ellos llevados a cabo por economía informal y es una actividad promotora de mano de obra mal remunerada, especialmente en las grandes ciudades. Todo esto incrementa la estructura de la población mayoritariamente segmentada, dándose un escenario de oportunidades muy competitivas entre los trabajadores y un aumento entre la brecha salarial entre hombres y mujeres (Baganha y Reyneri, 2001), así como entre los mismos inmigrantes debido a la forma en la que son contratados, muchos de ellos de forma ilegal, con una mano de obra más flexible y muy barata, resultando en una mayor competitividad tanto entre los mismos inmigrantes como entre los trabajadores del país de destino.

Por otro lado, la fuerza de la mujer inmigrante como motor de ayuda para trabajo en el hogar precisa de un importante papel debido a que muchas familias están a favor de contratar trabajadoras inmigrantes con salarios menores que las autóctonas, también esta actividad intensifica la economía informal, presente en varios sectores donde la inmigración es protagonista, no por iniciativa de los propios inmigrantes, sino por parte de la población autóctona para abaratar los costes de personal, debido a que muchas de esas familias no se pueden permitir contratar población autóctona (Parella Rubio, 2004).

Una característica común de todos los trabajos en los que están empleadas es que todos ellos están cualificados en un nivel muy por debajo del que las inmigrantes ostentan, ya que muchas de ellas cuentan con estudios medios o incluso universitarios.

Gráfico 9. Opinión de las encuestadas concerniente a la mejora de la calidad de vida en España en comparación con su país de origen
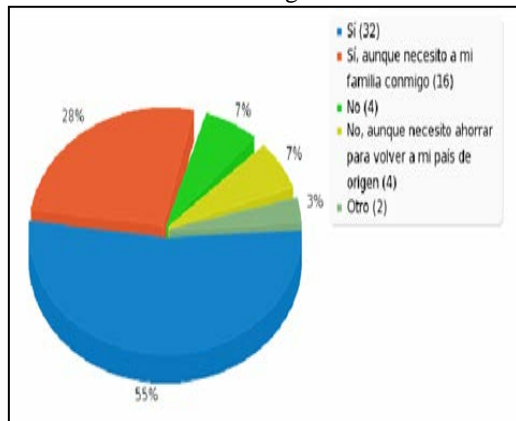
Gráfico 10. Opinión de las encuestadas sobre si su renta familiar en España es equiparable a la de su país de origen.
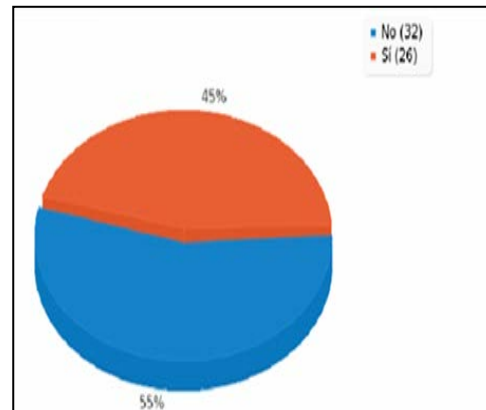
Fuente: Elaboración propia. Programa estadístico.

En los gráficos 9 y 10 se observa que sus expectativas para encontrar empleo son altas, pero en algunos casos reciben información sesgada sobre la realidad de España. Quieren ganar dinero con una doble finalidad, la de envío de dinero, que en el caso de las encuestadas envían como remesas menos del 25%, así como una propensión al ahorro para volver a su país de origen, pero este último es más difícil puesto que como indican las encuestas aunque sienten que han mejorado en calidad de vida (un 55%), en ese mismo porcentaje ven que sus sueldos no son equiparables a lo que ganarían en su país de origen, lo que dificulta la propensión a ahorrar, y les hace estar en el país más tiempo.

Conclusion

Las encuestadas presentan distintos niveles de identificación sobre el sentimiento sobre el desarraigo han sido elegidos indistintamente, esto se debe a que son inmigrantes con distintos tiempos de residencia en la provincia de Almería. Las motiva principalmente sus familiares residentes en España. La edad de llegada a España es indiferente, aunque la mayoría prefiere inmigrar antes de cumplir los 40 años, debido a sus posibilidades de incorporarse al mercado laboral. Generalmente llegan a España solteras y solas, y en el caso de llegar acompañadas, con sus hijos. Sólo un tercio de las mujeres inmigrantes tuvieron que dejar sus hijos a cargo de familiares en sus países de origen.

Andalucía fue elegida como destino debido a que residían familiares y la mayoría encontró trabajo principalmente en el sector agropecuario, seguidamente en el área de servicios. Casi la mitad de las inmigrantes latinoamericanas tienen formación educativa hasta el nivel de estudios secundarios, más de un tercio tiene estudios universitarios. Sin embargo no amplían sus estudios en España y solo la cuarta parte ha realizado cursos de Formación Profesional por su pronta incorporación laboral. Un tercio de las mujeres posee ingresos familiares entre 300-500€, mas de una cuarta parte presenta ingresos superiores a 1000€ La mitad de las encuestadas presenta mayoritariamente fuentes de ingresos personales y más de una cuarta parte corresponden a ingresos de sus parejas. Actualmente casi dos tercios de las mujeres inmigrantes latinoamericanas no está realizando actualmente una actividad remunerada debido a la crisis económica. Las encuestadas que están realizando actualmente una actividad remunerada, casi un tercio no ha experimentado cambios en sus condiciones laborales, una quinta parte han sido experimentado cambio en el sueldo. En el caso de despido laboral, la mayoría no considera que consecuencia de su condición de extranjera.Más de la mitad de las mujeres considera que ha mejorado su calidad de vida en España con respecto a su país de origen y consideran que no tiene influencia la legalización de su

situación, porque llegaron en situación legal. Un dos tercio de las mujeres tiene conocimientos para navegar en Internet y puede acceder a este servicio y la mayoría accede a Internet desde su casa o del móvil.Más de la mitad de las encuestadas considera que tienen independencia de su conyugue, actuando como pares y solo una cuarta parte considera que por su condición laboral no tiene independencia de su conyugue.

La mayoría de las mujeres inmigrantes latinoamericanas se encuentran actualmente desempleadas.Las mujeres que tienen trabajo la mayoría trabaja en alguna actividad no catalogada en la encuesta y casi la cuarta parte trabaja en el comercio. La mayoría considera que su economía domestica ha sido afectada por la crisis económica. Más de mitad de las mujeres entrevistadas ha cambiado su concepción sobre España debido a la crisis económica. Casi la mitad de las mujeres inmigrantes están casadas y tienen entre 1 o 2 hijos, y solo un tercio no tiene hijos.Solo una quinta parte de las encuestadas expresa que aun tiene hijos a su cargo en sus países de origen. Generalmente destinan menos del 25% de sus ingresos mensuales en alimentación, casi la mitad de las mujeres destina menos del 25% de sus ingresos mensuales en pago de alquiler o hipoteca y la mayoría envían dinero a sus familias en sus países de origen, pero menos del 25% o menos de sus ingresos.

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GENDER TRAINING IN PAKISTAN: AN ANALYSIS FOR WAY FORWARD

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Abstract

The decade of 1970s focused on women and development, with 1974 declared as Women's Year by the UN, followed by the decade for women (1975 – 1985). The First World Conference on women (Mexico 1975) drew attention to the need for bringing women into the development sector; by 1985 global discourse recorded a shift from women in development (WID) to gender and development (GAD). In Pakistan the notion of gender entered the development discourse by mid 1980s, and a proliferation of gender training took place. By 1995, when the Fourth World Conference on women took place in Beijing, gender training was well established in Pakistan, and a loose network of gender trainers was also established. . As gender trainings took place in different NGOs, a sense of having hit a plateau began to be felt by some gender trainers. There was no evidence available to gauge the impact of gender training or ascertain whether new depths are being explored. Furthermore, gender training appeared to have become de-politicized.

This paper shares the findings of a scoping review undertaken to understand the scope (focus, depth and nature) of literature on gender trainings in Pakistan, and to highlight the gaps in training. The paper also discusses the efforts of an informal network of gender trainers that tried to extend the agenda of gender trainings and how these need to be incorporated in the gender agenda for a more holistic approach. A way forward is also identified in the paper.

Keywords: Gender training, Pakistan, scoping study, content, way forward

Gender: Its Importance and Training:

Gender discourse draws attention that gender equity and equality concerns are a global phenomenon. Since Gender equality is the cornerstone of social transformation, hence its relevance cannot be undermined. It is important to note that gender equality is also a global struggle with UN Women having taken it as their central theme. One approach to address the gender related disparities is to gender sensitize players of all institutions be it public or private. These include the individual, the family, the workplace and the society at large.

Gender sensitization refers to the modification of behavior by raising awareness of gender equality concerns.[65] Gender sensitizing "is about changing behavior and instilling empathy into the views that we hold about our own and the other gender".[66] It helps people in

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[65] http://en.wikipedia.org/wiki/Gender_sensitization#cite_note-1
[66] http://en.wikipedia.org/wiki/Gender_sensitization#cite_note-Aksornkool-2

"examining their personal attitudes and beliefs and questioning the 'realities' they thought they know."[67] Gender sensitization is a stepping stone for transforming social norms and Gender training is a potent tool for social transformation. Gender training is also the strategy/methodology that aims to bring about gender sensitization by raising of awareness regarding gender concepts and concerns, increasing knowledge and equipping the participants with skills and tools along with capacity building to change behaviour and to apply this knowledge for action and practice.

'Gender training' is a convenient label for conduction workshops for imparting gender concepts through a variety of exercises like brainstorming, use of case studies and group discussions. Gender training manuals from around the world offer many detailed ways of transferring gender-related concepts and ideas.[68] Many women availed gender training made available by some donors, while some started developing their own expertise.[69]

Globally, gender ideas and their underlying ideologies were also advanced through books and research papers. In Pakistan, one of the earliest books was Engendering the Nation State. (Simorgh, Lahore) but to date over a hundred books have been published.[70] This is an impressive state of affairs, but there is no forum where thinking embodied in these writings come together for a collective review. Consequently, there is no discourse among those who have written on gender or continue to write on gender. There are at least two journals[71] that cover women and gender related topics, and their review could help discern the depth available in Pakistan on understanding gender.

Gender training in Pakistan:

The journey of gender training in Pakistan began more formally in the early 1990s with the development of indigenous trainers and contents (Yasmin 2014). Today gender training is well recognized in Pakistan, evidence being that a Google search of 'Gender Training in Pakistan' resulted in citations numbering to greater than 2 million, thus material beyond the scope of analysis was available(Kausar2014). Also diverse range of training manuals and handbooks are available on gender trainings in the context of Pakistan. These have been prepared by governmental and nongovernmental organizations, and UN bodies (Anita 2014).

Gender as an idea, to replace women-in-development approach that had been established globally and nationally, came to Pakistan in the early '80s. As this was an agenda emanating from the global events around women's development and their role in development, in Pakistan too it came as an agenda of the donors. However, its conceptual importance was soon recognized among many non-government organizations, especially those with a focus on women's rights. Soon gender began to be integrated in the training programs of the development sector. Both government and NGOs accepted this need, often because of the money available for such activities. However, the development sector alone was not to open itself to gender training. This notion began to be addressed in specific sectors like education, health, environment, rural development, to name some well-established sectors of development concerns in Pakistan. Thus there are many sites of gender training;

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[67] Ibid.

[68] Gender trainers in Pakistan used whatever material was easily available. Some of the popular manuals being: Two Halves make a whole (CIDA); Rani Parker's manual; and a manual by OXFAM.

[69] One such initiative was supported by UNIFEM, and it culminated in the f publication of the first gender training manuals in Pakistan. See introduction in Kausar S Khan, Gender Training. Manual. Published by Shirkat Gah. Women's Resource Center. Karachi.

[70] Google search 'book on gender in Pakistan' yielded names of over hundred books. A review of these books is not included in this paper, and warrants a separate discussion.

[71] THE WOMEN Annual Research Journal of Gender Studies, Institute of Gender Studies, University of Sindh, Jamshooro, Sindh Pakistan. L and Fatima Jinnah Women University, Rawalpindi, Pakistan.

this paper focuses on the contents of gender training, and does not analyse gender training content with reference to specific sectors.

The purpose of this paper is to share the findings of a scoping study that aimed to explore the focus, depth and nature of literature available and work done on gender trainings in Pakistan. Moreover it also reviewed gender training material for their purpose, for gender concepts that were best highlighted, the methodology used or suggested and the audience to which it was catered. An overall analysis of the reviewed data was carried out. The paper moves beyond reviewing the data and discusses the need to expand the gender training agenda. It also talks of the extended agenda of gender training and the way forward.

Scoping Study

The scoping study on gender training in Pakistan was guided by the York Framework outlined by Arksey O'Malley (Arksey & O'Malley, 2005). As per Arksey and O'Malley (2005) Scoping Reviews aim to map rapidly the key concepts underpinning a research area and the main sources and types of evidence available. Moreover 'Scoping studies are concerned with contextualizing knowledge in terms of identifying the current state of understanding; identifying the sorts of things we know and do not know…….' (Anderson et. al., 2008, p.6-7). Purpose of the paper, to map the literature available on gender trainings in Pakistan, is the rationale for this methodology. This framework suggests five stages for carrying out a scoping review. These are inclusive of research question identification, identification of relevant studies, selection of studies, charting of data followed by collating, summarizing and reporting results.

According to York framework all areas of research area need to be considered and a wide approach taken to generate breadth of coverage. As per the guidelines of the framework, initial scanning of literature, expertise of our research team and informal discussions; research question was framed as "What is the focus and nature of literature on gender trainings in Pakistan". This broad question, it was felt, provides a wide enough range to capture optimum number of material on gender training.

Literature was collected from various sources so as to attain comprehensive results. We used electronic databases, contacted local NGO's and institutes and carried out hand search. Databases used for identifying relevant studies were PubMed, JSTOR, SCOPUS and Google. These databases were explored using developed search strategy with some deviation due to varied database responses. 13 NGO's were contacted of which 4 sent their training manuals. Selection of studies was done after applying the developed inclusion and exclusion criteria. Literature chosen was of English language and between 1985-2013. Also material relevant to the Pakistani context and whose abstracts and manuals were available was included.

The literature obtained was charted by entering the data on separate templates for training manuals and researches. Data on researches was charted for title of paper, journal, year published, study design, objectives and findings. Data on training manuals was charted for title of manual, source, year, key concepts, methodology and audience catered. The purpose of the final stage was to analyse the selected data. For training manuals we analysed the contents of the manuals, checking on frequency of use of gender concepts in each manual. For researches we analysed the focus of research and methodology used.

Results

Literature retrieved by the used guideline and designed strategy included 436 documents. Selection based on study objectives and inclusion and exclusion criteria narrowed the chosen articles to 20, out of which 5 were researches and 15 were training manuals. Data was then

divided and analysed with the help of two broad headings which comprised researches/studies on gender trainings and training manuals designed for carrying out gender trainings.

Though literature was explored from 1985-2013 data extracted revealed that all studies were published between 2006-2010. Overall search revealed that very few studies had been carried out on gender trainings in Pakistan. These studies utilized qualitative or interventional methodology or were literature reviews. Most of the researches analysed stressed on the importance of gender training for health professionals and educators. Herein gender was taken as a unit of analysis i.e. gender as a concept was integrated and used but gender as content of analysis is missing. Only five studies were found on gender trainings in the Pakistani context these did not analyse gender training in terms of content and impact.

While analysing the training manuals for their focus and contents it was seen that more than forty gender concepts were used varyingly in different manuals. Use of Gender concepts was not consistent and only few concepts were taken up by all manuals. Concepts were charted as per frequency of their presence in the manuals. Diagram below shows the charting of eleven gender concepts.

Spread of Gender Concepts in 15 Manuals

	Gender & Sex	Gender & Socialization	Gender & Division of Labour	Practical Gender Needs	Strategic Gender Needs	Gender Equality	Access & Control	Condition & Position	Self	Gender Equity	Power
No. of Manuals	15	15	15	9	9	12	11	2	4	11	7

(Figure 1)

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Spread of Gender Concepts in 15 Manuals
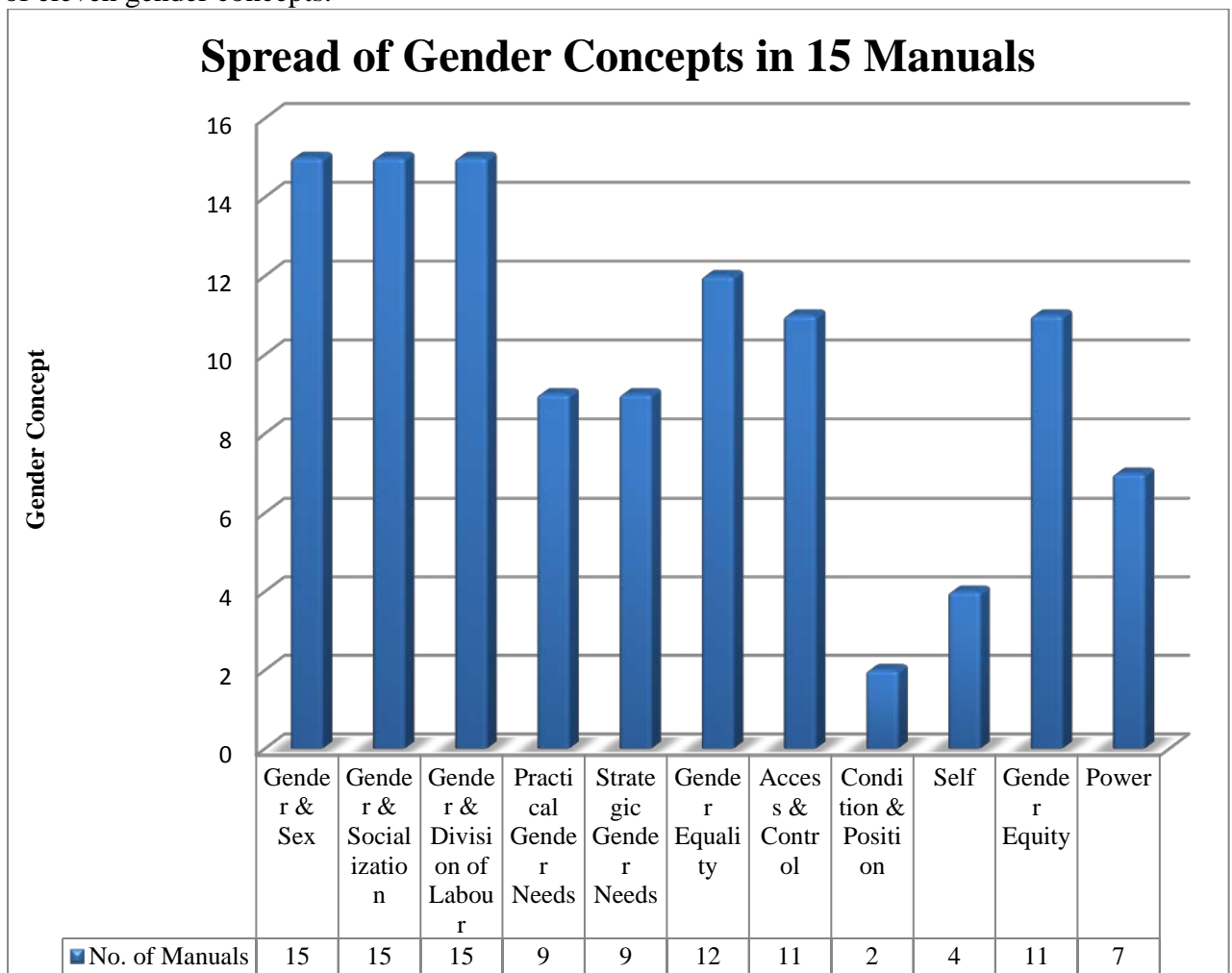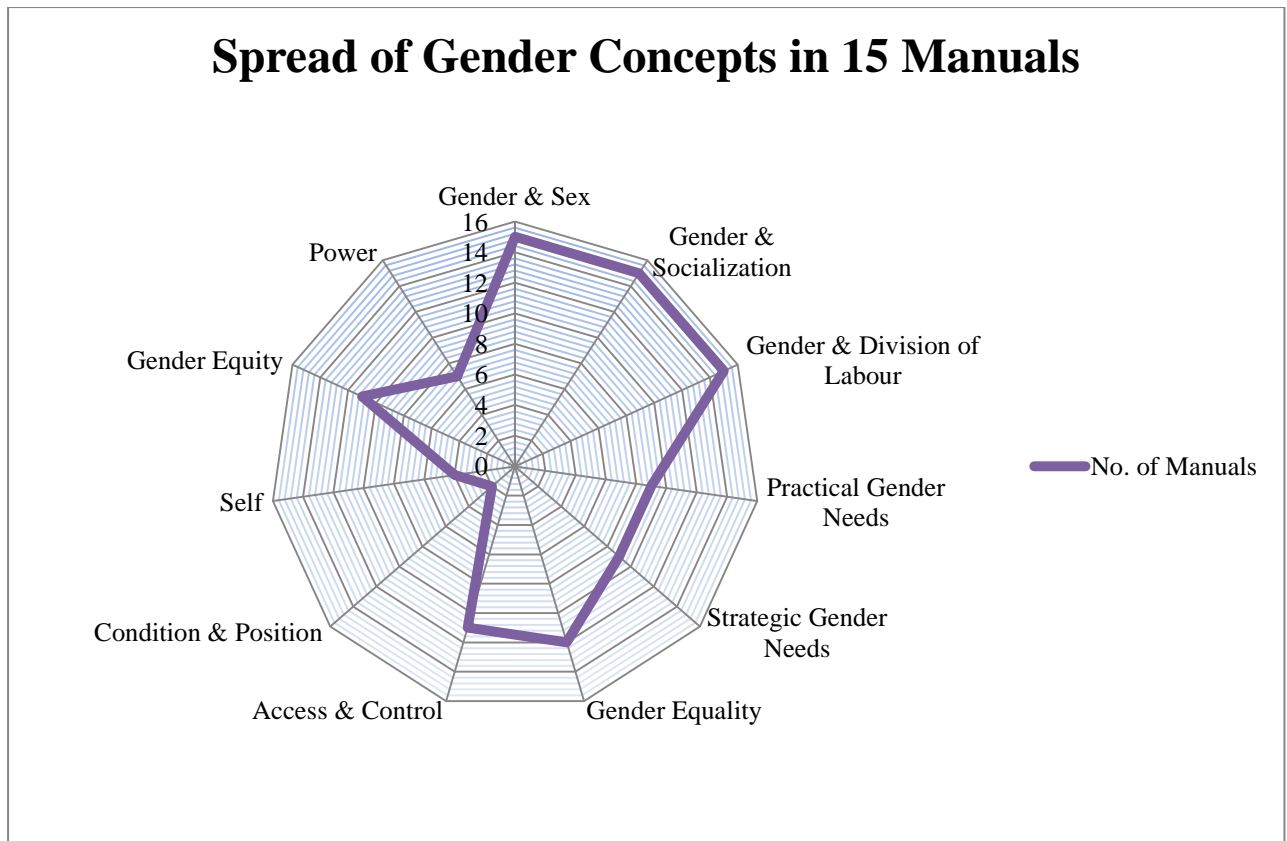
(Figure 2)

Following are the concepts that were found in the manuals

Concepts of Gender and Sex, Gender Socialization and Gender Division of Labour: were the concepts that were most consistently used and included in all manuals and handbooks. Thus all manuals were discussing the difference between gender and sex, describing gender as a social construct, culturally based and changeable. On the other hand sex was explained to be biological, universal and not changeable. Gender socialization of girls and boys was also emphasized further elaborating on labour being divided on the basis of perceived gender roles and expectations.

Concept of Self Awareness

Understanding of the self and self-awareness are crucial if modification of behaviour which is the ultimate goal of gender training is to be achieved. Regrettably only four manuals out of fifteen took up this relevant concept.

Concept of Gender Equity and Gender Equality

Gender equity is often used interchangeably with equality and this needs to be clarified significantly that gender equity is the process of being fair to men and women. Equity can be seen as the means and gender equality as the end. Equity as a concept was taken up by 11 manuals and equality by 12 manuals. Three manuals did not accommodate these very relevant concepts.

Concept of Power

All gender relations are social relations and all social relations are power relations, thus clear inclusion of power in Gender Trainings, understanding of power and power relations is crucial and needs attention. However only seven out of fifteen manuals has dealt with the concept of Power.

Concepts of Access and Control of Resources

The notions of access to and control over resources was taken up by eleven out of fifteen manuals .These relevant concepts need to be clarified as women usually have access to resources but are deprived of control over them.

Concepts of Practical and Strategic needs

Women and men have differing gender needs which needs a sound understanding. Practical needs are needed to perform current roles easily and effectively while Strategic gender needs are concerned with changing the position of women. These relevant concepts were taken up by nine out of fifteen manuals.

Concepts of Condition and Position

Condition and Position of women is influenced by fulfilling of practical and strategic needs. When practical needs are met the condition is addressed but realization of strategic gender interests can change the position of women. These concepts were explained by only two manuals out of fifteen.

Moreover there were cross-cutting themes in connection with which gender concepts were used such as Sexual and Reproductive Health, Earthquake Reconstruction and Rehabilitation, Gender Responsive Budgeting, Gender and Disaster Risk Reduction; these being included as per the purpose of the manual and the target group it was addressing.

Methodology Suggested /Used: Methodologically speaking, all manuals emphasized an interactive and participatory approach with hands on exercises and experiential activities. Also mentioned was participatory methodology and principles of adult education were advocated. The specific strategies included individual and group exercises, brainstorming, discussions, case studies among others.

Gender Training: the missing agenda

Gender and Sex, Gender and Socialization and Gender and Division of Labour are the most frequently used concepts in training manuals. Gender Equality and Equity is stated in 11 while notion of Self is present in 4 manuals. Power is touched upon in 7 manuals whereas Condition and Position are hardly used, and mentioned only in 2 manuals. In short, Condition and Position, Self and Power are used occasionally as compared to others.

If looked closely, this situation raises several concerns for analysis. For instance, can Gender Equality and Equity be understood without knowing Power Relations or without knowing Position of the Self in the given gender hierarchy? Is knowledge of social construction of gender possible without knowing Self? Can goals of Equality and Equity be achieved without tackling inequalities and inequities present in the Conditions where people are engendered or socialized?

The idea that the personal shapes the political is missed out in the manuals as despite the emphasis on Self, there is inadequate material on how one's own being is constructed in a society. Similarly, Power is present in 7 manuals but focus on empowerment and processes that disempower women and men are overlooked. Gender Equality and Equity is referred in almost all the manuals but the processes that will help people transform social conditions around them are not clearly charted out.

The analysis of content of manuals shows that gender training in Pakistan has come a long way but how the current state is relevant to the socio-political situation of Pakistan is a matter of great concern. Rising intolerance, proliferation of militant forces among religious factions, and hegemonic forms of masculinities has raised new challenges which the current gender training is unable to grapple with. What is currently happening in the name of gender training is only awareness raising and gender sensitization for providing technical fixes. The

larger commitment of being politically transformative is completely diluted and reduced to behviours of women and men.

In 2013, a Gender Network called Mubariza has raised similar concerns in their meetings and workshop to review the gender training agenda in Pakistan.[72] The 2nd National Conference on Gender organized by Aga Khan University (AKU) has also resonated what Mubariza has put forth (Yasmin, 2014). Following is the summary of key points proposed by Mubariza in their report and at the 2nd National Conference on Gender at AKU for expanding the gender training in Pakistan:

1. Attention towards the notion of 'Self'. Curricula to focus on self-awareness and consciousness raising both of trainers who do gender trainings and the audience of these trainings;
2. Different manifestations of 'power' is to be understood, especially, how it is exercised and influences others. Moreover it can also be shaped by who exercise it.
3. Focus on understanding men and various forms of masculinities and how they are shaped by social construction gender. For instance, many of the consequences that women face are actually result of societal pressures that men carry on themselves which is manifested in shape of aggression and other forms of power they exercised;
4. Focus religion and expressions of religiosity as important socio-political structures is to be integrated as they shape gender relations and outcomes. For instance, studies have found positive relationship between rising negative religiosity among men and women with violent outcomes.
5. Issues around conflict, peace and security. The rising issue of intolerance and intermittent instances of conflict have posed serious issues related to security of men and women and significance of peace building initiative in the regions.

In the light of this discussion, any deliberation that claims to be gender sensitive, especially, in relation to training, cannot remain aloof from issue being raised here.

Conclusion

Research on gender training needs to be pursued as few studies have been found on gender training in Pakistan. Content of training, pedagogy of training and their impact needs to be studied. Also institutions and organizations need to become pro-active in impacting the public discourse on gender, by sharing their thoughts, programs and actions. Moreover, role of gender trainers and their education and training also require attention if gender is to be mainstreamed.

Way forward

Gender training in Pakistan can acquire a critical perspective if gender trainers were to meet on a regular basis and exchange their experiences, and identify the challenges faced and areas for further investigation. Pakistan has some informal gender networks, Mubariza being one of them.[73] Research in Pakistan, especially qualitative research, needs strengthening, and agenda for gender research needs to be developed. If networks like Mubariza were to contribute to systematic advancements of gender related work, they could also take a lead in setting the research agenda. It is not that there is a dearth of intellectual competencies in Pakistan. The need is of leadership and funds to back that leadership. Institutions that offer courses in gender can also provide a robust leadership, but unfortunately the institutions of

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[72] Final Report on South Asia Women's Fund (2013) Planning, Organizing and conducting a workshop to Build Capacities of Gender Trainers in Pakistan. Unpublished manuscript.
[73] See website of Rozan for information on Mubariza. Rozan is an Islamabad based non-government organization that acted as the secretariat for Mubariza for many years. http://www.rozan.org/index.php

higher education have not been able to provide the leadership. Pakistan thus appears to be caught in the paradox of the 'non-doability' of the 'doable'. Who could cut this Gordian knot is yet to be seen.

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GENDER RESEARCH IN PAKISTAN: A SCOPING REVIEW

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Abstract

Researchers focusing on gender issues usually concentrate on how people perceive and interpret gender, understand or construct sex and gender etc. Much needs to be explored and understood in relation to research and concepts of gender studies.

The present study "Gender Research in Pakistan: A Scoping Review" was carried out with the purpose of mapping literature on gender research in Pakistan, further exploring how gender concepts like social construction of roles, power relationships, division of labor/resources are understood and constructed by researchers in social science research. Also the review intended to provide grounds for critiquing how researchers problematize and integrate gender concepts in their phenomenon of interest and while doing so what research methods are applied by them.

The paper will share the importance of gender sensitive research and the results of the scoping review carried out. It shall also attempt to document methodological gaps in the retrieved literature, concluding with some recommendations for way forward.

Keywords: Gender Research, Scoping Review, Pakistan

Introduction

Gender inequality concerns are globally recognized as gender disparities have been prevailing in all societies at all times. However gender discourse gained momentum in Pakistan in mid-80's when there was a shift from women in development approach (WID) to gender and development approach (GAD). The establishment of women and gender studies across academia in Pakistan in the 1980s onwards was a formal recognition of an emerging discipline that centered on deep-seated socio-economic and political inequalities confronting women. Historically, in Pakistan, in the year 1989 after the military regime of General Zia, Ministry of Women development established the "Center of Excellence in Women's Studies" in 5 public universities across Pakistan. In the later decades many public and private universities initiated courses on women and gender studies. All these endeavors indicate the efforts made in Pakistan to develop capacity of individuals and promote knowledge, scholarship and research around women and gender issues. Our search showed that there are about 2 journals on gender studies that are published from local institutions; there are several others from disciplines such as mental health, education, public health and social sciences that publish on similar issues.

Following section briefly touches upon the significance of gender sensitive research.

Importance of Gender Sensitive Research

Gender sensitive research is not research on women or on gender relationships; it is research that takes into account gender as a significant variable in environmental and development studies (Leduc, Brigitte. 2009). Gender-sensitive research pays attention to the

similarities and the differences between men and women's experiences and viewpoints, and gives equal value to each. It helps both men and women concerned by a problem to analyze an issue, understand its causes, and find solutions. A gender-sensitive research methodology is usually more participatory and can contribute greatly to empowering people, notably women (Callamard, 1999; Leduc, 2009).

Gender can be approached in two ways. Firstly it can be approached as a unit of analysis for instance making methodology more inclusive by collecting data from men and women. Secondly, gender is approached as content of analysis where gender theories are invoked to study content of inquiry itself. (Aslam, 2014)

We made an attempt to see how researchers problematize gender, integrate gender concepts into their phenomena of interests in the context of Pakistan. This paper aims to share the findings of a scoping review carried out to map and explore literature on Gender Research in Pakistan. Specific objectives of this scoping activity are to identify, retrieve and summarize literature on gender research relevant to Pakistan. It also aims to describe the focus and nature of research in the area of gender. Furthermore the paper talks about gaps in research and the suggested way forward.

Methodology

York framework put forth by Arksey O'Malley (2005) was employed as the methodology for the scoping study. As per York framework the indicated five steps were followed for the scoping exercise.

Initially the research question was framed after discussion and deliberation with the research team, other expertise and literature search. The question framed to pull out adequate literature was "What is the scope (focus and nature) of gender research in Pakistan".

After framing of the question, search strategy was developed. Relevant databases inclusive of CINAHAL, PubMed, Eldis, SSRN and SCOPUS were used to search for published and grey literature. A comprehensive search strategy was applied to all mentioned databases to collect data. Then an inclusive and exclusive criterion was applied to narrow down the data. Only research articles and reports of studies conducted in Pakistan or in the context of Pakistan during 1985-2013 were selected. We included studies using all types of methodology and published in English with accessibility of abstracts. However articles related to health and education were excluded as separate studies were carried out for them. Also excluded were conference proceedings and newspaper articles.

The collected data was then charted for analysis. Charting included: title of study, authors, study site and design. To elaborate and analyze descriptive data was also charted which included objectives, methodology, relevant findings and emerging themes. Finally data was synthesized and summarized, themes identified and formal structure given.

Findings

Following section describes findings of the scoping review.

Table I:

#	Search and Selection of Articles	Results
1	Total articles retrieved	3272
2	Articles selected after applying inclusion and exclusion criteria	35
3	Articles that applied Gender Concepts	10
4	Articles talking specifically of gender issues (Domestic Violence, Intimate Partner violence, honor killing etc.)	21
5	Articles addressing differential behaviors among men and women	4

As shown in the above table I, a total of 3272 articles were retrieved using the designed search strategy. Thirty five articles were narrowed for review of abstracts which

were charted and analyzed. Of these twenty one articles were inclusive of studies talking of gender issues and concerns such as domestic violence, intimate partner violence, honor killing etc. Only ten studies showed researches where gender concepts like gender roles and relations, gender division of labor, patriarchy, sexual rights etc. were researched. Four studies were addressing differential behaviors among men and women such as saving behavior, use of telephones etc.

Table II: Methodologies employed for Gender Research

Methodology Used	Number of studies utilizing this methodology
Quantitative	7
Qualitative	12
Mixed Methods	5
Literature Review	11

Table II. shows the common methodologies used for gender research in Pakistan. Most researches that is twelve out of thirty five utilized qualitative methods for their studies and eleven researches were literature reviews. Moreover quantitative method was used by seven and mixed method employed by five researches.

Table III: Year of publication

Year of Publication	Number of Studies
1985 – 1995	3
1995 – 2005	3
2005 – 2013	29

Figure III shows that very few studies were done from 1985-2005. The main bulk of studies fall between 2005-2013. Analyzing the data it could be commented that the trend of gender inclusive research has gained momentum in the last decade.

Analysis of findings

We made an attempt to understand how researchers delved into the notion of gender in their work and in so doing we appraised the selected research studies for mainstreaming gender dimension, for instance applying feminist stance, conceptualizing gender sensitive research question and research methodology.

We were able to retrieve ten out of total of thirty five studies applying gender concepts in a varying manner. Studies that incorporated gender concepts addressed the notion of patriarchy as a deterrent to female decision making, differential rearing of boys and girls, female subordination and sexual rights. Twenty one studies looked at gender issues and discrimination against women such as either in the context of special population such as Internally Displaced Persons (IDPs), honor killings, intimate partner violence and domestic violence and sexual orientation. Research studies that attempt to highlight role of women's movement also discuss engagement of women in politics and social political movements.

However interestingly, about only four studies considered only behavioral differences between men and women like saving behaviors, or investment profiles with reference to socio-demographic factors. To our understanding these studies applied a neutral approach making it unclear to conclude what is contested or challenged from a gendered framework.

Based on the limited scoping exercise we have attempted to highlight three types of approaches that use gender as a research framework.

- Religion, social norms, customs used to construct the meaning of "gender"
- Vulnerability and victimization as a result of a given gender'
- Behavioral differences amongst sexes.

Conclusion

It is clear from the available data that researchers engage themselves in varying degree of depth in applying feminist and critical research framework to answer their research questions. Hence there are challenges to be met by researchers, academicians and others involved in gender scholarship. In order to take forward scholarship of transformative nature more depth has to be brought in the theoretical underpinnings of feminist and critical research methods. It is also evident that gender work in Pakistan has been primarily focused on women and men's experiences have been ignored in most work so unless masculinities are linked to gender studies the process of engendering scholarship will not be complete.

Furthermore, in order to produce quality scholarship on gender it is important to strengthen existing social science curriculums with emphasis on theoretical rigor related to feminist and masculinity theory, political and social theory. Similarly rigor is required in teaching and practice of research methodologies to best answer gender questions e.g. qualitative research of participatory nature.

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THE SUSTAINABLE DEVELOPMENT OF AN INDUSTRIAL CLUSTER IN THE CONTEXT OF CORPORATE SOCIAL RESPONSIBILITY – A NEW CHALLENGE FOR CLUSTER MANAGEMENT

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Abstract

In the present article, clusters are treated as a form of contemporary organisation, which is created as a result of reciprocal interactions, formal and informal, horizontal and vertical relations between geographically concentrated heterogeneous subjects specialised in a particular area, which represent the environment of: business, science, business support and local public administration. The author assumed that the condition for the achievement of the determined strategic goals of sustainable development within an industrial cluster is, inter alia, its endogenic ability to create eco-innovations. Moreover, he indicated that the realisation of the assumptions of the concept of sustainable development is an integral element of CSR philosophy. Taking into consideration the significance as well as the internal and external dimensions of CSR, the author enumerated multitudinous benefits that ensue from socially responsible cluster management. He emphasised that socially responsible activity of an industrial cluster, which is consistent with the assumptions of sustainable development, can contribute to the permanent improvement of a society's quality of life, without considerable negative changes in natural environment and loss of socio-cultural values. Hence, it is necessary to prepare and include proper rules of sustainable, socially responsible development in the contents of strategic documents, including the declaration of missions and visions and their constant observance in every area of activity, in internal and external environment.

Keywords: Cluster, ecosystem, sustainable development, corporate social responsibility

Introduction

Dynamic socio-economic changes connected, inter alia, to globalisation processes, including growing expectations and the power of key stakeholders, require cluster coordinators to seek efficient ways that enable long term development. A considerable challenge within this scope is the implementation of the assumptions of the concept of sustainable development, including social responsibility, which assumes the balance of the three areas of cluster activity, i.e. economic, social and ecological.

The concept of business sustainable development, including clusters, is a significant element of EU economic policy, comprised in the priorities of the strategy "Europe 2020". This new strategy assumes, among others, that cluster members and coordinators have to show complete understanding of the concept of sustainable development and its practical usage to the degree that ensures the fulfilment of the requirements of the market and the environment. Particularly in the mature clusters that are orientated towards long term development, one can observe the growth in the interest in this concept, the proof of which can be seen in the declarations of clusters' missions, including their multitudinous socio-economic undertakings.

The implementation of the assumptions of sustainable development in the process of cluster management is presently treated as one of the indicators of strategic thinking and action. It is a long term and laborious process. As a result, cluster's sustainable development has a dual nature since it can be orientated towards the realisation of various aims of ecological, economic and social balance within a certain strategy, on the other hand, however, it can refer to effective, gradual implementation of the changes that enable continuous development of cluster members and the cluster as a whole (Buhl and Meier zu Köcker, 2010, p. 17).

Most frequently, the concept of sustainable development is the object of interest on a macroeconomic scale, however, to a small degree it is analysed from the viewpoint of managing cluster development. In the literature on the subject, this issue is still new, therefore, according to the author, it requires continuous, in-depth research and analyses.

The article aims to characterise the assumptions of the concept of sustainable development, which is followed in industrial clusters, and which enables a complex approach to the problem of socio-economic development of a cluster and the development of its competitiveness. What has been found significant is also the determination of the fundamental factors influencing cluster's sustainable development. The consideration the keynote of which was the hypothesis according to which the realisation of the concept of sustainable development in a cluster requires pro-environmental and pro-social orientation towards cluster management, has been made on the basis of the research results of secondary sources.

The industrial cluster as an innovation ecosystem:

In the literature on the subject clusters have many diversified definitions, however, frequently, certain chief attributes are comprised in the majority of them. These are inter alia: geographical and sectoral concentration, specialisation, common development trajectory, Triple Helix Model, interactivity and co-opetition. Industrial clusters have emerged as a special form of spatial organization in economics theory, regarding organizations' efficiency, productivity, competitiveness based on their geographic concentration of interconnected businesses, networks and relations with key different stakeholders (Boja, 2011, p. 184). Thus, they are defined as a high geographic concentrations of related firms within a given industry, which can be related – both – vertically and horizontally (Madsen, et al., 2003, p. 5).

They may also be understood in terms of a group of organizations producing similar products or services that are located within a region, since they are the most visible and often most publicized features of organizational activity in a region (Romanelli and Khessina, 2005, p. 346). Perry (2005, p. 14) argues that the key attributes of the most successful clusters are: the mix of enterprise types; managers' expectations from cluster participation; business relationships between cluster participants. Generally, clusters are driven by two dominant factors (Zadek, et al., 2003, p. 4):

- the 'legitimacy' effect: clustering is most likely to arise where the potential is greatest for making social and environmental aspects of the value-chain of tangible concern to stakeholders who count;
- the 'productivity' effect: clustering is most likely to arise where the potential is greatest for translating social and environmental enhancements in the value chain into labour and resource efficiency, and productivity gains.

The economic externalities arise from the presence of a critical mass of firms, suppliers and a skilled labour pool within the confines of the industry cluster as well as through flows of information, knowledge, technology and skills within the cluster (Lund-Thomsen and Nadvi, 2010, p. 205). Members of the cluster exchange and create knowledge

through face-to-face interactions and with the creation of common languages and institutions (Boari, 2001, p. 2). Anbumozhi, Thangavelu, and Visvanathan (2013, p. 10) identify the key benefits of activity industrial clusters:

- promotion of national and regional economic development, as industrial clusters strengthen the capacity to generate employment and local quality life;
- poverty alleviation, as industrial clusters may empower specific oppressed groups in society, leading to a more equitable distribution of income;
- transition to a market economy by reinforcing the influence of the private sector and promotion of privatization;
- promotion of good governance, as industrial clusters encourage broad participation from the private sector, knowledge institutes, and local communities in the economic, political, and social activities of a country;
- promotion of a more flexible, innovative, and competitive economic structure, as industrial clusters can easily adapt and adjust to market changes.

Every industrial cluster functions and runs business activity within certain localisation, obtaining and distributing certain resources to the environment. A part of them is also a subject of activity distinguished from the environment in a legal and organisational sense. In Poland, likewise in many other EU countries, as a result of the growing expectations of public policy makers, there occurred the institutionalisation of a part of clusters through their formalization according to the organizational and legal models of running business activity adopted in a given country, or through partner agreements or others. The prime motive of this type of activities was and still is the need for public support of their development, including the financing from EU funds. Presently, the formalisation of clusters has been gradually substituted with the formalisation of cluster coordinators (cluster organisation), i.e. entities acting for the benefit of cluster development. It is cluster coordinators that frequently employ professional management which manage cluster structures on their behalf.

Rosenfeld (2005, p. 8) argues that clusters are eco-systems, not associations. Industrial clusters, particularly technological and innovative ones, owing to their nature, not only create the environment that is conducive to innovation development but also they themselves are its element. Basing on the achievements of the science within the scope of the theory of economy or the theory of organisation and management, it was agreed that such an environment should be called the ecosystem of innovations. From the viewpoint of economy, this ecosystem is treated as a set of various stakeholders, whose individual and group activities are connected to the creation, development and the transfer of broadly understood innovations. Innovation ecosystems can be defined in multiple ways - for example, as (Adner and Kapoor, 2010, p. 307; Xiaoren, et al., 2014, p. 53; Engler and Kusiak, 2011, p. 57; Jansen, et al., 2006, p. 1661):

- a hybrid of different networks or systems;
- a set of innovation entities (e.g., small businesses, corporations, universities, governments), which operate in a dynamic environment;
- a permanent or temporary system of interaction and exchange among an environment of various actors that enables the cross-pollination of ideas and facilitates innovation;
- expansion system formed by mutual support organizations, including core producer, customers, suppliers, service providers, industry associations and government departments;
- the collaborative arrangements through which firms combine their individual offerings into a coherent, customer-facing solution;
- a network which includes not only big firms as the core innovator, but also its upstream suppliers, and its downstream buyers and complementors,

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- a network system of value creation and co-evolution achieved by suppliers, users, partner, and other groups of stakeholders;
- a loosely interconnected network of companies and other entities that co-evolve capabilities around a new knowledge, innovation or technology platform and thus depend on one another for their overall effectiveness and survival;
- a network structure with vague boundary, an open system of the existing dynamic interaction between each symbiotic enterprise or between the system and the surrounding environment, a system built around the core enterprise, and members presented diversity.

The nature and extent of these dependencies in networks, common goals, and shared capabilities vary and give rise to different types or contrasting forms of innovation ecosystems e.g.: based on the nature of governance (centralized/decentralized), the extent of openness of the boundaries (open/closed), the structure of the problem space (well-defined/emergent), the nature of the innovation pursued (incremental/radical), etc (Nambisan and Baron, 2013, p. 1074). The members of this kind of networks usually work cooperatively and competitively to develop new products and services based on a shared set of technologies, knowledge, or skills (e.g., marketing) that comprise an open innovation platform (Zahra and Nambisan, 2011, p. 6). Zahra and Nambisan (2011, p. 10) consider that in an innovation ecosystem, it is relatively easy to recognize the existence of three different new venture types:

- breeders, new ventures that create new ideas that radically transform the knowledge base of an ecosystem;
- feeders, new ventures that carry out a disproportionate rate of invention and discovery in the ecosystem;
- niche players, specialized new ventures that carve out a niche within an ecosystem and develop it.

While analysing the concept of innovation ecosystems, Adner (2006, p. 100) states that they allow firms to create value that no single firm could have created alone, however, they are characterized by three fundamental types of risk: initiative risks – the familiar uncertainties of managing a project; interdependence risks – the uncertainties of coordinating with complementary innovators; and integration risks – the uncertainties presented by the adoption process across the value chain. The above mentioned types of risk should be taken into consideration while making decisions concerning cluster development. Comprehensive knowledge of the characteristics and the scope of the present or potential risk enables making rational decisions, owing to which it is possible to maximize the occurring chances and minimize the influence of the threats. Hence, the process of risk identification ensuing from the functioning of a cluster in a given innovation ecosystem should be complex and continuous.

The impact of sustainable development on cluster management

The concept of sustainable development has been enjoying widespread support on the international stage for a few years as it creates real possibilities of reducing negative effects of industrial development, including the changes of the so-far unsustainable consumption and production trends. According to Anbumozhi, Thangavelu, and Visvanathan (2013, p. 2), industrial clusters lend themselves to sustainable development – directly through economic development, incomes, and well-being generated for the working people; and indirectly, through their wider impact on the local economy and environmental conservation.

The concept of sustainable development, as a contemporary philosophy of development and a global and long-term challenge, has been shaped by a set of integrated elements of a number of scientific disciplines, including natural sciences, economics and social sciences. Sustainability refers to organization's activities, typically considered

voluntary, which demonstrate the inclusion of social and environmental concerns in business operations and in the interactions with stakeholders (D' Amato, et al., 2009, p. 1). In economic literature, the notion of sustainable development has a number of meanings – it can denote (Hall, et al., 2010, p. 440; Pirnea, et al., 2011, p. 40):

- the development that meets the needs of the present generation without compromising the ability of future generations to meet their own needs;
- the concept, which assumes that renewable resources should be used wherever possible and that non-renewable resources should be husbanded (e.g., reduced and recycled) to extend their viability for generations to come;
- the idea of development, which stress continuing commitment by business to behave ethically and contribute to economic development while improving the quality of life of the work force and their families as well as a local community and society at large;
- the development, which encompasses strategies and practices that aim to meet the needs of the stakeholders today, while seeking to protect, support, and enhance human and natural resources that will be needed in the future.

Hui and Yang (2008, p. 553) stress that industrial cluster will sustainable develop when the profit which is made by the way of enterprise cooperation is beyond the profit decrease which is caused by intense enterprise' competition of the resources such as land, market, intellectual, capital, technique and service. Sustainable development of a cluster implies permanence of action, which means that it requires the optimal use of resources, minimizing the negative economic, socio-cultural and ecological impact, maximizing benefits of local communities, national economies and conservation of nature (Mazilu, 2013, p. 24). The aim of sustainable development of industrial clusters is to minimize the environmental impacts of these clusters and improve the effective share of resources by facilitating and strengthening interrelationships between the components and the elements of industrial and natural systems (Anbumozhi, et al., 2013, p. 11).

The fulfilment of the principles of cluster's sustainable development is achieved, inter alia, by the implementation of not-standardised activities (e.g. cleaner production and technologies, eco-innovations) and standardised solutions (e.g. EMAS, ISO standards, Environmental Management Systems) not only at the level of cluster's coordinator but also its particular members. Orientation towards eco-innovativeness in a cluster aims at: building pro-ecological consumer attitudes, supporting environmentally friendly products and expanding markets for them, as well as the decrease in the outlays of resources and energy and simultaneous improvement of the quality of the processes and functions being realized, manufactured goods and provided services. Decision-making in the scope of the execution of eco-innovations by the cluster members and cluster managers takes into consideration the changes in the surroundings, the necessity of improving the condition of the company, increasing competitiveness, the need for diversification of activities or changes in the scope of technology and manufacturing methods, which are all translated into the generated costs (Zaba-Nieroda, 2011, p. 177).

While analysing particular declaration of cluster's missions, it is easy to state that what is most significant for those organisations is the principle of sustainable development, which concerns the prevention of the creation of pollutions and other environmental burdens in the course of running business activity, at every stage of production processes. It refers to: lowering the cost of reducing pollutions in technological processes; recycling; waste utilization, segregation; installation of innovative protective devices that capture and neutralize pollutions; reduces landfill space (Mukhopadhyay and Pandit, 2014, p. 47).

On the basis of the research on the nature of cluster sustainable development, Brouder and Berry (2004, p. 8) emphasise that sustainable business clusters offer the same economic benefits as traditional clusters but with the added value of long-term social and environmental

benefits. Moreover, the members of an industrial cluster working together on sustainable development measures not only save time and money but also they are effective in pushing agendas further, have a high level of innovation potential and a better corporate image (Brouder and Berry, 2004, p. 9).

Hence, it can be assumed that the shape of the final decisions in clusters concerning the implementation of the concept of sustainable development is influenced by strictly economic factors (the possibility of reducing the cost in a particular domain of activity) as well as social ones (cluster's organisational culture, social capital). Moreover, not insignificant are also continuous changes in the scope of the functioning and the development of industrial sector, or the changes of industrial and environmental policy in a given country.

Corporate social responsibility in cluster sustainable management:

The idea of corporate social responsibility (CSR) as one of the dynamically developing management concepts bases, inter alia, on the assumptions of the concept of sustainable development. Industrial clusters are more and more frequently pressured by numerous key stakeholders to engage in social and environmental responsibility. Hohnen indicates that CSR is understood to be the way firms integrate social, environmental and economic concerns into their values, culture, decision making, strategy and operations in a transparent and accountable manner and thereby establish better practices within the firm, create wealth and improve society (Hohnen, 2007, p. 4). Amaeshi, Osuji and Nnodim (2008, p. 223) define CSR as an organisation's commitment to operate in an economically and environmentally sustainable manner while recognising the interests of its stakeholders.

This concept is about how a business is run; values and beliefs become real in working environment, when they are lived every day and no amount of corporate rhetoric can substitute for direct evidence of management's sincere and meaningful dedication to a consistent set of values (Del-Baldo, 2014, p. 26). Those indicated definitions include the elements that are generally included in theoretical and empirical publications on CSR, such as the community, the environment, human rights, and the treatment of employees (Servaes and Tamayo, 2013, p. 1047). Thus, they indicate the need for maintaining in economic practice a harmony between the three fundamental CSR elements: economy, ecology and ethics – as a condition necessary for efficient cooperation with the environment.

Some researchers argue that CSR can be seen as either an integral part of the business strategy and corporate identity, or it can be used as a defensive policy, with the latter being used more often by companies targeted by activists (D' Amato, et al., 2009, p. 4). Many economic publications stress that building on a base of compliance with legislation and regulations, CSR typically includes "beyond law" commitments and activities pertaining to: corporate governance and ethics; sustainable development; conditions of work (including safety and health, hours of work, wages); industrial relations; community involvement, development and investment; involvement of and respect for diverse cultures and disadvantaged peoples; corporate philanthropy and employee volunteering; customer satisfaction and adherence to principles of fair competition; anti-bribery and anti-corruption measures; accountability, transparency and performance reporting; supplier relations, for both domestic and international supply chains (Hohnen, 2007, p. 4).

The concept of CSR, thereby, embraces a wide range of behaviours, such as being employee-friendly, environmentally friendly, mindful of ethics, respectful of communities where the firm's plants are located, and even investor-friendly (Benabou and Tirole, 2010, p. 2). Many researchers of this issue suggest that the key issues regarding the frameworks, measurement and the empirical methods of social responsibility and sustainability have not yet been resolved as the existing research has been too fragmented or focused only on the

organizational level of analysis, while ignoring individuals or groups (Orlitzky, Siegel, et al., 2011, p. 12).

The idea of CSR is not particularly new as it was created in 1960s in the US, and it was there where it was practiced actively in particular (Brønn and Vrioni, 2001, p. 208). From the standpoint of the European Commission concerning the principles of ethics, it ensues clearly that this concept should become an integral part of management and should be present in industrial practice. It is very important since, as it is emphasised by D' Amato, Henderson and Florence (2009, p. 6) – CSR can be a way of matching corporate operations with societal values at a time when these parameters are changing rapidly. Simultaneously, Lund-Thomsen and Nadvi (2010, p. 205) indicate that still little attention has been paid to whether and how local cluster-based actors might negotiate the norms and values codified within the CSR requirements of global leading firms. It is a significant problem as in many types of industrial clusters it is big foreign corporations that constitute the foundation for the development of the entire cluster.

The potential and value of corporate responsibility clusters is expressed creating competitive advantage within one or several sectors arising through interactions between the business community, labour organisations and wider civil society, and the public sector focused on the enhancement of corporate responsibility (Zadek, et al., 2003, p. 24). Battaglia and Bianchi, et al. (2010, p. 137) on the basis of the results of the research conducted in industrial clusters in Tuscany (Italy) indicated the importance of developing CSR practices within the policies and strategies of these clusters.

Owing to the dynamic socio-economic changes, CSR concept enjoys more and more interest of clusters' management. Cluster managers, while beginning the process of devising and implementing the development strategy of their organisations, perceive the need for taking into consideration economic, ecological and social dimensions equally. This process most frequently takes place in the conditions of incessant dialogue with stakeholders, according to the principle of continuous improvement. The activities undertaken by managers are similar to the concept of "environment-serving organizations" (ESOs), presented by Ansoff, which was created on the basis of Chandlers's relational paradigm (Candy and Gordon, 2011, p. 74).

The fundamental CSR's principle is building partner, ethic, valuably efficient relationships with various groups of stakeholders, which ensue from internal engagement, sense of missions' and values' realisation. Ethic responsibility is connected, in this case, to such behaviour that joins not only thoroughness and honesty but also anticipation and tenacity of purpose to achieve the result that is compliant with the principles of business ethics. Cluster's social responsibility is treated as a process within the scope of which not only particular members of this structure but above all cluster coordinators manage relationships with internal and external key stakeholders on behalf of the cluster, preserving reciprocal responsibility. The management of stakeholder relationships lies at the core of CSR and entails establishment of a sound/functioning two-way communication with stakeholder groups, i.e. understanding the type of support needed from each group, as well as learning their expectations of business and what they are willing to pay for having their expectations met (Brønn and Vrioni, 2001, p. 218).

The diversity of the group of stakeholders ensues, inter alia, from the nature of the resources and the competence available at the disposal, activities that are undertaken to realise personal goals and the force of influencing the processes realised by a cluster. The foundation of the relation cluster-stakeholders can be: an agreement, generally binging law, more or less formalised principles of cooperation owing to which the relations can be of various nature, e.g. contract, quasi-contract, non-contract, partner, competitive and cooperative. The

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continuousness of cooperation to a considerable extent depends on positive relations, which can thrive owing to "organisational learning" and reciprocal responsibility.

The awareness of cluster managers that the work is ineffective when relations with stakeholders lack trust (including intra-organizational relations in clusters) is more and more increasing. To build this trust, it is significant to take into account the system of values, principles, standards, transparent procedures and good communication. However, owing to the high turbulence of the environment, it is not possible to create a close circle of stakeholders. As a result of the changes occurring in the market, there still appear new "strategic supporters" with diverse expectations, who determine enterprise's activity. The focus on improper group of stakeholders, inter alia, on marginal stakeholders or wrongly understood expectations of this group can lead to making wrong decisions. According to this view, all CSR activities fall under the remit of stakeholder management (Servaes and Tamayo, 2013, p. 1046).

The involvement of the decision-makers and particular cluster members in the realisation of the assumptions of CSR concept can bring to this organisation a number of measurable benefits, not only external (concerning external environment) but also internal ones (referring to internal environment). A cluster has, inter alia, the possibility of building permanent relations with the environment and being a trustworthy partner in activities. Moreover, as a result of running socially responsible cluster business, there take place (Carroll and Shabana, 2010, p. 92): the increase in the level of organisational culture, the improvement of the level and the quality of intellectual capital, the obtainment and the maintenance of the best employees, the increase in client's loyalty, the reduction of the cases of internal corruption, frauds or other abuses, the reduction of interest conflicts, the increase in effectiveness and productivity, the creation of values for the key stakeholders.

Significant benefits that can ensue from efficient realisation or CSR assumptions are also: facilitated knowledge (technology) transfer, increase in innovativeness, stimulation of economic development and the contribution to the increase in the wealth of local society. CSR activities may help a cluster to strengthen its legitimacy and reputation by demonstrating that it can meet the competing needs of its stakeholders and at the same time operate profitably (Carroll and Shabana, 2010, p. 101). According to Hammond and Slocum (1996, p. 160) developed measurement of organization reputations reflecting social responsibility includes four attributes of the organization's relations with key stakeholders:
- quality of products and services, representing relations with customers;
- ability to attract, develop and retain talented people, representing partnership relations with employees;
- community and environmental responsibility, representing relations with the environment in which the organization operates;
- quality of management, representing management of relations with stakeholders, awareness of and pro-activity to changes in the business environment.

Moreover, the promotion of CSR policies and actions at the industrial cluster level can improve the image of the cluster brand and, consequently, the competitive capability of many members located in the same territory (Battaglia, Bianchi, et al., 2010, p. 138). In investors' opinion, particularly the foreign ones, obeying CSR rules is a sign of cluster's efficient management and reduces investment risk owing to adequate regulation mechanisms. The activity of contemporary clusters, including their members, is orientated towards permanent improvement of the process of implementing the concept of socially responsible business.

Hence, it decides on particular readiness and ability not only to reply to rapid changes but also to anticipate these changes and prevent their possible negative effects and also enables sustainable development in the conditions of dynamic environmental changes.

Moreover, the application of ethical principles in business proves an adequate approach in running business activity. Industrial clusters build their competitiveness caring for social interest, developing relations with various environmental groups and basing them on dialogue and mutual trust.

Conclusion

Owing to the fact that the concept of sustainable development creates a real possibility of building a solid foundation for solving a number of problems within a cluster, its practical implementation in this type of organisations stimulates the interest amidst decision-makers. The implementation of this concept in industrial clusters assumes the necessity of maintaining balance between its three elementary dimensions, i.e. ecological, social and economic, including the running of a business activity in such a way that while the environmental standards, rational use of energy and other resources and possibly little pressure on natural environment are taken into account, the goods being produced are of high quality. What is also significant is constant improvement in the area of production techniques and technologies, in a manner that is conducive to the efficient functioning of cluster members and simultaneously preserves a high level of natural environment protection and social justice.

Dynamically increasing stakeholder's expectations require from cluster coordinators to undertake and realise in practice also the idea of social responsibility. The realisation of these assumptions through the conduct of social dialogue can contribute to permanent growth of the competitiveness of a given cluster at local as well as global level. Thus, decision makers must be able to determine how their clusters can become more socially responsible, ecologically sustainable, and economically competitive.

Industrial clusters that choose to implement a sustainable approach should note that this will involve a dynamic learning process, because sustainable development and CSR are moving targets that cannot be fully "achieved" by one-time activities and decisions (Hohnen, 2007, p. 1). There is no "one-size-fits-all" method for pursuing a CSR approach, because each cluster has unique attributes, environment, organizational culture and circumstances that will affect how it views its operational context and defines social responsibilities (Hohnen, 2007, p. 18). Thus, decision-makers in industrial clusters, while preparing its strategy of sustainable development and business social responsibility, should take into consideration the heterogeneity of this structure's member group and remember to enable their involvement in the realisation. What is significant in the course of the entire process is the development of the knowledge, the awareness of all cluster members within the scope of good and bad practices of the integration of common economic, ecologic and social aims.

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MÚSICA, SEXUALIDAD, EDUCACIÓN. TRATAMIENTO DE LA DIVERSIDAD AFECTIVO-SEXUAL EN LA SERIE DE TELEVISIÓN GLEE

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Abstract

From the perspective of music education, I will here study the way in which the popular television series Glee deals with sexual diversity. I will base my analysis on queer theory and on the aesthetic of the performative, and methodologically I will choose the critical analysis of textual discourse as formulated by Fairclough (1995, 2001) to analyse the data and in turn examine the discursive construction of LGBTI identities throughout the different seasons. We will see to what extent schools are important places for forming and regulating sexual identities and we will also understand the necessity of introducing global policies in order to fight LGBTI-phobia in these institutions.

Instead of understanding school as a space that reflects the «natural distinctions», the series conceives of it as one of the territories where teenagers' sexual identities (among other things) are produced. Glee makes an effort to recognise and respect the diversity and singularity of pupils' experiencies, and all in an educational frame represented by the music classroom. We will thus understand the power of transformation which a performative music education can offer. In fact, it goes beyond mere expressivity and emotion until it becomes part of pupils' own lives and - no less important - it acts as an agent of change for social and political reflection.

Keywords: Glee, music education, sexual diversity, LGBTI, performativity

Resumen

Desde una perspectiva educativo-musical, se estudia aquí el tratamiento que la popular serie televisiva Glee hace de la diversidad afectivo-sexual. Nos basamos en la teoría queer y la estética de lo performativo y como método para analizar los datos elegimos el análisis crítico del discurso textual según el planteamiento de Fairclough (1995, 2001) a fin de examinar la construcción discursiva de la identidad de los personajes LGBTI en las sucesivas temporadas. Se verá hasta qué punto los centros educativos son ámbitos de importancia para la producción y la regulación de las identidades sexuales y la necesidad de plantear una política global en el seno de estas instituciones a fin de combatir la LGBTI-fobia.

En lugar de entender la institución escolar como espacio que refleja las «distinciones naturales», la serie la concibe como uno de los territorios en donde se producen las identidades sexuales (entre otras) de los y las jóvenes adolescentes, esforzándose por reconocer y respetar la diversidad y la singularidad de sus experiencias, todo ello en un marco de referencia educativo representado por el aula de música. Se comprenderá así el poder de transformación que ofrece una educación musical performativa yendo mucho más allá de lo meramente expresivo y emocional hasta confundirse con las propias vidas del alumnado y -no menos importante- ejerciendo como agente catalizador para la reflexión social y política.

Palabras clave: Glee, educación musical, diversidad afectivo-sexual, LGBTI, performatividad

Introduction

Glee es una serie estadounidense de carácter cómico-musical dirigida a un público juvenil que se viene emitiendo en USA desde el año 2009 por la cadena de televisión Fox, así como en muchos otros países, entre ellos España. La serie fue concebida y escrita por Ryan Murphy, Brad Falchuk e Ian Brennan y ha sido ya objeto de atención por varios investigadores[1] desde diferentes perspectivas. Así, González de Garay (2010) plantea un análisis desde la narrativa visual, atendiendo a los elementos de la cultura pop en la que crecen los adolescentes urbanos, si bien la autora se aleja del ámbito educativo en donde se desenvuelven los personajes en la ficción. Por su parte, a la alemana Krause (2012) le interesa más centrarse en los protagonistas de la serie y en el periodo de adolescencia que atraviesan todos ellos, entendido éste como periodo de tareas para el desarrollo de las identidades *(development tasks)*. Desde una perspectiva distinta, los americanos Talbot y Millman (2012) hacen una interesante crítica centrada en aspectos propios de la educación musical. Conviene hacer notar que en todos estos casos, los análisis se han limitado exclusivamente a la primera temporada de la serie, por lo que se hacía necesario ampliar el espectro con las tres siguientes temporadas disponibles actualmente en nuestro país.

De entre las posibles, nos encontramos pues aquí ante tres aproximaciones distintas a Glee, provenientes de otras tantas áreas de conocimiento. Sin embargo, el tema de la diversidad afectivo-sexual aparece sólo de soslayo en estos trabajos cuando el tratamiento de las *otras sexualidades* con su LGBTI-fobia asociada[2] en el contexto de la serie tiene un peso lo suficientemente importante como para ser considerado en sí mismo, siendo éste pues el objeto del presente trabajo.

Para Guasch, "homofobia no es tan sólo odiar, temer o estigmatizar a los homosexuales". Más allá de esto, la homofobia representa "el miedo y la inseguridad que invade a los varones ante la posibilidad de amar a otros varones" (Guasch, 2000:131). Cabe suponer que Guasch piensa en varones adultos cuando escribe estas palabras pero no es menos cierto que el problema de la homofobia se extiende por abajo, encontrando en los centros escolares un terreno especialmente fértil para su manifestación. Así, un reciente estudio de la *Agencia de los Derechos Fundamentales de la UE* revela que hasta un 80% del alumnado LGBTI ha oído burlas en el colegio o instituto dirigidas a otra persona de este mismo colectivo, siendo el miedo y el aislamiento las principales consecuencia de la discriminación padecida por la mitad de la población LGBTI de la Unión Europea[3]. Por otra parte, una de las alarmas que debieran preocupar a todos los educadores (y, por supuesto, a la población general también) lo refleja de la siguiente manera el también reciente estudio de la FELGBT en nuestro país:

"Las cifras hablan por sí solas y requieren de pocos comentarios. De entre todos los encuestados que han sufrido acoso escolar homofóbico, el 43% llegó a desarrollar ideas de suicidio. Y ese pensamiento se ha mantenido durante mucho tiempo o continuamente en el 56% de ellos. De manera persistente, en el 27%." (Generelo, 2012:77)

A tenor de estos datos, cabe preguntarse por qué los profesores enseñan de la forma en lo que hacen, ignorando realidades que simplemente están ahí, en sus aulas, entre sus alumnos y sus compañeros de claustro, pero que aún así se siguen sintiendo incómodos con el tema. Parece como si abordar el asunto en clase supusiera automáticamente el cuestionamiento de su condición sexual heteronormativamente construida; mucho más aún cuando materias como *Educación para la Ciudadanía* han sido vistas como amenazas a la sociedad por determinados grupos políticos, religiosos y de presión, hasta el punto de cuestionar su

legitimidad como parte del *curriculum* escolar y acabar con ella al entrar en vigor la actual ley educativa[4].

La serie Glee muestra hasta qué punto las identidades sexuales se producen (también) en el contexto escolar y están fuertemente politizadas, sometiendo tanto a alumnos como a profesores homosexuales a una tensión particular. Con esto, el sistema educativo olvida que la información que realmente un alumno considere significativa para su vida, si el sistema educativo no se la ofrece, él la buscará por otros medios.

El *Cambridge Dictionary* define la expresión *glee club* como «an organization for people who like to sing together» y ofrece el ejemplo siguiente: *He sang with the school's glee club.* Además, como substantivo, *glee* significa –según el mismo diccionario– «happiness, excitement, or pleasure». Según esto, traducir al español *glee club* como "el coro del instituto" no parece una opción adecuada por dos razones fundamentales: por una parte, se prescinde con ello de los atributos de la agrupación como club "de la alegría, de la excitación, del placer…", presentes en la expresión inglesa; por otra, el término *coro* tiene en español un significado exclusivamente vocal, no siendo ésta, desde luego, la única forma ni si quiera la principal en la que en la ficción actúa el coro *New Directions* del también ficticio instituto William McKinley. En efecto, las intervenciones musicales tienen lugar prácticamente siempre con acompañamiento instrumental presente en el aula, unas veces interpretadas por personajes secundarios, por los personajes principales, otras. Es por esto por lo que a lo largo de este trabajo se opta por conservar la expresión original inglesa *glee club* para referirse a la agrupación musical protagonista de la serie objeto de análisis.

El presente trabajo se sustenta sobre dos pilares principales: *teoría queer* (Butler, 2002, 2006; Guasch, 2000; Ugarte, 2011) y *teoría del performativo* (Austin, 1982 [1962], Fischer-Lichte, 2004) abordados en ambos casos a través del prisma de la educación general (Epstein y Johnson, 2000; Meyer, 2010) y, de forma más específica, de la educación musical (Rodríguez-Quiles, 2013, 2014). La teoría del performativo a partir de los trabajos iniciales de Austin en el ámbito de la filosofía del lenguaje nos ayuda a distinguir entre la *performance performática* y la *performance performativa* en el caso concreto de la interpretación musical y, en particular, en el desenvolvimiento de los personajes LGBTI a lo largo de la serie. Por su parte, es sabido cómo la *teoría queer* se apropia del lenguaje del enemigo, subvirtiendo su significado, a la vez que se alía con las luchas de liberación racial y se opone al acomodamiento de los movimientos de liberación gay a regímenes que los aceptan pero sólo a condición de que actúen bajo sus reglas de juego.

DePalma y Jennett entienden la homofobia como "un mecanismo sistemático e intencionado de control social con el fin de conservar la hegemonía masculina" (DePalma y Jennett, 2008: 35) y nos alertan de que el problema comienza ya en la propia Educación Infantil, como pusiera de manifiesto la NUT *(National Union of Teachers)* en Inglaterra[5]. Jennett (2004) y DePalma y Jennett (2008) abordan el problema en las aulas británicas de Educación Primaria, mientras que Epstein y Johnson (2000), entre otros, lo amplían al caso de la Educación Secundaria. En el contexto español, el informe del Área de Educación de la FELGBT se ha ocupado recientemente del acoso homófobo en centros educativos de enseñanza secundaria, incluyendo en su estudio el riesgo de suicidio de los adolescentes gais, lesbianas y bisexuales (cf. Generelo, 2012). En Glee se pone de manifiesto en numerosas ocasiones la falta de sensibilidad del profesorado ante este serio problema, aún entre profesores que los alumnos consideran cercanos a ellos:

Will [profesor de música]: - ¿Hay algo que pueda hacer [por ti]?

Kurt [alumno gay]: - No. Ésta es mi cruz con la que tengo que cargar yo solo.

Will: - ¿Puedo serte franco? Creo que te lo estás tomando a la tremenda. Normalmente estas cosas te resbalan pero últimamente estás siendo beligerante, te enfadas, alejas a la gente de ti.

Kurt: - ¿Puedo ser franco yo también? Usted, como todo el mundo en este instituto, pasa demasiado rápido de la homofobia.

(T02E05, Min. 46:34)[6]

Sobre las profundas raíces sociales y culturales de la homofobia, los autores ingleses mencionados nos recuerdan de manera muy gráfica que "una cultura en la que predomina la homofobia no aparece de la noche a la mañana ni tampoco en cualquier momento durante las vacaciones de verano entre segundo y tercero de Primaria" (DePalma y Jennett, 2008: 36) pero que, a la vez, los propios docentes no está seguros de en qué medida su reacción (o ausencia de reacción) puede más bien reproducir en lugar de combatir las formas de comportamiento homófobo (*op. cit.* p. 38). En lo que todos los autores consultados coinciden es en la necesidad de alejarse de la concepción del niño como ser asexual y naif, mito éste tan extendido en los centros educativos, como por otra parte podemos ver en la serie[7].

Por otro parte, un aspecto fundamental en la teoría de Judith Butler (2006) lo constituye el hecho de que no se parte de un sujeto que se pone en escena a través de sus acciones y expresa su identidad más íntima por medio de actos, gestos y comportamientos. Antes bien, el sujeto sólo llega a ser real en la medida en que actúa; en la medida en que se comporta de un modo u otro. El sujeto se constituye en actos a los que Butler denomina *performativos* precisamente porque producen aquello que manifiestan (en analogía a las expresiones performativas de Austin en el caso del lenguaje). Con esta idea de *performance,* la autora americana coloca en el centro de atención el *acontecimiento* –esto es, el momento concreto en el que el sexo, y con él el cuerpo, se (re)presentan– y se distancia de la idea de que el sujeto (solamente) expresa su esencia íntima a través de sus acciones. Esto marca una distinción fundamental entre lo performativo y lo expresivo, entre performatividad y expresividad, ya que ambas conceptualizaciones entienden al sujeto de forma distinta. En el segundo caso existe un sujeto previo a sus acciones, de las que dispone más o menos. Al contrario, en el caso primero el sujeto sólo se construye en sus actos. Así, para Butler, el sujeto no puede separarse de sus actos performativos. La serie Glee nos ofrece ejemplos paradigmáticos de esto a través de actos musicales performativos concretos, en los que se pone en juego una y otra vez la relación música-performance-cuerpo en el marco de una estética de lo performativo que sitúa el foco de atención en los acontecimientos más que en las obras musicales en sí, en la representación y sus efectos más que en el texto/partitura (cf. Rodríguez-Quiles, 2014). De este modo, el hablar sobre música queda supeditado al hacer música; y a su vez, el hacer música supera la mera expresividad *(performance performática)* para entroncarse con la vida misma de los personajes en la ficción *(performance performativa).* Como diría Hacking, "esta habilidad práctica engendra convicción"[8]. Convicción de que los procesos interesan porque son parte de las vivencias de los alumnos (y profesores); convicción de que estos procesos sólo son posibles en su realización práctica; convicción, en fin, del sentido y utilidad de lo que se hace:

Will [profesor de música, a sus alumnos]: - Cada vez que en el pasado hemos tenido comeduras de coco creándonos problemas, abordarlos cantando siempre nos ha ayudado.

(T02E15, Min. 6:38)

Presenciamos aquí una diferencia radical respecto a la tradicional concepción musicológica que supone que sólo a través del análisis del »monumento« (esto es, de la obra musical, normalmente seleccionada del repertorio de la música culta occidental) se llega a la convicción de su valía estética, dado que aquél ayuda a comprender mejor las obras del *museo imaginario* (cf. Cook, 2001, 2010). Pero, en el caso de la educación general que nos ocupa, esto solamente representa una parte muy pequeña del problema, ya que aquí lo que verdaderamente cuenta no es (sólo) analizar, sino lo que se puede *hacer* tomando como excusa una obra musical y lo que se puede *aprender haciéndolo.* No se trata pues de *ver* sobre

la partitura o de *escuchar* con o sin ella en la mano. Antes bien, se hace imprescindible crear acontecimientos dentro y fuera del aula de música a través de *performances didáctico-musicales* (Rodríguez-Quiles, 2014) que conecten lo más directamente posible con las vidas de los miembros de la comunidad escolar (no sólo con las de los alumnos), precisamente lo que la serie Glee plantea; en particular, respecto a las sexualidades de los personajes en sus formas más diversas.

Método

El método elegido para analizar los datos textuales ha sido el análisis crítico del discurso, en particular a partir del concepto de *cruces tension points* (Fairclough, 1995), esto es, el análisis de *moments of crisis* o momentos clave que impiden o facilitan cambios en la acción. Es decir, interesa aquí desvelar el papel que juegan los lenguajes verbal y musical en la vida social del instituto McKinley en relación a la construcción que se hace de la diversidad afectivo-sexual en situaciones de conflicto y desigualdad. O dicho de otro modo, interesa examinar la construcción discursiva de la identidad de los personajes LGBTI, englobando en ello el discurso musical como parte importantísima de la acción. Y es que, como nos recuerda Fairclough, "la socialización de los individuos conlleva que éstos vengan a ocupar toda una gama de posiciones de sujeto a las que se ven expuestos, en parte, para operar dentro de diferentes tipos discursivos" (Fairclough, 2001:85).

Siguiendo la premisa de este mismo autor (a saber, que el discurso, y cualquier ejemplo concreto de práctica discursiva, se ve simultáneamente (i) como un texto de naturaleza lingüística, escrito o hablado; (ii) como práctica discursiva (producción e interpretación de textos); y (iii) como práctica sociocultural[9]), así como el trabajo de Gregorio-Godeo (2008) sobre la construcción discursiva de la neomasculinidad, los análisis discursivos concretos llevados a cabo para el presente trabajo se han centrado en interpretar la interacción o práctica discursiva y explicar el discurso en tanto que acción sociocultural portadora de ideologías.

Para estos propósitos se hacía imprescindible el visionado de cada uno de los episodios de las cuatro temporadas de Glee actualmente disponibles en España. Además, cuando se ha considerado necesario, también se ha acudido al análisis de algunos números musicales sueltos pertenecientes a la quinta temporada que actualmente se proyecta en Estados Unidos y que se encuentran disponibles en Internet. Aquellos fragmentos que directamente tratan aspectos relacionados con el colectivo LGBTI se han visto tanto en el idioma original (inglés) como en su doblaje al castellano y, ante la imposibilidad material de transcribir todos los diálogos de la serie, se han seleccionado para su transcripción, indexación y posterior análisis todo aquello que resulta relevante para los propósitos de la investigación. Por suerte, los textos de las canciones suelen encontrarse sin grandes dificultades en la red, lo que ha agilizado el proceso de tratamiento de estos textos, tan necesario para el trabajo, a fin de identificar los múltiples discursos puestos en juego a lo largo de la serie.

Resultados

La primera conclusión a destacar la constituye sin duda el interés manifiesto de los responsables de Glee por atender de forma expresa la problemática concreta de los adolescentes LGBTI. Este interés se materializa muy claramente en la visibilidad (más aún, en el protagonismo) que se les da a alumnos y alumnas gais, lesbianas, bisexuales y transexuales, todos los cuales van apareciendo sucesivamente a lo largo de las diferentes temporadas. Sin embargo, no ocurre lo mismo en el caso del profesorado. Así, los docentes homosexuales, tanto masculinos como femeninos, sólo pueden aventurarse a partir de toda una serie de indicios que un espectador atento podrá inferir. Este hecho corrobora la dificultad

que la sociedad en general (no sólo la americana) sigue teniendo a la hora de aceptar como docentes de niños y jóvenes a maestros y profesores abiertamente homosexuales. Esto debería corregirse en sucesivas temporadas de la serie ya que lo contrario, -esto es, el silencio y falta de visibilidad del profesorado LGBTI-, contribuye a reforzar no sólo la idea general de que salir del armario "puede ser arriesgado, tener unos costes demasiado elevados, y exige cierto coraje proceder de esta forma cuando hay que enfrentarse a todo el sistema" (Epstein y Johnson, 2000:158), sino la de que tener un profesor/a homosexual no es algo aceptable.

Estableciendo un paralelismo con la conocida frase de Simone de Beauvoir, según la cual, *no se nace mujer, sino que se llega a serlo,* J. Ugarte nos hace caer en la cuenta de que igualmente se podría decir lo mismo de los muchachos que se convierten en varones heterosexuales (Ugarte, 2011:279). Serían muchos los momentos de Glee que podríamos elegir para ejemplificar esta (re)construcción de la identidad masculina. Sin embargo, hay uno que llama poderosamente la atención por lo simple pero a la vez paradigmático que resulta, pese a su brevedad, y que constituye un claro *crux tension point* en la denominación de Fairclough. Tiene lugar en el episodio número doce de la tercera temporada, justo cuando un profesor de español visitante (interpretado por el conocido cantante homosexual Ricky Martin) irrumpe en el aula de música luciendo una dentadura perfecta, cosa que obviamente no pasa desapercibida a los allí presentes. Se trata de una única frase repartida entre tres personajes heterosexuales, dos chicas y un chico:

Rachel: - ¡Dios mío! Es la sonrisa…
Sugar Motta: …más buenorra…
Artie: …jamás vista.
(T03E12, Min. 09:13)

El interés de este brevísimo pasaje está, ciertamente, en el personaje del chico, quien mientras saluda con la mano "al de la sonrisa buenorra", se encuentra –inesperadamente y sin quererlo– inmerso en una observación en voz alta "propia de chicas", por lo que se ve obligado a cambiar bruscamente el gesto facial hacia una pose "más masculina" a fin de restaurar el "grave error cometido" ante el grupo-clase. Estamos ante un magnífico ejemplo que muestra cómo "cada muchacho ha de invertir energía para convencer(se) de que es heterosexual, puesto que carece de instrumentos que le aseguren haber alcanzado esa meta: cualquier palabra, tono de voz, gesto, acto, deseo o fantasía fuera de lugar cuestionará su éxito en la persecución del objetivo" (Ugarte, 2011:279). Y desde luego, esto es así porque el hecho de que a la gente no le sea posible afirmar a ciencia cierta si uno es gay o no, "parece suponer una grave amenaza en la imaginación popular" (Epstein y Johnson, 2000:178). En la serie, el resultado más dramático de esto viene representado por el intento de suicidio de Karofsky (T03E14), un alumno homosexual al que las circunstancias que lo rodean le obligan a emplear todas sus energías en autoconvencerse de su »normalidad heterosexual« hasta que es descubierto, acosado[10] y empujado hasta el borde mismo de la muerte.

Estos *cruces tension points* en Glee nos muestra hasta qué punto los centros educativos son ámbitos de importancia para la producción y la regulación de las identidades sexuales tanto dentro de sus recintos como fuera de ellos. Epstein y Johnson ven en esto un foco de situaciones paradójicas: Por un lado, se hace todo lo posible por prohibir las manifestaciones de la sexualidad (tanto de alumnado como de profesorado) en los centros. Sin embargo, o precisamente por ello, la sexualidad entendida en sentido amplio "constituye un importante recurso y una valiosa moneda de cambio en las relaciones diarias de la vida escolar" (*op. cit.,* p. 122). Además, estas manifestaciones, así como las formas en que se producen las identidades sexuales "están fuertemente determinadas por las relaciones de poder entre docentes y discentes, la dinámica del control y la resistencia" (*op. cit.* p. 123).

A lo largo de la serie se presenta con carácter recurrente el problema de la homofobia, ya desde el capítulo preliminar de la primera temporada. Sin embargo, llama la atención el

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hecho de que no se plantee en ningún momento una política global para todo el instituto a fin de de combatirlo, de suerte que los casos que se presentan se van atendiendo puntualmente como si se tuviese la esperanza de que cada uno de ellos fuese el último de la lista. Este *carácter particular* del tratamiento de la homosexualidad hace que los riesgos de desvelarse o ser desvelado como persona LGBTI estén siempre presentes, junto con sus miedos asociados. Y es que, la presunción general de heterosexualidad en los centros educativos funciona, en efecto, como un mecanismo de vigilancia de las identidades de los miembros que constituyen una comunidad escolar.

De manera implícita, -en la mayor parte de los casos como parte del *curriculum oculto* (Torres, 1994)-*,* los centros educativos siguen propiciando muchas veces una versión de la masculinidad heterosexual que ridiculiza otras formas menos machistas de habitar la masculinidad. Ejemplos suficientes de esto los encontramos en la serie cada vez que un chico decide ingresar en el *glee club* en lugar de jugar al fútbol, siendo automáticamente objeto de la violencia verbal (y a veces física) por parte de los alumnos que el sistema respalda y encumbra como «machos»[11]. Como es sabido, el reconocimiento social como elemento clave en la formación de la identidad (no sólo) de los adolescentes, se alcanza a través de las directrices que marcan los discursos dominantes. La serie no oculta esta realidad, sino que también la muestra en diversas ocasiones como algo que está ahí y sin olvidar que el proceso de comprensión de la sexualidad tiene lugar mediante la narración de las experiencias sexuales propias, ante sí mismo y ante los demás. Estas narraciones se corresponden en unos casos con el discurso dominante, pero en otros casos se alejan de él. La serie no es ajena a esto y es interesante comprobar las medidas que se ponen en juego para aminorar los efectos de la imposición dominante. Aún así, se echan en falta políticas más generales para toda la comunidad escolar.

Por otro lado, sabemos que las categorías sexuales no se interpretan pasivamente por los alumnos, sino de forma dinámica, como elementos diferenciados que interactúan entre sí y que se configuran y reconfiguran dentro de estructuras de poder. Desde este punto de vista, Glee representa un ejemplo paradigmático de centro escolar que supera las tradicionales explicaciones curriculares de lo sexual como algo biológicamente dado. Así, en lugar de entender la institución escolar como lugar que refleja las «distinciones naturales», lo concibe como uno de los territorios en donde se producen las identidades sexuales (y otras identidades) de los y las jóvenes adolescentes, esforzándose por reconocer y respetar la diversidad y la singularidad de sus experiencias, todo ello en un marco de referencia educativo-musical representado por el aula de música.

Precisamente desde este punto de vista educativo-musical, la serie presenta un aspecto que no podemos pasar por alto, y es el relativo a la parte instrumental de los números musicales. El aula siempre cuenta con un pianista acompañante, si bien su participación es exclusivamente musical; jamás interviene de forma verbal, de suerte que su interactuación con los personajes se produce en un plano cuasi inmaterial, no semántico, exclusivamente sonoro. Lo mismo ocurre con los alumnos-músicos que acompañan muchas veces con sus instrumentos musicales los números vocales de los personajes principales. El papel que aquéllos representan no es de ficción, sino que su labor es imprescindible para que la narración (no sólo musical) tenga lugar. Sin embargo, al igual que le ocurre al pianista, jamás interactúan con los actores a nivel lingüístico o dramático. ¿Tenemos aquí tal vez una sublimación de lo sexual en el sentido de una sexualidad que se nos ofrece de forma intangible, sin llegar a materializarse en un acto concreto? En caso afirmativo, ¿cómo cabría interpretar esto teniendo en cuenta que estos actores-músicos no muestran ninguna evolución a lo largo de las diferentes temporadas? Tal vez pudieran ser pensados como una especie de 'eunucos' en el contexto de las acciones que otros deciden y desarrollan.

Estos actores-músicos vendrían a representar así la parte asexual de la serie, estableciéndose una dicotomía entre lo vocal y lo instrumental; entre la voz humana (inevitablemente asociada al género) y la interpretación instrumental (de la que se desconoce su identidad, salvo en los casos puntuales en los que algún personaje canta acompañándose él mismo de un instrumento musical). Este 'carácter asexual' de la música instrumental se refuerza con el hecho de que estos instrumentos musicales (guitarra, batería y excepcionalmente piano[12]) son interpretados (esto es, tocados) tanto por adultos (profesor de música) como por jóvenes; tanto por hombres como por mujeres; tanto por heterosexuales (Puck, Sam, Finn, Artie…) como por gais (Blaine), lesbianas (Santana), bisexuales (Brittany) y transexuales (Wade, alias Unique). Esto tiene un aspecto positivo y otro menos positivo. Por un lado, comprobamos que la interpretación instrumental (más que la vocal) puede ofrecer un espacio de convivencia para las diferentes identidades (no sólo sexuales), lo cual conlleva un potencial socio-pedagógico que no puede despreciarse. Por otra parte, sin embargo, se corre con ello el riesgo de perpetuar la idea de que la música es algo abstracto e independiente de las condiciones sociales y sexuales de creadores, intérpretes y oyentes. No en vano, elegir una música significa también elegir quién quieres ser (cf. Rodríguez-Quiles, 2013). Recordemos que para la estética postmoderna, la música no es simplemente algo bonito para escuchar y que ha sido el estudio de la música y el género lo que ha sacado la música del armario (Brett, Wood y Thomas, 1994; Cook, 2000; Solie, 1993, Witheley y Rycenga, 2006).

Discusión

Como escriben Epstein y Johnson, "las formas culturales populares, aparte de los propios compañeros, constituyen la principal materia prima (ya procesada) de los conocimientos y las opiniones sexuales de los jóvenes" (Epstein y Johnson, 2000:209). La cultura popular contemporánea, y en particular las músicas juveniles pueden constituir muy buenos recursos didácticos para la enseñanza y el aprendizaje de nuestros niños y adolescentes, puesto que ofrecen la posibilidad de analizar con sentido crítico las imágines públicas de las sexualidades y deconstruir los significados implícitos de, pongamos por caso, los vídeos musicales. La ventaja de este recurso es que se parte de conocimientos y vivencias que el alumnado ya aporta al aula, convirtiéndose así ésta en un espacio en el que estudiar no sólo la diferencia de género, sino también las diferencias dentro de un mismo sexo y los deseos no sólo heterosexuales, entre otras cosas. En este sentido, Glee puede muy bien usarse en el aula como material curricular para abordar temas como las relaciones sentimentales, el respeto y la diferencia.

La serie ofrece multitud de ejemplos concretos para un análisis LGBTI. Sin embargo, muchos de estos ejemplos pasarán desapercibidos para buena parte de la audiencia en un primer visionado, por lo que es aconsejable hacer uso de Glee como material didáctico para trabajar en clase de manera reposada y crítica. La ayuda del profesor es necesaria para que el alumnado llegue a captar los múltiples matices que aparecen a lo largo de los sucesivos episodios, en particular los relacionados con el discurso musical, columna vertebral de la trama narrativa.

Hay que advertir sin embargo que, pese a lo dicho hasta aquí, el uso de materiales didácticos con finalidad educativa en temas delicados como el que se trata en este estudio, si bien necesario, nunca resulta suficiente si no va acompañado de una política expresamente recogida en los regímenes de organización y funcionamiento de los centros educativos que apoye no sólo al alumnado, sino también al profesorado, personal de la administración y servicios, padres y madres y de alumnos… que no quiera ocultar su orientación LGBTI; en definitiva, un apoyo expreso del centro en su conjunto a las diversas identidades (no sólo sexuales) de los diferentes colectivos que lo configuran.

Considerada la serie desde el ámbito educativo-musical, es claro que Glee presenta lagunas importantes, como las que acertadamente citan Talbot y Millman (2012) para la primera temporada y que hemos constatado son igualmente válidas para las temporadas siguientes. Entre otras: creer que el éxito de un coro (respect., de una agrupación instrumental) depende sólo de la captación de voces privilegiadas (respect. de buenos instrumentistas) y no del desarrollo de habilidades vocales y musicales gracias a un planificado proceso educativo; en relación a esto, la figura del profesor de música se nos ofrece en la serie más como un *cazatalentos* que como un buen pedagogo (aunque eso sí, muy cercano al alumnado). A estas críticas de los autores americanos, hay que añadir, además, las siguientes: la actividad musical tal y como vemos en Glee, se nos presenta como actividad voluntaria y no como materia con carácter obligatorio para la formación integral de todo el alumnado; es decir, se transmite el modo neoliberal de concebir las artes y la música como algo más bien propio del ámbito privado; unido a esto, asistimos a una obsesión por la competición y por la *performance performática*, reflejada ésta en un exceso de teatralidad. Lo primero tiene que ver con la concepción americana de la vida en general y, por ende, del propio sistema educativo estadounidense. Aunque también aparecen, los ejemplos de práctica musical no directamente relacionados con la preparación para las competiciones regionales o nacionales son aislados, presentándose con mucha menos frecuencia. A la hora de tratar Glee como material educativo en el aula, será tarea del profesor incidir justo en estos ejemplos no competitivos sobre los otros.

Por su parte, el exceso de teatralidad resta credibilidad a la práctica musical y la aleja de la realidad de cualquier aula convencional de música. Es de suponer que son justo estas detalladas puestas en escena lo que hace que la serie sea también un cuidado producto de *marketing* –de hecho, son precisamente los números musicales que van articulando la serie los que, tras finalizar cada temporada, salen a la venta como recopilatorios en formato CD (por supuesto, la propia serie en su conjunto también se vende en DVD con su doblaje a multitud de idiomas). Sin embargo, una vez hecha esta observación, hay que caer también en la cuenta de la parte positiva que estas *performances* ofrecen. Y es que, en muchos casos, trascienden lo meramente performático para convertirse en verdaderos acontecimientos performativos, con implicaciones directas en las vidas de los miembros del Glee Club[13] y, por ende, de la comunidad escolar, cosa que Talbot y Millman pasan por alto en su estudio. Este poder de transformación que el hacer musical tiene en la escuela es algo que va mucho más allá de lo emocional, afectando no sólo a las vidas de los personajes en la ficción, sino -más importante- ejerciendo de agentes catalizadores para la reflexión social y política en los países en los que Glee se viene emitiendo. Y es aquí en donde la serie realmente alcanza su interés y utilidad, desde un punto de vista socio-educativo.

Notas

Por agilidad en la lectura, y a no ser que se indique lo contrario, se hará aquí uso del género gramatical masculino aunque la intención sea la de incluir a todas las personas.

[2] En adelante se hará uso de la expresión LGBTI para referirnos al colectivo de personas lesbianas, gais, bisexuales, transexuales e intersexuales.

[3] Cf. http://sociedad.elpais.com/sociedad/2013/05/16/actualidad/1368728283_919048.html (16-05-14)

[4] Cf. LOMCE en referencias bibliográficas.

[5] Cit. por DePalma y Jennett (2008: 37)

[6] La clave (T02E05, Min. 46:34) indica que la cita en cuestión aparece en el minuto 46:34 del episodio quinto (E05) de la segunda temporada (T02). Claves similares aparecerán a lo largo del trabajo.

[7] Cf. por ejemplo (T02E1, Min. 2:45).

[8] Hacking, I. (1996 [1983]), cit. por Martínez (2005:161).

[9] Fairclough (1995:97).

[0] También a través del conocido como *ciberbulling*.

[1] A Kurt lo arrojan literalmente al contenedor de basura en el capítulo introductorio; Finn será amenazado por los compañeros del equipo de fútbol; Noah "Puck" será objeto de burlas constantes precisamente por la contradicción que supone su "probada hombría" con la participación en un coro… Al único que se le perdona ser miembro del Glee Club es a Artie y esto porque su incapacidad física sobre la silla de ruedas le impide jugar a fútbol.

[2] P. ej. Blaine interpretando *"Don't stop me now"* (Queen) en T04E13, Min. 07:65.

[3] Cf. a modo de ejemplo los números musicales sobre *Lady Gaga* en T01E20 y T02E18.

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OF INTERPRETATION

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Abstract

Interpretation is to explain the meaning of something mysterious or abstruse to make understandable. It may be foreign words, a speech, a poem, data, evidence, a difficult text, an inscription, a dream, etc. It is to have or show one's own understanding of the meaning of something in question. It makes one happy if the meaning favors him. Then the person judges the meaning as per his sweet will or knowledge and intellect and takes decision accordingly. Thus he is self-guided. Also he is self imprisoned simultaneously. On the other hand a fool moves mechanically at the beckon of a stranger. He is so born free. He wants to please everybody. He is whimsical. He cares if he likes. He cares not if he likes not. For, he has no base and no brake at all. As such a wise person opines that it is better to experience loss than to gain through third party's guidance. Beauty or complexion is interpreted differently by different people. It is just like various food habits of different communities. Choice of one may not be accepted by another one. This is very important in case of selecting life-partner. So everybody should select the life-partner based on self judgment. Here third party's involvement or interpretation invites problem. In some society guardian selects the bride or groom. In such a case judicious parents take clearance from their son or daughter before taking any final decision. Some face has universal face value. In that case they need no interpretation. Similarly, love at first sight needs neither introduction nor interpretation. However, both appropriate interpretation and interpreting appropriation are very crucial factors.

Keywords: Interpretation, Explain, Meaning, Appropriation, Clarification

Introduction

Creative writing does not inform rather reveals. So it bears no reference. The present article is an outcome of creative writing meant for lay readers. As such free style is the methodology adopted so that pleasure of reading can be enjoyed by the common mass. As you know well that Francis Bacon (1561-1626), the immortal essayist, wrote many essays namely Of Love, Of Friendship, Of Ambition, Of Studies, etc. The myriad-minded genius rightly pointed out that all the words of the dictionary can be the themes of essays one can write. But little has been done, in this regard since his death, in order to finish his unfinished monumental works. In fact Bacon's way of presentation i.e., his unique individual style kindled the imagination already in me and encouraged me as well to write essays, in the light of creative writing, thus to get relief through Catharsis.

Interpretation is to explain the meaning of something mysterious or abstruse to make understandable. It may be foreign words, a speech, a poem, data, evidence, a difficult text, an inscription, a dream, etc. It is to have or show one's own understanding of the meaning of something in question. It makes one happy if the meaning favors him. Then the person judges the meaning as per his sweet will or knowledge and intellect and takes decision accordingly. Thus he is self-guided. Also he is self imprisoned simultaneously. On the other hand a fool moves mechanically at the beckon of a stranger. He is so born free. He wants to please

everybody. He is whimsical. He cares if he likes. He cares not if he likes not. For, he has no base and no brake at all. As such a wise person opines that it is better to experience loss than to gain through third party's guidance.

Interpretation is to make out or bring out the meaning of creative work, especially musical composition. It is the expression of a person's conception of a work of art, subject, etc. through acting, playing, writing, criticizing, etc. Art is an abstract matter. They say many men many minds. As such a single work of art is explained differently by different critics. The critics offer qualitative judgments of any performance. If the author, intentionally for the sake of art, throws little light on any abstract matter thus to offer liberal thinking to the readers then the critics jump to explain the matter as per their obscure interpretation. So we get so many views on a single issue. They say many men many minds. All observations are correct though points of views are quite different. A wise agrees it while a fool sticks on a single interpretation. A little learning is a dangerous thing. He is half genius who is dangerous more than a non genius. Both creator and critic are romantic and dwell 'far from the madding crowd'.

Interpretation is to perform a part in a play in a particular way that makes clear one's ideas about its meaning. Interpretation of the role of Macbeth is an example of this kind. Here the actor must loose his real identity and assimilate the traits of the character in question of the drama thoroughly thus to manifest those hidden characteristics properly and lively. It discloses the essence of the concerned art. Otherwise an unusual interpretation of the play prevails causing whole project quite frustrated.

An interpreter is a person whose work is translating a foreign language orally, as in a conversation between people speaking different languages. He immediately translates it aloud into another desired language. Here the interpreter must be expert in both the languages. He should translate the emotion of the speaker without incorporating his own emotion. This is a difficult task. Exact interpretation needs much practice. If the interpreter mixes his own view then it becomes another abstract thing. Then another interpreter is required to bring out the original meaning. Since mood and motif vary person to person and gloriously uncertain as well, interpretation suffers from various meaning. So interpretation is the sole concern of learned and wise person only. A good interpreter explains a matter properly. But a great interpreter highlights it appropriately. Thus these two are necessary and sufficient ingredients of an ideal interpretation

It explains or understands behavior etc. in a specified manner namely, interpretation of gesture as mocking. Gestures and postures vary culture to culture. It is not culture free. As such one popular gesture of any community is totally banned in another culture.

It translates a computer program in a high-level language into machine language and executes it statement by statement. The whole program is subdivided into small programs which are called modules. The summation of all independent outputs of modules gives the outcome of the desired program.

Interpretation may suffer from misinterpretation. It really becomes difficult when it has dual meaning. It is a problem to interpret somebody's silence as acceptance or refusal. They say, silence is more eloquent than speaking anything. But here silence signifies nothing. Sometimes silence is interpreted as contempt as exposed by the body language of the rich towards poor.

Misinterpretation may occur either from ignorance or evil motif. A fool misinterprets and suffers accordingly. But a wicked person or a shrewd politician interprets anything always in favor of them irrespective of its real meaning. They either fabricate or suppress or manufacture. Face is the mirror of man. All is reflected and highlighted in the face. So face differs when interpretation differs intentionally. Naturally, the evidence suggests a rather different interpretation of events from the one they give always. They do not suffer like a fool

but for them other persons suffer. Similar thing happens in case of rich, mightier or influential person. A romantic heart always interprets as per his uncontrolled whims thus to serve and satisfy his passion or egoistic attitude or both simultaneously. A person may laugh. This laughter is ambiguous in nature. Someone may laugh for someone. Someone may laugh at someone. Only a judicious or experienced brain can realize the real meaning, seldom an unfortunate lover for whom the laughter is really meant for or a fool experiences laughter sadly when he was laughed at badly. This sadistic pleasure discloses the identity of a degraded soul. The doctor may say the child is dead. An affectionate mother hardly interprets the real meaning.

A man interprets whatever he sees, hears or feels. This work of interpretation is a continuous process of man from cradle to grave. Thus interpretation is an inseparable action of consciousness and the outcome is a stream of consciousness.

Interpretation varies person to person. It depends on various parameters namely knowledge, culture, sex, age, taste, temperament, attitude, etc. of the concerned interpreter. What is life? The definition of fool sharply differs with wise. A fool is only interested with mere existence but a wise believes in rebirth. He interprets life beyond death. To him life means staying in this world. Similarly, death is interpreted as another life or existence elsewhere beyond our perception. To a successful person life is very beautiful, but to a frustrated person life is very painful. But life is as it is and unchanged. Life is like a catalyst that causes change but it itself remains unchanged. Thus, different people interpret life differently, though the ingredients of reality are identical.

Beauty or complexion is interpreted differently by different people. It is just like various food habits of different communities. Choice of one may not be accepted by another one. This is very important in case of selecting life-partner. So everybody should select the life-partner based on self judgment. Here third party's involvement or interpretation invites problem. In some society guardian selects the bride or groom. In such a case judicious parents take clearance from their son or daughter before taking any final decision. Some face has universal face value. In that case they need no]interpretation. Similarly, love at first sight needs neither introduction nor interpretation.

Conclusion

However, both appropriate interpretation and interpreting appropriation are very crucial factors.

References:

This is an outcome of Creative Writing. As such it has no reference.

VIOLENCE IN EDUCATION: IMPACT ON FORMATION OF FUTURE LEBANESE LEADERS

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Abstract

History of empires and nations in a particular civilization is remembered by the scientific and academic discoveries. Greeks, Roman, Persian or other empires are mostly their military conquests and glories which faded away with time, while the taught ideologies, thoughts and inventions remain basic pillars in the development of human history, civilization and scientific discoveries.

In the modern world man undertook many leaps into uncovering what previously were viewed as national mysteries and secrets. Science and technology have transported man to outer space, reaching other planets, travelling deeply in the fields of medicine, communication, transportation, electronics and continual creativity; yet that same man, remains enslaved to its own weaknesses and shortfalls. The scientific superhuman, in spite of the discoveries, focused also on self- destruction. Weapons of mass destruction are endlessly invented, poverty and misery offers over forty percent of the world population (2.6 billion humans), while over one thousand billions U.S. dollars are spent yearly on wars, destruction of humans and the environment.

The authors chose to focus on (a) providing general but clear definition of educational objectives in Lebanon; (b) identifying the Lebanese educational socio-political system; (c) highlighting some deficiencies of the curricula offered at educational institutions, beginning with the first grades till the graduate studies at universities; (d) examining the family influence; (e) stressing the socio-religious, political ideological indoctrination. The study also highlights the negative effects caused by unqualified, untrained and unethical teaching staff in most institutions which resemble business bazaars where profit and money are the driving engines.

Keywords: Violence , education, teaching, educational institutions, indoctrination

Introduction

Illiteracy or partial literacy still dominate three fourth of the planet earth. What is evident is that man, through violence and wars, is not only depriving others from enjoying global resources, but depleting and wastefully mismanaging those resources. The culture of violence and death, generally glorified, prevails over that of peace and life.

This research paper focuses on the attempt to form a different breed of human beings through an ambitious and highly responsible educational system. The research selected the country of Lebanon which is somewhat international, multicultural and representative of most countries in the MENA region as well as the developing countries. Several questions have been raised in search of answers.

- What are the objectives of education at both highschools and universities besides collecting fees and awarding degrees?
- What are the realities of the Lebanese educational system? Strengths and weaknesses?

- What is the relation between what students learn, and the socially creative requirements?
- Does the system encourages violence or promote peace and cooperation?

Literature review- definition of education

For simple clarification, this research does not intend to engage into philosophical, theoretical and euphoric theories and debates. It merely appeals to the sound common sense and simplified outlook for the role and contribution by education to positive human development. Many philosophers, statesmen, scientists and others devoted their lives and energy to discover the unknown mysteries of the universe. Through these discoveries man begun to search for knowledge and key answers to endless list of questions that flood the human limited mind. The choice is then (a) to search for knowledge and radiate in life or to drown in the dragon of ignorance and die. Knowledge offers the mean to understand the creature while moving closer to the creator. The main issue is then that knowledge transfigures the ethical sides of the human being. Let's imagine us humans going back in time to the dark ages where ignorance, violence, misery, death and slavery dominated the world, and compare to todays technological, medical, and scientific advances where humans profess equality, freedom and peace.

Education is by no means a simple business transaction to acquire a useless paper diploma while promoting narrow mindedness, intolerance, slavery under different forms, fundamentalism, violence terror and hunger…

Knowledge is the key to open wide the human treasures of the heart and mind, whereby the educated, dressed in humility reaches the ultimate skies in partnership with a harmonious environment. In other words, education is to develop the diverse talents humans process in the service of society. It is the human investment in self-development and the preservation of the ecosystem balance, through the culture of cooperation and peace not violence. There are many quotes by men and women of fame about education. The authors opted to highlight dew. Robert Frost stated: "I am not a teacher, but an awakener". John Dewey declared: "Education is not a preparation for life; education is life itself". The same thought was confirmed by Plutarch: "the mind is not a vessel to be filled, but a fire to be kindled". Edward Everest thinks of education as a protector of freedoms. "Education is a better safeguard of Liberty than a standing army". Euripides stated: "who neglects learning in his youth, loses the past and is dead for the future".

In reality educating requires many qualifications on the part of the teacher far away from violence, sarcasm, physical and psychological abuses. Great teachers are masters of their fields, humble about the little they know, as they nourish in their pupils the seeds they plant.

Mark Twain stated to this effect: "keep away from people who try to belittle your ambitions, small people always do that, but the really great ones make you feel that you too, can become great." Plato, thousands of years ago, dealt with the problem of violence in education, as he wrote: "Do not train children to learning by force and harshness, but direct them to it by what amuses their minds, so that you may be better able to discover with accuracy the peculiar bent of the genius of each".

The evident objectives of teaching are then to awaken student's curiosity and ambition, a key is to put a spark in their genius by awakening it. Teachers ought to avoid dictating to and dominating their students rather guiding and inviting them to participate in the learning process.

Violence and Education: A general overview

Concluding from the literature review, educational main aims are presumed to revolve around four major fundamental areas relating to human development in a health socio-economic and political environment.

Knowledge dissemination

Academic institutions of all levels and fields of study are designed to complement the family role by communicating and disseminating knowledge to inquisitive minds. As humans grow physically, they need to grow mentally and develop their inquiries about themselves and shed light on their role in this life. It also offered the tool they would employ to climb and walk through the many obstacles they might encounter in their journey on this planet.

Development of skills and abilities

Academic curricula ought also to be designed to procreate skillful and able persons who would meet the constant challenges they face and provide solutions. Knowledge gives the humans into a different space from the one they instinctively know. It draws them to respect their socio- economic environment and promote it healthy and balanced.

Education shapes attitude and generates action and commitment

A basic role of educational institution is to guide students by coaching them to acquire and permanently develop positive attitude toward sustaining their national and socio-economic environment. The positive attitudes could not consequently develop into violence, and destruction. Learning focuses on igniting creativity and communal responsibility to achieve a civilized world based on mutual respect and cooperation. Education searches train and forge leaders of the future, ethical citizens, men and women of culture and peace.

Commitment, action and evaluation

Once educational institutions succeed in forming the citizen of the present and future by introducing him/her to knowledge of mature's secrets, the abilities and skills to coexist, through positive attitudes, commitment and responsibilities to be creative and effectively constructive would follow. Commitment and action are the fruits offered by a responsible, modern, humane and ethical educational system. With the acquired knowledge, man faces two main choices or paths to adopt: he positively creative or negatively destructive. It is this part that people of law and economics, historians and academicians ought to examine and evaluate.

The case of Lebanon
Historical overview

The Lebanese history entails a series of armed conflicts, specifically the civil war of 1973 till 2005, which destroyed the physical infrastructure and crippled corrupted governmental institutions. In turn, sectarian conflicts and fundamentalist behavior, showed down socio-economic and political reforms, for poverty persists reaching a level of 36%. Due to the presence of about 500,000 Palestinian refugees and lately about 1,700,000 Syrians refugees, Lebanon further suffers from high rate of unemployment reaching 35 to 40 percent. These abysmal conditions compel thousands of Lebanese to emigrate to Africa, the GCC countires, the U.S., Canada, and others in search of a decent living.

The authors chose the country of Lebanon as a case study because it is full of paradigms within a multipolar social combination of humans, cultures and religions. It is the country that keeps borrowing from other societies cultural elements to build its own identity.

A study, conducted by St. Joseph University, reported that 45.6% of children in the primary and secondary schools have been subjected to corporal violence. (UNICEF, 2010)

The people of Lebanon are divided into contradicting groups such as:

a. 18 religious factions, each wanting Lebanon to be modeled according to its teachings and beliefs, whether wrong or right, ethical or not, peaceful or violent. (UNICEF, 2011)

b. Over 36 active political parties of all sizes, ideologies and work agendas operate in the country and blindly brainwash their followers.

c. Everyone of these groups educates its followers and their children, in the family and in the streets, to adopt its own values it claims to be absolutely divine.

d. In the families children are raised upon the principles of violence, whether corporal, psychological and sometimes sexual repression and fear. Tolerance and love are considered shameful weaknesses.

e. Children are raised to outsmart and violate the laws. When they do that at officials, they are publicly praised as national heroes.

f. Discrimination, even control of citizen's lives, especially women, is a commendable and courageous manly behavior.

g. Owning and operating guns of all kinds is viewed as sign of maturity and self-accomplishment. It conforms with the primitive slogans "weapons are man's ornaments". Consequently, on most occasions, whether joy or sorrow. The so-called elite of heroes pull out their arms and begin indiscriminately shooting in the streets to express their emotion. Often they cause death to others or damage public and private poverty. They are the followers, pride and glory of the "zaim" (leader) to whom they belong. The law in such cases is buried and unattended for.

This research intends to uncover the dominant violent side in the Lebanese society whereby the majority of citizens are violently raised in families and educational institution, with no legal nor moral protection. Although, there is a fairly large group of Lebanese who reject violence and its tools, a great majority compete in expressing its primitive and violent emotional, possibly schizophrenic behavior.

The subject of violence has been treated by many world famous personalities. It is important that educators know that in each one of their students, as Sam Peckinpah wrote, "there is a great steak of violence… if it is not channeled and misunderstood, it will break out in war or in madness". This requires also that the teachers themselves reject and abhor all forms of violence. Gerard Vanderhaar wrote "we challenge the culture of violence when we, ourselves, act in the certainty that violence is no longer acceptable". Human history is filled with brutal and violent episodes to justify "myths that lend it moral legitimacy". People who blow themselves killing hundreds, despots who feed on shedding blood or disseminating pain do not consider their acts as immoral, rather on of 11 divinely mandates righeousness" (Gil Bailie)

Violence breeds violence, sex and violence blur together in people's minds, what happens to Amine Rihani's declaration "I hate no one, I envy no one but I love everyone". Martin Luther King Jr. confirmed the same thought by stating "nonviolence means avoiding not only external physical violence but also internal violence of spirit". It is not enough to refuse killing a human, you need to love him.

Causes of school violence

Violence is schools may be described as an extension of family violence, media violence and street violence. The material that is revealed in this research does not indiscriminately apply to all Lebanese. For those who feel innocent join then in the fight to change others and create a better society.

Family violence

It is unfortunate to shamefully asserts that a number of Lebanese children are being exposed to criminal violence since they are entered their mothers' wombs. (Modig, 2010)

Most Lebanese parents, often out of ignorance, criminally act by adopting violent behavior on their children.

- Physically, beating the child to stop him/her crying or as punished for not obeying their parents' wishes.
- Corporally abusing the child, sexually or by severe punishments to plant fear and insecurity in his/her heart, through verbal filthy insults, hunger, or locking in rooms, bathrooms or dark rooms. Sometimes they use vicious animals such as the wolf, the devil, an evil sorcery etc. the parent(s) do not really want children but "dogs" who blindly obey them. (CRC, 2011)
- Worse children are compelled to witness violent family quarrels whereby the father would harshly beat the mother causing death sometimes. (CRC)
- Forcing the child, in a family prison to develop dual personality: a violent one that seeks freedom and revenge, the other full obedience and slavery.
- Lost children are ignored and left unattended for the mother has friends to entertain and gossip with. Often the child is handed to a foreign illiterate maid who in her country was also violently treated, or he/she is given an unsupervised toy to play with including television, laptop, cellular…

The conclusion seems that having a baby is a social mode of coexisting. The fruit of an act of true love. What really matters is both parents' well-being and pleasure.

The Child in school

In Lebanon the number school children is estimated a 1,303,000 representing approximately 1/3 of the population. (World Bank, 2011, UNICEF, 2011)

The child goes to school to acquire knowledge and develop his/her talents. In schools like at home, there are no effective and clear laws to provide protection. Worse teachers do not hesitate to apply similar violent methods as those used at home. Before exposing violence in education institutions it would be useful to identify and outline the causes of school violence. (UNICEF, 2011)

- Rough conduct among juveniles and teenagers in high school, at all levels. (ALEF, 2012)
- Vendettas against unqualified teachers or students ending with the use of deadly weapons. (Adib, 2011)
- Violent video games are through technological tools, including unchecked pressure by the peers. That includes also violent music of heavy metal and rap.
- Lack of attention by the teachers who often are encouraged to apply physical punishment upon students. (Al-Khater, 2011)
- Mistreatment at home being transplanted to educational institutions often leading to severe mental and physical trauma for both the victims and perpetrators. (Rapport du Forum, 2009)
- Lack of trained staff and teachers to guide the young people. Lack of proper educational programs from early age highlighting the consequences of violent actions.
- Weak community relations causing inter-cultural, religious and political conflicts. (Adib, 2011)
- The academic curricula in high-schools and universities are based on over feeding the youngsters' minds with memorization of boring theories leading to failure and search for substitute easy ways out. Following is an intense analysis of the curricula

programs. The authors reached a shocking conclusion. (Palestinians Human Rights Organization, 2011)

1. Few institutions offer in their curricula a course on human rights and freedoms.
2. Complete absence of any general education course dealing with anti-violence and the culture of peace.
3. Absence of any required course to create awareness about the importance of respecting and sustaining a healthy ecosystem.
4. Lack of any activities to involve students into being more active in community services.
5. Lack of any course that would teach students that art of ethically managing public issues.

The educational system in Lebanon

The educational system in Lebanon contains outrageous and flagrant deficiencies that indirectly contribute to actual illiteracy, violence and corruption.

a. It is centralized whereby all educational institutions are regulated by the Ministry of Education, seen by unqualified bureaucrats, often narrow-minded and corrupt.
b. The national laws concentrate an approving educational programs that are (a) copied from foreign systems, far from relating to local culture, needs and values. The present system creates academic "robots" stuffed with often useless and inapplicable theories.
c. The goals seem not to form civilized, educated and ethically creative citizens, rather narrow and one-sided degrees holders, e.g. a student who intends to study Banking and Finance, has to acquire a B.S. in Banking and Finance; a M.A in the same field, and the same applies to Ph.D, otherwise, his/her degree is not legally approved by the authorities, and does not allow its holder to join the Union for that same area. As another example, a young Lebanese who travelled to France or the U.S., graduated from top universities becomes a famous medical surgeon is not allowed to join the Union of MDs in Lebanon if he/she does not hold a Lebanese high school degree. Many such rules and parties are so archaic and primitive and do not help in the formation of future leaders.
d. The Lebanese laws do not forbid teachers from physically punish children and students causing the latters to live in fear and insecurity. (Article 21 of Laws No 210, 1953) In theory schools should be free of violence rather reflect respect for the student's dignity through a civilized and positive discipline. (UNICEF, 2007)

Although sexual violence and abuse, psychological and even physical violence are common in educational institutions, they are underreported and understudied due to religious and social taboos related to this problem. Some parents consider corporal abuse of their children as an example form of discipline. (Dar Al. Fatwa) The physical punishments range from hitting, slapping, degrading, and sexual brutality. (Ministry of Education, 2005)
The beating often is done by tying the feet of the child, pulling his/her hair or ears, pinching, slapping at the hand, face or neck, electrocution burning and others. (Newell, 2010; Naba'a, 2009; Adib, 2011)

National legal and political action

Several national and international organizations such as the United Nations Development Program (UNDP), Ministry of Education and Higher Education MEHE UNRWA, the Convention on the Right of the Child, and others confirmed that the maltreatment of students is a "serious problem". (UNICEF, 2011)

It is all evident that there is no official public policy to protect children against school violence. Furthermore, there is a lack of consistent data from government and private sources

regarding violence incidents in educational institutions. The continual use of violence, whether physical, psychological or sexual heavily reflects upon the poor quality of education mainly the memorization process. That explains the phenomenon of high numbers of school dropouts.

The tragedy lies with the fact that children and their parents show little awareness of their rights to education and protection. Lebanese officials, as usual, resort to inventing trivial justifications for their failure pointing out to "mild" and "serious" active punishment without defining the limits for each as well as the legal redress. Abusive punishment is viewed as the best tool to raise children and form super men and women for the future. Corporal punishment is a reflection of the national culture. (Sihar. et. al, 2011)

Children often describe their school as a violent environment by the officials. The teachers and their schoolmates (Committee on the Rights of the Child, 2006), administrators, teachers and pears do not hesitate to use various methods of psychological violence including insults, intimidation, segregation, deprivation, humiliation even from denials to attend classes. (Central Administration for Statistics, 2007, 2008)

Unfortunately, this form of violence is socially acceptable. It is natural to call a child "donkey, stupid, animal, prostitute etc…" (Norwegian Refugee Council, 2010). Due to the unstable political situation in Lebanon, many parties seek the vengeful youth to enlist in their armed militias, brainwashing them with primitive and inhuman training based on divine rewards if they would die for "jihad". They are convinced to blow themselves up killing innocent peoples and damaging properties. These abused school children, have been turned into terrorizing war machines. Consequently the local culture of Lebanon has been since 1975 mixed with blood, terror and wars. The rates of violent behavior among youngsters in Lebanon are relatively higher in comparison with other countries. (American University of Beirut, 2011) The study also noted that over 10% of adolescents carry weapons in their respective educational institution. (AUB, 2011)

Research obstacles

The research aims to highlight the current violence trends in the Lebanese educational institutions, their present and future negative implications, as well as offering immediate remedial steps for implementation. The focus is on
- Physical violence and abuse
- Psychological and sexual brutality
- Violence between pears
- Violence in the schools curricula.

Unfortunately, the Ministry of Education has no accurate and recent statistics on these matters, rather generalities and expressed wishes. Consequently, this research, besides personal experience through observation, semi- structured interviews, NGOs and U.N. published material, relied on the analysis of the national and social stand on violence in the Lebanese socially diversified texture.

Initiatives toward Prevention

Handling violence against children in Lebanese educational institutions has not been a national priority for it lacks both the laws and their effective application, but mostly an intelligently educated social environment.

An absolute majority of youth in Lebanon are taught and indoctrinated to be slaves to their parents or religious and civil leaders based on the common pretexts of respecting the elderly and that authority is divine, no matter how it is used. They (a) blindly serve and till death the self-imposed messenger of God's affairs and most righteous representative of God; (b) serve the romantic principle "homeland" lead also by divine "leader". He/she is enlisted to

fight a "Don Quichotte" imaginary enemy, while the reality aims at controlling and indoctrinating the youth so that the "war lords", (zuamas) would retain their socio-economic and political despotism powers. A further tragic reality is that the youth is not really raised with the principles of constructive patriotism; instead they worship the "leader" at the cost of destroying the homeland. Children are fed from early childhood the seeds of violence and train for combats and warfare. Violence, consequently, becomes the axis around which national culture is revalued instead of tolerance, cooperation, positively creative attitude and behavior, respect for human rights, compliance with the laws and honoring peace.

As usual national and private committees and organizations were formed to seek remedies and solutions. MOSA started s planning powers through HCC in 2006 outlying certain observations on children rights. Yet the committee, so far, failed to come up with specific activated recommendations to be translated into effective laws.

It inconceivable to ignore that these criminal activities against the Lebanese society and state for they are affecting the future leaders of Lebanon. If education aims at developing and preparing, future leaders in the country, what kinds of "leaders" are being formed through corporal, mental, sexual and emotional violence?

Do parents, current administrators, religious and civil "masters" understand the catastrophic consequences resulting from these crimes against the children, society and the nation?

Where are the lawmakers, religious representatives of God and the mothers who publicly support such violence and even demeanor that their children be taught lessons of obedience?

Is it the evil age dressed in shadowy virtues where the minimal human right of the innocent child is violated? Where is the law with its equity and justice? Where are the justice defenders who swore to protect the rights of the victims? Does violence through insults, rapes, verbal, corporal and psychological abuses truly form the great Lebanese future leaders? Does humanity's plan lies in producing children to feed the war achiness?

The authors propose the following steps and policies to urgently considered and implemented.

Include the part on leadership behavior

Recommendations

It is not difficult to set up a long list of recommendations aiming at creating a more civilized environment for children to grow and be trained to assume future socio- economic and political activities.

- Review, and revoke all ancient laws while enacting new national ones that would fully regulate the problems of violence in educational institutions in accordance with international declarations and laws.
- Develop a comprehensive protection policy for the youth beginning with the family, to schools and universities.
- Strictly implement the policies inflicting upon violators heavy penalties to be publicly declared and executed. The rule of law should not tolerate exception of any kinds.
- Establish unified instruments and indicators to detect through monitoring violation and reporting them.
- Reactivate the judicial system justice should prevail and all holders of Lebanese nationality or residents of Lebanon or visitors are equally subject to the source laws beginning with the President of the republic to the working men and women. No privileges, no exceptions and no favors.
- Train the youth about their rights and help them develop their talents and culturally civilized personality of anti-violence.

- Hold administrators responsible and accountable be for the law as much as the teachers and staff in their institution. (Heavy penalties including closure of the institution will be applicable).
- Warn under heavy penalty all religious leaders who support violence, reach it and do not abide by the laws. This rule would apply to all, even to those who claim to be divine.
- Cooperate with the policies offered by international organization; UNICEF, UNRWA and others.
- Require a committee of expertise, review, reexamine, reevaluate all curricula offer in education at all levels undergraduate and graduate, whereby courses such as human rights, culture of peace, legal awareness of one's rights would be mandatory.
- Disseminate basic information about handling children rights by establishing hotlines, complaints boxes, case reporting and others.
- Encourage and involve the media to shed light on violating and unattended cases. Forge a partnership between the media, public officials and families to protect the children and provide them with adequate education.
- Create a national committee composed of national and local governments with authority to supervise and observe services provided by educational institutions.
- Hold regular training sessions and programs to sustain the positive developments referring violence and peace.
- Initiate, support and fund research proposals and initiatives to improve standards of life.

These are few of the basic recommendations for policy change and removal of the crimes committed against the innocent youth who are being prepared to lead the country on the future, away from corruption and violence.

It is unforgivable for responsible in a country like Lebanon the future implications upon a society indoctrinated with violence, wars and death.

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DECONSTRUCTING AND MEDIATING THE EXTENSIONS OF SPACE TOWARDS HYBRID REALITIES

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Abstract

Our current concept of space is going through a radical change of perception. While some theories proclaim skepticism about the disappearance of space, other theories talk about the extension of space. For millennia of years our perception of space was dominated by a body-focused spatial experience. Today static definitions of visibility are increasingly replaced through a new flexibility, dynamic and mobility. The physical coexists with the electronic space yet at the same time the sensual feeling of space vanishes in the virtual world. Influenced by telematics media and machines we are blurring the boundaries of our physical space towards the virtual reality (VR). As consequence a new form of hybrid spaces appear. Space is no longer exclusively the housing for context anymore, instead networked contexts generates space and extend it towards another dimension. Characterized by immateriality, nonlocation and the leave of the container space new forms and aesthetics appear. This article explores how processes connected with a spatial-specific focus might drastically change in the near future.

Keywords: Physical-, virtual -, social -, hybrid spaces

I.
Introduction:

In the 21st century we are living in a world, which is characterized by the coexistence of the real and the virtual, the natural and the artificial. Our here and now is fundamentally influenced by telematics media and machines which clearly effects on the relation of location and space as a variable. Location mutates to nonlocation, presence to absence and the disappearance of space is widely discussed. In contrary, proponents of the spatial turn commonly express their skepticism about the theory of the disappearance of space and announce a new paradigm shift. However, already in 1967 Michel Foucault points out that that the big obsession of the 19th century was history, but our time rather can be defined as the age of the space.

In 1884, Edwin Abbott narrated in his short story "Flatland: A Romance of Many Dimensions" about a two dimensional world. This classic from the science-fiction genre and "mathematic satire" tries to demonstrate the difficulties of understanding the concept of higher dimensions. The story describes the journey of a square living in Flatland (two-dimensional) and tells about the squares adventures visiting Dotland (no-dimension), Lineland (one-dimensional), Spaceland (three-dimensional) and ending up visiting a land of four dimensions. In this story Abbott refers to the intolerance and ignorance of accepting the existence of other spatial concepts as those people are used to live in. On the other hand he demonstrates the difficulties to step outside of acquisitioned knowledge and constricted imagination.

Today we are living in a three-dimensional world, but scientists already know about the existence of higher dimensional spaces. Even though if we believe in their existence, it is

difficult for us to visualize them. Similarly it might have been in the Victorian time when Abbott wrote his satire. That time, nobody would have been able nether to in-vision nor understand what it means when we talk today with a matter of course about the cyberspace or the virtual reality (VR). At the beginning of the 21st century it is absolutely normal for us that we inhabit both, the "real" physical and the virtual reality (VR) at the same time. It also seems naturally for us that the boarders between these worlds are blurring and new, different realities are able to emerge.

Such developments not only change the nature of the spaces we inhabit, thus they change the entire way of *how* and through *what* we inhabit them. As a result they modify the entire concept of space and we, as human beings are an active part of this process. When spaces in the virtual world mute increasingly to information space and storage for data, it affects reciprocal on our understanding of the physical space, the attached sociological component and the aesthetics of space. This paper examines the shift of changing spatial concepts.

Changing aesthetics of space:

In the following I will discuss about different developments of spatial understanding and related theories. My analyses include a short introduction about the spatial turn, what leaded to todays changing spatial understanding, how we are entering virtual spaces through the virtual window, the idea about User Generated Spaces (UGS) as information space, social influence on space, the leave of the container space and the important of uploading physical space with value. Several analyzed components essentially effect in the one or the other way on a new understanding of spatial concepts that essentially manifest in a new understanding of hybrid spaces. All here discussed influences should demonstrate that our previous ideas about space are going through a radical change and still lot of research on related topics will be needed.

By the end of the 1980´s various areas such as for example cultural sciences, humanities, geography, media art theories or sociologies started to discuss about the spatial turn, but finally it took till towards the end of the 1990 to talk about a serious change of the paradigm. The expression spatial turn dates back to 1989 when it was first mentioned by the North American geographer Eduard W. Soja (1989, 10-42) who refers in his ideas to the French sociologist Henri Lefebvre. The term spatial turn is still understood varying; depending in which context it is discussed and occasionally also referred to as topographical or topological turn. While some clearly talk about a new paradigm, others discuss about a shift of scientific attention.

In 2008, JörgDöring/Tristan Thielmann published the first comprehensive anthology about the spatial turn. As they say, their goal was to close the gap between many different spatial turns. What previously was discussed inner-disciplinary, they say their aim was to start a discourse on a transdisziplinary level to create common ground between several scientific disciplines. Further they point out, if there is any common ground, it is the skepticism about the "disappearance of space". At a similar time when the discussion around the spatial turn started, began a huge hype about the virtual in the 1990s. This meant different directions clashed upon each other as for example the discussion about the disappearance of space and the extension of space towards the virtual. In the following I will analyze some of the reason what actually leaded to such developments and the important role technological developments played in this relation.

Space as variable:

Beginning with the Industrial Revolution (about 1760-1830) and the development of machines such as trains, cars or later on plains, the physically change of location drastically

speeded up. Along with a machine-focused spatial experience it seemed that distances between places began to shrink which essentially leaded to todays discussion about a metaphorically vanishing of space. Along with such developments another revolution occurred, the revolution of speed. Soon after, not even a century later, the next revolution was initiated with the development of novel communication techniques. With the development of telematics media began another radical change of the human perception and sensation of reality. Peter Weibel (2004, 444) addresses in this context that the deepest transformation caused through this process was the displacement of the body-centered experience of space and time initiated through a machine and media focused experience of reality. He explains (Weibel, 2005, 264):

"The actual revolution of the spatial experience lies in the bodyless transmission of signs. When signs could for the first time travel without a body, be it via electromagnetic waves or cable etc., the foundation for bodiless spatial experience was laid. Telematic machines, ranging from trains to plains, and the telematics media, from television to the Internet, have ultimately dismissed the discourse of location of our society. What we urgently need now is a new dynamic concept of space that is characterized by immateriality and nonlocation. Architecture as spatial design has to adapt to this new 'condition humain'."

Weibel´s analyzes emphasize what happens when we are giving away the monopoly of a body focused spatial experience. Along with the developments of telematics medias and machines a new discourse arises characterized by the non- or dislocation of space, invisibility or absence. Static definitions of visibility are increasingly replaced through a new flexibility, dynamic and mobility on several levels. Today the physical coexists with the electronically space and even can merge as I will discuss later on in my ideas about hybrid spaces.

Anne Friedberg who was Professor, historian and theorist focused on modern media culture and cinematic arts at the University of Southern California investigated in her book "The Virtual Window, From Alberti to Microsoft" (2006) the relationship between the window, the human experience and what does it mean when we enter the virtual through an opening of the dematerialized reality framed on a screen. For Friedberg virtual images and in the following virtual spaces "radically transformed the twentieth-century understanding of reality" (2006,4). She proposed that such developments essentially led to end of perspective how we knew it.Entering a virtual space often takes place "through" a framed window such as screens or displays. Friedberg reminds us that how the world is framed is as important as what is the frame. But how do we perceive virtual spaces?

Manfred Fassler, German Media theoretician and Professor for Cultural anthropology refers in that relation that processes connected with spatial-specific orientated focus might drastically change in the near future. He explains that in the future not only User Generated Content (UGC) will be the outcome, instead he introduces the term User Generated Spaces (UGS) and suggests his theory about Cyberlocalism (Fassler, 2008, 189). Such User Generated Spaces are often characterized by their qualities as information space or networked contexts. Today it is impossible to separate the virtual from our physical environment, as both areas are closely tight together. While we are embodied in the physical world we are traveling with our minds in the virtual world. New codes are pushing the boundaries of the traditional concept of borders; question the meaning of inside or outside, presence or absence, on-or offline.

Digital spaces merge with the physical space, which leads to a new understanding of spatial dimensions and asks for new concepts. Consequently, the current increased interest about the concept of space is not surprising. In Manfred Fassler´s opinion we have reached a point where space needs to be reinvented. He argues that it might be a similar process like in physics, when Newton´s belief of an absolute space and absolute time got abruptly to leave on the turn to the 20th century (2008, 201). As outlined above, many theories question the

previously understanding of space. Under the impression of a new focus on bodily involvement arises dialectics around the physical perception of space. The bodily involvement can be for example bodily-focused, social, emotional, sensual or mental.

Spaces as result of action:

In 2001, the German sociologist Martina Löw released her "Soziologie des Raumes" where she introduced her idea about relational space-models. The goal of her theory is to bear down the separation between an absolute and relative position of spatial thinking. For her, spaces are the result of action. According to Löw, simultaneously structures space actions, which means that spaces can activity define and restrict, as well as allow. Her rather process orientated understanding of space enables to understand space not as static dimension anymore. For Löw such spaces emerge through the interplay between objects and bodies, structures and actions that essentially leads to interplay between the material world and symbolic dimension of the social world.Löw takes in her theory a leave on the imagination of the container space towards a social construction of space.

Similar like Löw, the Icelandic/Danish artist OlafurEliasson emphasizes the important of a bodily involvement within space to define it. Eliasson´s personal artistic work is mainly dedicated to the content of space and temporality. He founded the Berlin based InstititutfürRaumexperimente (2009-2014), which functioned as laboratory and research project for spatial experiments through the arts and was affiliated to the University of the Arts in Berlin. He analyzes "… if people are given tools and made to understand the importance of a fundamentally flexible space, we can create a more democratic way of orienting ourselves in our everyday lives. We could call our relationship with space one of co-production: when someone walks down a street she co-produces the spatiality of the street and is simultaneously co-produced by it." (Eliasson, 2008)

Our physical environment we only can fully understand and perceive through experience. The above-discussed examples approach the topic of experience form different sides. To construct reality, various modes, if they are passive or active senses such as smell, taste and touch effect where at the same time emotions reflect on our experience.

Yi-Fu Tuan (1977), a human geographer merging the fields of geography with philosophy, art, psychology and religion, provided fantastic analyses on the questions what are places, what are spaces, from an architectural, social and humanistic point of view. He emphasizes the importance to upload a place with value to build a connection with it. Even though he discusses such issues from the perspective of being involved with places and spaces in the real, physical world, several topics can also be applied and extended towards the virtual world. As experience is essential for any spatial perception, it implements that several of our senses are active to create a spatial feeling. There are countless ways to generate a spatial understanding for our surrounding environment. To name a view examples, space can be experienced through distances, location, movement, smell, skin sensitivity, sound, noise, reverberation, in geometrical terms, size, shape or tactile perception. Yi-Fu Tuan points out that man is the measure of space and that the human body is the measure of direction, location and distance (Tuan, 1977, 45). For developing any sense of size and distances in the physical world it is needed to move.

But how can we generate a feeling for distances, time and location in virtual spaces? Timelessness can be characterized through eternal, ageless or immortal qualities that are not affected by time. It can also mean that something can have no beginning or end, or is not restricted to any particular date or time. Yi-Fu Tuan describes timelessness as another quality of distant places and refers to the Taoist lore, where the timeless paradises are located myriads of miles from any known human settlement (1977, 122). In that sense it could be said

that timelessness is also closely connected to nonlocation, which both are qualities virtual spaces often generate.

As discussed above, traditional concepts of space are equalized with limits, sense and authenticity. These values are still having their authorization, jet at the same time they are not applicable anymore today in such a narrow point of view. One of the main reasons therefor is that space became a dimension of the interface. Spatiality provides space for novel coherence and goes along with a variable codification and flexibility. However, today we are blurring the borders between the physical and the virtual. At the same time there emerge many other forms of spaces that I see as form of hybrid realities.

Hybrid spaces:

Today we are blurring the borders between the physical and the virtual. At the same time there emerges many other hybrid forms of spaces. Lev Manovich discussed in his essay "The poetics of media surfaces" (2006) how the idea of hybrid spaces formed previously and how spaces turned into augmented space. He argues about the general dynamic between spatial form and information. Therefore he is analyzing for example how the physical space is turned into data space by extracting data or augmenting it with data. This implements "the layering of dynamic and contextual data over physical space as aesthetic paradigm: how to combine different spaces together" (Manovich, 2006)

Such kind of differentiation of spaces and how data relates to them will certainly gain on important in the future. Today different species of augmented spaces are combined into one and I am convinced that this is just the beginning of a new form of spaces, which I define as hybrid spaces. Important for my understanding of this term is, that I am seeing these new form of emerging spaces not only as mapped upon each other, instead I am seeing such developments as a new species that emerges.

Conclusion:

We are currently at a point where it is nearly impossible to draw a strict line between the physical "real" space and topologies in the virtual world. Our understanding of reality is always subjective, but for sure is that the borders between worlds are becoming increasingly blurred. Different levels of spaces and realities merge so that we can encounter them simultaneously. Parallel constructed realities enable to create a new universe of discourse. The question is not about the disappearance of space anymore, rather about the extension of space towards more flexibility, fluidity, simultaneity and syncretism, which creates a new form of understanding reality.

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DESPOTISM VS. DEMOCRACY IN THE MENA REGION

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Abstract

Since its birth on the planet Earth, man has incessantly embarked on a long journey in search of its "being". He formed tribal clans, fought endless series of wars in search of wealth and power. He attempted to discover, understand and subdue the universe to its limited mind. His imagination created then herds of good and bad gods to hide his weaknesses, fears and limitations. Often, he proclaimed himself divine and godly, when, in reality he lives in fear and anxiety facing death and threats by unseen killer bacteria or natural elements that impacted and reduced his pride, arrogance, and self-worship to ultimate death. Glory, wealth, power, and physical well being soon evaporated into some dark and narrow dungeon. This self-proclaimed superman-woman, who defies all laws and rules, keep dreaming about being eternal, while reality transforms them sometimes into weak, empty and helpless vegetables. Their worlds of violence, threats and greed continually collapsed for no return.

This research focuses upon this self-proclaimed "superhuman" of the Middle East, who lives and dies in a state of slavery not imposed upon him by force, rather a result of personal consent. The authors aim to clarify the paradigm of relationship between despotism and consent.

Keywords: Espotism, indoctrination, violence, freedom, democracy, consent, culture

Introduction

''Oriental despotism is based not on force, but on <u>consent</u>. Hence, fear cannot be said to be its motive force, instead the power of the despot master feeds upon the servile nature of those enslaved.'' **(Aristotles)**

In search of the meaning of existence the human kind lived in search of the essence of being in a continuous way from the time of creation. ''Man'' created clannish tribes, went into conquest and never-ending cycles of combats and hostilities in search of possessions and control. He attempted to discover, understand and subdue the universe to its limited mind. His imagination created then herds of good and bad gods to hide his weaknesses, fears and limitations. Often, he proclaimed himself divine and godly, when, in reality he lives in fear and anxiety facing death and threats by unseen killer bacteria or natural elements that impacted and reduced his pride, arrogance, and self-worship to ultimate death. Glory, wealth, power, and physical well being soon evaporated into some dark and narrow dungeon. This self-proclaimed superman-woman, who defies all laws and rules, keep dreaming about being eternal, while reality transforms them sometimes into weak, empty and helpless vegetables. Their worlds of violence, threats and greed continually collapsed for no return.

This research focuses upon this self-proclaimed "superhuman" of the Middle East, who lives and dies in a state of slavery not imposed upon him by force, rather a result of personal consent. The authors aim to clarify the paradigm of relationship between despotism and consent.

The main irony in such research lies in the fact that consent, by itself, is an essential pillar of any free and democratic system or regime. How could then an individual be subjected to slavery through consent, while simultaneously remaining free and democratic? To answer this seemingly contradicting question, clarifications are needed about the socio-economic-religious and political environment in which the Middle Eastern "being" was born, raised, live and die.

I.
Specificities of the Middle Eastern region

This region has, historically, been the creator of successive civilizations, religions and political trends. Conquerors followed by conquerors occupied it, established power in many forms starting with tribalism to princedoms, kingdoms, sultanates and republics. Many of these systems collapsed and whither away until modernity espoused the concepts of republics, popular sovereignty, democracy and nationalism. The major specificities that consequently characterize the MENA region revolve around (a) religious teaching and practices leading to cross-cultural conflicts; (b) monotheistic ideologies opposing secular ones; (c) indoctrination and brainwashing of the individual since birth; (d) glorification of violence and warfare as "holy" in most circumstances, instead of promoting the culture of tolerance, equity and peace.

Religious teaching and control

The MENA region has given birth to three interrelated monotheistic religions as is evident in their teachings, and in some dogmatic matters such as the Ten Commandments. Judaism was the founding basis, spiritually elevated by Christianity and humanly materialized by Islam. All these religions proclaim for fundamentals, "peace", yet, they have constantly been glorifying wars and violence as the virtues, satisfying god's will on earth and the glorified life after death.

Islam spread out as the religion based on the ultimate conquests leading to a majority of 94% of the inhabitants facing 6% minorities spread in Egypt, Syria and Lebanon.

Although the purpose of this research is to correlate Socrates' statement to the socio-economic and political reality in the MENA region, one must clearly and objectively identify the religious forces that have been, for thousands of years, putting in chains of slavery the human inhabitants of the region.

Monotheistic ideologies

Since political, social, economic and military powers are centered and dependent on one force, named "god" whom some humans claim to represent, and defend his interests on earth. Consequently the logical powers of this perfect and omnipotent "god" are transplanted into a mortal and miserable human being, who then auto-hypnoses himself into divinity claiming possession of absolute divine powers regardless of any factors that might affect this self-worship and illusionary divinity. The results of such an environment ruled by misconception, illusion, arrogance and unlimited illiteracy, religious leaders assume, ipso facto, all powers including those related to polities, laws and warfare, under the concept "Al-Fakih's rule" or the Caliph's rule.

The MENA inhabitants are have become unable to investigate nor question the legitimate authority of their religious leadership, as a result they literally adopt their instruction and teachings, fully convinced of some promised virtual rewards they will collect after death, mainly translated into unlimited physical happiness based on unlimited food and sex. This type of religious dominant power led to the ultimate consensus by the human subjects. The logical explanation of the phenomenon lies in the fact that the leader-despot, acts as the legitimate representative and caretaker of god's interests on earth. The fear from

tyranny was astutely muted to divine obedience through consensus. The scientific factors in education that should question these mandatory imposed values, attributes and behaviors are non-existent. Children are often taught from their childhood the hardliners of religious principles and dogmas often translated in the development of stereotypes, biases and discriminations, all of which, are beefed by fundamentalism and violence against minorities.

In schools and universities the educational system and academic material often tend to widen the schism between citizens due to these stereotypes, leading often to physical clashes and injuries. The absence of academic programs promoting the culture of peace and partnership is flagrant and pitiful. Every socio-political group forms its local security power and attempts to impose it upon others quoting an abysmal justification of serving "god" or defending god's rights and well-being. It is indeed absurd to believe that a mortal human individual or a group have been commissioned by god to act as caretakers of his 'interests and rights on earth. The ultimate consequence of such heresies engages as people into "holy wars" claiming holy fictitious victories at the cost of trampling human rights, freedoms and democratic principles. The irony in this situation is that the masses do embrace with consent and emotional belligerence the norms and policies dictated by religious despots.

The educational system at various levels

Children are raised in families fully indoctrinated by their rulers-coaches. They are trained into a consensual obedience, for their daily behavior is cheeked and controlled; outlining what is right and wrong. They are made to believe being the military guardians and armies of god's reign on earth. The concepts of human rights, freedom of questioning even searching for the different sides of the truth. What is imposed constitutes "the truth", any deviation would be viewed as blasphemy, and punishable by death ordered by the "master" (religious leaders) who issues the verdict. To be pious, good and faithful to god, one is not allowed to ask, but blindly obey the divine leaders when called upon to perform violent acts, and kill the innocents to avenge the whims of the "man-god". These educational trends and practices explain why, for example, political leaders, when it comes to elections do not allow any opposition, controlling 99.9 of the electoral votes. It is indeed in this case despotism by consent not fear. The ultimate result ends having "leaders" who remain in power for life often extending beyond 30 to 40 years. The striking tragedy in this situation is the absence of any possible evolution, or introduction of changes to ameliorate these primitive human living conditions.

The inhabitants of the MENA-Arab regions so far have failed to understand the real meaning of the concept of freedom and the sacred right to choose one's destiny. This stagnant state of matters would also explain why women would not rise in masses asking for their basic rights? The people have great difficulties understanding the meaning and value of freedom. Instead, human freedoms are viewed as the threat to their culture, identity and existence; consequently, they choose as duties to fight freedom willingly and accept despotism. It is evident why the United States and Europe are considered as the "Great Satan" and threat to this prehistoric-medieval and despotic world.

Glorification of violence and warfare

In schools, families, within political parties and even when religious rituals are performed, the leaders are fully aware of their despotic powers and their power to inflame the emotional slavery of the masses. They master the art of brainwashing, deceit and concealment; they know how to induce eruption of the human primitive and instinctive emotions. Millions of followers would then shout in response to a leader's speech filled with false and empty promises: "with our blood and lives we defend you"; "death to the American Satan"; or "kill the Zionist traitors", in addition to an endless list of slogans generated from

hatred, vengeance, fundamental beliefs and others. The masses are mobilized, the innocent minority is victimized and abused lacking protection and security. Few examples would illustrate this problematic.

When in 2010 a Danish paper published some caricatures about Prophet Mohammad, the masses in Lebanon protested and invaded the streets in Ashrafieh, a Christian quarter in Beirut, burning tires and cars, looting stores and causing other destructions. The questions to be raised are: why destroy Ashrafiyeh in Lebanon a quarter inhabited by innocent compatriots? How such a primitive violent action benefits the Prophet Mohammad or anyone else whether in this or the other life? Wouldn't be better and more productive to act in civilized and peaceful manners through dialogues?

The examples to such primitive behaviors are too many to cite or count. The motives behind the predominance of such tribal behaviors are simple and easy to remedy once the people of the MENA region choose to become extrovert and open, cultured in human rights and basic freedoms that are granted to man by his creator the real "God" not by Mr. X or Z or another human pigmy.

The MENA region is urgently in need to produce free and cultured leaders operating under the umbrella of lawfulness, love and peace.

Human freedom and democracy

Following WWI and the creation of the League of Nations, muted in 1945 to the United Nations, the concepts of peoples' self-determination and respect for human rights became a basic pillars of international law, relations between sovereign states and the family of nations. The human citizen of the 20th and the 21st centuries, through education, international communication tools such as the internet and others became more knowledgeable about freedom and human rights. Many despotic regimes collapsed, others remained. The MENA region's governments and people so far failed to espouse this revolutionary change; instead they continually seek the rule by despots, whether enlightened or not, as in the case in Egypt, Syria, Iraq, Libya, Iran, the Gulf Countries… this failure to emancipate from the old and archaic norms and rules is mainly caused by the uneducated and uncontrolled fusion between the spiritual values, dogmas and principles and the physical ones of power, wealth, sex and seclusion of freedom.

The statement by Aristotle is fully validated by the actual behavior of a majority of 365 million MENA's inhabitants. The ultimate abysmal tragedy, however, lies in the fact that the rulers and their followers believe that their moral duties dictate for them to impose their taboos and state of slavery upon those who have been introduced to the joy of peace and freedom. All tools and methods are, from their point of view, legal, moral and compulsory. They claim to be democratic in their behavior, promoters and disciples of democracy. Their claim is based on actual fabricated statistics reflecting popular consensus granted by an illiterate and misguided populace. The tribalistic emotional behavior allows no rooms for these who desire to be free, for those who dominate this unhealthy environment have so far failed to understand the true meaning of (a) living in a diverse society whereby all citizens are equal under just and equitable laws, while remaining different; (b) that human life is a gift, freely given by Creator himself, who alone has the right to dictate the norms and rules or recall them; (c) the creator granted freedom to individuals and no one can or may forbid them from enjoying it by taking it away from them; (d) men are fully responsible for his/her actions. Their only judge is the one who granted them those rights; (e) last man deserves to live with respect and dignity not in slavery, being fully responsible for his chosen destiny and future.

Literature review

Rulers and leaders in the MENA region, according to a close and critical observation by academic experts display a morbid attachment to power, for they are prepared to do anything, ethical or not, including selling out their followers and country, to retain their politically despotic power (Ali Khan, 2012).

In actuality those despots, under normal conditions, have governed for over 30 year terms in a specific power position, then they transmit their power to their family members, children and even wives. They ally themselves with Islamic powerful religious leaders trading privileges to sustain their authority. There are many examples such as Qaddafi of Libya, Moubarak of Egypt, Assad of Syria, Lebanese heads of the parliament or prime ministers, kings, princes, military dictators and others. They all strive to establish sole monopoly of power. Ali Khan commented stating: "whoever assumes power in the Arab region turns into ghastly and irrevocable dictators (Ali Khan, 2012). These "superhumans" employ the military and police to bolster their corrupt regimes. Often they foment religious fundamentalism and extremism to strive and spread fear and terror among their subjects (Habib, 2011). Montesquieu argues that despotism should be avoided at all costs for it cannot be restrained by law rather subjected to arbitrary whims of the despots. (SL. 3.2) Saddam Houssein, when asked about the role of law in governance, replied "the law is what I say it is". In other countries such as Lebanon, politicians and their followers invented new form of democracy namely "consotiational" democracy based on the rule of unanimity, something that has never succeeded in human history.

Despotism and religious "culturalism"

Researchers are divided on how much despotism can be caused by religious "culturalism", meaning religious teachings, values, practices, taboos etc… Throughout human history, in polytheistic societies, the ruler was identified and worshiped as son of god e.g China, Greece, Rome…With Judaism and Christianity, although, the ruler was not divine by birth, but his power was divine and absolute as the case of Islamic rulers in medieval ages. (Curties by Mirengoff,2010)

Failing to separate between political and religious powers of the ruler Islam incarnated all powers in his hands as is the case of Al- Fakih or religious leader. Hence a new concept of democracy was created namely "theocratic democracy". Since the religious leader is supreme in his powers, he, in the MENA region retained and practiced the power of despotism. This explains why a Muslim woman is forbidden, under penalty of death, to freely choose and marry a non-Muslim; or that non-Muslim citizens are not treated as equals enjoying the same legal, political economic and social human rights under the law. Religious leaders have the highest authority over the lives of the citizens whereby freedom of religion, marriage, association and others are not allowed. To keep control of the masses those religious leaders became sole interpreters of religious rituals and morality. Some even declare "holy wars" or promote the culture of violence based on conquest and terror. In this process they keep their followers poor and dependent upon them for survival on this earth and in the paradise where they would receive high rewards. The ultimate strategy is keep the masses busy with wars, violence and insecurity while blaming all evils on foreign enemies. It is the ultimate psychological dictatorship. Furthermore, they attempt to consolidate their power over the masses by compelling their followers to strictly practice religious rituals or face punishment. Even political parties are named as God's parties, armies including battles, or wars. The citizen, in return, based on so many "attractive after death" promises full, consents to the despotic ruler. Those who blindly follow and obey the ruler are branded as "heroes" and faithful soldiers of god.

Jessy Ventura stated: "I love my country not my government." In the MENA region people shout I love my "Zaim" (leader), my party and my religion. These people have not yet tasted freedom and having an identity. They are timid people who prefer the swampy calm of tyranny instead of the temptuous sea of liberty (Thomas Jefferson). The issue that imposes itself here is whether all men are created equal under the law. President George Washington, in his Farewell Address confirms that "all men are created equal", then he adds when the "Know- Nothings" take control of power, equality dies.

G.K Chesterton went even further defining despotism as "a tired democracy" for citizens forfeit their rights to freedom. Tiffany Madison relied despotism to the disappearance of the rule of law and the reign of men's whims. If one glances behind the governance curtain, one would discovers the classic tactics of fear, manipulation and manufactured consensus imprisoning humans into prisons without physical bars.

Often leaders use despotism, concealed in the seductive form of religion or ideal.

In 1887 British historian John Acton wrote "power tends to corrupt and absolute power, corrupts absolutely". When Montesquieu was asked about religion in Islamic state, he declared that it will always rule the region, because despotism is the only means to establish order in this region. (S.L. 24.3). The subjects are thus reduced to servility by consent, fear and intimidation (SL. 3.10) it is ironic to witness an individual, in that environment, forsake one's father or family, and even kill any of them when ordered to the duty of "Jihad" (holy war). Religion is the ultimate tool used by despots to retain unlimited power and secure consent. Consequently the corrupt nature of despotism would be the result of the breeding ground by certain religious indoctrinations; especially when politics will become inherently subjected to religious approval on every issue.

This state of religious-cultural conflicts prompted Michael Curtis to advance the concept of "clash of civilization".

The cult of Personality

The Arabs of the MENA region tend to worship their absolute rulers whose photos are plastered everywhere, whose names are pronounced with great, almost divine respect. They enjoy all titles of nobility and social discrimination beginning with "Sheikhs", "Zaim", "highness", "most honored", "god's word" and so forth. Some human nations worship fake heroes and end up being controlled by ugly dictators (Ali Khan 2012). The result leads to government by tyranny whereby an individual holds supreme power and rules through his whim unfettered by accountability and the rule of law.

Children are saturated from early childhood by an irresponsible media and, controlled by government propaganda, glorifying the heroic and glorious acts of a specific leader who masters the art of threatening and spreading anxiety and fear in his subjects' hearts.

Conclusion

Terms like democracy, despotism, tyranny, human rights and many others have been interchangeably used by individuals and groups to grab power and consolidate it. Born with a lust for power and control, man had to invent and use any available means that would increase and sustain his power.

The cost is not important, as long as the power is perpetrated by people who consent to it and who have lost the drive to fight back for their freedom and rights. It is quite evident that what Aristotles discovered 3000 years ago stands as a reality. The people of the MENA region consider their lives as meaningless without being led by a dictator or perhaps a soft form of slavery that is partially caused by religious fundamentalism and brain washing, poor education and abysmal knowledge of liberty. This research requires answers to many questions as follow-ups such as: for how long such popular apathy and hibernation would

last? What might be the means or tools to investigate and apply to generate dramatic changes in the grassroots and leadership itself? Who are the heroes who would initiate, pursue and sustain the change leading to emancipation and freedom?

Further, in depth research, is urgently needed to break away the chains of slavery and apathy for the inhabitants of the region.

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EXCOMMUNICATION AND CONSCIENCE CONTROL IN MODERN ITALY

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Abstract

The theme of this research is the main (and oldest) tool of ecclesiastic justice, the penalty most frequently and strategically inflicted in the "fabrication" of 'docile bodies'" (Fontana, 1977, p. 871): the excommunication, which "holds the main position amongst censorships, or medicinal ecclesiastical penalties, whose main objective is emendation of the offender, and the secondary, his punishment" (Scomunica, 1936, p. 203). In the light of the most recent historiographical debate and with the help of unpublished, rare sources, related to a specific territory in modern Italy, this contribution analyses censorship, "coded" several times during the modern era and inflicted to punish very different sins-crimes, which were very often of a merely secular nature.

Keywords: Excommunication, ecclesiastical censorship, jurisdiction conflict, Italy, modern era

Introduction

Recently, Paolo Prodi, in a mature work of his – reflecting with attention on the duality between the sacred and power, on the relationship between sin and crime and on the progressive separation between faults and penalties –, has reserved several pages to the issue of excommunication, insisting on the transformation of that weapon from measure of exclusion of the baptised from the communion of the devotees to penalty implying effects (which, additionally, damaged the descendants, even when they were innocent) such as banishment, infamy, confiscation of assets or destruction of possessions (2000, *passim*). Similarly stimulating are also the pages by Vincenzo Lavenia concerning the context in which, at the end of the middle Ages, arose the separation between crime and penalty, between sin and crime, between penance and secular punishment, and the "punishability of the innocents" (2004, *passim*). The historical research by Elena Brambilla, on the theme of ecclesiastical justice, is also particularly important and documented. Connecting in a single discourse internal and external justice, individual punishment and sanction, confession and inquisition, it also deals with the characteristics and the mechanism of excommunication in the modern era (2000 and 2006, *passim*). These are some of the paths undertaken by the most recent specific historiography; the latter must be referred to, since it is, of course, impossible, in this context, to touch upon an internal history of the so-called ecclesiastical penal law, of excommunication and of other ecclesiastical censorship, such as territorial interdict and removal of clergymen.

The excommunication, "nervus ecclesiasticae disciplinae"

Established by the Church "per bene, e salute dell'anima" (Mazzuci, 1674, p. 43), excommunication, "nervus [...] Ecclesiasticae disciplinae" (Mazzuci, 1647, p. 220), defined as "the exclusion of an individual from the religious group he belongs to, determined by reasons of a religious nature and which takes away those rights and benefits granted by the affiliation to that

group, replacing them, by opposition, with the legal and moral disownment" (Scomunica, 1936, p. 203), like all other censorships, "si fulmina[...] per ogni buon fine, et in particolare, acciò li ribelli, e contumaci si emendino, e li dubbiosi, e vacillanti si stabiliscano" (Mazzuci, 1674, p. 43). This was stated, in 1647, by the jurist Roberto Mazzuci in one of his works, written with overtly pro-Church intentions, moving from the concept, theologically motivated, according to which the Church is a perfect and universal society, having a divine origin and whose aim is the spiritual and supernatural good of its followers. Therefore, the social and economic consequences brought upon by the separation from the communion of the followers – from major excommunication (or excommunication strictly speaking) to minor excommunication, i.e. simple suspension from the sacraments – are serious. Created especially to fight heresy, and used at first only in exceptional cases, along the centuries it slowly lost its original meaning and everybody, popes and bishops, claimed the right to inflict it for every small and varied pretext, often according to habits and local interests (think of abuse of censorship, already detected by Febvre, against debtors, to force them to pay) (Febvre, 1982, pp. 205-231). The Council of Trent regulated its use, recalling the Superiors to their sense of discretion and to exercise their "sobrie [...] magnaque circumspectione" (Mazzuci, 1647, p. 220), in order not to weaken the effectiveness of the penalty and to avoid missing the principle of Christian mercy and charity. At the same time, it also legalised a special and extremely old tradition, the "monitoria" (warning letters reserved to the bishop, or the vicar general in his lieu), which soon came to be tools of strong moral pressure, that must obtain, under threat of excommunication, what could not be achieved through merely ordinary measures. There were several official stances of popes, forced to code in several bulls the cases in which the excommunication was allowed. Undoubtedly, the most famous bull is *In Coena Domini* (which regularly appeared from then on in every holy synod) wanted by Pious V, rigid moraliser of behaviours and motivated executor of the Tridentine decrees. At that time, therefore, a key role was given to the issue of the reserved cases (until then rather marginal in the theological and canonistic reflection), i.e. those sins whose absolution could not be given by the confessor, but was reserved to the superior authority, the bishop or the pope. The Tridentine reformist bishops explicated their number and quality much more than had been done in the past, reserving for themselves and their delegates the absolution of some of the most serious sins for socially relevant crimes (among them, absolution from major excommunication).

The cases of this new type of excommunication multiplied, therefore, in the 16th Century both in the universal and the local law of the Church, i.e. the provincial councils and the diocesan synods joining, however, in a strange confusion, crimes regarding faith, ecclesiastical discipline, morals and merely secular crimes. At a local level, in order to know the exact content of such laws, it is useful to model it after the documents from the metropolitan seat of Otranto: in particular, the edict by Pietro Antonio de Capua of 26 March 1567 on the cases of excommunication, and the article *Dell'Escommunicatione* among the decrees of the provincial council of Otranto, chaired by the same bishop, the same year. Concerning the former, excommunication was provided for the following social categories:

"hereticj, scismaticj, sacrilegi, et magari, e tutti quelli, che in qualsivogliamodo participassero scienter con essi nei prefati delitti che li ricettassero o li tenessero secreti et non gli revelassero subito a noi o al nostro Vicario";

"tutti quelli che senteno et parlano degli articoli della fede, dei sacramenti, della chiesa, dell'autorita del Vicario di Christo altramente che tiene la santa Romana chiesa; et finalmente [...] tutti quelli che non confessano et accettano quanto il sacro concilio di Trento ha determinato et che non riprobano quanto il detto Concilio ha riprobato spettante alla fede, et alla salute nostra";

"tutte quelle persone le quali bistemano l'omnipotente Dio, la gloriosa Vergine Maria, et li santi publicamente, con animo deliberativo et prava consuetudine";

"tutte quelle persone, tanto clerici come laici che pigliano, et danno della santa Cresima, del'oglio santo, et de l'oglio del'Infermi per alcuna divinatione o vero fattocchiaria";

"quelle persone che faranno incanti, et getteranno sorti, faranno magarie, ligature, sortilegi rimedij per fare disertare le donne gravide, et ogni altra cosa simile proibita dai sacri canoni, et quelli che riceveranno tali oncanti, rimedij, vivande, magarie, et medicine et quelli che saranno complici et consentienti";

"tutte quelle persone, quali portassero agli infideli ligname, ferro et altre monitioni, cavalli, arme, vettovaglie et qualsivoglia sorte di robbe per loro sussidio, et aiuto";

"quelle persone che contrino de fatto matrimonio secundo loco, havendo contratto legitimamente de presenti prima con altra persona";

"tutte quelle persone le quali occupano i beni, ragioni tanto publiche come private di questa Chiesa magiore d'Otranto et di altre chiese della nostra Diocesa ingiustamente, et che non pagano quello che giustamente sono obligati di pagare a questa chiesa come a tutte l'altre";

"tutte quelle persone, le quali similmente tenessero occupati, et usurpati Benefitij ecclesiastici, etiam iuspatronati, et oltre la sudetta pena siano ancora privati di detti iuspatronati ipso facto, et si fussero clerici oltre la predetta pena siano privati dei suoi Benificij et inabili ad hevere degli altri iusta la forma del detto sacro Concilio Tridentino; et similmente quelle persone che li tenessero racomandati senza giusto titulo, et non gli renuntiassero fra vinti giorni da di dalla publicatione;

"tutte quelle persone che fanno venire forzatamente clerici, et persone ecclesiastiche alla Corte secolare et tutti giudicj, et secularj officiali, che consenteno che tal cause si trattino nelle loro Corti, in pregiuditio della corte ecclesiastica, et che in qualsivoglia modo impediranno, et intrometteranno ad impedire la liberta ecclesiastica usurpandosi et procurandosi che sia usurpata la cognitione delle cause spirituali di preti et altre persone ecclesiastiche spettanti a noi, et alla nostra giurisditione, et tutti quelli che dirette vel indirette contravengono alla ecclesiastica liberta et di persone ecclesiastiche tanto circa le lor persone, et robbe quanto chi le costringerà, o fara costringere a adtribuire datij, gabelle et altri pagamenti indebiti, et alloggiamenti di soldati dei quali Justa la forma dei sacri canoni devono essere Franchi";

"tutte quelle persone che abrusciano òvero pongono o fanno ponere foco nelle possessioni, terre et case di questa magior écclesia Hydruntina et di questa sua diocesa, et di persone private malitiosamente";

"tutte quelle persone, le quali metteranno mano violentemente sopra alcuno prete o frate, o qualsivoglia clerico o persona ecclesiastica, offerendolo o procurando che sia offeso nella persona di qualsivoglia maniera";

"tutte quelle persone che scienter hanno contratto, et contrairanno matrimonio in grado prohibito, in quarto grado inclusive senza dispensatione della sede Apostolica et ancora quelli che ignoranter l'havessero contratto o contrairanno che dopo hanno ha notitia di tale impedimento non si saranno separati da tal matrimonio";

"tutte quelle persone secolari, et preti che interverranno alla dechiarazione di matrimonio senza che siano fatte prima le tre canoniche monitionj, et quelli che interveneranno a matrimonij di persone estranee et vagabonde non adporbati da noi ixa la forma de i sacri canoni, et del concilio Tridentino";

"tutte quelle persone, che contrairanno matrimonio e faranno contra la forma de i decreti del sacro concilio Tridentino, et sia i preti come Notari et altri persone o testimonij ecclesiastiche, et quelli che vi interveniranno";

"tutte quelle persone cosi clerici come laici che tengono o teneranno concubine publiche o secrete o donne de lor posta in casa loro o in altra casa, et [...] quellj, che ammoniti piu volte non l'hanno lassate, et non le lassaranno per tutto il di de la Resuretione di Nostro

Signore dei quali i nomi saranno discritti nelle porte delle chiese, accio siano evitati dal commertio dei cristiani et privati della partecipatione dei sacramenti.

"tutte quelle persone che fanno usura publicamente, et che scrivono, o fanno scrivere i contratti fintivj et simolati in fraude di usura, et Notari, giudicj, et testimonj, che a tali contratti interveniranno";

"tutte quelle persone che haveranno falsificato o falsificheranno Bulle, o lettere, brevi et altre speditioni Apostoliche o vero Regie, et altre nostre scritture et quelli che di tali scritture falsificate si serveranno";

"tutti nostri suditi i quali si faranno promovere all'ordini Ecclesiastici da altro Prelato senza licenza dell Santità di Nostro Signore o nostra";

"quelle persone che nelle chiese et luochi sacri commetteranno peccato carnale, quelli che in dette chiese faranno o giocheranno a carte o a dadi et ad altra sorte di giocho proibito non essendo giusto ne honesto che le chiese dedicate al servigio di Dio siano pollute con peccati dissonesti et profani";

"tutte quelle persone che non osservaranno le domeniche et feste comandate et faticheranno o faranno fatigare con le loro bestie et animali sotto pena di perdere l'animali et le robbe";

"tutte quelle donne dei defunti che seguiranno i defunti quando saranno portati a sepelirsi nella chiesa con pianti et ululati disturbando i divini officij, et che useranno piu quel abusa di serrare la porta di casa uscendo il defunto, et loro et i preti che lo permetteranno incorrano de piu nella pena imposta nella nostra particolare institutione sopra questo abusceso.

"tutte quelle persone le quali saranno di eta legitima in questa Città et nella nostra Diocesa che in questo giorno del Giovedì Santo et per le feste di pasqua, non saranno confessate et comunicate conforme all'ordine dei sacri canoni";

"tutte quelle persone di qualsivoglia stato et conditione si siano quali costringessero o in qualsivoglia sforzassero suoi suddeti o altre persone a fare matrimonij per forza non lasciandoli a loro liberta secondo la forma del decreto del sacro Concilio Tridentino";

"tutte quelle persone ecclesiastiche et secolari di qualsivoglia grado et conditione si siano che vendessero alienassero permutassero donassero o concedessero robbe di chiesa et de beneficij di qualsiasi sorte senza licenza della sede Apostolica o vero Nostra et nostri Ministri";

"tutte quelle persone di qualsi voglia stato grado et conditione si siano le quali con autorita propria, et senza expressa licenza di questa corte, presumeranno levare i corpi morti dal luco dove stanno sepelliti, et trasferirli in altro loco, et ne le medesme pene ancora incorrano tutte quelle persone, quali nel tempo delle interditto, o contra la prohibitione et ordine di detta Metropolitana Audienza, sepellissero nelle chiese et luoghi sacri et cimiterij corpi morti g.a la dispositione dei sacri canoni";

"tutte quelle persone che dipongono o fanno diponere falso testimonio in giuditio, o vero usano falsi testimonij et intrumenti falsi scienter";

"tutte quelle persone le quali temerariamente, con pietre ferro o qualsivoglia instrumento di qualsivoglia modo feriranno o guasteranno l'imagine del Crucifisso della Gloriosa vergine Maria et alti Santi";

"tutti religiosi preti et Jaconi i quali prestaranno habiti cotte et altre cose ecclesiastiche per mascare et altri atti dissonesti et prohibiti et cosi quelli che li portaranno".

It was "ordered", furthermore, "under penalty of excommunication":

"che nessuna persona dopo contratto matrimonio, per verba de futuro, habbia da intrare alla sua moglie prima ch'abbia contratto per verba de presenti et havuta la beneditione in fatiem ecclesiae";

(e "sotto pena [...] di mille libra di cera") "che fra un mese, tanto quelli che non haveranno affidato, et si stanno con le lor mogli, quanto quelli che havessero affidato debano sposare con la beneditione della Chiesa";

"che tutti i Notari che scrivono i testamenti de defunti habbiano da manifestare fra otto di, dal dj della morte del testatore alla corte Metropolitana o suo procuratore tutti i legati fatti ad pias causas";

"che nei giorni di festa non si habbiano a tenere le boteghe aperte per vendere, eccettuando quelli che vendono cose da mangiare da bere et di medicine, à i quali damo licenza dopo dette le messe";

"che nessuna persona debba passegiare per le chiese nel tempo che se ne celebrano le messe et i divini officij, con poco rispetto et poca reverenza";

"a tutti medici tanto Fisici quanto chirurgi, che prima che agli infermi ordinano alcuno remmedio li ammoniscano che si debbano confessare comunicare et provedere alle cose del'anima";

(e "sotto pena [...] di due libre di cera per ciascuna volta") "che tutte le persone le quali saranno di eta legitima et senza legitimo impedimento, ad minus ogni Domenica et giorni festivj et solennj comandati dalla santa chiesa habbiano da scoltare la santa messa come sono obligati per dispositione dei sacri canonj";

"a tutti Arcipreti et ministri della nostra Diocesa che non permettano ne a preti ne a frati vagabondi di celebrare messa ne a ministrare sacramenti nella lor cura senza licenza di questa Metropolitana corte";

(e sotto altre pene "ad arbitrio nostro riservate") "a tutti preti et frati et altre persone ecclesiastiche di qualsivoglia stato, et dignita et grado si siano che non presumano celebrar messe in nessun loco privato, ne in casa o camera etiam si fossero oratorij di casa ma quelle celebrare nelle chiese et altri ordinati iuxta la dispositione del sacro concilio Tridentino o vero nelle cappelle diputate o che si diputassero da noi";

(e sotto altre pene "ad arbitrio nostro riservate") "a tutti et singuli Arcipreti Rettori parrocchiani et confessori che habiano di fare la lor lista di quelli che saranno confessati nella quadragesima et comunicati per tutta l'ottava di pasqua, et dette liste detti confessori le debbano consignare a detti Arcipreti et detti Arcipreti ridurle a modo di matricola tutti in un quinternio ad alfabeto appartati gl'huomini dalle Donne et corsi ordinato nella ottava di Pasqua di Resurretione lo vogliano portare et presentare a noi et a questa Metropolitana Audienza sotto le pene prefate, ponendo da parte quelli cosi huomini come donne che non fussero confessate et comunicati, et le cause con farci usare ogni exquisita diligenza, à tale si possa procedere iuxta la dispositione de i sacri canoni";

"a tutti padri et madri che si debbano sforzare d'imparare, et fare imparare a i loro figlioli il Pater noster, l'Ave Maria, et il credo il più presto che potranno et fargli instruire alle cose della santa fede cattolica";

"che nulla persona debba impedire chi volesse fare testamento et procedere alla salute de l'anima sua et fare legati ad pias causas";

"che nessuna persona habbia [pretesa di impossessarsi di] grani orgi, vingne, olive, diardini, animali e qualsivoglia altra sorte di robbe di persone ecclesiastiche o di qualsivoglia altra persona";

"che non si habbia a saltare et fare conviti et balli nelle chiese et sue cappelle";

"che nessuna persona presuma di fraudare, occupare, et non pagare come sono obligati la quarta canonicha de funerali de legati pij, mali oblati et altri delitti spettanti a questa camera Archiepiscopale";

"a tutti Arcipreti, Rettori, Parrocchiani et a ciascheduno di loro a chi spetta di questa Hydruntina Diocesa, che sotto pena di cento libre di cera, et di sospentione a Divinis non sia nessuno che ardisca, morto che sara alcuno de li lor Baroni de li luoghi et terre dove essi son

Arcipreti sepellirlo si prima l'heredi non haveranno satisfatti a questa Metropolitana chiesa di Regali che li spettano o vero convenuti con essa";

"che nessuna persona ardisca dire ingiurie, o battere et offendere con parole, o fatti a quelle persone quali veniranno a domandar giustitia et a negotiare in questa Metropolitana corte";

"che nessuno presuma di eseguire o di pegnare clerici, et persone ecclesiastiche di persona ne sopra lor beni senza ordini di detta Metropolitana Audientia";

"a tutte le persone di detta Citta et Diocesa che [...] da mo inanzi non presumano in modo alcuno ritornare indietro il sale che portano le creature a battezzare ma quello debbano subito il battesimo gettarlo nella fonte dell'acqua santa";

"che non sia prete di questa Metropolitana chiesa et della nostra Diocesa il quale habbia a pigliare et haver hobligo di dire piu che sette messe la settimana et chi fara il contrario o havendole al presente non sgraverà sia privato di tutte quelle messe che avesse inabile a poterne havere de l'altre";

("sotto pena expressa nella nostra particolare constitutione") "che tutti preti clerici et persone ecclesiastiche della nostra Diocesa debbano andare in habito et tonsura nel modo già esposto in detta constitutione concedendo ex benignitate quindici altri giorni di tempo a quellj i quali insino a questo tempo non l'havessero posto in esecutione";

(e sotto altre pene "riserbate a nostro arbitrio") "che non sia nessuno Canonico prete clerico et persona la quale debba giocare a carte a dadi et ad altri giochi prohibiti esercitji inconvenienti al suo stato";

"a tutti Arcipreti della nostra Diocesa che fra il termine di giorni quindici, dopo che saranno publicate le presenti constitutioni debbiano pigliarne copia autentica, accio l'habbia de publicare fra il medesimo tempo, et farle inviolabilmente osservare".

It was "admonished" then "under the same penalty":

che "tutte quelle donne che fussero concubine [...] si debbano totalmente partire da tal peccato altramente saranno cacciate dalla Città alla qual pena a tutti i sospetti agiungemo la pena di mille libre di cera et ai clerici de più la privatione dei benefitij";

che "tutti li esecutori di testamenti ne lo spatio di un'anno, incominciando dal dì dela morte del testatore debbano eseguire i legati, che si contengono in detto testamenti; et che distribuendo loro i legati per li defunti debbano ritenere la quarta parte di detti legati et darla al Procuratore di questa nostra Chiesa Metropolitana";

che "ciascuna persona habbia da pagare la quarta dei legati lasciati per testatori ne i loro testamenti fra un mese dal di che pigliano i legati al procuratore di questa Metropolitana chiesa";

"tutte quelle persone, padri et madri che differiranno a battezzare o fare battezzare le creature subito che saranno nate et al piu tardi fra otto di dopo nati, che per colpa o dilation loro soccedesse morte senza battesimo, et tutele: madri et notricie che colcheranno ne i loro letti le creature predette, avanti che non haveranno passati i diece anni potendo tenerli in altro luogo";

"ogni persona che non debba riporre o conservare nelle chiese cose, che non sono deputate al culto Divino ne si debbia servire di dette chiese per magazeni, et altri loro bisogni et chi ci la in esse riposte debba levarle subito".

("iuxta la forma de i sacri Decreti Tridentini") "che tutti della nostra Diocesa quali contrairanno Matrimonio non habiano da consumarlo se non saranno legitimamente affidati, et sposati ante faciem ecclesiae et vogliamo prima che affidaranno et sposaranno et consumaranno detto matrimonio confessarsi et comunicarsi essendo il santo matrimonio uno de i sette sacramenti della chiesa".

It was forbidden, finally, "under penalty of excommunication":

che nessuno prete ne religioso di qualsivoglia ordine debba confessare un prete secolare senza expressa licenza in scriptis nostra et di più che nullo Monasterio, et convento possa il dì del giovedi Santo et la Domenica di Resurrettione di pasqua comunicare il populo senza licenza nostra, et che nessuno confessore ardisca assolvere i casi a noj riservati senza licenza ut supra"

(Diocesan Historical Archive of Otranto, Italy: DHAO, Edict by Pietro Antonio de Capua of 26 March 1567, u.p.).

A few months later, di Capua, in the provincial council of Otranto, whilst inviting the bishops to make "intendere a' Rettori delle Chiese c'hanno cura d'anime, che spesso ricordino al popolo a temer le scommuniche del Pontefice" and to consider the serious consequences they entail, just to reduce damages and the improper use of excommunications, and to apply that spiritual penalty in the proper terms, manifested his critique in that respect, the ordinaries of the diocese: "Il Christiano non deve temer cosa alcuna piu che l'esser separato dalla communion del corpo di Christo, non essendo nella Chiesa maggior pena che la scommunica, peroche ella è il cortello e la spada di Dio. Ma perche per molte leggieri cagioni in questa nostra Provincia, si fa una scommunica, e leggiermente si revoca quella ch'è gia stata fatta, onde ne segue che la disciplina della Chiesa è dispregiata, e la scommunica è niente temuta: pero, questo Santo Provincial Concilio, appoggiandosi a' Decreti del Sacro Concilio Tridentino, prohibisce a tutti et a ciascun Giudice Ecclesiastico, che non per ogni minima cosa e leggiera, adoperino questa spada, ma l'adoperino per qualche gran causa, o civile, o criminale, o adoperin prima dove si potra, cosi nel procedere, come nel diffinire e ne l'essequire gli altri remedij della Legge, et a questa non si venga se non per gravissimi delitti, a cause di grande importanza, da esser conosciute dal Vescovo, e diligentemente essaminata, che muovin l'animo suo a gittarla, havendo prima con maturo giudicio pensato alla qualità della persona, del luogo, e della casa". Furthermore, he was greatly preoccupied to stop rectors, devotees, mastrodattis, archpriests and sextons from committing mistakes or "abuse" connected to the publication of the excommunications: "Quelli che son publicamente scommunicati nelle Chiese cathedrali, o nell'altre Chiese, sieno scritti e notati in una tavoletta, e nel tempo de' divini offici sian cacciati fuori, et i Rettori, e Parrocchiani avisino a lor Vescovi coloro che saranno stati nella scommunica un'anno o piu. Avisino ancora i publici Usurari, i Concubinari, gli Adulteri, gli Eretici, o sospetti d'Eresia, e quelli che perseverano ne' peccati notorij, altramente facendo, sien gravemente puniti. [...]. I Mastri d'atti per la scrittura dell'ammonitioni, e per la sentenza della scommunica, non piglino piu che cinque grani per la loro fatica. Gli Arcipreti, i Sagrestani, e gli altri che soglion publicare l'ammonitioni, e la sentenza della scommunica, et ancor per sonar la campana, habbino dieci grani, et per il sigillo non si paghi cosa alcuna. E dove sara consuetudine di pagar meno, o niente, osservisi la consuetudine, e chi fara il contrario, sia punito da' Vescovi". A last important invitation was for the "Giudici secolari, a quali in questa Provincia per ragion alcuna non è commesso il disporre delle cose Ecclesiastiche". In fact, in contrast with "divine law" and the holy canons, they used to give orders to the ecclesiastical authorities regarding excommunication, pretending that they revoke the penalty. For this reason, he would raise a "prayer" to the "Serenissimo et Invittissimo Re Catholico, e l'Illustrissimo et Eccellentissimo suo Vice Re, e [a]gli altri minori Magistrati, e Signori utili, che s'astenghino da queste prohibitioni e comandamenti, peroche la biada e ricolta del Signore è santa, e non deve esser tagliata dalla falce d'ogn'uno. E se (il che Dio non voglia) qualche Giudice Ecclesiastico usera male la sua autorità, e potesta, sia riferito a' suoi superiori Ecclesiastici: et ha deliberato di supplicare al nostro Santissimo Signore, che proveda a questo inconveniente con qualche oportuno rimedio" (DHAO, Decreti, 1570, pp. 42v-44r).

The matter of this civil "intrusiveness" in regard to excommunication (which would, incidentally, result in several hortatory letters sent to bishops in Otranto) would however continue to manifest, even more broadly, in the following century, as proven by the very numerous Processes of the Neapolitan archive of the Delegation of the royal jurisdiction (pivotal in order to understand the relationship between State and Church in the Kingdom of Naples) related to this thread and to the Land of Otranto. Some of the cases find the governor and the armigers of Leverano appeal against the archbishop of Brindisi for having administered an excommunication in order to return to a certain holy place a detainee guilty of homicide; the governor of Brindisi against the archbishop for having been excommunicated for the arrest of two laymen; a few citizens of Arnesano against the vicar and the bishop of Lecce for an excommunication related to a posthumous donation; the Utile Possessore of Racale against the bishop of Nardò for a few excommunications that demanded freedom for a man accused of having inflicted beatings and injuries; a judge from Gallipoli against the town bishop for having been excommunicated following a release from prison; the governor of Alessano against the town bishop for an excommunication due to a release that had taken place in the home of a priest; the chamberlain of Nardò against the Vicar of Brindisi for his excommunication caused by the arrest of a Dominican monk; the University of Mottola against the bishop who would inflict excommunications for the payment of certain taxes; the fiscal lawyer of the Regia Udienza of Lecce against the vicar of the town Curia for the excommunication inflicted after the arrest of a person guilty of homicide in the courtyard of the bishop's palace; the duchess of Nardò against the town bishop for excommunicating the captain and other protégées of her for the provisions of the Summary Chamber; the Dean of Lecce against the town bishop for having been excommunicated for having a priest arrested on a market day; the University of Specchia against the episcopal court of Ugento for an excommunication related to the confiscation of a few animals (State Archive of Naples, Italy: SAN, Delegazione della real giurisdizione, Processi, 176-215/39, 1569-1650).

Remembering now the known clarifications on the synodal documents as a faithful source of information on the religious (but not only) reality, it seems convenient to back and sustain those acts with more documents, certainly less bound by the burden of Tridentine schematisation. What allowed this research to rediscover the sense of the effectiveness of such a rigid and powerful disciplinary intervention was, in fact, the parallel discovery, at the diocesan archive of Gallipoli, of several, precious and quite rare to excommunication papers, concerning mostly the 16th and 17th centuries and stored (hence the "rarity") mainly under *Scomuniche*, but also spread amongst *Processi* and *Vescovi*. Regarding this diocese, the only synodal norms preserved, those dictated by the bishop Giovanni Montoya de Cardona in 1661, list, in the chapter *De Sacramento Poenitentiae*, the *casus reservati* with annexed excommunication *ipso facto incurrenda* (superstition, magic, violation of the vow of celibacy, false witness, usurpation or distraction of church assets, homicide, abortion, cursing) and those to which it would not be applied (sodomy, incest, bad exercise of the medical profession, concubinage, ignorance of the principles of the faith), also joining, "spiritual" crimes and purely "temporal" ones. Such orders were followed by an *Appendix* with clarifications and specific rules for confessors, almost a proof of how, in real life, the system did not work clearly enough (think of the rivalry between priests and curates and members of the religious orders, whose enormous privileges, including absolution of sins, are well known) and a *Forma absolutionis* (Diocesan Historical Archive of Gallipoli, Italy: DHAG, Constitutiones synodales, 1662, pp. 90-99).

It is a fact that "monitoria" and excommunications were extensively used, in relation to the most varied cases, in the episcopal seat of Gallipoli. In an attempt to present a diverse sample of such bizarre petitions (from both laymen and clergymen), this will be limited to the most unique and most recurrent combinations concerning the 17th century.

A request for "monitoria" was very frequent, as an extra document to ascertain the truth in the case of an inheritance or debts; in fact, there were numerous controversy to that effect, due to a missed registration of debts or the loss of its related documents, as well as the lack of an inventory of the deceased's assets, which often ended up being stolen. Therefore, the threat of excommunication was used in order to discover witnesses who knew the names of the thieves or the last destination of the assets, so that they could be recovered. It was thus that, in 1679, Andrea Reyna from Milan, done of goods and credits from the English consul Charles Bruton resident in Gallipoli (as "suo creato, et huomo di sua casa [...] affettuoso nella servitù"), resorted to "all'armi della Santa Chiesa Catholica Romana" asking the promulgation of the excommunication both "contra scientes et non revelantes", and against those who, having hidden writings and accounts, did not allow the rightful transmission of the inheritance (DHAG, Scomuniche, Monitoria, 1679, u.p.). Moreover, around the end of the 17th century, Pietro d'Acugna, heir of his two deceased sisters, both married, requested the intervention of the Church against those who had defrauded the assets that were due to him (DHAG, Scomuniche, Monitoria, 1693, u.p.). Priests were in charge of notifying and publishing the "monitoria", and it must be done clearly (usually "inter missarum sollemnia", with such bills posted "ad valvas della Chiesa catedrale di questa Città").

In any case, the other injunctions seem to be disposed mostly following petitions related to cases that had little in common with the strictly spiritual character of this censorship (quarrels, violation of the vow of celibacy from nuns, insults and beatings, frauds on oil, must or other goods, violation of the ecclesiastical jurisdiction, usurpation of property). Along these lines, other "monitoria" can certainly be added, if one considers those emanated by the archbishops of Otranto or their vicars upon request of citizens of Gallipoli who had reached the second level of judicial process: amongst those, the case of Rev. Domenico Negro e Giuseppe Pirelli, forced to resort to the archbishop tribunal against the mayor (or who, though knowing the truth, refused to make it known) for the reparation of a tort received regarding an offer related to the tax on flour (DHAO, Cause di appello, 1667, u.p.).

That is what happened with monitory letters, requested by one or more persons, but usually against persons unknown, though often only apparently so. Far more interesting the issue of the true excommunications (both laymen and clergymen) and, especially, on the types of crime, once again often of a secular nature, which caused the related censorship procedure. Of course it is impossible to carry out a detailed examination herein: they ranged from the most common sins (which were often the most serious ones, sometimes with an active involvement of the clergy), such as insults, beatings and injuries, violation of ecclesiastical immunity and jurisdiction, homicide, embezzlement and concealment of a document, non-compliance to a holiday, concubinage; to the more infrequent, such as unlawful building, gambling, usurpation of inheritance, unlawful exercise of the ecclesiastical office, theft of ecclesiastical assets, disobedience to the bishop, fraud on the delivery of wheat. Amongst the cases of excommunication for "enormous" crimes, two episodes stand out as "classics", one of violence against clergy "suadente diabulo", the other, on the contrary, of irregular behaviour of clergymen (both happened at the time of bishop Consalvo De Rueda). The former, which resulted in the death don Orazio Beta, priest of the Cathedral of Gallipoli, and the following anathematisation against "tutte quelle persone, che havessero tirata l'Archibbuggiata, et ferito lo sudetto Sacerdote" and against "tutti coloro, che l'havessero ordinato, consigliato, favorito, o aiutato", who "sian Maledetti in casa, et fora de casa, siano Maledetti nella Città, et nel Campo, siano Maledetti vigilando, et dormendo, siano Maledetti magnando, et dormendo, siano Maledetti Caminando, et sedendo [...]" (DHAG, Scomuniche, 1639, u.p.). The latter, related to the clergymen Giovanni and Marco Antonio Musurò, who had received, in 1641, a major excommunication for hitting Angelo and Francesco Candeto "con uno bastone [...] et con spade e manetto", inflicting them serious injuries. But

not only, since the law contemplated anathematisation also for "tutti coloro, che hanno conversato, conversano, et conversaranno con li medesimi Scomunicati" (DHAG, Vescovi, 1641, u.p.). Sometimes, even for serious cases (insults, injury and beating, violation of ecclesiastical immunity and jurisdiction, concubinage and gambling), the excommunicated resulted to have been absolved, either "by right", being a Jubilee, or motivated by the impossibility to assist to religious offices or, more simply, by his actual innocence.

Naturally, as previously mentioned, the State would also intervene, with the aim of discovering "i molti attentati, che si andavano commettendo di tempo in tempo dagl'Ecclesiastici in quel Regno sopra la Giurisdizione dell'Imperio de Nostri Prencipi" and to contain the "exuberance" of the Church in terms of censorship, thus limiting, in a more and more systematic way, the competence of the ecclesiastical power (***Archive of the Congregation for the Doctrine of the Faith,*** Index, Ms. XXVI, p. 11rv). The complex and rich literature of the time, of a jurisdictional nature, and the studies connected to it, certainly clarify the dynamics and peculiarity of the discourse. But, especially, some original documents from the archive of the Collateral Council show in this regard, interesting episodes related, for instance, to the confiscation of the income of the archbishop of Taranto and the bishops of Oria and Ostuni, following excommunication and censorship they had emanated against their opponents (SAN, Collaterale, Consulte originali, 1, 17-18, 1669-1670). It is a fact that the decline of the system of reserved cases and episcopal tribunals will happen in the Catholic world only from the 18th century, parallel to the integration of those territories to the state justice.

In conclusion, the current theme certainly invites to look at the present-day, and is in fact motivated by the crisis that seems to have hit the two millennia-old balance between these two "courts" (God's law and man's law), "with the assault of integralism on one side and, on the other, sacralisation of the positive norm, which tends to replace ethics in the regulation of the individual's life" (Prodi, 2000, u.p.).

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IS THE PHENOMENON POLITICAL CONSUMPTION OVERRATED? - UNCOVERING POLITICAL INTENTIONS AND VALUES OF ORGANIC FOOD CONSUMPTION

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Abstract

The aim of this paper is to create a more complex and holistic understanding of the value system of the political consumer. A case study was undertaken were the unit of analysis constituted 12 high users of organic food products. The empirical data was analysed by utilizing Reynolds and Gutman's laddering technique. The results revealed that the purposive selected informants activate different cognitive structures when buycotting organic food. In other words, the informants activate different values for similar attributes and consequences. This means that consumption of organic food is related to different value sets. That is, value sets where the political aspects are represented to different degrees. This means that some informants primarily buycott organic food for personal or family related reasons. For this group of informants, the focus is mainly on health related issues. Preservation of nature or environmental concern is important in the sense that it in the end relates to promoting personal security and health. This means that the environmental aspect cannot automatically be assumed to be a political motive when buycotting organic food, because it can be linked to personal motives. Understanding environmental issues solely as political motives thus reflects a rather mundane understanding. Further and more problematic it also leads to wrong results when trying to investigate the extent of political consumption from a positivistic paradigmatic posture.More specifically, survey studies will have a tendency to conclude that the phenomenon i.e. political consumption is much more prevalent than it actually is. The novel findings yield theoretical as well as practical implications. For practitioners a more comprehensive understanding of consumer values related to "politicized" products or services will enable companies to better understand consumers need and expectations. The latter being a necessity if confirmation of expectations, satisfaction, retention of customers and customer loyalty are goals of importance for the selling company.

Keywords: Political consumer, buycotting, organic food, case study, means-end chains, attributes, consequences, values, qualitative research

Introduction

Various research communities such as political scientists, sociologists, consumers and marketing researchers have for decades discussed the notion of political consumption / political consumerism.Political scientists have argued that political consumerism is a new participation form e.g. new kind of citizenship emerging as a consequence of the declining interest and trust in existing political institutions (Dahlgren, 2003; Stolle et al., 2005; Ward and De Wreese, 2011). It is argued that traditional forms of political participation are time consuming, do not promote individual expression and lack the sense of urgency. Consequently, people search for less bureaucratic and formal forms which are perceived as more self-relevant, and hence more urgent. Micheletti (2003) has introduced the term

individualized collective action which captures the self-assertive responsibility-taking action which combines the interest in taking care of your own as well as other's well-being.

Sociologists argue in line with political scientists that the political landscape is changing as a result of individuals implementing "life politics" or practicing "subpolitics"(Giddens, 1991, Beck & Beck-Gernsheim, 2002). Individuals are presented with new ways of dealing with and managingpolitical problems and markets and products are becoming politicized. Individuals are ascribed a greater responsibility to reflect on their decisions, thus having a significantly more active role as a political player in different non-institutionalized political settings.

Consumer and marketing researchers have also tried to characterize, understand and make sense of consumer profile labelling such as the socially conscious, green, ethical, political consumer etc. (Goul Andersen and Tobiasen 2004; Crowe and Williams, 2003; Newholm and Shaw, 2007; Shaw et al., 2006;). There are obvious conceptual similarities (Shaw et al., 2006) but in the context of this paper the definition of the political consumer is only presented. The political consumers are defined as individuals who in their boycott or buycott decisions make value-based considerations with the aim of promoting a political goal (Goul Andersen and Tobiasen, 2001). According to survey studies from Denmark results indicate that 30 to 50 % of all consumers can be classified as political consumers (Beckmann et al., 2001; Goul Andersen and Tobiasen, 2004) and international studies confirm this (Shaw et al., 2006; Neller and van Deth, 2006). Shaw et al. (2006) ague for an *empowered* consumer as a contemporary type of voting increasingly targeting responsible or irresponsible businesses.

From a business point of view, a more elaborate understanding of this type of consumers is rather interesting. The nature of running a business is evidently paying attention to consumer needs and adjusting the offering to capture interest, retain consumers and ultimately increase profitability. Furthermore, the merge of politics and consumption is an interesting boundary-crossing phenomenon from a theoretical point of view which we need to understand better in order to assess the importance of it.

It is often argued with reference to market volume that consumers are getting more and more interested in buying ethical products which then is used to confirm the increasing importance of the phenomenon. Surveys from the UK show the growth in the consumption of ethical products (Co-operative Bank, 2007). Despite these reports, ethical consumption is still a marginal field referring to the monetary values and we still know little about if the underlying motivations for boycotting are political. In other words are we witnessing a growth in the phenomenon political consumption?

In general, sales figures for organic and fair trade products are rather low and do not support that 30-50% of the consumers should engage in political consumption. More specifically, the market share for organic food in 2011 was 7,6% (Statistics Denmark, 2012) and for fair trade products, reports show that each consumer in Denmark spends approximately 10 Euros on a monthly basis on Fairtrade products (Fairtrade Denmark, 2009). This is evident despite the fact that the brand recognition of the Danish Fair Trade label was 76% (Fairtrade Denmark, 2009). Thus, the often re-occurring issue in consumer research about having a discrepancy between buying intentions and actual purchase is also found here. Questions such as; Is the political aspect in relation to buying organic overrated? Do consumers have an alternative understanding of the meaning of politics when buying organic food? Which cognitive structures can be identified pertinent to purchasing and consuming organic food, arise. This paper aims to answer these questions. Thus, the marketing perspective is emphasized in this study as opposed to a sociological or political science perspective. The rest of this this paper is structured in the following way. First, the paradigmatic position and the methodology are elaborated. Then a review of literature is

conducted. Hereafter, findings and discussions are presented which is followed by practical as well theoretical implications. Lastly, conclusion and future research avenues are proposed.

Paradigmatic position and methodology

A case study was undertaken as research strategy, i.e. a holistic, pragmatic and qualitative paradigmatic posture. This is a research strategy that is broadly applied in many fields. It is further argued that the case study is especially appropriated to apply when one is searching for an understanding and meaning in a holistic limited system (Bonoma, 1985; Stake, 1974; Yin, 1994). More specifically, the unit of analysis was investigated in numerous cases, thus a summation design 2 was applied according to Grünbaum's (2007) typology. This is a case study design that enhances the confirmability, auditability, authenticity and transferability of the truth value of the findings. More concrete, key informant (Gilchrist & Williams, 1999) was purposeful selected, that is, informant should possess a deep and rich knowledge about searching, boycotting and consuming organic food. Furthermore, they should be able to express these experiences in a complex context dependent and convincing manner.Since we aim to understand consumers' intension and values pertinent to organic food consumption a means-end technic was utilized. This is a technique that conveys insight in consumer held values when buying a product by looking into which schemes and mental scripts consumers store and activated in the buying process (Peter and Olson, 2002).

The key informant was interviewed between two and three times during a period of three months. First, an interview with the purpose of understanding the context that surrounds the informant was conducted. Second, an interview followed with the specific purpose of a. uncovering the cognitive structures when buying organic food and b. assessing the degree of political intentionality. The latter deals with whether the consumers think political when buycotting. The informants were initially posed the question: *"Why do you buy organic food instead of conventional food?"* This question was though reformulated after two interviews to: *"Which factors influence your decision to buy organic food?"*

Literature review – research trends within political consumption

Studying political consumerism as a kind of activism is not a new phenomenon. Since the beginning of the 20th century consumer boycotts have been investigated and several examples can be found in the literature (Friedman, 1999). More recent examples can also be found such as boycotting Shell due to the dumping of the oil drilling platform in the North Sea (Grolin, 1998) or the boycott of genetically modified product from GM (Gaskell, 2000) and. Boycotting is thus a well-known example of political participation that exemplifies a traditional, collectively organized way of participating politically. However, studying contemporary political consumerism seems to be more than studying collectively organized political activities, so interest has emerged around studying political consumerism as more unorganized, individualized political participation repertoires that take place in everyday, context dependent settings (Stolle*et. al*, 2005; Goul Andersen and Tobiasen, 2001). Various research communities have thus started to study the phenomenon political consumerism (Micheletti, 2001, 2002; Stolle and Hooghe, 2001) also by some termed political consumption (Halkier, 1999a, 2001c; Goul Andersen and Tobiasen, 2001; Sørensen, 2004). Political consumption research as an individualized participation form is however, still a rather under research area. Only relatively few studies mainly within the Scandinavia specifically focus on political consumption or the consumer type "the political consumer" (Svendsen, 1992; Goul and Tobiasen, 2001, Tobiasen, 2004; Sørensen, 2002, Micheletti and Stolle, 2004; Sestoft, 2002). Moreover, the focus of political consumption has not especially been concerned with understanding the individual consumer, and the individuals' motivations and intentions of buycotting. The understanding of the politics behind products or put differently how

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embedded the political intention aspect is in everyday consumption acts is still an under-researched area.

The 1970's segmentation research

Research focusing on the consumer as a socially responsible or an environmentally conscious individual can be traced back in the marketing literature to the start of the 1970's. For example, Henion, (1972) focus on the consumer as a political actor. Through experimental studies evidence showed that information concerning phosphate content in washing powder enhanced environmental conscious consumption behaviour. More specifically, consumers reacted positively to the increased environmentally relevant information. This further, had a concrete positive effect on the sale of washing powder with lower phosphate content (Henion, 1972). With point of departure in these findings marketing researchers developed a growing interest in establishing a consumer profile in order to produce more efficient and effective market segmentation and positioning strategies.

A range of other studies are published in this period, which attempt to establish the profile of, respectively, the socially conscious consumer (Anderson and Cunningham, 1972, Webster, 1975) as well as the ecologically/environmentally concerned/interested consumer (Kinnear *et.al.*, 1974). It was, however, not possible to reach consensus understanding on which variables were suited for characterizing an, "environmentally related" consumer profile. The result from various studies was, however, ambiguous and blurred.

Segmentation research for the 1980's and beyond

Following a number of years with relatively few publications within segmentation research (Antil, 1984; Balderjahn, 1988), it is attempted, in spite of the experiences of the 1970's research, to establish consumer profiles in the 1990's and onwards both internationally and nationally. Numerous studies of different consumer profiles such as the ecologically, politically, ethically and environmentally conscious consumer can be found (e.g. Lavik, 1990; Lavik and Enger, 1995; Granzin and Olsen, 1991; Grunert, 1992; Bennulf and Selin, 1993; Hackett, 1995; Crowe and Williams, 2003, Pickett *et.al.*, 1993, Goul Andersen and Tobiasen, 2001, 2004; Micheletti and Stolle, 2004; Strømnes, 2004, Harrison *et.al.*, 2005).

Lavik (1990) thus publishes in the beginning of the 1990's an investigation of Norwegian consumers' environmental consciousness, and she finds a connection between, for instance, the fact that environmental behaviour correlates with socio-economic status and political affiliation. It is thus claimed that the more well-heeled consumers, who are found on the left wing of the political ideological spectrum, are those who shop in the most environmentally friendly way. Socio-economical variables contribute, therefore, in the Norwegian research to discriminating between more or less environmentally conscious consumers, which the research from the 1970's was partly in disagreement with (Kassarjian, 1971; Kinnear *et.al.*, 1974). Comparing the results of Lavik (1990) with recent surveys on profiling the political consumer, similar variables seem to characterize the environmental and political consumer (Strømnes, 2004; Goul Andersen and Tobiasen, 2004), which indicate overlaps between different profiles and leaves the impression of less distinctiveness. Nevertheless, other studies again tend to disagree on the discriminating variables, which leave a blurred picture of what characterizes the various profiles. Bennulf and Selin (1993) find no support for connections between, for example, socio-economic status and environmentally friendly actions. Knowledge about how to preserve the environment is also not considered to give rise to more environmentally friendly behaviour, which other studies indicate as an important prerequisite for environmentally correct/conscious behavior (Grunert, 1992, Ellen, 1994; Folkes and Kamins, 1999; Carrigan and Attalla, 2001; Uusitalo and Oksanen, 2004).

Even though is seems difficult to find agreement on what characterises the different profiles, attempts are continuously made. After an era with conceptualizing the socially conscious and the environmentally conscious consumer, the characterization of the ethical and the political consumer enter more and more into the segmentation research. Especially in Scandinavia publications emerge studying such consumer profiles as the ethical, ECO-foods and the political consumer (Grunert, 1992; Grunert and Kristensen, 1995; Gallup, 1997; UgebrevetMandag Morgen, 1995; Thulstrup, 1997,1998; IFF and Elsam, 1996; Goul Andersen and Tobiasen, 2001, 2004).

The determination of, specifically, the political consumer continues in 1996, perhaps as a consequence of concrete political cases, such as the consumer boycott of the French government, where the market functions as a clarion call for political agendas. Nevertheless, instead of focusing only on defining profiles, emphasis is put on the phenomenon political consumerism/consumption where multiple disciplines discuss different aspects of this phenomenon. Surveys results published highlighting the consumer profile but further attempts are made to measure the proportion or spread of the phenomenon and also to provide a more nuanced picture of political participation as a more individualized type of participation (buycotting) versus more traditional market based forms (boycotting) (Andersen, 1993; IFF and Elsam, 1996; Thulstrup,1997). In a publication by IFF and Elsam from 1996 it is stated that 40.3% of the respondents had boycotted goods, while 52.9% had buycotted products based on their evaluation of environmental, animal welfare or human rights aspects. These numbers are supported by another publication, where the proportion of political consumers who had boycotted companies or countries due to political reasons in June 1996 was 29%, and the proportion of consumers who had buycotted organic food products during an ordinary week was app. 50-55% (Thulstrup,1997).

Based solely on the percentage of consumers that buycott organic goods, it is difficult to assess how many actually ascribe this kind of purchase to a political motive. In the literature, varying motives are defined for the buycotting of organic food products, such as personal health motives or decidedly political environmental motives (Schifferstein and Oude Ophuis, 1998; Beckmann, 2001 *et.al.*; Magnusson *et.al.*, 2001; Sørensen, 2002). There can, therefore, be a mix of motives, which makes it difficult to assess the extent to which the purchase of organic goods is politically motivated. Due to the lacking discussion of when buying behaviour can be classified as political little can in reality be said about whether the individualized, unorganized buycotting of organic food products constitutes a political act or if the buycotting is driven by other motives.

The attempt to establish consumer profiles continues, and from 2001 and forward a number of Scandinavian publications arrive that attempt to clarify the profile of the political consumer in Scandinavia, i.e. Norway, Sweden and Denmark (Strømnes, 2004; Micheletti and Stolle, 2004; Goul Andersen and Tobiasen, 2001, 2004). Strømnes (2004) for example determines that the political consumers in Norway consist of very resourceful citizens who are city residents, well educated, interested in politics and, politically, identify themselves mostly with the left wing parties and slightly more women than men can be found. At the same time, she finds that the income variable does not influence whether one is a political consumer, which is an aspect that has also previously been found.

Nevertheless, research on determining various consumer profiles leaves behind a fragmented picture of how to characterize certain profiles. The value of applying segmentation variable is therefore an issue that is discussed and questioned. (Pickett *et.al.*, 1993; Antil, 1984; Balderjahn,1988; Granzin and Olsen, 1991; Schlegelmilch*et. al*., 1994). It is thus argued that the ability to predict behaviour based on especially demographic and socio-economic segmentation variables is limited leading to inconsistent results. Schwepker and Cornwell (1991) argue that concern for the environment cannot be seen as an issue that

occupies marginal parts of the population, but that, as is highlighted, *"Environmental concern is becoming the socially accepted norm"*. This is supported by several British studies, in which it appears that 82% consider the environment as an important and pressing problem (Dembkowski and HammerLloyd, 1994), moreover, that 69% of the general population experience pollution and other environmentally related problems as issues that have a significant influence on their daily lives (Worcester, 1993). Therefore, it ought not to be expected that a high degree of green consumer behaviour reflects itself in particular socio-demographical segments within the population (Schlegelmilch*et.al*.,1996).

Summing up

A steady stream of research have been published during the 1990's, but again, as with the 1970's contribution, there seems to be a lack of consensus surrounding what characterises environmentally friendly and environmentally conscious consumers (e.g. Seippel, 1995; Strandbakken, 1995; Sparks and Shepherd, 1992; Pedersen and Broegaard, 1997). Most of the segmentation research bases itself on primarily quantitative research approaches, and the criticism from a range of research contributions with an alternative research approach emphasise that the individual's environmental behaviour is difficult to explain with the help of fixed segmentation bases (Jensen, 1997a; 1997b; Halkier, 1998a; Lindén, 1994; Eden, 1993). In the 1990's segmentation research, in contrast to the 1970's, the political consumer profile is examined with focus on the situation-determined boycott actions that occurred in this period. The way in which this consumer profile is determined is, however, still dominated by the quantitative approaches where, again, different demographical, socio-psychological, personality, as well as attitudinal and lifestyle variables are employed. The overall problems are again that they try to capture and understand the complexity of behaviour as an outcome of predetermined characteristics. Political consumption becomes, according to a segmentation study, the result of certain socio-economical factors, rather than individual, context related factors, which play a role in everyday life. In addition, the concordant between actual sales volume of environmental friendly goods and the extent of political consumers in the market place that per se would buy these types of goods, cannot be established. In other words, there exists a forecasting demand paradox in relation to sales of environmental friendly goods. Therefore, based on the segmentation research, it is difficult to establish an understanding of the importance that for example environmentally friendly goods play for the individual, and thereby make any statement concerning the motives that lie behind the buycotting and boycotting of certain goods.

Findings and discussion

The guidelines offered by Reynolds and Gutman (1988) regarding the data analysis were followed in this study. Thus, first a content analysis was performed based on summary content codes of the attributes, the consequences and the values identified in the data material. This leads to the implication matrix which conveys a map of hierarchical values. Table 1 below depicts the summary content codes.

Table 1 Summary content codes

Attributes →	Consequences →	Values
1. No pesticides 2. Taste/Quality 3. Luxury 4. Price 5. Convenience	6. Healthier for me 7. Good for the kids and the family 8. Better for the environment 9. Signal who you are 10. Prepare more tasty food 11. Influencing consistency in shopping behavior 12. Some products to expensive 13. New food experiences 14. Makes daily life easier 15. Being a better host/house wife	16. Family health and security 17. A strong health/live longer 18. Taking a responsibility/Show consideration for others 19. Inner harmony and solidarity with nature 20. Self-respect 21. Ambitious 22. Social recognition

The content codes are thus an important element in creating knowledge. Thus one might pose, how are the codes more precisely formed? An example in relation to the attribute "No pesticides" is offered below.

In the data material, a number of different statements were given concerning the problems of using pesticides and chemicals in producing conventional food and conversely the positive aspects of not using it in the production of organic food. Statements such as; *"I don't like, that they are sprayed and I just think about the picture of an airplane flying over a field and spraying a lot of chemicals out- I am not keen on eating such food"* or another statement. "The *(organic) are without artificial preservatives and other chemicals"* Such statements are to a wide extent expressing the same content, namely that organic food are buycotted because they are free of pesticides/chemicals. These statements are assigned as an attribute under the content code "no pesticides" in the summary content codes.

The implication matrix

The implication matrix represents an overview of the number of times a response causes another response. The enumeration is done by listing how often for example a response such as (1) no pesticides leads to the response (9) better for the environment and this procedure is continued for the complete data set. Finally, this results in a matrix expressing the aggregated ladders for the group of informants. The implication matrix illustrates the relations between the stated responses. The relations are composed of both direct relations and indirect relations. Characteristic for the direct relations is that there is a direct connection between the responses.
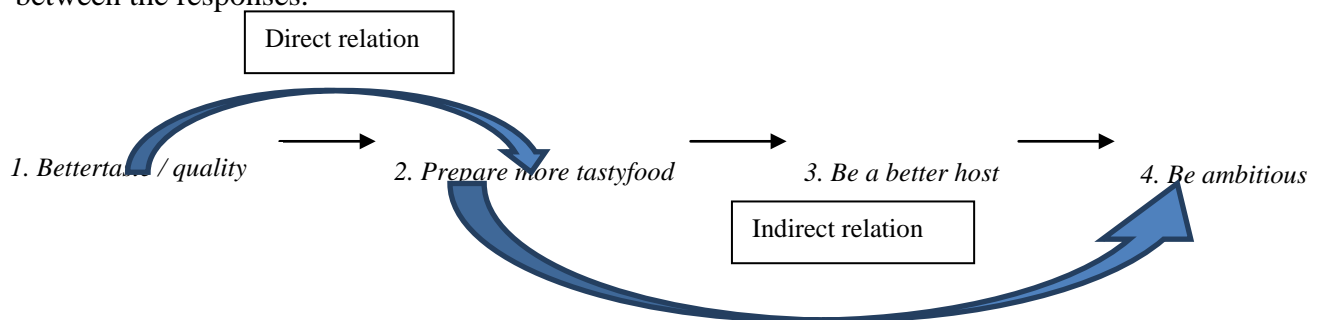
The direct element relates to the fact that there is a sequential order expressed by the numbers (1-4). That is, 1. *Better taste/quality* causes the response, 2. *Prepare more tasty food*, this is a direct relation. The same applies for the response 2. *Prepare more tasty food* which has a direct relation to the response 3. *Be a better hostess /host*. These direct relations are shown in the implication matrix as the number before the comma. However, indirect relations also exist. That is, response 2. *Prepare more tasty food* and 4. *Be ambitious*, above. Indirect relations are in nature more tactic and thus difficult to interpret without using the attribute, consequence, value typology. The direct relations between responses appear before the comma and the indirect after the comma in the implication matrix, illustrated below in table 2. Attributes, consequences and values is displayed in full length in table 1 above.

Table 2 Implication matrix

Content codes	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22
Attributes																	
1. Pesticides	11.0	8.05	8.04									0.12	0.13	0.02	0.04		
2. Taste					2.00					0.02						0.01	
3. Luxury				3.00												0.02	

4. Price						4.00	0.03							
5. Convenience							2.00	2.00		0.02				
Consequences														
6. Healthier										13.0				
7. Family									12.0		4.00	2.00		
8. Environment	5.00	4.00												
9. Signal													2.00	
10. Prepare								2.00				0.01		
11. Consistency														
12. Expensive						3.00								
13. Food experience														
14. Easier										2.00				
15. Better host												1.00		0.03
Values														
16. Family														
17. Health														
18. Responsibility														
19. Harmony														
20. Self-respect														
21. Ambitious														2.0
22. Recognition														

The implication matrix is subsequently applied to construct the hierarchical value map. The hierarchical value map is a graphical and visual representation of the relations between the informants' responses. According to Reynolds and Gutman, the hierarchical value map is the most important contribution in the analysis of the laddering data as it gives an overall visual presentation of the results without assessing the previous step of the analysis. This knowledge is especially valuable for product development or marketing tasks suchs as crafting responsive marketing strategies for organic food products. The value map for the 12 informants' pertinent to buying and consuming organic is illustrated in figure 1 below. Furthermore, the value map is constructed based on the implication matrix.

Figure 1.Value map for buycott of organic food
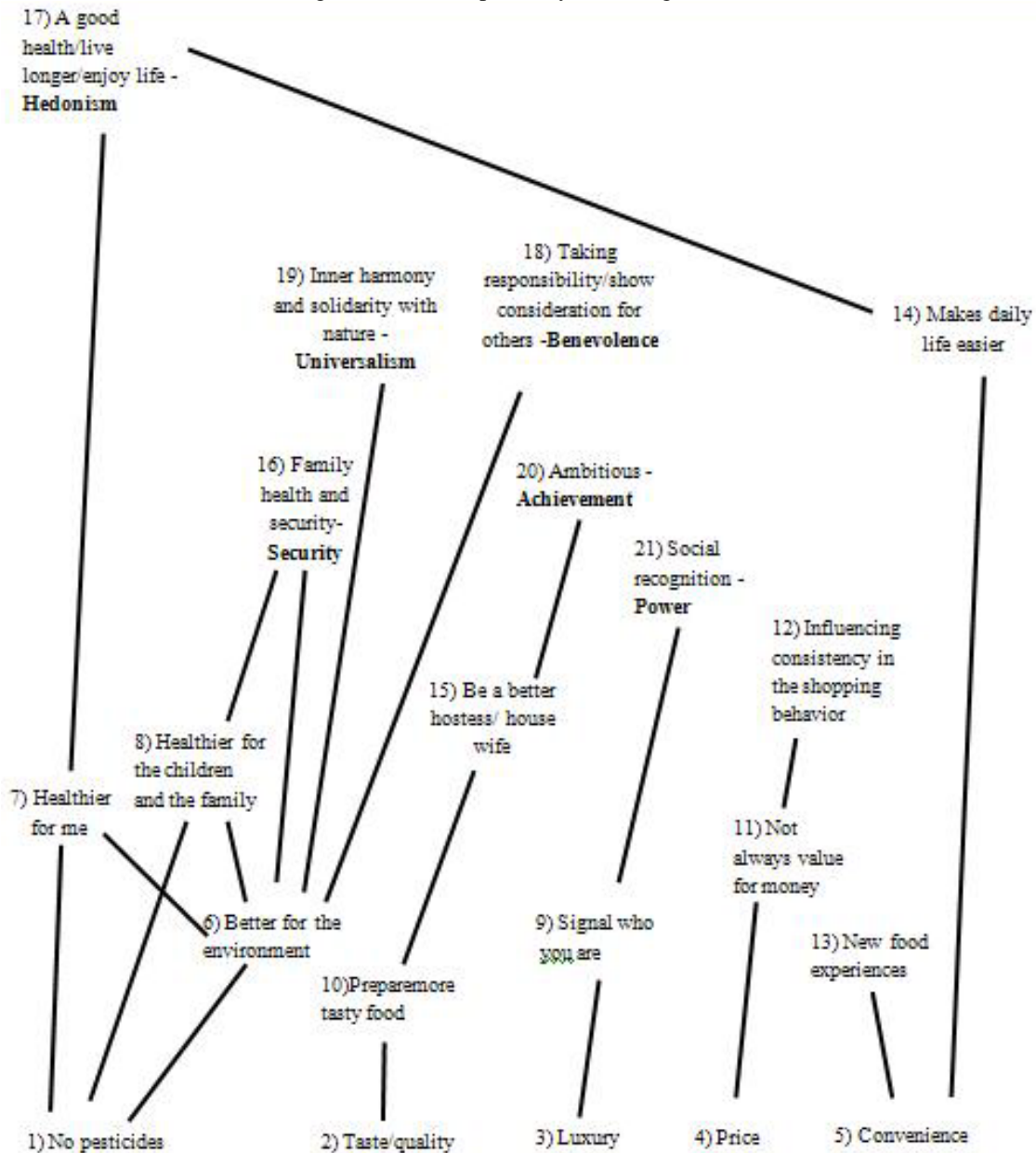
Several lessons can be conveyed based on the constructed value map displayed in figure 1. The map shows the means-end chains that were expressed via the laddering interviews.

Means-end chains for the attribute "No pesticides"

The attribute, "no pesticides" causes different means-end chains, resulting in various responses both at the consequence and value level. That organic foods are free of pesticides is by some of the informants seen as an important factor in buycotting organic products, but different ladders are constructed. For example, the attribute "no pesticides" produces at the consequence level the responses "healthier for me", "healthier for the children and the family" as well as "better for the environment", which again relates to different values among the informants. The consequence "healthier for me" relates exclusively to the informants' personal wish for a longer and healthier life, where the individual strives for a life condition dominated by harmony and enjoyment, so the value hedonismis applied in this case. The

consequence "healthier for the children and the family" also related to the value hedonism, but at the same time this response also relates to the value security. The desire for food free of pesticides contains a dual wish because it considers the health of children and family that reflect a personal interest but also the health and security of external individuals. Consuming organic food here is therefore about minimizing potential risks, where the well-being and security of family members is considered. Finally, the consequence "better for the environment" is stated by some informants, which considers the long-term positive perspectives in organic food production, and thus related to thinking about nature as a fragile resource and showing consideration for others by behaving in a way that show solidarity with nature. The value that relates to the response "better for the environment" is argued to be benevolence.

Means-end chains for the attribute"taste/quality"

The attribute taste/quality produces the consequences "prepare more tasty food" and "be a better hostess". A single informant stated that this referred to being the star in the kitchen, and the housekeeping and cooking was a territory where personal ambitions were accomplished and thus signalled to the external world. This is the reason why "being a better hostess" relates to the value achievement.

Means-end chains for the attribute "luxury"

Organic foods are by some informants perceived as premium products and more luxurious. This perception is based on for example the packaging, the image, the type of product etc. The attribute luxury produces the consequence "signal who you are" which relates to social recognition achieved by being able to exclusively buy these types of products. The most appropriate value encompassing the content of signalling who you are is Power.

Means-end chains for the attribute, "price"

An often "unreasonably" high price on some organic products was a factor that influenced the buying behaviour of some informants. Some informants stated that they did not to the extent that they wanted boycott organic products because they perceived the price-value relation for the product as to low. The attribute price thus caused responses that could be captured as the consequence "not always value for money" which further lead to the consequence "influencing consistency in the shopping behaviour". As regards the attribute "price" the responses did not reach the value level but remained responses that could be assigned to the consequence level.

Means- end chains for the attribute,"convenience"

The last attribute mentioned among the informants is labelled convenience, referring to something that is easier or more comfortable. The convenience term arose out of responses coming from informants subscribing to an online delivery service of especially organic fruit and vegetables. These informants stated that the organic dimension and the form of distribution were considered under the same umbrella and it was argued to be easier, more convenient and more exiting in daily life. The excitement of opening up the boxes or baskets with tailor-made recipes in was one aspect that was described as a value adding aspect that made this service attractive. In the case of the informants subscribing to the delivery of organic products, it can be difficult to answer clearly, what is more important, convenience or the fact that the products are organic or maybe more likely that it is a mixture of several value adding aspects. Nevertheless, the informants said, that they would not subscribe to a delivery service offering conventional baskets or boxes. This could indicate that organic food and the

distribution to the front door are two important parameters supplementing each other well, and the convenience issue is a value-creating element that goes well in hand with buycotting organic foods. The attribute convenience produced the consequence "makes daily life easier", which ultimately meant that the informants had more time for things that were perceived as self-relevant, increasing their personal welfare, referring to the value hedonism.

Conclusion, implications and future research avenues

The results of the laddering procedure show that the informants activate different cognitive structures e.g. different values are activated for similar attributes and consequences. This means that consumption of organic food is related to different value sets. That is, value sets where the political aspects are represented to different degrees, thus, some informants primarily buycott organic food for personal or family related reasons. For this group of informants, the focus is mainly on health related issues. Preservation of nature or environmental concern is important in the sense that it in the end relates to promoting personal security and health. This means that the environmental aspect cannot automatically be assumed to be a political motive if you buy organic food but is an aspect that is closely linked to personal motives. Understanding environmental issues solely as political motives thus reflects a rather mundane understanding. Moreover and more problematic it also leads to ambiguous results when trying to investigate the extent of political consumption from a positivistic paradigmatic posture.   More specifically, survey studies will have a tendency to conclude that the phenomenon i.e. political consumption is much more prevalent than it actually is. The means end chains, however, did also reveal the existence of a more pure political consumer where the external, societal focus was dominant when buying decisions was performed. We need, albeit, to understand more about this type from a qualitative research perspective.

Even though little still is known about the extent to which consumers consciously try to influence society through their consumption acts, studies show that consumers have begun at least valuing social and ethical goals in their decision making process. Even if consumers do not actually link every day purchases with the possibility to use their buying power politically, consumers are still evaluating and looking for responsible companies (Dawkins and Lewis, 2003). Thus, assessing value orientations to estimate market potential and to create responsive marketing strategies are interesting aspects for researchers as well as practitioners. More specifically, the results indicate that consumers activate a more complex value orientation constituting of both traditional and political motivational goals when buying products.

For practitioners a more comprehensive study of consumer values related to "politicized" products or services would provide knowledge about the important value set and thus make it easier for companies to meet consumer or stakeholder expectations.

Characterizing consumers as being either ethical, political or socially responsible and then directing their marketing messages based on this perception could give a to simplified picture of what is valued by the consumer. A further investigation of the complex network of motives connected to certain consumption acts could provide a better basis for developing marketing strategies. Future investigations of consumer motivations and values could emphasize more specific analysis within different empirical areas such as food, energy, transportation etc.

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SOME PHENOMENOLOGICAL CHARACTERISTICS OF THE HUMAN TRAFFICKING IN ALBANIA DURING THE PERIOD FROM 2003 TO 2014

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Abstract

The criminal phenomenology is part of a particular branch of Criminology, which studies the forms of criminality, its structure, the criminality's change structure, and criminality's dynamics. It studies the way the criminal acts are presented and also the social and individual characteristics of their authors. Along with this definition, this branch of criminology consists in studying the form of criminal acts presentation; it describes the outward forms of certain criminal acts and their extent, their time distribution as well as their tendencies, size and volume. Some juridical and criminological systems separate the authors according to this criterion in even more categories, as for example: minors, major minors, young adults and mature adults. However, several criminological researches complete the criminology classification according to age groups. Thus, there can be often found some classifications, according to which the 20-25 years of age category is the most represented, then there come the 25-30 and 30-35 years of age groups, where a gradual decrease in criminality can be detected. By the end of this classification there is the over-35-years-of-age group, whose characteristic is a progressive decrease in criminality, there are also the over 50 and over 60 groups of age, which are characterized by a significant decrease in criminality. Related to criminality's division according to the author's gender, criminality is a typical masculine reaction.

In this paper, considering the human being trafficking phenomenology dimension, the contents from the area of criminal phenomenology, of the volume, dynamics and statistics of criminality and the most important data related to criminality will be included with the proper elaboration.

Keywords: Volume, dynamics, criminality, trafficking, prostitution

Introduction

The target of this paper is the trafficking in human beings seen on statistical and victimological viewpoints. Human trafficking is influenced by the socio-economic conditions of a country. The aim of this paper is to present the situation by focusing on some key moments like the volume and stages of human trafficking, the main types of exploitation as well as the basic characteristics that make up the profile of a victim of trafficking in Albania for the period of time from 2003 to 2014. The used methods, on which the conclusions of the paper are based, are mainly with statistical nature and comparative study of individual cases based on final court decisions.

The volume and dynamics of human trafficking

It turns out that human trafficking is not included in the group of the criminal offenses continuously increasing and most proceed judicially by the courts of Albania. According to the Statistical Yearbook of the Ministry of Justice in 2005, in Albania there are proceed judicially 35 crimes of human trafficking (referring to articles 110/a, 114/b, 128/b of the Criminal Code) and this is the largest number of cases proceed by a final court decision. In the table below, we have the appearance of criminal offenses for this offenses group:

Year	2004	2005	2006	2007	2008	2009	2010	2011	2012	2013
No. of criminal cases proceed	35	15	21	10	17	7	5	13	2	2

Table No. 1

When compared the total volume of cases processed by the courts for serious crimes over the years, there can be noticed that the crimes of trafficking in human beings are reduced substantially, and furthermore, they represent the only group of crimes which has decreased. In addition, there is shown that the offense with the highest frequency among the group of trafficking offenses is the trafficking of women for prostitution, provided by Article 114/b of the Criminal Code (from 121 crimes of human trafficking proceed, 84 of them are crimes of trafficking of women). While fewer crimes in number, for the period of the survey, are those of trafficking of persons, as provided by Article 110/a of the Criminal Code, with respectively 11criminal cases proceed judicially.

Regarding the trafficking of women, it appears that trafficking of women is performed in aggravating circumstances, with large numbers of victims and severe forms of cooperation. Such cases proceed judicially are numerously. The Court of Serious Crimes in a criminal decision argues: *"...From all the evidence, it is clear that the defendant R.E. cooperated …with the defendant F.S. Their actions are fully consistent and compatible with each other…. Under these conditions….this defendant has committed the offense of' trafficking in women' in collaboration."*

In another decision, the Court of Serious Crimes highlights: *"...The defendant has benefited from the familiar relationship with the victim S.K. to realize her "recruitment" with the purpose of trafficking for prostitution. The victim S.K. has abandoned the family and her minor child after the defendant has promised to marry her."*

Below, there are presented analytically, the cases sent for trial to the Court of Serious Crimes for several years, based on statistical data issued by the court itself.

For the offenses provided by Articles 110/a, 114/b, 128/b of the Criminal Code, in 2008 - 14 cases with 25 defendants were sent for trial, while in 2009 these numbers have decreased. Thus 7 cases with 10 defendants were sent for trial.

Statistics for 2010 stated that for offenses of trafficking in women for prostitution - 10 criminal cases were registered, while 31criminal cases of trafficking in narcotic drugs were registered.

Also, in 2011 the largest number of cases comprised those of narcotics trafficking by 47%, while the trafficking of human beings was 12.4%.

For the year 2012 the largest number of cases comprised those of narcotics trafficking, was registered with 61.5% of the total number of cases, while human trafficking descends sharply to 3% of the total number of cases. Based on the above indicators for this year, it appears that the crime of trafficking occupies small percentage compared to the group of offenses under the subject matter jurisdiction of the Court for Serious Crimes.

In 2013 the offense of trafficking in human beings occupies negligible percentage, while the largest number of cases, which has been growing are constituted by drug trafficking with 69% of the total number of cases.

In 2014 these figures tend to further decrease.

Below, there are presented in tabular form the total number of cases sent for trial to the Court of Serious Crimes, and in particular the number of cases and authors of these offenses.

Year	2004	2005	2006	2007	2008	2009	2010	2011	2012	2013
Judicial cases	140	141	123	124	145	136	111	118	130	171

Table No. 2

The criminal offense	Traffickers	Cases
Article 110/a. Trafficking of persons	11	11
Article 114/b. Trafficking of women	84	149
Article 128/b. Trafficking of minors	26	38
Total	121	198

Table no. 3

Criminal characteristics of human trafficking
Stages of trafficking.

Human trafficking is a process which undergoes three cumulated moments or phases:

1. The first element is the **recruitment**, which consists in finding people available to be used for providing great benefits from them. This availability can be achieved by taking violently or through a complete or partial fraud of victims.

2. The second element is the **transportation** that follows recruiting, which represents the movement of the victim to the lucrative market. This movement is not based on the will of the victim. Relocation of a person can be within or through the border crossing. Relocation means the movement from one market to another, or to switch from one user to another through the exercise of the powers of ownership.

3. The third element is the **displacement** at the destination and **use** of the victim. This element is fulfilled through a variety of binding mechanisms, from using or threatening, to the exploitation of the economically weak position of the victim and its isolation.

Sexual exploitation

Trafficking for sexual exploitation is the most common form of human trafficking. This includes mostly women, but also the minor children. Active rotation of women forced to prostitution, aims not only to maximize the revenue but also to avoid the possibility of being punished. The use of private areas for paid sex activities is a new trend which makes the detection difficult.

Exploitation of labor

Exploitation of labor at national level and EU countries is not a new phenomenon. However, because it is a hidden crime and it has never been considered a priority for law enforcement authorities, in general it has remained undiscovered. Exploitation of labor is associated with black market labor that exists in some EU countries. Illegal migrants are particularly vulnerable to exploitation because of their illegal status.

Typical examples of industries and areas where victims of exploitation of labor trafficking can be found are:
- The agricultural sector;
- The construction industry;
- Hotel services, restaurant and cafeteria;
- Production Sector;
- Household Services.

Cases of trafficking for labor exploitation are difficult to identify, even exploited workers themselves have difficulties to identify themselves as victims. They prefer to work in difficult conditions just to avoid to be returned to their countries.

Exploitation of children

Minors' trafficking is the group's second most prevalent of offenses after trafficking of women. These activities generate colossal revenues and very often the victims' parents or other family members cooperate in child trafficking, dictated by their economic situation.

For the groups of organized crime, the transportation of children across controlled borders is achieved without any problem. In many cases, victims travel freely with passports and not associated by adults. Many children cannot be identified due to similarities in their passports, and furthermore within the Schengen borders, it is even more impossible to identify these children. Despite the small number of trials for children trafficking, its characteristic is that the majority of the victims trafficked for begging and forced labor belong to minority groups "Gypsy" and "Roma". 90% of the children (gypsies) are trafficked to Greece, while 10% of them are Roma or white Albanians. Most of them come from cities like Elbasan, Korca, Berat and Tirana where there is a large number of gypsies and Roma. "Help for Children" estimates that 80% of children are recruited by traffickers, while 20% of them are sent by their own families.

Some characteristics of traffickers and victims of trafficking
Traffickers

Some of these characteristics are sex, age, country of origin, education and relationship with the victim. The number of defendants trialed by the Court of Serious Crimes of Albania for the period from 2003 to 2014 is about 3200 individuals and their age turns out to be 25 to 30 years old. Another characteristic is the involvement of a small number of women in committing this type of crime, and the increased educational level of the traffickers.

In the book "*Trafficking. The case of Albania*", the authors I.Gedeshi and L.Sokoli have expressed that: "*It turns out that trafficking of women and children is an international issue. But in Albania, it is perceived as more troublesome concerning in the prefectures of Elbasan, Vlora and Shkodra. While fewer trafficking issues seem to have cities of Kukes and especially   Gjirokastra.*"

The analysis of courts' decision shows that in very few cases, the traffickers used to have family relations with the victim. There have been some cases when even relatives have supported the trafficking for economic necessity. Also referred to the educational level, the observation of court decisions shows that the majority of traffickers are with an elementary or secondary education. The violence constitutes another characteristic in committing this type of crime. (Vendimi nr. 588, Tiranë, Qershor 2003)

Victims of trafficking
Age

The data files for the victims of trafficking shows that their age is 15-35 years old. The largest number (41%) belong to the ages from 20 to 25 years old, about 19% of them belong to the ages from 15 to 20 years old and the same percentage belong to the age interval from 30 to 35 years old. The biggest number of trafficked victims consists in women and girls, with an average age about 21 years old. But, despite these data, studies and interviews obtained indicate that in Albanian "prostitution sector" are involved mainly minor girls aged 13-14 years old.

Another specific data, which has been delivered from the court decisions, referring to the victims of trafficking for prostitution, is that nearly 30% of them practice this "job" by their free will, while the overwhelming majority of 70% are victims of illegal trafficking for prostitution.

A study of CAAHT of 2008, where are included " The Four Shelters of Coalition", shows that 17 % of the victims are under 18 and most of them (68 %), belongs to the age group of 18-30 years old. Another similar finding results from the shelters' data "The Shelter" and "Different & Equal". 18% of victims involved in the study are under 18 years old (The Shelter, 2006) and also according to the data from "Different & Equal" (2006) about 20% of the victims in the study are under this age.

Education level

The average education level of victims turns out to be eight to nine years of school. Meanwhile, 11% of the victims have not completed college. A small number of victims (7.4 %) stated that that they have completed the primary school. According to CAAHT, 51% of all victims have completed primary education and they left school at age of 14.

Conclusion

After observing at various statistics related to human trafficking, this study has reached to these conclusions:

1. As for the volume and dynamics, human trafficking (Articles110/a, 114/b, 128/b of the Criminal Code of Albania) is actually among those offenses which have not recognized increase, instead, referred to the statistics used in this paper, human trafficking has been significantly reduced to negligible numbers.
2. Compared with criminal offenses in the area of trafficking, human trafficking is second only to drug trafficking.
3. Among the group of offenses of trafficking in human beings, trafficking in women for prostitution is the most widespread, followed by trafficking of minors and trafficking in persons.
4. The most common forms of trafficking are trafficking for sexual exploitation as the most widespread and profitable "business", exploitation of labor and the exploitation of children for begging or other services.
5. As for the characteristics of traffickers, they are 25-35 years old, males, and with low education level.
6. Referring to the characteristics of the victims, they are 13-35 years old, mostly females, with low education level and vulnerable to be trafficked due to economic, social and family factors.

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ELECTIONS TO THE EUROPEAN PARLIAMENT IN LITHUANIA: „NATIONAL" AND „EUROPEAN" CAMPAIGNING TOPICS

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Abstract

Elections to the EP held in Lithuania 2004, 2009, 2014 are analysed with special attention to the latter ones. Content analysis of party programs and of news media portal texts was carried out combining with individual level data. Positions of interest groups were taken into account as well. Meeting criteria of „second order" elections are discussed.

Keywords: European Parliament, elections, campaigns, Lithuania

Introduction

The aim of this research is to assess the "national" or " European" features of the programs of Lithuanian political parties taking into account programmatic statements, reflections of the campaigns of the elections to the European Parliament held in 2004, 2009, and 2014in the online news portals, using statistical data of the individual level of analysis. Involvement of the interest groups, directly and indirectly, as well as ties with ideological provisions of transnational party unions are to be taken into account. Agricultural, business and environmental groups served as an object of the analysis concerning them as „mainstream" interest groups especially because all three have their supranational representation.

Main research question is to be answered: are national campaigns topic dominating rather than European ones?

Additionally, there is to be answered:

Is EP campaign influenced by a presidential election campaign, what particular variables and to what extent;

Are interest groups involved directly, or indirectly, into the EP election campaign;

This raises a number of questions to answer, a number of methodological problems including:

How to determine whether voters' choice is connected with European programs of political parties? Are the campaign discourses shaped basing them on national problems by just "adding" European issues?

The following research instruments are selected: party program analysis, allowing evaluation of the main programmatic statements of mainstream and marginal parties to address their compliance with national and European issues;

Analysis of the major media portals, allowing assessment of how party positions are reflected passing through the lens of the media;

Reflections of the interest group statements in the media, enabling to position them within context of European Parliament election campaign.

The answers to these questions may allow searching for the compliance with the second order elections model.

Basic statistical data such as turnout, support for political parties, are also used in order to take into account individual level voting preferences.

I.

The European Parliament elections represent a rather interesting case for election analysis. As Stroembaeck J., Maier M., and Kaid L.L. (2011) pointed, they are both national and European at the same time. However, despite the massive changes from the first direct EP elections in 1979, there remains one constant: the relative unimportance of the European elections (average turnout of voters is decreasing). The EP elections research data shows that parties and candidates as well as the media and voters tend to treat EP elections as *second ordernational* elections. The second-order nature and lack of European content in EP elections is related to the failure of political parties to campaign on European issues (Norris, 1997). By campaigning weakly, parties contribute to second-order patterns such as the decreasing turnout in EP elections. By focusing their campaigns on domestic rather than European issues, parties turn these elections into national (Jalali and Silva, 2011).

According to Europe-wide opinion polls, Lithuania is attributable to countries where support for the European integration project is high. On the other hand, this statement is derived from the consent of the opinion polls. During election campaign additional factors may work such as party discipline, additional mobilization or demobilization. Additional insights may be provided here by interpretative approach. Problem of discourse construction (media, political, and academic discourses) are inter-related with the content of the campaign: is the content of a European campaign to be considered as "existing" or "constructed", „interpreted"?

Some scholars tried to explain elections to the European Parliament through the second-order national model (Reif, Schmitt, 1980) already in the first elections after Lithuania 's accession to the EU (Mazylis L.,Unikaite I., 2004; 2005).

Since 2004, elections to the European Parliament coincide with elections of the President of the Republic of Lithuania thus creating possibilities of looking for mutual influence of two different types of elections at the same time and of parallel campaigns with slightly different actors, and programs, and slogans but lagging at the same point of political developments. Not the least, turnout above 50 per cent might be explained by parallel Presidential elections in 2014 as well as in 2004. Besides, question arises on advertising and visibility. Some parties have double visibility if they have presidential candidate, but some parties have just one campaign. Taking all the aspects analyzed, all three elections, that of 2004, 2009, and of 2014, can be categorized as corresponding model of second order elections.

As pointed out in the introduction, we focus on three aspects of elections to the EP - programs, media reflections, and individuallevel statistics.

Program analysis

Analysis of the programs of political parties is based on the official programs published by Electoral Commission."General", "national", and "European" programmatic statements were distinguished.

Among the possible discursive devices such as narratives, myths, scripts, and more (Schmidt) - special attention was paid to the "slogans " (Carvalho, 2000).

Programs of 10 political organizations – campaign participants – were analyzed (4 more were registered but they were unsuccessful in collecting the required number of signatures of voters).

Liberal Movement (LRLS): 5 conceptualized issues (idea of freedom; better conditions for business - new jobs and dignified salaries; respect for human rights; the euro and the EU's global competitiveness; EU common security and defence policy).

Homeland Union - Lithuanian Christian Democrats (TS – LKD): 3 conceptualized issues (European welfare for all; infrastructural Lithuania's integration into Europe; decisive change in Lithuania's and the Eastern Neighbourhood).

Coalition of Polish Electoral Action and Russian Alliance (LLRA): equality of all people before the law; Christian values; respect for the tradition, sovereignty, democracy and the identity of the nations; family as a union of a man and a woman; postponement of the introduction of the euro would be the best solution; it is necessary to smooth out direct payments to farmers in all Member States immediately; standing for Lithuania without GMOs; EU need to develop a common social policy.

Labor Party (DP): solving the basic problems of our people such as poverty, unemployment, social exclusion; active creation of new jobs; transparent and objective distribution of EU funds for business; strengthening of the regions and districts; for strengthening of Lithuania's energetic security; against GMO, common social policy, the free movement of labour; give compensation for the state where a person acquired the training and competence if the person goes to live and work in another country; traditional family values; for democratic rights and freedoms; gender equality in all spheres of life; reasonable operative, professional and appropriate medical protection and assistance for everyone; traditional values of our country: culture, language, land integrity, preservation and promotion of Lithuanian traditions and identity.

Order and Justice (TT): guarantee of Lithuanian statehood development and its geopolitical security - a strong, independent, sovereign states Commonwealth - the European Union; Christianity is fundamentally important for European democracy; in the European legal documents we will write: family is one man and one woman union; striving to achieve that by the year 2019 throughout the European Union to establish a uniform minimum income per capita criteria; Common Agricultural Policy, as one of the EU's economic and political instruments; Lithuanian Energy Strategy shall be integrated into a common EU energy policy; European Union Member States are committed to the European Union's common foreign and security policy; long-term strategic direction of East Policy Centre should be set up in Vilnius.

Lithuanian Green Party (LŽP): welfare economics; European and Lithuania's energetic security in the use of green energy; against GMO and for organic food; protecting the privacy rights and say against unauthorized interception; we will seek to ensure that more citizens and communities will be involved in the policy-making process.

Nationalists Union (TS): to restructure EU institutions so that they represent the Member States; co-existing decisions are made only by mutual agreement; the legislation fostering sexual perversions must be removed; opposing laws that attempt to legitimize kidnapping of kids from a family and trafficking; seeking to prohibit homosexuals to adopt children; seeking the agreement of the Member States to reduce emissions by switching to organic sources; mass emigration and brain drain management – the issue for the entire EU.International policy coordination is necessary to provide for the countries of the Presidency; for Ukrainian integration if their nation will declare a wish in referendum.

*Liberal and Center Union (LiCS):*we will represent Lithuania's national interests by seeking eliminate discriminatory subsidies for farmers; achieving that Europe would negotiate a uniform gas and other energy sources prices with *Gazprom* and other suppliers of raw materials; reaching out that the European Parliament would support the countries, of which there are many economic migrants, by reimbursing a part of the social costs;

strengthening the overall security of the people of Europe and supporting the European Union in its integration of the close Lithuanian Eastern neighbours.

Lithuanian Farmers and Greens Union (LVZS): Lithuania should remain the healthiest and greenest European country; it has to become the cultural and tourism attraction center; Lithuania shall seek the review of the EU policy in the land market - free movement of capital cannot be fully applied to agricultural land. Lithuania shall be without GMO; actively defending the interests of Lithuania and the EU in the negotiations on a free trade agreement with the United States of America; adjusting EU subsidies, government procurement, import competition policy to the local markets in order to have more local products; seeking that the European Parliament and the European Council would adopt a position on climate and energy policy after 2020; withdrawal of any support for nuclear projects in Europe, with the exception of the old nuclear power stations; the EU should aim to support the business and create jobs, where people live, and the earning of people having minimum income shall be at least 60 percent of the national average wage; achieving a common EU standard that at least 10 percent; health budget should be allocated for the prophylaxis and prevention.

Lithuanian Social Democrats (LSDP): new economy based on democratic governance; undertaking constant focus on the requirement that decisions have to be taken at the level at which they are closest to the ordinary citizen of the Union, providing jobs and better lives; time to complete the right wing-imposed social fragmentation, increasing inequality policy in the European Union practice; new social justice for all people strategy; new advanced model of the European Union; the Social Democrats seek to reform the European Union that it would become Solidarity Union.

Main campaign items are further conceptualized as slogans.

Table 1. Campaign slogans of Lithuanian political parties in the elections to the European Parliament, 2014

Party	Election slogan
Liberal Movement (LRLS)	Functioning Europe, winning Lithuania
Lithuanian Conservatives (TS – LKD)	Secure Lithuania in a strong Europe
Coalition of Polish election action and Russian Alliance (LLRA)	Equal rights for all, and Europe based on Christian values
Labor Party (DP)	For Europe, where it is good to live for everyone
Order and Justice (TT)	Lithuania get up!
Lithuanian green party (LŽP)	For a clean environment and a clean policy
Nationalists Union (TS)	Lithuania for Lithuanians, Europe – for the European Nations
Liberal and Center union (LiCS)	The European money in every home
Lithuanian farmers and greens union (LVZS)	For Earth, humans, Lithuania!
Lithuanian Social democrats (LSDP)	Most importantly - the man (human being)!

Source: The website of Republic of Lithuania Central Electoral Committee. (Election programs of the parties): http://www.vrk.lt/rinkimu-programos-2014-ep, accessed on 10 Septembe , 2014.

News media portal analysis

The media is one of the most important sources of information and channels of communication in all kinds of elections, including European ones. The media, however, does not only reflect the agendas and priorities of political parties and candidates. Increasingly, the media themselves help in shaping the election campaigns, thus influencing both political parties and candidates, and the voters (Cook, 2006; Mazylis, Unikaite, Povilaitis, 2006).

Our analysis is based on news portals lrytas.t and delfi.lt as the biggest and most popular ones.

lrytas.lt

Obviously, this news portal gives priority to personalized information illustrating it by the pictures with recognizable faces rather than programmatic statements.

Search system of lrytas provides 754 publications since 2006 to now by the combination of elections + to + European Parliament. Without going deeply into full texts, however, it is clear that some publications are only indirectly related to „Europe" where these words are not necessarily linked (for example, „elections to" the Ukrainian parliament, which is mentioned in the context of „Europe").

Thus, by this combination were found:

In 2009: from January to June published 120 publications (in July - August, another 12 publications).

In 2014: from January to September inclusive, 158 publications (up to 144 in June)

From among publications these directly related to the European Parliament were selected, and the content analysis was carried out.

The well-known personalities (such as Tomasevskis , Blinkeviciute, Donskis, Zilinskas, Zuokas, OnaJukneviciene, Bielinis, Maldeikis) as candidates to the European Parliament are presented in more than 10 publications speculating who will become Members of the Lithuanian Parliament instead whether aforementioned politicians will be elected European Parliament.

The dominating amount of publications could be called purely informative. Here, readers are informed that 12 members of European Parliament will be elected (not 13 MEPs as it was in 2004). Data of the survey on voters' intentions to participate in the elections to the EP are published (16 per cent in February; by the way, in an event the turnout was 21 percent). About what particular political parties submitted their documents, there were at least 6 publications in 2009, and that finally 15 of them were registered (3 publications about it). On the campaigning rules and other legal aspects of the campaign there were 4 publications, and about violating voting procedures 7 publications were published. Six publications can be attributed to those dealing with the international dimension of trans-national parties, but it is again rather general information (2009-05-31 15:07 / AFP and lrytas.lt info). Finally, in terms of overall results, it was stated that "Europe leans to the right". Meanwhile, the assessment of the results of Lithuania provides 8 publications stating what particular personality won the seats, but not in the context of party programs.

Another array of publications –private opinions and positions of journalists such as about „: the alleged lack of competent politicians of Lithuania", and „non-talented actors' elections" (lrytas, News / 2009-06-01 05:03), „after all, they promise to represent the nation's non-existent - the interests of the European Union", „ the upcoming elections are a farce reminds democracy", „from the Lithuanian cold to the warm seats in Brussels" (News / 2009-02-23 05:01 / AldonaJankauskiene).

Thus information presented in lrytas version of the analysis shows that it is difficult to expect that the reader will have some important insights into the programmatic provisions of the parties, or be able to evaluate and compare the dimension of the left versus right, European Left versus European Right, Lithuanian issues versus European ones. Directly linking the information with any person, obviously appeals to a consumer version of the politics that has already been formed by images of actors, or just incrementally changing.

As it was quite rightly pointed out by one of the candidates, L.Donskis: „Election is coming, so a few days ago I started to take an interest in all present and, as always, decide what you would like for your vote was extremely difficult".

It can be argued that the pattern of providing information established in 2009 was followed in 2014. It started from presenting „faces" rather than programs. All the publications started in January 2014. It begins with the „news" that the candidate Gabrielius Landsbergis

is indeed the grandson of famous Lithuanian politician Vytautas Landsbergis,and may replace his grandfather in the European Parliament (3 publications on it –by the way, it happened in an event). Problems of Social Democrats with their representative Z.Balcytis who became the Presidential candidate simultaneously were analyzed in 2 publications. (By the way,it was predicted correctly: after the elections, electorate of the Social Democrats felt the confusion of this person seeking two posts at the same time, that of the President of the republic of Lithuania, and the MEP post). Representatives of totally 13 political parties, such as Zuokas, Sedzius, Tomasevskis, Uspaskikh, Guoga, were presented in a more detailed manner. There have been several publications on the so-called "Land" referendum, and personal ratings of the politicians. „Poor campaigning“ and „crisis of ideas“was stated (Comments / 2014-04-18 07:33 / Signs of Time). The fact that the representatives of the Lithuanian Parliament 2009-2014 was one of the most passive and was discussed in the 2 publications, little public interest in European Parliament affairs in 1 publication; campaigns in other EU countries overviewed in 6 issues. They came again to the idea of the very high MEPs income (2 publications). Organizational / procedural election issues and how the weather factor will influence turnout were reflected in 4 publications. The final accord was the publication about the ruling Social Democrat party (which was expected to win the election but failed) blaming the sociologists who have forecasted their results incorrectly. (After the defeat the Social Democrats require sociologists' heads. News / 2014-05-26 18:58 / ELTA and lrytas.lt info).

Delfi.lt

Delfi.lt created the special rubric "Balsuok 2014" ("Vote 2014") where they posted information and articles on the two elections, EP and Presidential ones. The analysis below is limited to 100 publications published mainly in the end of 2013 and in 2014.
All the publications were grouped according to their content (although a significant part of the publications can not be accurately assigned to any of the groups, because they reflected more than one topic. In this case, we were grouping them, according to the dominant theme).

1.Official information on the elections. These publications consisted of only 4-5 percent.

2. Attempts to analyze the elections as the political phenomenon, and striving to enhance turnout by this type of publications: passive stance is dangerous to Europe because it creates „radical“ political forces. However, in general, the number of this kind of publications was rather small (about 4-5 per cent).

3. Electoral organization of the politicians and party activities before the election. These publications make a group up to 30 per cent of total. Low turnout among young voters is mentioned as dangerous tendency. (MartynasBlazaitis, Regina Barbsyte. How to bring young people to the polls? 2014-04-28). Analyzing the vote of Lithuanians living abroad, preferences of them were analyzed. However, these publications usually provide superficial information, more deep analysis is lacking.

4.Electoral perspective of the parties and their leadership (about 15 per cent of all publications). But here only most scandalous and most influential parties were analyzed basing on population survey. It is discussed why so many MPs, ministers and party activists seek MEP's mandate; the factor of big salary (EgleSamaskaite. Competition on 21 thousand litas salary: who will succeed. 2014-04-25) or just a possibility to advertise themselveswas suspected. It discredits the elections and reduces the population of interest in them as well as EU policies.

5.Electoral results are analyzed in a comparatively big number of publications (more than 15 percent). This analysis, however, is limited to the presentation of statistics and superficial comments, although it is made by famous political scientists, analysts, and editors of newspapers and portals.The major attention was paid to the unpredicted (relative) defeat of

ruling party, Social Democrats, and the relative success of oppositional Homeland Union. How the results of elections to the European Parliament will be reflected upon domestic politics was speculated, too. (EgleSamaskaite; BNS; ELTA; SarunasČerniauskas. Results of the elections to the EP: Social Democrats crushed, sensations sprinkled. 2014-05-25).

6.Some (though not numeral) publications contain deeper and more professional analysis. The EP election results are discussed in in the context of Lithuania's presidency in the Council of Ministers of the European Union. The electoral campaign was assessed critically. It was stated that the importance of the elections to the EP is far behind the elections to the domestic parliament and even behind local ones. Politicians do not seek real representation of their ideas in the European Parliament. The voters are feeling confused by that. There is a lack of incentive to deal with the European political issues; politicians only seek to mobilize voters for domestic affairs (discussing problems such as saleof land to foreigners,introduction of the euro, etc.). (Rasa Cergelienė. Double games of election agents.2014-04-17).

About 8 per centof all the publications do not fall into any of 6 aforementioned groups.

Several of them are trying to informe about elections in other EU countries (Hungary, Slovakia, and others).(In EP elections: how did our neighbors. 2014-05-26), discussing and evaluating radical forces as dangerous. The activities during their terms of office of Members of the European Parliament elected in different EU countries are analysed by the " Vote Watch Europe"leading to the conclusion that MEP's elected in Lithuania are among most passive ones.

Interest group stance

Following trends of the interest group positions can be seen.
Main agricultural union, *Zemesukiorumai*, informs that current representative in ECOSOC, MindaugasMaciulevicius, is a candidate to the European Parliament on the list of Farmers and Green Union (www.zur.lt, 2014-05-20).

A detailed analysis of the environmental provisions - namely, climate change – is carried out by Inga Ringailaite and GintareJonusauskaite published on 2014 05 21 on the website of the *Environmental NGO Coalition*, *http://aplinkosauga.lt/ka-apie-klimato-kaita-sako-lietuvos-politiniu-partiju-ep-rinkimu-programos/*

Approaching EP elections, environmentalists reviewed all ten of the EP elections of parties participating in the election: what do they say, and sometimes – what are silent, on climate change. They were looking for party provisions on climate change, energy efficiency, air pollution control, European electricity grid, environmentally friendly transport and other environmental issues. Seven out of ten of the EP election programs mentioned climate change, five - RES and energy efficiency and renovation. Trying to group political parties according to whether they are in favour of climate-friendly policy, there are two poles. As might be expected, Lithuanian Green Party and the Union of Farmers and Greens engaged into issues of climate change and the green economy. And on the other pole - Polish Electoral Action and the Russian Alliance Coalition which is indifferent to climate change, there are no clues to the energy.

It can be assumed that the industrialists support the liberals: for instance, on May 20, 2014, Lithuanian Confederation of Industrialists had held a meeting with the Lithuanian Liberal Movement candidate for the European Parliament, *http://www.lpk.lt/lt/naujienos/ep-rinkimai*

General characteristics of the results of elections to the EP

Table 2. Turnout of Lithuanian voters in the EP elections

LT	2004	2009	2014
TURNOUT	48.38	20.98	47.35
EU			
TURNOUT	45.47	43	42.54

Source: prepared by the authors according to the EP information: http://www.rezultatai-rinkimai2014.eu/lt/election-results-2014.html

Table 3. Distribution of EP mandates according to the Lithuanian parties and EP political groups, 2014

PARTIES	%	MANDATES	ELP	S&D	EKR	ALDE	GUE/NGL	greens/ELA	EFDD
TS-LKD	17.43	**2**	2						
LSDP	17.26	**2**		2					
LRLS	16.55	**2**				2			
TT	14.25	**2**							2
DP	12.81	**1**				1			
LLRA	8.05	**1**			1				
LVZS	6.61	**1**					1		
LZP	3.56	0							
TS	2	0							
LiCS	1.48	0							
OTHERS	0	0							
TOTAL	**100**	**11**	2	2	1	3	0	1	2

Source: prepared by the authors according to the EP information: http://www.rezultatai-rinkimai2014.eu/lt/election-results-2014.html

Conclusion

The analysis led to the following conclusions.

National issues are predominant in the party programs in the elections to the European Parliament but there is an evident effort to link them with European issues.

The pattern of information in the news media portals is slightly changing. Seeking for the attention of readers, they present personal profile of particular politicians suggesting readers to recognize his/ her ideological affiliation sometimes modifying it incrementally.

Synergy of two parallel campaigns, European and national presidential, should be studied further in order to have more nuanced picture of mutual interdependence.

Interest groups are reluctant to identify themselves with particular actors of campaigns. However, there are indirect signs agricultural lobbyists are close to the Union of the Farmers and Greens, when industrialists to the Liberal Union.

Set of empirical instruments allows positioning of Lithuania as a typical European country corresponding, in general, model of elections to the European Parliament as second-order elections.

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TEACHING SUBJECTS MATTER THROUGH ENGLISH AS THE MEDIUM OF INSTRUCTION IN THE NAMIBIAN ENGLISH SECOND LANGUAGE CLASSROOMS

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Abstract

Many Namibians haveindicated that both teachers and learners were not conversant enough to teach and learn schools subjects through the English medium. Furthermore, they have attributed learners' poor performance in examinations to the use of English as the medium. Nonetheless, English has remained as the official medium of instruction in Namibian schools.This study sought to find out why the Namibian government had stuck to the use of English as medium of instruction in Namibian classrooms in view of the concerns raised by the teachers, learners and other stakeholders. The sample comprised 12 teachers at 12 schools in the Caprivi Educational Region.The results showed that English Second Language (ESL) teachers were of the view that the use of English as medium of instruction affected learners' participation in English lesson and that it impacted negatively on learners' end of year results.

Keywords: Code switching, language acquisition, literacy, biliteracy, English Second Language, teachers and learners

Introduction

Namibia had been linguistically and politically isolated before independence. The new Namibian government deemed it necessary to introduce English as an official medium of instruction since it is the language of wider communication and that will unite the Namibian people. According to Murray (2007) in the NAWA (2007), she quotes the then Prime Minister, Hage Geingob:

"When SWAPO decided during its struggle for independence to make English the official Language of Namibia, and when the framers of the Constitution decided to choose English as the Official Language, it was not an ad hoc decision. It was a considered decision …".

However, this firm decision had strings attached. Indeed, the linguistic and political isolation had to be redressed. However, during the redress process educational problems emerged. As Harlech-Jones (1998, p. 6) argues, "… the problem, by no means not unique to Namibia, is the difficulty for teachers to develop lessons based on communication and interaction when they themselves lack fluency in English."

According to Roy-Campbell (1995), the paradox here is that before African Independence, although in most cases the colonizers' languages served as the languages of power, there were cases where some of the local languages were appropriated by the colonialists to assist them in their crusade to 'civilize' Africans. A typical example of this

was the use of local languages in the conversion of colonized people to Christianity. Roy-Campbell (1995) observes that converting Africans to Christianity was a key strategy in the subjugation of Africans without overt physical coercion.   Therefore, the use of native languages in this crusade was deemed important because it was easier for Africans to identify themselves with the new religion as their languages were used as a medium of learning and they could also communicate without the Code Switching strategy.

It must be noted here that language is at the heart of school learning, and if learners cannot use it properly for the purpose of learning, it becomes a barrier to both learning and thinking, rather than a channel for thinking. In addition, Phillipson (1992) argues that the continued use of an imposed language as the medium of instruction is linguistic imperialism, a form of cultural imperialism. He maintains that when learners are taught in a foreign language as a medium of instruction, it downgrades their own language and culture and concludes that a language which is not used for education is undervalued.

This thought can be translated to mean that if schools and schooling are to be meaningful to learners, learners should be taught in a language or languages which they can relate to. Policy makers and educators should be aware that one's language is paramount in the learning and teaching process. Therefore, choosing a specific language as a medium of instruction is something that must be given very serious consideration.

Jansen (1995) states that the introduction of English in Namibian schools as the sole medium of instruction from Grades 4 to 12 has been blamed for the poor performance of learners in examinations in all subjects. This seems to have legitimized the outcry that the high failure rate of learners in school subjects in Namibia is due to the use of English as the sole medium of instruction after Grade 4.   Nonetheless, no empirical research has been conducted.

The political agenda v/s pedagogical concerns

Haacke (1996) argues that in most cases a country's official language policy can become an important political instrument for social engineering, be it to pacify minorities and avoid language conflict, to secure the predominant role of the language of the ruling elite, to neutralize or eliminate certain languages, or to unite or divide people within a country.   He contends that a language policy and its formulation are more of a political matter than a linguistic issue (Haacke, 1996).

The South West Africa People Organisation (SWAPO) government had an agenda for an independent Namibia; its election into power meant the implementation of that agenda. On this agenda was the language policy, which was articulated in SWAPO's election manifesto of 1989.   To appease its electorate, SWAPO had to implement its election manifesto, including the implementation of a new language policy (Tötemeyer, 1978, cited in Donaldson, 2000).   The Afrikaans language used to be lingua franca in most Namibian schools before independence had to be replaced with English, no matter how imperfectly it was used by both teachers and learners and possible use of Code Switching as a way of survival by those who cannot manage to communicate solely in the English language.   To consolidate its political agenda formulated and concretised in exile, ten years later at the Etosha Conference in 1999, the then Minister of Education, Honourable Nahas Angula, reiterated that "the isolationist position has deprived the country of meaningful interaction with the outside world … the isolation has been further reinforced by communication problems and that Afrikaans, which was widely used for business and government, is not an international language" (MBESC, 1999, p. 10).

As can be seen from the then minister's statement, for SWAPO, the linguistic and communication isolation of Namibia from the rest of the world topped its political agenda. Therefore, the introduction of English as the sole medium of instruction in schools over-

shadowed any negative repercussions it would bring educationally such as learners and teachers Code Switching and code mixing in class.

In 1999, the English Language Teacher Development Project (ELTDP), in collaboration with the Ministry of Basic Education, Sport and Culture (MBESC, 2000), conducted a national survey on the English Language proficiency of Namibian teachers across the different phases of education. The results of the study revealed that the use of English for several teaching purposes, particularly explaining concepts was disappointing. It also revealed that, "… teachers in the other phases often use English beyond the textbook and this leads to a higher number of errors" (ELTDP, 2000, p. 31). ELTDP attributed these findings to the fact that the lower primary school teachers were at liberty to switch to the mother tongue as it was the medium through which they taught (ELTDP, 2000).

Furthermore, Wolfaardt (2004) states that in national examinations, Namibian learners scored differently in their first languages and in the content subjects where learners are taught through the medium of English (see Table 1). She cites the MBESC Report of 2002 in which Namibian teachers stated that the English Language was a stumbling block for learners when answering the questions in examinations. Similarly, the teachers wondered whether learners had really not mastered the work or did not understand what the examination questions required of them (Wolfaardt, 2004).

Wolfaardt (2004, p. 370) quotes the following comment from MBEC (2002) Circular: DNEA 14/ 2000: JSC *Examination 2002: Examiners' Reports*, which seems to reflect the views of Namibian teachers with regard to the History examinations,"… A large total of learners did, however, have problems with English which brought about that they could not express themselves properly and could not understand what was required of them". Jansen (1995) maintains that since the introduction of English as a medium of instruction in Namibian schools, there has been an outcry and assertions that the high failure rate was due to the new medium of instruction.

Code Switching can be seen as bridging the communication barrier of the learners and that the basis of learning and development is language and communication. It must be understood that teaching and learning experiences are built on the basis of language alternations, with the fundamental idea that the alternate use of languages reinforces awareness of the free, non-fixed relationship between objects and their labels and the necessary ability to separate words and concepts (Moore, 2002). Teaching and learning are based on language alternations; it is for this reason that Code Switching is being advocated in classrooms that use a second language as medium of instruction. The issue of Code Switching is at the heart of education reform and is being debated in most sectors of education the world over. The MEC (1992) states:

> In these transitional conditions, while the stated language policy will not change, the use of language understood by the majority of learners in a class can be permitted temporarily. Indeed, even where resources are satisfactory, experience in other countries has shown that the use of such local languages from time to time may help with the understanding of difficult concepts… (p. 10).

Even though the Namibian government hasrecognized the use of local languages in English medium classrooms to help learners to understand difficult concepts and terms, the idea of using the local language to bridged communication barriers has not taken root. Researchers such as Fantini (1985), Geneshi (1981) and Huerta (1980) focused on the role of Code Switching in young bilingual Spanish children and found that Code Switching should not be seen as a handicap, but rather as an opportunity for children's language development.

As a matter of fact, McClure and Wentz (1975) and Poplack (1981) focused their research on the social functions of Code Switching. The social function of Code Switching was found to be good for negotiations between participants about the nature and the form of

the interaction, which, in most cases, are explicitly revealed by conversation cues, social roles and norms, setting, topic of discussion and perceived status of the interactants.

For this reason, Huerta (1978) focused his research on the patterns of Code Switching in the home among adults while Zentella (1978) focused on third Grade children at play. It was found that children code switched in both oral discourse and written form in order to communicate in an effective way and that parents' Code Switching could be used as a stimulus for further development of children's home language in the home context. In other words, Code Switching seems to have played an important function in the different circumstances mentioned above classrooms.

In exploring Code Switching in the classrooms, Anguire (1988), Hudelson (1983) and Olmedo-Williams (1983) found Code Switching to be an effective teaching and communicative technique which can be used among bilingual learners. Their studies found that Code Switching in the classroom was used for, amongst others,

- regulatory purposes (to control group behaviour);
- emphasis (to stress a message);
- attention attraction;
- lexicalization (lexical need, cultural association, or frequency of use in one language or the other);
- clarification;
- instructional (to teach second language vocabulary);
- sociolinguistic play (for humour, teasing, punning);
- Addressee specification (to accommodate the linguistic need or choice of the addressee or to exclude individuals from the interaction) and others.

Huerta-Macias and Quintero (1992) focused their study on the social context that combined school and families and valued language switching as part of the whole language approach to the acquisition of literacy and biliteracy. Their study on Code Switching analysed its effectiveness on teaching, learning and communication strategies in the classroom; the context included not only children and instructors but also parents. They found that language switching aided the acquisition of literacy and biliteracy.

Also, Wolfaardt (2001) advocates bilingual language programmes as alternatives to the current language policy in Namibia which promotes the use of English as the only medium of instruction to second language speakers of English. Wolfaardt suggests that bilingual education in Namibian schools should be determined by social, historical, ideological and psychological factors that interact with one another. She further suggests that bilingual education could benefit learners and improve their academic achievement. To further consolidate the advance for bilingual education Moore (2002 says:

> With two lexical forms in the bilingual repertoires, the learners can activate two images, corresponding to two types of knowledge. These images can be superimposed or not. Each of them adds new insights and focuses on a particular characteristic and contributes to building a more complete and nuanced vision. A dual repertoire helps the students elaborate knowledge from different levels of comprehension and information. They can relate new linguistic and conceptual materials to what they already know, and recognize its limitations when presented additional or differential meaning in a different language (p. 89).

According to Moore (2002), when a learner is exposed to bilingual instructions, he or she gains an insight into things from a dual perspective as this enriches his or her understanding of the world from a two-dimensional view. What he or she already knows from another language can now be translated into a new language which he or she is learning. Therefore, the introduction of Code Switching in the classroom would accord learners the dual perspective, drawing from their mother tongue experiences to enrich their understanding

of the new language. When Code Switching is used in English medium classrooms, it helps learners relate to what they already know and fits together new ideas to old ones.

It must be understood that one of the major functions of language in the classroom is its use for learning, for fitting together new ideas with old ones, which is done to bring about new understanding. Additionally, Bennett and Dunne (2002) maintain that these functions suggest active use of language by learners, as opposed to passive reception. They further indicate that learners' performance could be substantially improved if they were given regular opportunities in the classroom to use their mother tongue over a range of purposes in a relaxed atmosphere (Bennett and Dunne, 2002).

According to Jones, (as cited by Wolfaardt, 2005) many Namibian learners fail to attain the minimum language proficiency in English before the introduction of linguistically and cognitively more demanding English medium subjects in Grade 4. It is likely that they acquire basic proficiency in English only when they enter the junior secondary phase of school, at which time they should really be functioning at an intermediate level, but they do not seem to do so; hence the need for teachers to Code Switching in the teaching of school subject in Namibia to enhance their grasp of the subject content.

 As a result of problems beginning in the primary school, learners continue to lag behind their required level of English language proficiency, and the majority never really reach the language proficiency in English which their age and school level demand (Jones, as cited in Wolfaardt, 2005). Equally important, it is argued, that Namibian learners' cognitive academic language proficiency in their first language is also not highly developed, thus creating a problem in developing their Cognitive Academic Language Proficiency in the second language, English, which is the medium of instruction (Ministry of Basic Education, Sport and Culture, 2003).

To bridge this gap, Code Switching could be a way of solving the problem of classroom communication. Harlech-Jones (1998) maintains that research has shown that strong and well-balanced bilingualism, if maintained properly, has very definite academic advantages for learners.

Methodology

Prior to the actual study, the questionnaire was piloted; colleagues approved the reliability of the instrument. The population of this study consisted of Grade 10 English Second Language (ESL) teachers in the Caprivi Education Region now Zambezi Educational Region. All teachers in the Caprivi Education Region that taught Grade 10 ESL classes formed the population of this study. Purposeful sampling also called criterion sampling was used to select 12 ESL teachers.

Instruments

Two research instruments were used to collect data in this study. These were questionnaires and observation checklists. The questionnaire focused on the perceptions of teachers on learners' participation and end of year results in classrooms where English is the only medium of instruction, while the observation checklist also assessed levels of participation in classrooms where teachers used English only. Content analysis was used to group responses from interviews and the observation checklist to determine the meaning of the participants' views and practices towards the use of English as medium of instruction.

Results

English is a second or third language in the Caprivi now Zambezi Educational Region. Therefore, the researchers wanted to find out from the Grade 10 ESL teachers in the Caprivi now Zambezi Education Region whether the use of English as the only medium of instruction

in their schools had an effect on the English Second Language teaching. Table 1 provides the distribution of percentages of the six (6) content subjects (2007-2010).

Table 1: The distribution of percentages of the six (6) content subjects (2007-2010)

Year	2007					2008							2009						2010						Av
Subject / Schools	A	LF	M	G	H	MB	A	LF	M	G	H	BM	A	LF	M	G	H	E	A	LF	M	G	H	E	
1	N/A	43.3	31.4	48.4	43.5	54.4	N/A	48.2	43.3	48.7	52.5	61.5	N/A	47.3	44.5	46.7	52.1	72.0	N/A	50.0	32.8	44.8	55.5	42.8	48.2
2	43.6	32	20.6	46.3	47.8	52.4	49	36.2	34.5	54.2	47.5	52.3	45	38.6	35.9	40.2	52.8	59.8	48.4	37.1	32.4	41.9	57.1	54.4	44.2
3	40	48.3	16.3	38.9	35.7	45.2	43.9	39.1	32.5	45.4	42	39.2	41.8	35	24.6	37.5	51.2	38.5	51	46	31.3	49.1	52.6	41.8	40.3
4	56.3	49.7	26.1	56.8	58.8	43.1	48.9	41.3	21.1	49	47.7	38.5	55.8	43.4	33.1	34.7	47.2	36.9	61	40.6	24.8	41.4	48.6	47.9	43.9
5	39.7	41.2	22.1	39.2	40.9	43.3	45.7	37.2	26.8	41.2	43.9	35.8	39.4	34.1	25.6	33.7	40.7	44.9	47.8	46.1	28.4	47.6	52.9	46.3	39.4
6	53.3	52.6	29.1	57.4	62.4	52.9	55.6	45.8	45.2	62.1	54	54.7	55.2	46.1	33.2	46.6	48.5	54.9	61.1	43.3	25.9	53	61.8	52.6	50.3
7	N/A	43.5	34.1	52.6	59.8	55.4	N/A	36.8	57.6	56	54.1	54.1	N/A	42.1	60	49	58.5	53.6	N/A	35.8	32	44.1	50	29.5	47.9
8	49.2	50.8	62.4	58	47.2	50.9	56.1	45.5	62	52.3	54.4	56.1	51.8	50	53.9	52.6	57.5	44.4	48.6	46.1	58.5	52.8	52.6	42.9	52.4
9	45.9	45.1	29.6	44	67.4	43	41.9	36	31.8	44	49.9	37.7	39.1	41.4	27.4	48.8	65.5	47.3	45	35.7	24.8	42.8	46.3	39.9	42.5
10	42.6	44.8	20.7	43.3	48.6	53.9	47.6	43.6	30.7	45.2	41	44.5	52.3	42.8	25.2	32.7	35.5	47.8	64.7	47.9	31.9	41.9	46.8	35.7	42.2
11	40.5	35.5	22.2	40.6	33.8	43.7	46	33.8	36.1	44	33.6	49.4	48	39.6	32.2	33.9	37.1	63.3	53.8	45.8	25.4	41.6	46.2	47.9	40.6
12	38.3	37.8	24.1	46.5	42.9	46.7	40.8	33.5	29	47.9	50.3	38.4	35.8	31.6	26.3	35.7	42.3	35.7	46.9	46	27.2	55	41.1	30.6	38.8
AVERAGE	45	44	28.2	47.7	49.1	49	48	39.8	38	49	48	47	46	41	35	41	49	50	53	43	31	46	51	43	44.2

Key for Subjects

A	Agricultural Science
LF	Life Science
M	Mathematics
G	Geography
H	History
BM	Business Management
E	Entrepreneuship repalced Business Mangement as from 2009

Key for Schools

1	Sampled School #1	7	Sampled School #7
2	Sampled School #2	8	Sampled School #8
3	Sampled School #3	9	Sampled School #9
4	Sampled School #4	10	Sampled School #10
5	Sampled School #5	11	Sampled School #11
6	Sampled School #6	12	Sampled School #12

In addition, the researchers also wanted to establish whether English as the only medium of instruction influenced learners' participation in ESL classrooms. The actual teachers' responses are given in Table 2 and 3.

Results and discussion

The findings of this study would be presented in accordance to the research questions. Thus I would start by giving the finding of each question and discuss it.

It can be seen in Table 2 that nine Grade 10 ESL teachers said "no" to the first question, which dealt with whether English as the only medium of instruction was a barrier to effective teaching and learning, two agreed and one had no idea.

Table 2: Teachers' responses to the effects of English on teaching and learning

Questions	Responses			Total
	Yes	No	No idea	
• Is English as the only medium of instruction a barrier to effective teaching/learning?	2	9	1	12
• Is the policy on English as the only medium of instruction a barrier to teaching/learning?	2	10	0	12
• Does English as the only medium of instruction affect learners' participation in the classroom?	8	1	2	11

The second question sought to find out whether the policy on English as the only medium of instruction was a barrier to English Second Language teaching and learning. Ten teachers in the sample disagreed while two agreed. The responses in Table 2 demonstrated that nine ESL teachers did not see English as the only medium of instruction as a barrier to effective teaching and learning of the English Language. Ten also responded that they too did not view the policy on English as the only medium of instruction to be a barrier to teaching and learning. Teachers are change agents in schools and classrooms; therefore, a clear mandate of what they ought to do is important in discharging their duties. Teachers often carry out instructions from higher authorities without questioning the appropriateness, validity and relevance of such instructions. Shohany (2006) notes that teachers' preference for the English language has nothing to do with appropriateness and relevance of using English as medium of instruction, but because it is stated in the language educational policy.

The third question wanted to ascertain whether Grade 10 ESL teachers thought that having English as the only medium of instruction had a negative effect on learners' participation. Eight out of the 11 teachers agreed that having English as the only medium of instruction affected learners' participation in their classrooms. If learners do not participate in their

In Table 3, the researcher wanted to find out whether teachers perceived the English medium of instruction as a barrier to learning and asked respondents to give the reasons for their answers.

Table 3: English medium of instruction as a barrier to learning

Respondents	Responses
A1	All other subjects are taught in English.
A2	Explaining only in English is a problem for some learners as they do not understand only when you switch to the mother tongue do they understand.
A3	Learners get to practice the language more, "practice makes perfect, they say".
A4	The introduction of preschool has changed the situation in some schools and yet those whose schools that delayed the introduction of pre-schools has suffered.
A5	The English medium of instruction at school must be compulsory because this prepares learners for the University, and not all other languages are used at the University.
A6	Learners will develop a culture of using the target language in their daily lives.
A7	Most learners in secondary school come from different languages, cultures, so teaching and learning in English will favour all learners at once.
A8	Learners lack vocabulary and it is good sometimes to code-switch so that they can get the meaning better and translate.
A10	Ministerial policies (government) are problematic. They encourage failure and dependency/laziness as well as irresponsibility, immorality and even un-accountability.
A11	No, because learners have been passing well despite the foreign language being used as the medium of instruction.
A12	Teachers have difficulties so they seem restricted/are very conservative in conversation with the regards to English.

Ten Grade 10 ESL teachers responded that they did not perceive English medium of instruction as a barrier to learning and gave varying reasons for their responses such as: "All other subjects are taught in English; learners get to practice the language more, "practice makes perfect, they say"; the English medium of instruction at school must be compulsory because this prepares learners for the University, and not all other languages are used at the University; learners will develop a culture of using the target language in their daily lives; most learners in secondary school come from different languages, cultures, so teaching and learning in English will favour all learners at once; no, because learners have been passing well despite the foreign language being used as the medium of instruction".

The majority (eight) ESL teachers were in agreement that English as the only medium of instruction did not hamper learners' participation in their classrooms. Based on the findings in Table 3, teachers appear to have embraced English as the only medium of instruction in Namibian classrooms, though it seems to restrain their learners' active participation. From the observations in the ESL classrooms low learner participation was found which is a common phenomenon is when the language of instruction/learning is not the learners' mother tongue. In addition low learners' participation might have impacted negatively on the learners' end of year results in Namibia (see Table 1). In view of this problem, we suggest that teachers should therefore devise teaching strategies that help learners master content while at the same time learn the English language. As architects of their classrooms, teachers should be accorded opportunities to implement teaching strategies that accommodate mastery of content.

Seven of teachers advocated for Code Switching in English medium classrooms while two of the respondents seemed to blame the rigid Language Policy as a barrier to learning and teaching. Seven ESL teachers advocated for Code Switching in English medium instruction classrooms. The advocacy for Code Switching by the seven ESL teachers seems to legitimise the fact that teachers do not feel compelled to use English only when there is a need to code switch. However, to use the mother tongue in English medium classrooms requires mother tongue to be academically developed and understood by all learners. The use of the mother tongue in English medium classrooms according to Collier (1989) requires that the mother tongue had to be developed cognitively up to 12 years before it can be said to have been developed fully. This view is supported by The World Bank in collaboration with Tucker (1994) who argues that children need at least 12 years to learn their first language (L1); therefore, older children and adolescents are better learners of an second language (L2) than younger children. In this respect in the Namibian context, the mother tongue should ideally be used as a medium of instruction for at least the first five to seven years of education. Since formal education in Namibia starts at age seven, the mother tongue should therefore be used as a medium of instruction up to age 12 (for example, up to Grade 6 or 7 of primary school) before changing over to English as a medium of instruction. The use of mother tongue as medium of instruction up to Grade 7 could help develop the mother tongue academically for teachers to be able to code switch when the need arises. However, this is not the case in Namibia since the mother tongue is used as a medium of instruction up to Grade 3 only.

Conclusion

The introduction of English as medium of instruction was oversight as it did not take into account that many Namibian teachers and learners were not proficient in English for it to be used as medium of instruction in schools. Though teachers had embraced English as the only medium of instruction in Namibian schools, many of them expressed the view that English only restrained their learners from participating in ESL classes.   This low participation could have led to poor examination results at the end of the year.

Implication for teaching ESL in Namibian schools

As long as English remains the official medium of instruction in Namibian classrooms, learners will fail achieve the desired results. And that teachers will teach through mother tongue as long as there is no one observing them, the use of the mother tongue in the English medium classrooms by both teachers requires ministerial guidelines on its use.

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ENGLISH LANGUAGE INTSTRUCTION
IN CULTURAL MANAGEMENT

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Abstract

Cultural Management is one of the three courses of universitarian interdisciplinary undergraduate and graduate Cultural Studies, the first of a kind at the Josip Juraj Strossmayer University in Osijek. The course is based on a common original module of Cultural Studies, providing for a foundation of general theoretical knowledge intrinsic to the interdisciplinary studies, whereby Cultural Studies are a multidisciplinary area with a versatile research objective and methodological framework, encompassing a wide spectrum of analytical fields dealing with culture. Such a common program is performed within undergraduate and graduate studies, while the Cultural Management course facilitates an acquisition of specialized knowledge, necessary skills, and narrower competencies for an efficacious cultural management.

Differentiating education (i.e., an institutionalized form of learning, usually related to a juvenile age) and learning, the English Language instruction within the Cultural Management course endeavors to suppress an inconvenience of "return to the school benches" while promoting a habit of students' lifelong learning (i.e., of a spontaneous, informal knowledge acquisition irrespective of their age), in conformity with the Croatian *Adult Education Strategy*. In addition to interdisciplinarity, such an open study model aims to promote an acquisition of theoretical knowledge in various English analytical discourses (e.g., , information science theory, theory of nation, educational theory, cultural anthropology, cultural studies, deconstruction, New Historicism, gender studies, environmental studies, postcolonial studies, subcultural theories, etc.) as well, perplexing it with a professional practice directly.

Keywords: Cultural management, cultural studies, interdisciplinarity, English Language, lifelong learning

Introduction

In the territory of the Republic of Croatia, educational system was subject to many reforms that, as a rule, have not contributed to the proliferation of high-quality human resources, ready to be directly involved in entrepreneurship and cultural management; moreover, this problem was even increased due to a fact that the higher educational system has experienced a transformation during several recent years, having been developed into the Bologna Process, while the high school system has not adequately followed that change. This discrepancy was reflected in the English Language instruction as well. Because of a significance to interdisciplinarily educate professional personnel and future cultural managers, it was necessary to devise the curricula and syllabi commensurate with the present needs and cultural entities' comprehension of entrepreneurship as one of the main lifelong learning competencies, i.e., of the English language as a vehicle therein.

Therefore, the English Language curricula were restructuralized in a way that they currently try to solve the problems of students' adjustment to the pragmatic business conditions in cultural entities and to the acceptance of entrepreneurship as an educational, societal, and economic value. Additionally, it was also necessary to reanalyze and redefine a policy, mission, and learning outcomes within the lifelong learning and adult education segments. With regard to the stakeholders, maximal efforts were also invested in an increase in the faculty and student mobility, pursuant to the European Union guidelines and the propositions of the *International Association for Continued Education and Training* (IACET) from Washington, DC.

While so doing, the Department of Cultural Studies aspires to apply contemporary and innovative learning models in the English Language instruction adapted to the students of all courses, and especially to the one in Cultural Management, also providing for a professional qualification by a practical instructional part in the form of mandatory workshops. The instruction proceeds in collaboration with various cultural institutions, professionals, and native English speakers, being relocated from the departmental premises as to enable the students to acquire necessary competences and skills needed for an active participation in labor market. Methodologically, the instruction is based on a modification of a post-learning research paradigm into a learning-through-research paradigm, developing the students' awareness about a significance of social participation in the local environment of the City of Osijek, Croatia's East, and Croatia as a whole.

It is therefore a departmental intention to be gradually established as a center of interdisciplinary and multidisciplinary research while launching the interdisciplinary (national and international) scientific-research projects, whereby a proficiency in English may prove one of the crucial factors. In addition to a scientific-research activity, the Department aims to also promote artistic performances, introduce various qualification and in-service training programs within a lifelong learning concept, and stimulate the faculty's professional postdoctoral qualifications, mobility, and intercultural communication in different fields of science and arts.

English on a Way to a "Knowledge Society"

Understanding a Croatian adaptation of the "knowledge society" concept as a community (i.e., a human society or a state) whose activities and progress are predominantly founded on a production, distribution, and utilization of knowledge, whereby "knowledge" is comprehended as one of the most significant values and motors of an economic and general societal development, the Department of Cultural Studies advocates an investment in science and advancement of professionals while applying a broader "lifelong learning" approach. Unlike a narrower "lifelong education" model, which merely encompasses an organized learning andobserves education as a lifelong process, initiated by an obligatory schooling and formal education and lasting throughout a person's entire life, lifelong learning pertains to an overall, lifelong learning activity, aimed at an improvement of knowledge, skills, and competences within a personal civic and general societal (employment-related) perspective.

When it comes to the English Language instruction, this notion also implies learning in other chronological segments, from an older junior up to a (younger) senior age, which has proved to be very useful when applied to both the full- and part-time (study-as-you-work) departmental students. Although the Department mostly relies to formal education thereby, i.e., to the one structuralized and regularly performed in an accredited educational institution pursuant to a reviewed and authorized curricula and syllabi in order to eventually earn a baccalaureate diploma, informal learning, i.e., the unintentional one, resulting from quotidian business- or leisure-oriented activities involving the English language and being usually unstructuralized with regard to the objectives, time, or support, is also generally

favored, as it facilitates an individual's functional literacy, especially when it comes to the basic skills of reading and writing, for the sake of his or her own personal and communal development. Moreover, in cooperation with *Pearson Central Europe*, i.e., with its Zagreb-based office, our nonqualification workshops also occasionally promote nonformal education to organize a learning process streamlined to educate the adults for various social and cultural managerial activities in English, for the sake of their personal development. With a comprehension of learning as a continuous process wherein the results and motivation of an individual are conditioned by knowledge, habits, and experiences acquired during a juvenile age, we thereby try to accomplish four interrelated objectives: personal satisfaction, individual development, active citizenship, societal involvement, and employability.

Thus, a predominant objective of the English Language instruction is to introduce the students to the (Anglo-)American cultural and managemental terminology while qualifying them for a basic professional receptional-productional and an argumented structural competency in a business-oriented (written and oral) communication, pursuant to the *Common European Framework of Reference for Languages* (CEFR). This would also guarantee the students' professional development through both formal and nonformal learning in a stimulative academic environment, with a high completion rate and students' satisfaction. In conformity with the guidelines and multimedia produced by *Pearson Longman*, White Plains, NY, the instruction applies the state-of-the-art audiovisual teaching aids, with a possibility to be familiarized with the adjusted instructional contents via distant learning and e-learning, i.e., during the students' extracurricular activities or extramural leisure, outside of a conventional lecture room. Such an orientation provides for a possibility of hands-on experiences and a considerably broader simulational or situational involvement of the qualified, culturally or managerially educated externs fluent in English, or of the native English speakers, promoting a batter student – lecturer interaction. In that respect, the expected realizable advantages are an increase in students' personal communication skills and mobility,witha possibility to comparatively evaluate his or her success with regard to the other congenial curricula, an instructional efficacy and organizational traceability, and a lesser students' workload with regard to the curricula and syllabi, vouchsafing an increased students' individualization and independence.

Procuring its students with the relevant digitalized literature and additional, authentic linguistic materials, the departmental English Language instruction relies to the rich multimedia while applying the modern audiovisuals, computers, and the Internet, combining consultation and lessons with students' own presentations (designed by the programs of Microsoft's *Office* packet) in an individualized and group-oriented approach.In its assessment and recognition procedure, the instruction tries to thematicallyvalidate both the formal and nonformal prescience of our students, i.e., of the future cultural managers in this case, authenticating a wide spectrum of their knowledge, know-how, skills, and competences acquired in various cultural and business environments (e.g., education, work, and leisure) during their careers. Retrieving the English vocabulary, grammatical, and translational information on business diversification, corporate organization, Human Resources Management (HRM) in cultural institutions, media campaigns, business correspondence, etc., the instruction introduces the Cultural Management students with the fundamental Anglo-American business terminology, its genre forms, and its brief historical development in the United States and in the United Kingdom while comparing it to the equivalent Croatian nomenclature, with a special emphasis on a conventional communication (e.g., business letter, facsimile, telephone conversation, live conversation) and its contemporary electronic counterpart (emails and the like). In that way, it is possible to surmount the students' unequal level of prescience concerning basic economic vocabulary, and the grammatical contents, i.e., the regularities of a business-oriented English language in

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view of morphology, syntax, and semantics, are being acquired hereby up to a scope enabling a correct individual businesslike conversation. This assures the stimuli to the so-called "language activation," a refreshment of the students' preacquired linguistic competence and its combination with the newly accumulated linguistic fundus, as well as an expansion of general knowledge concerning the uniformities of the Anglo-American business-oriented English language.

However, especially when it comes to the departmental part-timers, i.e., to the study-as-you-work English Language attendees enrolled in the Cultural Management course within the Cultural Studies, it is worth noting that the "adult education" term still entails various international definitions. Back in 2003, Organization for Economic Cooperation and Development (OECD) emphasized that there was no consensus on a uniform (nonprofessional or nonvocational) adult education definition in Europe, for it is very difficult to determine the adulthood exactly, bearing in mind that learning, surroundings, and students' age programmatically differ internationally, nationally, or even regionally. On the other hand, pursuant to the prevailing Croatian and the European Union practice, and pursuant to a designation stipulated by the United Nations Educational, Scientific, and Cultural Organization (UNESCO), the Department of Cultural Studies understands it as a superset of formal and nonformal learning processes that assist the adult students to develop their skills, enrich their knowledge, and improve their professional qualifications, readjusting them as to satisfy their societal needs. In case of the English Language instruction, it implies, according to a European Commission clarification, all the forms of adult learning subsequent to an initial educational cycle or a short-term training, i.e., a systematic teaching that develops competences necessary for an adequate execution or performance of certain tasks. The particular, theoretically based linguistic results pertaining to the English Language instruction itself are therefore a practice of both social and cognitive students' skills.

It is worth emphasizing that we understand the notion of "literacy" in the English Language instruction expandedly, i.e., not only as a primary competence in the domains of reading and writing but also as a reasonable perusal and skimming, communication skills, and information technology deployment, enabling the students to comprehend the societal occurrences and solve the problems in a high-quality way. These skills may also assist the students, i.e., our future cultural managers, to be more capable and participate in teamwork while accepting cultural diversity and being ready to learn permanently. In this respect, methodologically and scientifically, their English Language literacy would also imply a capacity to recognize, understand, interpret, create, document, and communicate while utilizing the variously contextualized printed and nonprinted materials. Conclusively, during the English Language instruction, we even use guidance and counselling of our undergraduate, graduate, and predoctoral students to a lesser degree, especially within the *Erasmus+* framework: it encompasses various in-class instances of an individualized or group-based professional information campaign, objectivized to assist an individual student in a selection of his or her future career, profession, and working post within the Cultural Management sphere.

English and Employability

Having investigated a regional labor market for the sake of Croatian cultural entities and an adaptation to the European Union standards, we have still observed some noticeable deficiencies in the students' proficiency in English as an acclaimed *lingua franca* in global businesslike communication. As a continuous economic growth and development causes an introduction of modifications in the educational system as a whole, we have to develop new communicational modalities in order to be able to monitor these changes. Hereby, it is necessary to begin with the students, for they have already acquired general and vocation

knowledge about certain disciplines through their education, but it is crucial to continue to motivate their innovation, creativity, and communication on higher levels. If sufficiently responsible, the students will also individually arrive at certain realizations, which might inspire them to become post-qualified for the needs of their respective cultural entities as well. An uninterrupted communication in modern multimedia lecture rooms provides for a students' capacitation to openly interact with both the professors and cultural managers while recognizing and esteeming individual students' abilities and talents, especially the linguistic ones in this case. Eventually, this could facilitate an application of their future expertise globally.

Alternatively, the entrepreneurs and cultural managers should also be more flexible as to adapt themselves to the demands of a changing labor market. While so doing, they could render their assistance to a direct student education, alleviating their employment process. The most renowned cultural entities, which achieve globally respectable results by virtue of their successful business practice, advertise open headhunting calls and invite applications for innovations, thus being equipped by the successful, pioneering, and creative juveniles to be involved in their business operations. As intellectual services are mostly represented on the Cultural Management market as well as in many other segments of economic life, this fact pinpoints a necessity to be directed to lifelong learning especially in the domain of telecommunications and business-oriented English language.

Since unemployment seems to be one of the biggest problems of the 21st century, a vision of the English Language instruction in the Cultural Management course is a successful establishment of a positive lecturer – student – entrepreneur intercommunication. The students are provided with an initiative possibility and ideational development that might eventually improve a cultural managemental segment. They are also encouraged to create excellent preconditions for their involvement in entrepreneurship and labor market by virtue of their knowledge, innovations, imagination, and communication in a positive atmosphere while studying. Hereby, entrepreneurship is defined as a "complexity of knowledge and skills pertaining to an observation of chances and its reversion into a personal or professional businesslike endeavor" (Singer 2007). Through an educational section adjusted to the needs of economic entities in Cultural Management, the students thus acquire certain expertise that might assist them in their high-quality participation in cultural entrepreneurship in English.

Nonetheless, although most operational principles of foreign higher educational institutions are already generally applied in the Cultural Management course as well, their closer interconnection with the economy, labor market, and their broader community is still observable, as is their larger portion of professional work; what is more, the data and experiences demonstrate that their students spend a lesser part of their instruction listening to the in-class theoretical lectures, while a considerably larger part than the one currently accustomed in Croatia is contracted as a practicum in a cultural institution itself. Consequently, the Department of Cultural Studies will have to invest further efforts to harmonize the curricula and syllabi with the correspondent European paragons in a near future.

Necessary Student Competences in an Educational Process

Students' achievements, or their "learning outcomes," manifest the clearly expressed aptitudes, i.e., the expected knowledge and necessary adroitness and capabilities. Upon completion of an educational process, a student is thus expected to apply the acquired facts, dexterities, and attitudes in a concrete business practice. When it comes to the English Language instruction as well, they represent the statements specifying a linguistic content necessary to be known, understood, or demonstrated subsequent to the completion of lectures in the Cultural Management course. Thereby, they simultaneously help the students

understand what is expected from them and facilitate a learning process, but they also assist the faculty to precisely define a philological content to be mediated and eventually assimilated. The values that the students have to adopt subsequent to the completion of the course, described as educational objectives, learning outcomes, and tasks, are thus related to the cultural managemental activities they will be able to perform after the program is being finalized, on a societally satisfactory level. Indirectly, they also emit a message to the future students and the existent cultural managers, i.e., to their employers-to-be, informing them on the linguistic skills and competences the alumni possess once they graduate from the aforementioned course.

Conclusion

At the Department of Cultural Studies, a correlation has already been established between an overall economic efficacy of the cultural managerial stakeholders, students, and their professors involved in the English Language instruction in the Cultural Management course. This also implies an increased harmonization and interconnection with the higher educational system as a whole. The educational objectives will therefore continue to more precisely describe what our lecturers do to facilitate the students to fulfill their knowledge- and aptitude-based communicational requirements subsequent to the completion of a semester or of an Academic Year, pursuant to the market conditions and demands.

On the other hand, the learning outcomes will continuously define the results expected from a student in the end of an educational segment. As one of the higher educational system's objectives in Croatia is also pertaining to a synchronization of Croatian communicational skills with those in (Business) English, it is deemed necessary to unremittingly invest the efforts in a proper knowledge acquired while participating in a lifelong learning process, thus contributing both to an individual as well as to a communal benefit.

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INTERTEXTUAL AND BOUNDARY-CROSSING MONSTROSITY IN WILLIAM BURROUGHS' *NAKED LUNCH*

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Abstract

The new orientations set by the late 50s American writers have marked new features and peculiarities in the definition of what can be considered as "monstrous". It would appear that such writers realized how enigmatic monstrosity is, since it is a "fluid" and "slippery" entity and it hides everywhere. Among the different forms of monstrosity that criticism has pinpointed and defined up-to-date, my paper means to analyze the subtle relationships between inner and outer monstrosity in W. Burroughs' *The Naked Lunch* (1959). Such inner/outer relationships will be discussed through the consideration of the intertextual and topological characteristics of monstrosity in the novel. Not only do I intend to emphasize the monstrous entity represented by drugs in the book, but I also mean to locate the role of spatial and linguistic elements in the postmodern definition of monstrosity. I will focus on the connections between the protagonists' changing personalities and the borders they cross, as an inverse Dantesque journey into the underworld. The crossing process of Interzone, as well as the "camouflaging" course of changing personalities, will be revisited by taking into account Derrida's theories about anarchy and deconstructionism, as well as his concept of the "impossible possibility" of the events, which will analyze the visceral meanings of the "cut-up" images in the book. As to the boundary-crossing process, the paper means to interpret, by using Lotman's spatial theories, the crossing of the different spaces as deconstructing and reassembling moments of further meanings in the narrative architecture of the book itself.

Keywords: Boundary, monstrosity, deconstructionism, Beat Generation

Introduction

As one of the most famous Beat Generation writers, Burroughs is the symbol of a new American spirit, which rebels against the spiritually stultifying conformity and materialism of the post-war period, through experiments with sexuality (several of the beats including Burroughs and Ginsberg were gay) and "mind-expanding substances", as well as openness to the influence of non-Western cultures. As a consequence, criticism has often considered Burroughs' works as chaotic narrative spaces, "affected" by their author's flows of thoughts and by the frightening and alienating mixture of objects and concepts, which common people may not be familiar with. According to McClure, "Burroughs deals with this issue of word and image in *Naked Lunch* in a complex and ultimately terrifying way"[74]. Whereas Bliss says that "His [Burroughs'] method in *Naked Lunch* is thus nothing less than the orchestration of chaos"[75]. Moreover, as Wilson writes, "*Naked Lunch* is a difficult text to follow; it takes its reader through a labyrinth of incoherent narrative fragments. To complicate its arrangement,

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[74] Cf. McClure, Andrew S. "The Word, Image, and Addiction: Language and the JunkEquation in William S. Burroughs' *Naked Lunch*", *Dyonisos*, 6, 2 (1996), 7.
[75] Bliss, Michael. "The Orchestration of Chaos: Verbal Technique in William Burroughs' *Naked Lunch*", *Enclitic*, 1, 1 (1977), 61.

the book is littered with graphic language, sexual violence and drug abuse"[76]. The list of the critical comments could go on and on, but I will stop with Hilfer's, who says that "*Naked Lunch* is not a novel of characters or action but of voices, voices cajoling, seducing, and warning. […] The action of *Naked Lunch* is, quite simply, the moment by moment relation of narrator and reader"[77]. Having considered the main perspective of criticism on Burroughs' work, I would like to examine *Naked Lunch* (1958) from a slightly different hermeneutical approach. Owing to the author's use of numerous signs, clues, places and identities, criticism has considered the novel as a precious source of new and original meanings, deriving from the assembling process of apparently isolated literary fragments. It lends itself to a multiple range of interpretations if one takes into account the para-textual and social elements, surrounding the enigmatic and non-linear narrative scaffold of the novel. Although the title of this paper suggests a rather interesting but, at the same time, expected theme such as monstrosity in Burroughs' novel, as a result of the numerous rapes, tortures, sexual and even cannibalistic scenes characterizing the text, what I mean to analyze goes further beyond the simple meaning that the word monstrosity may suggest. Besides being a chaotic "collection" of thoughts, ideas and vulgar representations of (homo)sexual tortures and drug abuse, *Naked Lunch* is a work of art which discusses and decomposes the function of language and narrative patterns[78]. As Burroughs writes in a letter to Irving Rosenthal, "THIS [*Naked Lunch*] IS NOT A NOVEL. And should not appear looking like one"[79]. However, the deconstructing elements of the language, which have already been discussed by some critics, generate a further deconstructing process, namely the destruction of those spatial borders that mark every single part of the book.

I.

In this first part of the paper, I intend to focus on the concept of frontier, as a spatial and physical border which is continually crossed all over the text and, as a consequence, tends to fade out as the narrative goes by. Borders constitute both the time-space dimension of the book, with its numerous geographical references, and its linguistic structure, as lines of frontiers among the different narrator voices. The dissolution of the borders is primarily evident in the fragmentation of the spatial and geographical dimension[80]. There are various references to geographical spaces all over the text, but the readers are denied the sense of a precise time-space collocation and never grasp the narrator's spatial perspective. The impression that the author is in different places at once stands out in the very first pages. From Chicago, a " […] rancid magic of slot machines and roadhouses" (11), to New Orleans, depicted as "[…] a dead museum" (13). From Mexico, "In Cuernavaca or was it Taxco?" (18) to Tangiers, where, talking about a woman, Jane, and a "pimp trombone player", the writer says "A year later in Tangier I heard she was dead" (18, 19). According to Lotman, a frontier is obviously strictly connected to the space that it limits[81]. However, the book seems to question the rigid linearity which delimits any spatial entity. The intercrossing process of the

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[76] Wilson, Meagan. "Your Reputation Precedes You: A Reception Study of *Naked Lunch*", *Journal of Modern Literature,* 35, 2 (2012), 98.

[77] Hilfer, Anthony Channel. "Mariner and Wedding Guest in William Buroughs' *Naked Lunch*", *Criticism: A Quarterly for Literature and the Arts*, 22 (1980), 253.

[78] Cf. Bliss, Michael. *op. cit.*, 59.

[79] Burroughs, William B. *Naked Lunch.* Grauerholz, James, Miles, Barry (eds.), Ballard J.G.(intr.). London: Harper Perennial, 2010, 249.   All subsequent quotations are from this edition with the page number in parenthesis.

[80] Cf. Johnson, Rob. "William S. Burroughs as 'Good Ol' Boy': *Naked Lunch* in East Texas", in Harris, Oliver, MacFadyen Ian (eds.). *Naked Lunch @50: Anniversary Essays*. Carbondale: Southern Illinois UP, 2009, 43.

[81] Cf. Lotman, Jurij Michajlovic, Uspenskij, Boris Andreevic. *Tipologia della cultura*. Milano: Bompiani, 1975, 164.

borders, the continual spatial shifting and the non-linear narrative generate smaller spaces, whose existence does not depend on the other geographical areas mentioned in the text, because each single space is "[…] an anarchist self-governing community" or a "temporary autonomous zone"[82]. The whole text is composed of numerous events and facts which are not apparently tied to one another, since they read like single and "isolated" descriptions of everyday moments of life. It seems that the author simply combines different accounts of people from different parts of the world, without caring for any logical interconnection.

Like multifaceted mosaics, the "temporary autonomous zones" coexist in the novel as independent spatial entities, whose casual interaction conditions the deepest aspects of human beings. The geographical setting within which the author includes real places, from the U.S.A. through Mexico to North Africa, develops itself towards the frontiers of the unreal, since Burroughs goes beyond the geographical areas of this world. He crosses their frontiers and creates new imaginary lands. As the narrative goes by, the readers suddenly find themselves in the middle of nowhere. On describing doctor Benway, we "run into" a state called Freeland, "[…] a place given over to free love and continual bathing" (19). Benway then dwells on his previous life in the land of Annexia as a "Total Demoralizator", and describes the different methods of torture. Furthermore, we are given an account of the four parties of Interzone (the Liquefactionists, the Senders, the Factualists and the Divisionists), an imaginary land whose name suggests its border-crossing entity. Being inhabited by people who "[…] are based on incompatible totalitarian projects for the human body", Interzone represents an ironic utopic place, where rules and norms manage every single man's life[83]. The borders marking the different areas where the actions take place are gradually abolished and the author "migrates" to unreal places. The description of the social context and organization of the imaginary lands must clearly respond to the necessity to ridicule and condemn totalitarian regimes, on the wake of such dystopic works as *1984* and *Animal Farm.* Burroughs must have been aware of the steady dangers and threat of the dictatorial regimes in the world, even after the Second World War, which left a deep border on the planet separating the West and East countries, as two "parties" of opposite political orientation. Borders, therefore, are everywhere in the novel. Each event and situation marks its own specific "topographic" space, but each of these fragments forms a complex structure of signs and meanings, which, on crossing their own borders, constitute the paradigmatic and diegetic setting of the text.

Such a remarkable spatial fragmentation obviously reflects itself on the linguistic level, owing to the confusing "sounds" of the different narrative voices throughout the text. The book has "[…] two main characters: (1) the narrative voice in its numerous guises, […] called, for convenience sake, the narrator, and (2) the target of that voice's persuasions, a character variously known as 'you,' 'The Reader,' and 'Gentle reader.[84]'" After an attentive reading of the book, it emerges that Burroughs operates a disintegration of the language and that every word, on the wake of certain 20th century literary movements, is deprived of its real "content", of its symbolical and allegorical import[85]. Different voices mingle and clash to cross the linguistic borders and generate further explosions of senses and meanings, to quote Lotman's principle. The presence of different and autonomous narrative spaces explains the polyphonic import of the narrative voice, which is apparently fragmented into mysterious and

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[82] Cf. DiMaggio, Kenneth. "Seceding from the Narrative: How the Criminal Underwolrds in William Burroughs' *Naked Lunch* Map out a Non-Linear Narrative through the Creation of 'Temporary Autonomous Zones'", *International Journal of the Book*, 8, 1 (2011), 11-12.

[83] Murphy, Timothy S. "Intersection Points: Teaching William Burroughs's Naked Lunch", *College Literature*, 27, 1 (2000), 93.

[84] Hilfer, Anthony Channel. *Op. cit.*, 253.

[85] Cf. McClure. Andrew S. *Op. cit.*, 15-16.

unrecognizable voices, but accounts, at the same time, of a multi perspective view of the world. One of the most important aspects of this polyphony is embodied by the "interior polyphony" of the Liquefactionist Salvador Hassan, who has twenty-three passports and a fragmented identity: "Salvador Hassan O'Leary, alias The Shoe Store Kid, alias Wrong Way Marv, alias After Birth Leary, alias Slunky Pete, alias Placenta Juan, alias K.Y. Ahmed, alias El Chinche, alias El Culito etc., etc. […]" (131). Likewise, the multitude of images, representations and perspectives in the book stand out in the chapter about Hassan: "Pictures of men and women, boys and girls, animals, fish, birds, the copulating rhythm of the universe flows through the room, a great blue tide of life" (69). The explosions of senses and meanings generate new moments of unpredictability, as they put into question and deconstruct the feeble axiological structure of the book[86]. As soon as new stable senses are created, the linguistic explosions decompose the semiotic structure and the readers are asked to re-contextualize the social and the diegetic elements of the text. Such moments of unpredictability embody a narrative "Big Bang". The novel reads like a collection of narrative galaxies and universes, whose "entropic" effects symbolize the caducy of life and man's certainties. The readers may think that they have grasped the meanings of the events and situations in the book but, afterwards, it emerges that they have to relinquish their temporary beliefs and certainties and look for new unpredictable senses and meanings. The steady fragmentation of the linguistic borders is characterized by "carnivalesque" and bizarre images and phrases, whose frantic development always questions the truthfulness of the different voices.

However, the real meaning of the frontier in the novel, both on a physical and a linguistic level, needs to be integrated with the teratological aspects, in order to obtain a more complete and uniform perspective. The structure of the novel itself has a "monstrous" organization, because it constantly draws the readers' attention on the changeable appearances of every single element, be it one of the characters or a geographical reference. Every single event or situation in the book is monstrous: rapes, tortures, cannibalistic scenes and strange surgeries such as lobotomies, which may recall the mysterious events in Williams' *Suddenly Last Summer* (1958). The consequence of the monstrous features of the book is linked to a strict relationship between language and drug addiction. The latter, by affecting the biological state, is the source of the numerous linguistic and narrative anomalies in the novel. Addiction belongs to the characters' inner dimensions, to their biological state, and it establishes a constant flux of social and interpersonal exchanges with the outer dimension, represented by language. Language is the outer expression of man's inner universe and, as such, is subject to the capsizing process of linguistic hierarchies generated by the pernicious effects of drug addiction. The inner implications of drug addiction makes, therefore, monstrosity a very complex scope of discussion, since its aspect has deeply changed over the last few years. Monstrosity is not a material entity, nor a well-visible being. It is rather a "fluid", "magmatic", "slippery" element, whose identity steadily changes and turns into mutable beings[87]. The book is characterized by a number of differentiated episodes and situations marked by teratological effects, which may easily recall such monstrous symbols as Frankenstein. The description at the hospital reads as follows: "Ho-Hum Dept.: Willy The agent taking the cure in Hassan's Hospital…Hassan's Hospital adjoining cemetery…[…] Professional mourners solicit relatives in the waiting room and corridor" (47). The hospital seems to represent a no man's place, where people are doomed to lose their identity and to end up in the adjacent cemetery. Moreover, Doctor Benway's dialogue with

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[86] Cf. Lotman, Jurij Michajlovic. *La cultura e l'esplosione. Prevedibilità e imprevedibilità*. Milano: Feltrinelli, 1993, 155.

[87] Cf. Ettorre Emanuela, Gasparro Rosalba, Micks Gabriella (eds.). *Il corpo del mostro. Metamorfosi letterarie tra classicismo e modernità*. Napoli: Liguori, 2002, 1-3.

the nurse seems to be uttered by two automatons when the former describes Doctor Tetrazzini: "He would start by throwing a scalpel across the room into the patient and then make his entrance like a ballet dancer. […] His speed was incredible: "I don't give them time to die," he would say. Tumors put him in a frenzy of rage. 'Fucking undisciplined cells!' he would snarl, […]" (52).

Although the novel abounds in descriptions and references to scaring surgeries, human organs and parts of the body, thus merging the real and the unreal, monstrosity needs to be searched beyond the appearances of such Frankenstein-like descriptions. The author takes the readers into the most secret dimensions of the text, by drawing their attention on the inner parts of the human body. It seems that even the clearest symbols of monstrosity are slippery and changeable. Before trying to identify the real monsters in the novel, I would like, once again, to dwell on what we have previously identified as "temporary autonomous zones", namely topological entities of the book which, as independent parts, interact among one another, thus getting over the limits that separate them. The presence of these "isolated" zones is justified by the use of painterly techniques, such as the "cut-up" technique, which tends to put together different images to form a sort of a collage, thus removing the rigid frontiers separating each part of this huge mosaic. The apparently casual presence of facts and accounts which are randomly depicted generates a new vision of life, according to which both the living and the not animated elements in the text are included in narrative spaces, and whose chaotic mutual interaction, in their turn, reflects the chaotic and impulsive state of the writer's state of mind. As regards the use of the cut-up technique, Burroughs states in an interview that "The point about cut-ups is that life is a *cut-up*. Every time you look out the window or walk down the street, your consciousness is being intruded upon by all these random factors"[88].

As a result of a steady interchange between the inner dimension, represented by the human consciousness, and the outer world, that is what a human being perceives on looking out of the window, man experiences a stream of consciousness, a flux of separated and disordered impressions and ideas, which puts together the most hidden elements of the interior world. The osmotic interaction characterizing the relations between inner and outer spaces designs the topographic structure of the book, where each "temporary autonomous zone" exerts its influence over the characters' lives. The abolition of spatial limits in the book is also represented by some crude descriptions illustrating the interchange between the inner and the outer parts of the human body: "Naked Mr America, […], screams out: 'My asshole confounds the Louvre! I fart ambrosia and shit pure gold turds! My cock spurts soft diamonds in the morning sunlight!" (64). The organic parts and the biological liquids issued by the human body stand for the material symbol of this constant interchange between what is hidden in the bowels and what is visible outside them. After quoting such a passage, we could think that Burroughs is simply carrying out a process of sudden anarchy, by abolishing the traditional hierarchical patterns of life and narrative techniques. By following such an interpretative route, the monstrous aspects of the novel can be read from a derridian perspective, since, as Wood writes, "Through this mobile deconstruction, Derrida seeks to turn hierarchy into anarchy"[89]. However, the derridian reading of the novel does not only consist in analyzing the hierarchical deconstruction of old and traditional structures. I have previously stated how difficult is to identity the real teratological aspects of the book. The source of this statement lies in the falseness of appearances, which leads to what Derrida calls the "impossible possibility". The French philosopher recognizes the importance of negative

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[88] McCaffery, Larry, McMenamin, Jim. "An Interview with William S. Burroughs", in Hibbard, Allen. *Conversations with William S. Burroughs*. Jackson: UP of Mississippi, 1999, 193.
[89] Wood, Brent. "William S. Burroughs and the Language of Cyberpunk", *Science Fiction Studies*, 23, 1 (1968), 14.

elements and forces in the development and configuration of the events as such. According to him, for instance, a real promise is a promise that is likely to be broken, otherwise it is simply a forecast, a prediction, as well as forgiveness is forgiving what cannot be forgiven: "If I forgive because it's forgivable, because it's easy to forgive, I'm not forgiving. I can only forgive, if I do forgive, when there is something unforgivable, when it isn't possible to forgive"[90]. Likewise, "If I give what I can give, if I give what I have and what I can give, I'm not giving. […] you have to give what you don't have"[91]. Therefore, any act, be it forgiving, giving something or helping someone must involve the concept of impossibility. A real event can happen only when the impossible, that is what prevents that event from happening, plays its role in the "construction" of the event itself. Derrida says that "The event, if there is one, consists in doing the impossible. […] giving or forgiving, if there is any, must appear impossible"[92].

What does all this have to do with Burroughs' novel? Derrida's discourse about the impossible possibility of a deed can explain the narrative architecture of the book. As discussed before, on using such deconstructive devices such as the "cut-up" and the "collage" techniques, Burroughs embodies an apparent realm of disorder, where changing personalities and places do not form a compact social context. The real entity of what can be defined monstrous in the novel is that invisible being which is hidden behind the masks of the changing characters and places. Such a being turns out to be difficult, or even impossible, to grasp and to perceive but, owing to this, it is monstrous. Monstrosity does not lie in what appears scaring or frightening at first sight. Otherwise, as Derrida has it, it would not be monstrous. Monstrosity "camouflages" in the different personal universes of the characters and things. It acquires new multiple appearances, new faces, which often elude our attention and analysis, in that it changes its peculiarities and places. It goes into and out of the human body, it can be both white dust (heroin) and viruses, such as the ones which are sexually transmitted among the different people mentioned in the novel and that eventually *kill* them. Therefore, the originality of Burroughs' work does not lie in the "cut-up" technique, which partly may respond to the new frontiers of the twentieth century psychological studies, as well as Joyce's stream of consciousness. On using such literary device, the writer means to make the readers aware of a new perspective of narrating facts and situations. As he states in an interview about the function of art, "I would say that the function of art or, in fact, of any creative thought is to make people aware of what they know and don't know"[93]. Burroughs does not simply show the monstrous aspects of his work by means of violent and indecent deeds. The real essence of monstrosity lies, as mentioned before, in the inner parts of the human body, which are, in their turn, "fed" by the obscenity of everyday deeds, of outer events.

On describing the biological functions of the human body and its reaction to drug-taking, the writer begins a "journey" into the biological functions of the human beings. By doing so, not only does he explore the mysterious interactions between the outer elements, such as drugs, and the inner ones of the human body, but he underlines man's monstrous aspects. The latter are represented by the reactions generated by such outer substances as drugs on the deepest parts of man's body. As Burroughs writes in the paragraph about Benway, "Some of my learned colleagues (nameless assholes) have suggested that junk derives its euphoric effect from direct stimulation of the orgasm center" (31). The euphoric effect of drugs is generated by their stimulation of the most intimate and reserved parts of the complex human biological world. The apparent monstrosity of the real, of the outer world,

[90] Derrida, Jacques. "A Certain Impossible Possibility of Saying the Event", *Critical Inquiry*, 33, 2 (2007), 449.
[91] *Ivi,* 450.
[92] *Ivi,* 449-450.
[93] Skerl, Jennie. *Op. cit.*, 124.

derives from the monstrosity of the combined effects of drugs on man's most sensitive parts. And this combination creates monstrous elements all over the narrative, which interact among one another like small atomic particles, thus forming a heterogeneous and fragmented world. The monstrous aspect of the human body takes its shape in the following description: "The addict regards his body impersonally as an instrument to absorb the medium in which he lives, evaluates his tissue with the cold hand of a horse trader" (57). The body does not represent a living organism, but it tends to become a mechanical object, which responds to the mechanical "operations" of everyday actions. Furthermore, Burroughs' exploration of the inner spaces in *Naked Lunch* "[…] was free of the restrictions of morality, society and direction that direct the flow of action in the real world"[94]. By entering the remotest "regions" of the human biological universe, the author gets rid of the outer conventions and rules, and gives vent to the primordial and instinctual elements of his interior feelings. He shows the monstrosity of man's neurological system, on the very moment the latter is stimulated by the action of such outer elements as drugs.

The novel offers a number of passages where the opposition and the interaction between the inner and the outer dimensions stand out[95]. In the appendix "Post Script…Wouldn't you?" (207), the author writes: "A junky does not want to be warm, he wants to be Cool-Cooler-COLD. But he wants The Cold like he wants His junk – NOT OUTSIDE where it does him no good but INSIDE so he can sit around with a spine like a frozen hydraulic jack…his metabolism approaching Absolute ZERO" (208). Burroughs points out the protective function of the inner space, where a junk can find a shelter and, as a result, a longer life. In addition, afterwards in the appendix, the author emphasizes the difference between the inner space of the tent, where a category of drug addicts is "protected", and the space surrounding the tent itself, which represents the place of coldness and *non-life*: "[…] How low the other junkies are whereas WE – WE have this tent and this lamp and this tent and this lamp and this tent and nice and warm in here nice and warm nice and IN HERE and nice and OUTSIDE IT'S COLD….IT'S COLD OUTSIDE […]" (209). The steady repetition of *in* and *out* in the final pages of the novel proves to be meaningful, and it underscores the vital function of the inner space of the tent. The "Big Bang" of the whole narrative is generated by a steady process of interchange between the characters' inner dimensions and the outer world, through the skin holes that "convey" the drug they take. As Beales suggests "By drawing attention to the barrier between the real and inner space Burroughs may be seen to make literal the premise that the way beyond the real was through a hole in the skin made by a needle"[96]. This process of "bilateral communication" implies a constant process of physical and material crossing, which reproduces the crossing of different boundaries and frontiers of the author during his trip from the U.S.A. to North Africa.

Alongside the feeble boundaries separating man's world from reality, it needs to say that the scientific and fanta-scientific language makes the boundaries between the real and the unreal less and less perceptible and tangible, thus proving the development of the teratological elements generated by the frontier-crossing process. The "exterior" structure of the text is permeated by scientific definitions and acronyms of biological phenomena and effects, which read like pseudoscientific words and concepts. The author mentions the "un-D.T., "Undifferentiated Tissue" (111), a jelly-like substance growing on a man's mouth. And on talking about the addicts, he explains "The relation between an O.A. (Oblique Addict) and

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[94] Beales, Brodie. " 'The Way OUT is the Way IN': Junk and the Subversion of the Nation/Symptom in William Buroughs' *Naked Lunch*", *Transnational Literature*, 1, 1 (2008), 6.

[95] On talking about the monstrous and the New Wave, Pasquino writes that the New Wave means to explore the inner psychic space, thus opposing the survey of the outer space and the survey of the inner space (cf. Pasquino, Andrea, "Il mostruoso inteso come deformazione immaginaria dell'ipotesi scientifica", in *op. cit.*, 131-132.

[96] Beales, Brodie. *Op. cit.*, 4.

his R.C. (Richarge Connection) […]" (58). In the chapter "Meeting of International Conference of Technological Psychiatry" (87), he refers to, by means of the doctor, *"The Complete All American Deanxietized Man*" (87) and to the "*forcible lobotomy*" (88). Not to mention the explanation of the "I.R.s-Identical Replicas" (138) when he talks about the Divisionists. The use of this alienating language generates an idiosyncratic context, which is characterized by the presence of numerous neologisms and phrases. This approach allows "[…] him [Burroughs] the freedom of radical estrangement while remaining cognitive"[97]. This sense of estrangement is supported by the use of a "pseudo-physical" language, expressing and analyzing the new frontiers of Burroughs' pseudoscience. Traditional language is, in fact, the means by which totalitarian regimes express themselves and maintain their power. The anarchic language of *Naked Lunch* subverts social hierarchical structures and totalitarian systems and, by demolishing the geographical and linguistic boundaries, it gradually outlines the real monsters of the book[98].

As the narration goes by, we soon realize that the book itself becomes an "empty body", which vaguely recalls the title *Naked Lunch*. Like a mummy, it is emptied of its main organs, the words, in that the latter are deprived of their traditional function and meaning and always find a possible and a different collocation. Hence, the physical borders of the body and the linguistic borders of the words tend to merge. On depicting his chaotic narrative world, the author employs an emptying process to re-discuss the social and anthropological dynamics and create new deformed bodies, monstrous beings and even senseless phrases, which all act in a confused and ever self-dismantling context. From this perspective, *Naked Lunch* "[…] is intensely visceral in its imagery, relying heavily on descriptions of sexual interplay, deformed bodies, and especially olfactory experience"[99]. The title itself leads us to man's primordial needs, nutrition, and, as such, it questions the most mysterious features of human addiction both to physiological needs and to drugs. The empty book thus becomes a metaphor and comes to represent a "hollow" body, deprived of its main organs and functions. The author goes beyond the main themes, such as drugs and homosexuality, and, on emphasizing both drug and sex addiction, "digs" into the human body and takes out its "content", to reveal men's "naked" parts, their deepest needs and most vulnerable aspects. Burroughs, like ancient civilizations, seems to reproduce human sacrifices on offering the organs to the greedy institutions of his time. His recall of such occult arts is represented by the hint at the Maya, who "[…] were limited by isolation" (137) and, at "Easter Island" (85). As Ballard puts it, he "[…] sees addiction as part of the global conspiracy by the presiding powers of our world – the media conglomerates, the vast political and commercial bureaucracies, and a profit-driven medical science" (V). The real monsters are addiction and the political and economic organizations which manipulate human life. The writer means to make mankind aware of this conspiracy by inviting the readers to this "naked lunch" of absurd stories of raped and enslaved people. He even offers the menu of this lunch, which is based on what he calls the "Transcendental Cuisine" (125).

Food becomes the means that totalitarian regimes and governments use to poison people's life and to reduce them to a state of physical and psychological slavery. By crossing the physical borders of the body, with its emptying process, and the linguistic spaces of the common language, with the numerous senseless expressions, Burroughs gets to the teratological dimension of the world. The latter is populated by conceited statesmen, whose distorted and ambiguous language and actions dominate and enslave human conscience, thus increasing its alienated and monstrous dimension. In derridian words, the monstrosity of the

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[97] Mathieson, Kenneth. "The Influence of Science Fiction in the Contemporary American Novel", *Science Fiction Studies*, 12, 1 (1985), 28.
[98] Cf. Wood, Brent. *Op. cit.*, 13.
[99] Wood, Brent. *Op. cit.*, 17.

totalitarian control is not exerted through the visible actions of everyday life. It is an invisible force, which aims at destroying men's personality by means of the dictators' meanness and sneakiness. The actual control is out of reach of human beings and pursues intangible aims, it overcomes the limits of human imagination, in that "[…] *control can never be a means to any practical end…It can never be a means to anything but more control…Like junk...*" (137).

Conclusion

Notwithstanding the chaotic and "spiraling" impact of the narrative, Burroughs seems to convey not only the importance of freedom and literal expression, but he means to underline the vital impulse generated by the chaotic movement of his narrative[100]. In the apparently deadly dimensions, where people throw violent orgies and give vent to their rudest sexual drives, Burroughs builds a polyphonic reality which does not intend to be subdued by the injustice and the wrongs of a corrupted and flattening state[101]. By denouncing the state and its social order, Burroughs can live an alternative reality which, far from being fantastic, is Fanta-scientific and, therefore, closer to a real world, where supernatural forces and everyday elements interact.

The destroying effect of the "narrative explosion" turns out to be the source of a new order of the things, a new order of the world. The new world is depicted in the final pages of the book, where Burroughs seems to emerge from the underworld of a Dantesque journey across the different circles of his hellish dimension. After crossing the spatial and linguistic boundaries separating the circles, the scattered and confused fragments of the narrative are finally compacted into a sort of medical treatise, which reads like a scientific illustration of the harmful effects of the different types of drugs. The author seems to have come to a full possession of his own personality and, at the same time, gets rid of the ghosts and the elucubrations that have peopled his narrative. It seems that he finds more optimistic hopes for junks, by using less catastrophic and self-destructive overtones and making them aware of the pernicious effects of drugs. This is proved by the fact that the narrator provides the new generation of teenagers with some advice to avoid the negative experience of drugs. The lexical and physical movement finally converges into the "wise" explanations and descriptions of the drug effects in the close. Having crossed all the borders and thus reached a uniform perspective, the author can now accomplish the purpose to regenerate people's awareness and conscience, in order to oppose the governments' atrocities and their totalitarian control.

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[100] Cf. Goodman, Michael B. "The Customs' Censorship of William Burroughs' *Naked Lunch*, *Critique: Studies in Modern Fiction*, 22, 1 (1980), 92 *et passim*.

[101] Sheehan writes that "*Naked Lunch* is a text made up of numerous different narrative voices that play off each other, including detective, medicinal, pharmacological, carnival and legal narratives, and in such play formulate the satirical, polyphonic structure of this text" (Sheehan, Stephen. "The Written Off Beat: the Rewritten Text of William Burroughs' *Naked Lunch*", *Philament*, 3 (2004), no pagination.

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LANGUAGE CHANGE AND MODES OF THINKING THE LOSS OF INFLEXIONS IN OLD ENGLISH

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Abstract

Language is the creation of meanings. A language is a technique for any kind of speech, functioning in a particular speech community. As a technique of speaking it is constituted by a set of forms, contents, rules, procedures, attitudes and a system of beliefs ruling in the so-called a state of the language, that is, the analogous language ruling in a period of time. Since human subjects, that is, speakers, have the peculiar condition of being-together-with-others, the manifestation of this condition of humans, a language, is nothing but a historical object. Because of this, languages, as the manifestation of human intelligence and freedom in a speech community, will change in history, because all speakers participate in the construction and reconstruction of it. The way every language changes is something to be explained internally in the speech community.

My thesis is that the changes known as *the loss of inflexions* were prompted with the introduction of a *new way of thinking*. The way of thinking, for the Anglo-Saxons in Old English, was *a dynamic way of conceiving of things*. Things were considered *events happening*. With the contacts of Anglo-Saxons with Celtic-Roman people, first, the introduction of Christianity, second, and finally with the Norman invasion, their dynamic way of thinking was confronted with the static conception of things coming from the Mediterranean. The history of English up to the 15th century meant *the confrontation of two mental conceptions, static vs. dynamic*.

Keywords: Language change, mode of thinking, speaking, ideas of motion vs. rest, a class of things vs. individual things

Introduction

Language, for Coseriu, is the creation of meanings. A language is a technique for any kind of speech, functioning in a particular speech community. As a technique of speaking it is constituted by a set of forms, contents, rules, procedures, attitudes and a system of beliefs ruling in what Coseriu calls a state of the language, that is, the analogous language ruling in a period of time. Since human subjects, that is, speakers, have the peculiar condition of being-together-with-others, the manifestation of this condition of humans, a language, is nothing but a historical object. Because of this, languages, as the manifestation of human intelligence and freedom in a speech community, will change in history, because all speakers participate in the construction and reconstruction of it. The way every language changes is something to be explained internally in the speech community.

The so-called English language so as it manifests in the present state of the language is to be characterized, from a diachronical point of view, as an analytic language with some inflexions, prepositions, determiners, numerals, some conjunctions, adverbs, nouns, adjectives, different kinds of verbs, a very numerous vocabulary, a complex syntax, a rather simple morphology and a very peculiar sound system. The fact is that the English language can be traced back to times when it was a synthetic language, in times when it was rightly

connected with the so called Germanic languages, in the form of what we today know as *Old English*. It is peculiar of the language we call English the fact that the separation of it from other cognate Germanic languages and even the re-creation and separation of the different states of the language constituting it, was produced by series of changes very well defined and exhaustive. These series of changes meant a turning point in the evolution of the language. In this sense you can see three periods, every one of these involving several states of the language:

a) the language spoken in Britain since the 5th century up to mid 12th century. This language was a synthetic one with very complex paradigms of inflexions in nouns, verbs, adjectives and rules of word formation. This language was spoken during, roughly speaking, seven centuries. It was to be defined and characterized by a particular way of thinking, that is, a particular way of conceiving of things and tackling with them. This language is usually known as *Old English*.

b) The language started changing in the 11th century up to 15th century included. This period lasted 500 hundred years usually known as *Middle English*. In accordance with this, the language spoken in the 11th century and early 12th centuries was still Old English, thus constituting the starting point in the evolution of the language. The composition of the original text of the Anglo-Saxon Chronicle[102] finished by 1030. When in 1080 the Chronicle started being copied in monasteries different from the original one, the changes operated during that short period of time were so radical that they let us consider this century and the next one as the turning point in the evolution of the language. The changes usually known as *the loss of inflexions* started appearing in the 11th and 12th centuries and occurred during the whole period of Middle English. So the so-called Middle English period, however, involved at least four states of the language: the 11th and mid 12th centuries, the Norman period (13th century, the time when the changes starting in the 11th and 12th manifested), the Age of Chaucer (14th century), and the language spoken in the 15th century.

c) The changes happened in the late 15th century up to the late 17th century, all occurred around the change called *the Great Vowel Shift* and the subsequent re-arrangement in all vowels and other elements of the language, thus constituting the *Early Modern English* period (1476-1700). This period was no longer under the influence of the loss of inflexions. Then a new process of evolution started still in force today, of different character.

My thesis in this paper is that the changes known as *the loss of inflexions* were prompted with the introduction of a *new way of thinking*. The way of thinking, for the Anglo-Saxons in Old English, was *a dynamic way of conceiving of things*. Things did not exist: they were considered *events happening*. With the contacts of Anglo-Saxons with Celtic-Roman

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[102] I am going my to base my analysis on texts of the Anglo-Saxon Chronicle. *Old English Annals, Old English Chronicle* or the *Anglo-Saxon Chronicle* is a set of annals (chronicles) based on the national history of the Old English people when established in Britain. These annals represent the first extended original composition in English. It was first composed in a monastery around the court of King Alfred the Great and later on were copied in other monasteries. There are seven surviving manuscripts. The last annal in the Chronicle relates to the year 1154 considered to be the last known document of Old English. As a matter if fact the so-called Peterborough Chronicle, copied after a fire in the Peterborough monastery in 1116, attests changes having been operated in the text.

The Chronicle started being written when the kings of Wessex had got political predominance over the other Anglo-Saxon kings in Britain in one of the dialects spoken at the time, West Saxon. On the other hand, King Alfred ordered to translate all manuscripts previously written in English to West Saxon. In this sense the manuscript still extant of Beowulf, for example, is a mixture of dialects. West Saxon dialect in this sense got cultural predominance over the others. This does not object to the fact that it is not the dialect Modern English is descended from. Henry Sweet (1845-1912) is the first scholar who studied Old English texts.

people, first, and later on with the introduction of Christianity in their lives, with one God, an eternal and immovable God, lasting for ever and with no beginning or end[103], the concepts explained by "Columba mæsse.prēost" (Anno 565) were difficult to understand. The introduction of Christian concepts in the lives of the Anglo-Saxons meant *the confrontation of two mental conceptions, static vs. dynamic*. Christianity was accepted because it came from Rome, the prestigious and learned center of knowledge coming of old. One of the central Christian concepts, "Trinitas", for example, at the beginning was rendered as *þrīnes,* "something becoming three" and later on as "trinity", something immobile existing for ever, moving anything else but not moving itself. The sense of both words was the opposite to each other. *Þrīnes* was dynamic, *trinity* static.

The influence of Christianity, with the mode of thinking proper of the Mediterranean tradition, first recorded by the Greek and broadcast by all Mediterranean Cultures, Christianity included, was later on strengthened by the presence of the Normans in the island in the late 11th century. Some of the new concepts having been introduced in the Anglo-Saxon language in the contact with the Christians were adapted, that is, rendered again. So the initial concepts adopted by the Anglo-Saxons in their contact with Celtic Romans and the concepts used by preachers, although they referred the same reality, were different. So technique of writing for the Anglo-Saxons was *bōccræft* (book-skill < *bōc+cræft*) keeping the sense of technique, something learnt after a process of effort, the same as with *rimcræft* (number-skill), the technique of dominating the numbers, or *tungolcræft* (tongue-skill), the technique of dominating speaking or speech, or *stærcræft* (star-skill = the technique of dominating stars) were later on abandoned and rendered again with the name brought by Christians and Normans as, *writing, language, grammar and astronomy*. These words, from the point of view of the conception of things, were different. They meant something supposed to be, but to conceive of them you had to know what they dealt with first. In this process of changing, the Norman period represents the continuation of series of problems posed in a tradition lasting nearly 600 or 700 years since the introduction of Christianity. The new words introduced (*writing, language, grammar and astronomy*) meant something "existing", something there, static and objective, very similar to natural objects[104], not the dynamic processes the primary words meant.

The *loss of inflexions* in the English language, a process of changes starting in the 11th century and lasting up to the 16th century, meant the adoption of a new way of conceiving of things, that is, a new mode of thinking. The Anglo-Saxons, who had conceived of things as processes, adopted the static way of thinking of substantive being functioning in Western Europe. The problem was to adapt both ways of thinking thus forming a new one. This adoption was radical enough to affect all the systems in the English language. It affected mostly the verbs, nouns, adjectives and all elements in a sentence or a phrase.

The so-called weak points in the language constituting the state of the language spoken when the Anglo-Saxon Chronicle was written in the 10th century, sometimes described as irregularities, were the first indicators of the process started with the introduction of Christianity and the reinforced with the coming of the Anglo-Saxons to the island. The Anglo-Saxons soon realized that their concepts and the concepts of Christian preachers in the Norman period did not match entirely thus leading them to abandon the initial concepts adopted for new ones. This fact may make us conclude, following Coseriu, that language change is something produced internally in speaking and because of speaking. Because of

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[103] Parmenides, 6th century B.C. defended this idea applied to being. Being is one, eternal, immobile, it has no beginning or end. Parmenides took this idea of his speech community. Later on Aristotle, 4th century B.C. added to it the idea of substance. The conception of things in this way is usually known after Aristotle, as substantive being. Substantive being as a mode of thinking, was adopted by Christian thinkers.

[104] Take for example language. As a matter of fact, some speakers today conceive of the reality of language, as something natural, innate and something objective existing in itself.

this, language change is to be analysed in terms of the attitude and beliefs of speakers thus constituting their conception of things or their *mode of thinking*.

I am just going to analyse the mode of thinking in the 10th century, a period of self-confidence for the Anglo-Saxons, the time of King Alfred and the Anglo-Saxon Chronicle, copied and updated all around the country. I am going to analyse the weak points in the language of 10th century, looking for the way of thinking it reveals. The main ideas to be found out now are: the conception of things; things conceived of as events or processes; things as classes; the idea of motion vs. rest; the significance of absence of the indefinite article, the continuous and perfective tenses; the passive voice; and the value of the adjuncts of place and time.

The Mode of Thinking as it is Reflected in the Verbs of Old English

From the point of view of the conception of things, Anglo-Saxon lexical verbs are to be divided into two classes, both affecting the same verb the great majority of times. Lexical verbs have two forms, one to be characterized as neutral or non-perfective and the second one as perfective. This distinction, not usually stated in this way, reflects the interests of the Anglo-Saxons in describing facts as processes, either finished or unfinished, that is, describing an action or the result of an action.

Nearly all lexical verbs had this possibility of expression, since the difference in them was marked with a prefix. Prefix *ġe.* gives the sense of attainment of the action denoted in the stem of the verb, that is, it has a perfective sense, an action which was successfully achieved after a process. The absence of prefix *ġe-* meant an action, the result of which is not mentioned. For example,

457: *Hēr Hengest and Æsc fuhton wiþ Brettas*[105]

Then Hengest and Asc fought against the British.

In this example the action is merely descriptive. It describes something that happened. Without a context, we cannot know what the result of the battle was. The result on the contrary is clear in the following example,

473: *Hēr Hengest and Æsc ġe.fuhton wiþ Wēalas*

Then Hengest and Ash successfully fought against the Celts (who were defeated).

That is, the same verb has a double sense, a non-perfective descriptive sense, and a perfective sense which stresses the result of the action performed. In the second example the idea of motion is stressed, something going beyond the facts stated.

867. *And hīe late on ġeare tō þǽm ġe.ċierdon þæt hīe wiþ þone here winnende wǽron*

And they late in the year submitted to them because they [these ones] were winning with the army [they had].

The action of submitting someone is an action needing both the action in itself and then finishing that action. Verb *ċierran* is usually used with the prefix, *ġe.ċierran*, something known traditionally but said in the use of the verb. With the pass of time, the expression with *ġe.* became redundant.

Because of this grammatical device, some verbs in Old English can have two meanings. So you have *feohtan* and *ġe.feohtan,* just illustrated in the examples above, *gān* and *ġe.gān* meaning respectively 'go' and 'conquer'; *winnan* and *ġe.winnan*, 'win' and 'succeed in winning'; *bindan* and *ġe.bindan*, 'bind' and 'succeed in binding'; etc.

The use of the prefix soon became redundant as in *bindan / ġe.bindan*, and particularly in *seōn / ġe.seōn,* see, and *hīeran / ġe.hīeran*, hear. The prefix was particularly

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[105] Some examples here will be commented several times depending on the aspect discussed.

used in past participle thus stressing the function of this verb form, *ġe.cweden,* from *cweþan*, 'say', *ġe.cweþan*, 'name'.

Prefix *ġe. appears* as well with nouns denoting a complex action, *ġe.work*, 'military work', *ġe.writ*, letter, *ġe.fēra,* companion*, ġe.lēafa,* belief*, ġe.rēfa,* reeve, *ġe.wuna,* habit. That is and said paraphrasing the words in the examples, *ġe.work* is the work previously planned and then executed; *ġe.writ* writing in as much as it has already been written; a *ġe.fēra* is someone who seizes something together with someone else; a *ġe.rēfa* is someone taking control of something in the name of the king; *ġe.wuna* is in connection with *wunian*, dwell; a *ġe.wuna* is something you live with, a habit or a custom. In some way or another the idea of motion and its contrary, rest, are present in these words, that is, they mean processes already finished.

The presence of prefix *ġe.* in Old English has to do with the conception of things. As we shall see in the next paragraph the function of verbs is not to describe but to denote something happening, that is, expressing the idea of motion thus denying the contrary, the idea of rest. The contacts of Anglo-Saxons with the Celtic-Roman people, the mental confrontation and acceptance of Christianity, and the coexistence with the Normans meant changing their conception of things. Anglo-Saxons verbs denoted finished or unfinished processes, that is, they described events in their performance. With the new mode of thinking they had to re-state the meaning of their verbs, which in principle did not disappear, but gradually omitted their use as something finished thus annulling the distinction based on prefix *ġe.*

Prefix *ġe.-* disappeared by the end of the Middle English period. However the function performed by it still prevails as a syntactic use in examples such as *the tyres are worn flat.*

The idea of motion in verbs did not disappear in the language. In Modern English it appeared in a new sense in the so-called prepositional verbs and phrasal verbs. Take for example verb *do. Do* primarily means "to perform and finish an activity". This action can be orientated in terms of the preposition or particle it is followed with. The following uses illustrate this: *to do away with* (for example, *he did away with the deal successfully*), *do down* (for example, *he'll do you down*, *if he can*), *do for* (for example, *he can't do anything else: he's done for*), *do in* (= kill: for example, *they might do you in while sleeping*), *do out, do out of, do over, etc.* That is, the activity meant by the verb is determined in terms of the content of the preposition in a particular way thus involving the idea of motion.

Things existing as processes

For an Anglo-Saxon, to conceive of something meant describing the process in which it was given. Things then were not entities but classes of things and thus events or processes. Words did not mean individual things but classes of things. Because of this, the *indefinite article* was not necessary. Individualization of things started appearing in the early 13th century. The following example is very illustrative

> *sē his hūs ofer stān ġe.timbrode.*
> who built his house on rock[106].

The author of this sentence did not speak of a particular rock but of the class of rocks. Because of this the example is in the singular. The translation of this example by Sweet uses the indefinite determiner *a*, because in the way of thinking of English today it is necessary to specify that it was in the singular, a particular rock, not the class, in which all rocks were included.

In the Anglo-Saxon Chronicle however appears what may be considered one the first appearances of the indefinite article, the numeral *ān:*

> *501. and of.slōgon ānne ġeongne Brettiscne mannan, swīþe æþelne.*

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[106] Cf. Sweet, Henry, *Sweet's Anglo-Saxon Primer,* Norman Davis, ed. Oxford: Clarendon Press, [9]1970, p. 56-57.

And they killed a young British man who was very important.

Ānne in the example is not a determiner because on the contrary the adjectives following the numeral would be in the weak declension. It is a numeral. Anyway this type of construction in the text, represents a necessity of expression in the language at the time.

No towns or countries but people

For the Anglo-Saxons, nuclei of population were not places, that is, towns, regions or even kingdoms, but groups of people living together. The places occupied by them were not mentioned:

> *449. Se cyning hēt hīe feohtan on. ġean Peohtas; and hīe swā dydon and siġe hæfdon swā hwær swā hīe cōmon. Hīe þā sendon tō Angle*
>
> The King ordered them to fight against the Picts; and they did so and had victory wherever they went. They then sent messages to the Angles.

However they were dealt with these as if they were places: "*swā hwær swā hīe cōmon*". This has to do with the expression of time (cf. §§ 4.3-4.5). The famous kingdom of Northumbria was referred to in the same way:

> *449. Of Angle cōmon -sē ā siþþan stōd wēste betwix Īotum and Seaxum- Ēast.engle, Middel.engle, Mierċe and ealle Norþ.hymbre*
>
> From the land of Angles (on the continent) —which has ever stood desolate between the Jutes and the Saxons—, East Angles, Midlanders, Mercians and all people of Northumberland came.

As we saw in § 2, words did not mean individual concepts but classes. In order to refer to individual things they are usually determined with determiners. For the Anglo-Saxons, this procedure was not necessary: it is not '*betwix þǽm Īotum*' or '*þā Mierċe*', but simply '*betwix Īotum*' or '*Mierċe*'. The class had predominance over the individual thing.

Verb *bēon* / wessan and verb weorþan and the passive

The passive voice as such had previously existed in the language, the only extant form in Old English was *hātte* from *hātan*, 'call', 'name'. In the language spoken in Britain from the 5th to the 12th centuries, the passive voice was not necessary. According to Sweet there existed the possibility of forming the passive periphrastically with verbs *wessan* and *weorþan* but he adds: "These forms are very vague in meaning"[107]. The reason for this is that the passive voice in the conception of things by the Anglo-Saxons was unnecessary. As we saw in § 1 and shall confirm in § 5, the mode of thinking by the Anglo-Saxons was expressing things in the process they were conceived of. For them, there were no things existing in themselves standing in front of us (§ 2), but processes that should be developed in order to understand them. In this sense the passive voice, the transformation of the perspective in accordance with the way things are considered, stressed or emphasized, was meaningless to them. The idea of motion in contraposition to the idea of rest was much more significant.

For Westerners, the most representative idea is conceiving of things existing in themselves and consequently the most representative verb of their thought is verb *be*. This constitutes the so-called substantive-being or substantive mode of thinking. For the Anglo-Saxons, the most representative idea was *motion* as opposed to *rest*, and the most representative verb, *weorþan* (become, happen), that is, their mode of thinking constituted conceiving of things as becoming, as events in a process[108].

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[107] *Sweet's Anglo-Saxon Primer, op. cit.* p. 53.

[108] Cf. to this respect Ortega y Gasset, ("¿Qué es filosofía?" *Obras Completas, VII* Madrid: Taurus, p. 339), who says*: "*The most characteristic expression of the Hellenic concept of being is being as a substance, immobile and invariable. Even in the ultimate substance, the beginning of all change and movement, in the Aristotelian God, you can find an Entity moving anything but not moving Itself" (my translation)". For the role of verb be in

The passive voice re-appeared in the language at the end of the period called Middle English, that is, when the process described here was over and the expression with prefix *ġe.* had disappeared. That is, a process disappeared and was superseded by another one to a certain extent similar. Passive voice emphasizes the object (direct or indirect) rather than the subject of an action as it is finished, something to a certain extent expressed in Old English with prefix *ġe.* and the idea of motion (cf. § 1).

The Idea of Motion Reflected in a Sentence: Prepositional Phrases

For an Anglo-Saxon, it was fundamental to conceive of things in connection with the development of an action. This action must indicate *motion* or its opposite, *rest*. Verbs constitute the main element in a sentence. Because of this, there were no battles in the fields but warriors who fought against one another. There were no states but processes; no kings who reined but kings who took power (*fēngon tō rice, on.fēngon rice*), etc. The main idea always born in the mind in the conception of things is the idea of *motion*, the development of it, and the contrary, the negation of it. This fact can be seen in sentences, particularly in prepositional phrases. Prepositional phrases constitute elements clearly manifesting the idea of *motion*, expressed with the verb along with its meaning.

The function of prepositions.

Old English was a synthetic language in which all words were defined in terms of the syntactic function they performed in a sentence or phrase. Prepositions could govern different cases. Some could govern the accusative, some the dative, some the instrumental case. The most frequent use is that they should govern the accusative when the idea of motion is involved or the dative case when rest is implied. That is, the idea of the opposition motion-rest is decisive in Old English prepositions, so that all other aspects they can convey are subordinated to it. In the Anglo-Saxon Chronicle, 10th century, you can see the following uses.

    1.1.Preposition wiþ *with the dative or the accusative*.

Preposition *wiþ* governed the general rule thus involving *motion* or the contrary *rest*.

    457: *Hēr Hengest and Æsc fuhton wiþ Brettas* (motion involved thus the accustive)

    Then Hengest and Asc fought against the British [=the Roman Celts].

    473: *Hēr Hengest and Æsc ġe.fuhton wiþ Wēalas* (motion involved the the accusative)

    Then Hengest and Ash fought against the Celts.

The idea of motion makes interpret the preposition in a particular way. The sense of the prepositional phrase is to be rendered as 'against', an idea stressed with the presence of prefix -*ge*.

    867. *And hīe late on ġēare tō þǽm ġe.ċierdon þæt hīe wiþ þone here winnende wǽron* (motion involved as well but the dative).

    And they late in the year submitted to them because they [these ones] were winning with the army [they had].

Verb *ċierran,* involving a process because of prefix *ġe-,* conveys the idea of something finished. The expression of motion is expressed with the verb, but it governs the dative because the result of the battle stresses a new state of affairs in which rest is involved.

Greek and other languages, cf. Emile Benveniste, *Problemas de lingüística general*, [1971], Siglo XXI Ediciones, [24]2007, vol. I, p. 71-72). And finally for a discussion about language and the mode of thinking, cf. Martínez del Castillo, *Modes of Thingking, Language and Linguistics,* en *Analecta Malacitana, Anexos/94.*

495. *Hēr cōmon twēġen ealdor.menn on Bretene, Cerdic and Cynrīċ his sunu, mid fīf scipum, in þone stede þe is ġe.cweden Cerdices.ōra; and þý ilcan dæġe ġe.fuhton wiþ Wēalum* (motion is involved but the dative).

Then two chiefmen came to Britain Cerdic and Cynrīċ with five ships in the place which is called Cerdices.ōra; *and that very day, they succeeded in their fight against the Celts (who were defeated).*

In this example, preposition *wiþ* governs the dative in spite of the active character of verb f*eohtan, 'fight'*. The reason is that *feohtan* is used in the finished function with prefix *ġe-*. So both clues of meaning are to be stressed: they fought against the Celts and won. The fight was over and the victory certain. So there was instability in their use.

Comparison with these examples reveals that the rule concerning all prepositions functioning at the time, had a stylistic value going beyond the meaning of the verb and the grammar of the words involved thus constituting a weak point the system of the language at the time.

On the other hand, preposition *mid* appears but governing the dative. The adjunct expressed with preposition *mid* is not affected with the action expressed by the verb *cuman*, especially when the adjunct is introduced in the instrumental case. The instrumental case was a remnant of previous states of the language in Old English.

Once the Germanic were established in the island the fight against the Danes was expressed stressing the ideas of motion and collaboration with prepositions *wiþ* and *mid* respectively:

851. *Hēr Ċeorl ealdormann ġefeaht wiþ hǽþne menn mid Defena.scīre æt Wicganbeorge* (both involving motion thus the accusative).

Then the chief-man Ċeorl fought against the heathen (the Danes) together with the Devon army at Wicganbeorg.

In this example both the idea of motion with the accusative and the idea of collaboration with the accusative as well are introduced. Preposition *mid* was associated with a case no longer existing, the instrumental case, thus introducing an instrumental value in the sentence. The central idea is the idea of motion.

Both prepositions *mid* and *wiþ* would later on coalesce in preposition *wiþ*.

Preposition on and ofer and the idea of place as part of a process.

These prepositions were used in accordance with the rule stressing the idea of motion as opposed to rest. With the accusative, *on* means 'into', but with the dative it means 'in'. That is, the idea of motion prevails. Due to the meaning of the verb the idea of rest may be interpreted as meaning place. It is the case of verbs such as *standan* or *eardian* or nouns such as *stede*.

853. *and þǽr wearþ maniġ mann of.slǽġen and ā.druncen on ġe.hwǽþere hand*= the accusative case.

And there happened that many men became killed and drowned on both sides.

In the expression *on ġe.hwǽþere hand* there is no idea of motion. The sentence is governed by verb *wearþan* or *weorþan*, a verb which in Old English plays a function very similar to *bēon (cf. § 3)*. Both *weorþan* and *bēon* denote the existence of something but with a difference: *bēon* is stative, but *wearþan* is dynamic. With this we can see *bēon* denotes a state but *wearþan* a process. So if the author used the accusative it is because he was thinking of the process in the verb.

On the other hand, the object of *wearþ* is in the singular, that is, it gives the idea of a class of objects, the class *mann,* thus meaning *many a man*, as it would be said today. As we said above (cf. § 2), in the Anglo-Saxon way of thinking the class was predominant over the particular thing referred.

855. *And ymb twā ġēar þæs þe hē on Francum cōm, hē ġe.fōr.*

And it was about one year that he had come from the land of the Francs that he died.

The idea that *bēon* and *wearþan or weorþan* are different can be seen here. The preposition *on* governs its object, *Francum,* thus expressing rest instead of motion. Literally: "and about two years after he had been in the land of the Francs, he died". The author says *cōm* instead of *wæs,* but his intention was to state the moment when he had been away. That is, if he had stayed a bit longer in the land of the Francs he could have died there.

So in the time of the Anglo-Saxons the mode of thinking was that things happened but did not exist. That is, their mode of thinking was not the static conception transmitted from the times of the Greek in the so-called the substantive being, but a dynamic way of thinking. Things were conceived of as events happening, not as states. In this sense the ideas of place and time were not directly expressed with these prepositions. The idea of place would later on be introduced in the language with preposition *in*. The idea of place was not the most adequate to the mode of thinking of Anglo-Saxons. Things in the new mode of thinking will be states and because of this, they must be specified in the circumstances they are affected with, one of them is the place where they are; and the other one, is the time when they, do not happen, but are, that is, when things are fixed in being.

In present day English the following examples have to do with the expression of place but in Old English they had to do with motion:

853. *and mid fierde fōr ofer Mierċe on Norþ.wēalas and hīe him ealle ġe.hiersume dydon* (motion thus the accusative in both cases)

And with an army he went into Mercia against the Northern Celts and they succeeded in making them subjects.

But preposition *ofer* is governed by a verb of motion, *faran,* thus introducing a dynamic context. This context is very adequate to preposition *on* thus governing the accusative (to be translated as against).

The following example is explained by Henry Sweet himself as expressing place:

sē his hūs ofer stān ġe.timbrode.

who built his house on a rock.

Henry Sweet (1845-1912), who explains the use of Old English prepositions in the way stated above, merely explains the use: the accusative when it is governed by the idea of motion and the dative when the idea of rest is involved. In many examples Sweet cannot find an explanation and accepts them merely as exceptions. However, when he comments this example gives the right explanation of it. He says: "the acc. *stān* may be accounted for by considering the process of building rather than the completed state"[109]. That is, the problem was the opposition between motion and rest. For the minds of Old English speakers, it was impossible to conceive of things statically. The expression of place has to do with the idea of rest. But most Old English verbs and thus the contexts of innumerable sentences, stressed the idea of dynamism. The right translation of the sentence then would something like, "he who built his house on rock" meaning with it that the house was firmly based on rock, the contrary to a house built on sand.

The following example seems to express place, since one of the uses of *on* is in the dative.

449. *And on hiera dagum Hengest and Horsa, fram Wyrtġeorne ġe.laþode, Bretta cyninge, ġe.sōhton Bretene on þǽm stede þe is ġe.nemned Ypwines.flēot, ǽrest Brettum tō fultume, ac hīe eft on hīe fuhton.*

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[109] *Sweet's Anglo-Saxon Primer, op. cit.* pp 56-57.

An on their days Hengest and Horsa, invited by Wyrtġeorn, the king of the British, reached Britain in the place which is called Ebbsfleet, just before some one should help the British, and they immediately fought with each other.

In this example *on* appears three times, first, to express time (with the dative); second, governing the dative thus meaning rest, place in this case; and the third, to express the idea of motion, in the accusative. The expression of time and place, with the dative, appears as something apart, that is, the expression of time and place are just adjuncts, elements not directly governed by the verb, not under the direct influence of the verb[110]. In the third use, preposition *on*, under the influence of the verb, governs the accusative and thus the expression of the idea of motion.

449. *Of Īotum cōmon Cant.ware and Wiht.ware -þæt is sēo mǽġþ þe nū eardaþ on Wiht- and þæt cynn on West.seaxum þe man nū ġiēt hǽtt 'Īotena cynn'.*

Of the [the land of the] Jutes [on the continent] the inhabitants of Kent and Whit came —because that is the family which now lives in Whit— and the nation living in Wessex which now are still called the 'the tribe of the Juts'.

Here preposition *on* appears twice, both in connection with the idea of rest (with the dative). The idea of rest appears as well in the verb *eardian governing both prepositions*, a verb in connection with *standan*, both meaning not an action but a static state of affairs. So the cause of the presence of the dative in both cases is the character of the verb. There is then no expression of place.

Examples with *ofer*.

855. *And þý ilcan ġēare ġe.bōcode Æþelwulf cyning tēoþan dǽl his landes ofer eall his rīċe Gode tō lofe.*

And that year king Æþelwulf published a grant giving the tenth part of his land all over his kingdom to the glory of God.

Ġe.*bocian* is an active verb. It describes the action of giving something by chart, that is, making it public and notorious. So the underlying conception is that something is to be executed in something else. Ġe.*bocian,* on the other hand, denotes an action already performed in something else. At the same time it is a transitive verb, that is, the action denoted by it, has to be executed in the noun phrase governed by the verb, thus in the accusative case, *tēoþan dǽl his landes ofer eall his rīċe. The only interpretation possible is based on the dynamic character of the action.*

867. *Hēr fōr se here of Ēast.englum ofer Hymbre.mūþan tō Eoforwic.ċeastre on Norþ.hymbre.*

Then the army went from the land of Essex to the estuary to the estuary of river Humber to York against the Northumbrians.

Ofer in the example clearly stresses the idea of motion in the verb *faran*. In this sense the function of preposition *ofer* is very similar to the one of the following preposition *tō.*

Preposition *on* appears as well in its original function of expressing motion*, on Norþ.hymbre,* a proper name, masculine plural, in the accusative, 'against the Northumbrians'. Verb *faran* governs the whole sentence.

The idea of place with preposition in

The idea of motion/rest in some way or another was always present in the use of *on* and *ofer*. Because of this the ideas of place and time, so important after the 12th century, were neglected in favor of the idea of motion/rest. In other words: the ideas of place and time were of very little interest in the period. The idea of place appeared with preposition *in*, which was very seldom used in contraposition with *on* and *ofer*:

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[110] This topic will be discussed later on, cf. § 5.5.

455. *Hēr Hengest and Horsa fuhton wiþ Wyrtġeorne þǽm cyninge in þǽre stōwe þe is ġe.cweden Ǽglēs.þrep.*

The Hengest and Horsa fought with King Wyrtgeorne in the place which is called Ebbsfleet.

In this example the idea of place is clearly expressed, first with preposition *in*, and second, with the expression of the word *stōwe*. But the idea of motion is expressed as well in the verb the influence of which does not affect the expression of time.

The same procedure is expressed in

457. *Hēr Hengest and Æsc fuhton wiþ Brettas in þǽre stōwe þe is ġe.cweden Crecgan.ford.*

Then Hengest and Ash fought against the British in the place which is called Crayford.

495. *Hēr cōmon twēġen ealdor.menn on Bretene, Cerdic and Cynrīċ his sunu, mid fīf scipum, in þone stede þe is ġe.cweden Cerdices.ōra;*

Then two chiefmen came in Britain, Cerdic and *Cynrīċ his son, with five ships, in the place which is called the Banks of Cerdic.*

501. *Hēr cōm Port on Bretene and his twēġen suna Bieda and Mǽgla, mid twǽm scipum, in þā stōwe þe is ġe.cweden Portes mūþa.*

Then Port came to Britain along with his two sons Bieda a Magla, with five ships, in the place that is called Portsmouth.

The first example with preposition *in* governs the dative, and second and third ones, the accusative. That is, the first on has to do with the idea of rest, something that can be connected with the idea of place, but the second and third ones strengthen the idea of motion, something contrary to the idea of place. That is and said in other words, the expression of motion was something with no connection with the expression of place.

At the same time it is interesting to realize that in all examples with *in*, apart from governing the dative or the accusative, they are accompanied with the specification of the head of the prepositional phrase (*stōw* and *stede*, both meaning place with small differences: *stōw* can be said of place in general, a passage in a book for example; and *stede* just meaning place). This fact, for me, means that the use with preposition *in* was not firmly established in the language at the time, because it was an exception in the concept it denoted, being motion the real thing to be expressed with nearly all verbs. The use of both the dative and the specification of the object of the preposition *in*, means repeating the same idea: it was not enough to use preposition *in*.

The following example may show instability of the general rule said above:

514. *Hēr cōmon West.seaxe in Bretene, mid þrim scipum in þā stōwe þe is ġe.cweden Cerdices.ōra. and Stuf and Wihtgār fuhton wiþ Brettas and hīe ġe.flīemdon.*

Then the West Saxons [on the continent] came to Britain, with three ships in the place that is called Cerdic.shore; and Stuff and Whitgār fought against the British and they [the British, that is, the Celts] were put to flight.

This example can make us conclude about the problems posed so far. The idea of motion is present in verb *cuman* or *ġe.cuman*; the expression of place with *in,* needs specification but that specification governs the accusative, because of the influence of the idea of motion in the verb.

The expression of place in Old English may be considered to have started with the dative. Since the presence of the idea of motion was very strong as clues of meaning added in nearly all verbs, the expression of the contrary, the idea of rest, in connection with the idea of place, was neglected especially when the verb governed the accusative. In order to introduce the idea of place within the sphere of verbs of motion it was necessary to specify the sense of

it. On the other hand, words meaning place such as *stede*, in connection with verb *standan*, 'stand', and *stow*, 'place', were very appropriate since both introduced the idea of rest. The idea of motion constituted the usual way of thinking, the underlying mode of thinking in Old English, but the idea of place was in direct opposition to the expressive interests of the Anglo-Saxons.

Prepositions *on* and *ofer* and the idea of time

As I said, the idea of time is possible with prepositions *on* and *ofer* because the adjunct of time is not affected with the idea of motion and viceversa. In this sense the expression of time appears as something apart with respect to the action denoted by the verb.

> *449. Hēr Martiānus and Valentīnus on.fēngon rīċe and rīcsodon seofon winter. And on hiera dagum Hengest and Horsa, fram Wyrtġeorne ġe.laþode, Bretta cyninge, ġe.sōhton Bretene on þǽm stede þe is ġe.nemned Ypwines.flēot.*
>
> Then Martianus and Valentinus took power and reigned for seven years. And on their days Hengest and Horsa, invited by Wyrtġeorn, the king of the British, reached Britain in the place that is called Ebbsfleet.

Here we have the idea of time expressed with preposition *on* and the dative.

> *865. se here hine on niht ūp bestæl and ofer.hergode ealle Cent ēastevearde.*
>
> The army went up against him furtively during the night and ravaged all over the eastern end of Kent.

Preposition *on* stresses the idea of motion denoted by the verb *be.stellan,* but that idea does not affect the adjunct of time with *on*.

Evolution in the loss of inflexions

I said earlier that the period known as Middle English, the period when the changes affecting the loss of inflexions occurred, you could distinguish four states of the language: the initial language spoken in the 11th and 12th centuries, the language spoken in the 13th century, 14th century and 15th century. Now we are going to comment texts of the different states of the language referred to.

The language in the 13th century.

The Fox and the Wolf[111]

> A vox gon out of þe wode go
> Afingret so þat him wes wo
> He nes neuere in none wise
> afingret erour half so swiþe.
> He ne hoeld nouþer wey ne strete
> For him wes loþ men to mete.
> Him were leuere meten one hen
> þen half an oundred wimmen.
> He strok swiþe oueral
> So þat he ofsei ane wal.
> Wiþinne þe walle wes on hous.
> The wox wes þider swiþe wous
> For he þohute his hounger aquenche
> Oþer mid mete oþer mid drunche.

> A fox gone out of the woods would go

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[111] Written in the early 13th century in a Southern dialect.

So hungry that he was miserable
He had never been in such a way
As hungry before, half as he was
He did not go through any way or street
Since for him it was loathsome to meet people.
For him it was more bearable to meet one hen
Than half a hundred women.
He would go anywhere and everywhere
So that he saw a wall in the distance
Within the wall was a house
The wolf-fox was there very miserable
For he thought to quench his hunger
Either with meat or with drink.

Relevant facts in the evolution of the language in connection with thought

The indefinite article. As we saw the indefinite article determines nouns in such a way that makes them to denote, not the class of objects, but a particular individual object. The indefinite object was introduced in the language at this time. In the poem there appears only an indefinite individual object, *A vox*. There appear as well nouns denoting classes of objects, *wimmin, loþ, men, mete, drunche*.

The indefinite article was formed with the Old English numeral *ān*, thus appearing in different forms, the reduced form *a* (*a vox), ane* (*ane wal*); *ān* (*an oundred wimmen*) and even in the Northern variety *one* (*one hen*) and *on* (*on hous*). The means to determine the noun was the numeral. The numeral had a very effective individualizing and determining effect on the noun. But the effect of this use was that the noun did not denote the class of *foxes, walls, hens and houses*, but an individual item of the class of foxes, walls, hens or houses. It is interesting to remark that in the text the numeral *ān* (*an oundred wimmen*) is used with the same form as the newly introduced determiner. At the same time the old procedure of nouns referring the class appears several times, *loþ, men, wimmen, mete, drunche, wo.*

Since this individualizing and determining effect was new, the function of the now called definite determiner, *þe* (reduced from *sē, sēo, þæt* + the ending of *sē* < þ+ē), was redefined in its function together with nouns denoting classes. Nouns with the indefinite article denote individual objects; nouns with the definite article are determined to reduce their potentiality of designation, and nouns with no determiner denote mass nouns. In the poem there appears only one noun with the determiner, *þe wode*, nouns denoting the class, *loþ, men* and *wimmen*, and nouns denoting mass nouns, *mete* and *drunche*. This distinction which would be the rule later on, was the effect of introducing the numeral as the instrument to individualize and particularize the noun thus forming the new determiner.

In the text the subjunctive appears in *go* (*A vox gon out of þe wode go* (from *gān*); *gon* comes from the past participle *gangiende*), to indicate that it was about an object of thought not a real object, something very frequent in Old English.

Since particular individualizing and determining objects have been created with the indefinite article, *multiple negation* appears (*He nes neuere in none wise*). In Old English, since you spoke of classes of objects, multiple negation was unnecessary. In the paragraph, the same as with Old English, negation contracted with the most usual forms of the verb and indefinite pronouns.

Apart from this it is worth mentioning the influence of French in *oundred*, in pronunciation. This means that the Anglo-Saxons, since they had accepted the mode of thinking singularizing and particularizing things, accepted some features having to do the

pronunciation of words. However so far, at this period, they had not accepted anything having to do with vocabulary, something to come after this moment on.

The language in the 14th century

The General Prologue to The Canterbury Tales[112]
Whan that April with his showres soote
The droughte of March hath perced to the roote,
And bathed every veine in swich licour,
Of which vertu engendered is the flowr;
Whan Zephyrus eek with his sweete breeth
Inspired hath in every holt and heeth
The tendre croppes and the yonge sonne
Hath in the Ram his halve cours yronne,
And smale fowles maken melodye
That sleepen al the night with open yë-
So priketh hem Nature in hir corages-
Thanne longen folk to goon on pilgrimages,
And palmeres for to seeken straunge strondes
To ferne halwes, couthe in sondry londes;
And specially from every shires ende
Of Engelond to Canterbury they wende,
The holy blisful martyr for to seeke
That hem hath holpen whan that they were seke.
Bifel that in that seson on a day,
In Southwerk at the Tabard as I lay,
Redy to wenden on my pilgrimage
To Canterbury with ful devout corage,
At night was come into that hostelrye
Well nine and twenty in a compaignye
Of sondry folk, by aventure yfalle
In fellaweshipe and pilgrimes were they alle
That toward Canterbury wolden ride.
The chambres and the stables were wide,
And shortly, whan the sonne was to reste,
So hadde I spoken with hem everchoon
That I was of hir felaweshipe anoon,
And made forward erly for to rise,
To take oure way ther as I you devise.
But nathelees, whil I have time and space,
Er that I ferther in this tale pace,
Me thinketh it accordant to resoun
To telle you al the condicioun
Of eech of hem, so as it seemed me,
And whiche they were and of what degree,
And eek in what array that they were inne:
And at a knight thanne wol I first biginne.

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[112] Written in the so-called London English dialect.

Relevant facts in the poem in connection with thought.

In connection with thought, the most relevant fact in the poem is still the use of prefix -*ge* with verbs, *yronne, yfalle*, but in the past participle, now existing as a stylistic means of expression coexisting with the use of the past participle without prefix ge-*, inspired hath* […] *the tendre croppes*, *The droughte of March hath perced to the roote*. That is, in the new conception of things, things in as much as they stand in front of us, existing by themselves, can have finished and unfinished processes both coexisting side by side. As a matter of fact, later on, at the end of the Middle English period, there appeared perfect tenses, the means of expression to express finished and unfinished uses of verbs. Even more: actions could be developed as well as in progress, that is, in progressive forms and considered from different points of view, the passive voice, which were introduced as well.

The acceptance of the new conception of things as something objective and existing in themselves made easier to accept French words than earlier. That is, three hundred years after the coming of the French invaders, the presence of French words was accepted without any discussion, something not having occurred just at the beginning. This involved a fact new to the language: the adoption of French words did not mean rejecting or superseding Anglo-Saxon words. It is the case of *chambres* instead of *rooms*, in the text.

The language of the Scotts in the 14th century
   The Praise of Freedom[113]
               A fredome is a noble thing
               Fredome mays man to haiff liking
               Fredome all solace to man giffis
               He levys at es yat frely levys
               A noble hart may haiff nane es
               Na ellys nocht yat may him ples
               Gyff fredome failghe, for fre liking
               Is gharnyt our all over thing.
               Ne he yat ay has levyt fre
               May nacht knaw weill the propyrte
               Ye angyr na ye wrechyt dome
               Yat is cowplyt to foule thyrldome
               Bot gyff he had assayit it.
   The Praise of Freedom: Word-for-word Translation.
               Ah! Freedom is a noble thing
               Freedom may make men to have election
               Freedom gives men all rest
               He who lives at ease, freely lives
               A noble heart may have no tranquility, peace
               Or anything else that may please him
               If freedom fail, for free election
               Is yearned over all other things.
               He who certainly has lived free
               May not know the property at all
               The anger or the misery
               That is, together with the base slavery
               Unless he had assayed it.

---

[113] This poem, belonging to a Northern variety of Middle English, spoken in the Lowlands, called Inglis at the time, was written in about 1375 by John Barbour, the Archdeacon of Aberdeen, who had studied and taught in Oxford and Paris.

Relevant facts in the poem.

I am introducing this poem to stress the significance it has in the way of thinking. The poem is in a variety of English in the 14th century, Scott English, called Inglis at the time. It was written by a Scottish priest and directed to Scottish people. That is, it is written by and aimed to people who had had the direct influence of the Romans and Christianity thus preserving their primitive way of thinking, although they had accepted the language coming form the South. My purpose in introducing this poem is comparing the different degree of abstraction manifested in both texts.

The poem speaks of something considered to exist objectively and existing in itself. In this sense it constitutes an object of saying, something worth considering in itself, freedom. For a westerner, someone who conceives of things as if they existed in themselves objectively and constituted something there in front of you, freedom exists and is there challenging us to attain it. *Fredome* is an abstract word occupying the highest degree of abstraction, just the contrary of concrete things such as *vox*, *house*, *hen*, etc. Other abstract concepts in the poem, *solace, fre liking, es, angyr, wretchyd dome*, and *thryldome*, have a very high degree of abstraction as well. That is, these are the concepts the Scottish of the time could manipulate mentally, not yet the Anglo-Saxons. The Scottish had accepted the language coming of South but kept their original way of thinking.

Conclusion

Language change is nothing but the behavior of speakers who speak because they have something to say, who say because they are able to know, and who know because they conceive of things in a particular way. The conception of things, something learnt by speakers from their speech community, is such a radical attitude in speakers that constitutes and determines anything having to do with humans, thus constituting their historical way of thinking.

Language change has causes, but those causes, as Coseriu would say, are internal to the activity of speaking. Nothing is more internal to the activity of speaking in speakers that the way they conceive of things.

The series of changes known as the loss of inflexions, meant nothing but a change in the mode of thinking of the Anglo-Saxons who, conceiving of things as events, started considering them as something existing there, something in front of them, existing in itself objectively, confronting them either to achieve or reject. This fact can help us understand the depth of the changes operated in the language.

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THE SPLENDOR OF ALMERIA IN THE ELEVENTH CENTURY DURING THE PERIOD OF THE *MULUK AL-TAWA'IF* (KINGS OF TAIFAS)

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Abstract

In this year 2014, is celebrated the Millennium of one of the most important periods in the history of Almeria, i.e. the Taifa Kingdom, in which an economic, social and cultural splendor was got, never before achieved. Three people were the main architects of this progress during the eleventh century in Almeria: Khayran, Zuhayr and Al-Mu'tasim. This paper is an approach to the study of this glorious moment in the history of Almeria due to the achievements of these three relevant personages.

Keywords: The Taifa Kingdom of Almeria in the eleventh century, Khayran, Zuhayr, Al-Mu'tasim, Millennium of the Kingdom of Almeria

Preliminary notes

In the early eleventh century, around the year 1009, took place the beginning of the fragmentation of the Umayyad Caliphate of Cordova. During this period, called in Arabic *fitna*, there was a political, social, economic and cultural breakdown, as well as the gradual appearance of a large number of independent territories which are known as *Tawa'if* (Taifas) (Dozy, 1849; Dozy, 1877). Each Taifa was leaded by one of the three castes existing in the Andalusian society of the moment: Arabs, Berbers and Slavs (Gayangos, 1840-1843). That is to say, there were Arab Taifas, such as those of the Banu Hud from Zaragoza, the Banu 'Abbad from Seville, the Banu Yahwar from Cordova or the Banu Sumadih from Almeria, etc; Berber Taifas, such as those of the Banu Aftas from Badajoz, the Banu Hammud from Malaga and Algeciras or the Zirids from Granada, etc; and Slavic Taifas, such as those of the *fatàs* Mubarak and Muzaffar, in Valencia; Labib, in Tortosa; Mujahid, in Denia and the Baleares; and Khayran and Zuhayr, in Almeria (Viguera, 1992).

Since the Taifa of Almeria was Slavic in the first stage, before all I will refer to them.

The Slavs, the *saqaliba*, were captives from Europe and Orient. Many of them were intended to be eunuchs. They were castrated by the Jews, probably in Lucena, and were sold very expensive for positions in domestic services and harem, even the Caliphate guard. Although they were slaves, most were freed, becoming then *mawali* (clients), and took the name of the adoptive family; and, in this case, reached positions of some responsibility in the administration and the Caliphate army. Some less, as Khayran and Zuhayr, became governors. The Slavs were involved in diverse important events throughout the history of medieval Islam, but is now in the eleventh century when they had a very prominent role in al-Andalus since, as I said, they leaded some Taifas.

The Slavic kingdom were mostly loyal to the Umayyad cause and the Amirid dynasty. Their rulers, in spite of having absolute power over the territories under their domination, never took the title of *King* but they named themselves as *Hajib* (chamberlain), the same title adopted by Ibn Abi Amir Almansor, the well-known father of the Amirid family which had absolute power in the Caliphate of Cordova during the final third of the tenth century and

early in the eleventh. In fact, they were regarded themselves as descendants of Amirids and their representatives in the territories under their rule (Dozy, 1932).

The Taifa Kingdom of Almeria (1014-1091)

In the Taifa of Almeria (1014-1091), we can distinguish three stages (Tapia Garrido, 1991):

1) *Slavic stage* (1014-1038)
- Rulers:
  - ➢ Khayran (1014-1028)
  - ➢ Zuhayr (1028-1038)

2) *Stage under domination of the Kingdom of Valencia*, in which the Taifa of Almeria belonged to the Taifa of Valencia (1038-1042)
- Rulers:
  - ➢ 'Abd Al-'Aziz Ibn Abi 'Amir (1038-1042)

3) *Arabic stage under the Banu Sumadih dynasty* (1042-1091)
- Rulers:
  - ➢ Ma'n Ibn Muhammad Ibn Sumadih (1042-1052)
  - ➢ Abu Yahyà Muhammad Ibn Ma'n Ibn Sumadih Al-Tujibi, known as Al-Mu'tasim (1052-1091)
  - ➢ Mu'izz Al-Dawla (1091)

Three people were the main architects of the splendor of Almeria in the eleventh century: Khayran, Zuhayr and Al-Mu'tasim (Castro Guisasola, 1930).

Khayran Al-'Amiri (1014-1028)

Khayran was a Slavic eunuch, Almansor's confidant attendant in Cordova. In recognition of his services and his fidelity, Almansor (or perhaps his son 'Abd Al-Malik Al-Muzaffar) made him governor in the cora of Almeria, one of the most important in al-Andalus because its capital was the naval base of the Cordovan Caliphate. In 1009-1010, Khayran goes, in company of other Slavic generals, to Cordova immersed in a deep crisis and in serious conflicts of fragmentation, in order to support of Caliph Hisham II since, as I said, at the beginning he was loyal to the Umayyad cause. By leaving Almeria, he appointed as governor to one of his fellows named Aben Hamit, who shortly after was replaced by another Slav, Ibn Aflah, who, according to some, was the first regulus of Almeria from 1012. A stage of confusion appears in which another personage, the Berber Ibn Rawis, tried to take power. Khayran, who had been alerted by Aben Hamit, finished with this situation: effectively, he headed towards Almeria and besieged it for 20 days; and, after winning to these enemies and killing Ibn Aflah and his sons, he proclaimed in July of 1014 the independence of Almeria, starting one of the most glorious moments in its history.

Politically, he was immersed in many conflicts with neighboring kingdoms and he was proposed to extend his dominions with annexing the nearest territories such as Murcia, Orihuela and Jaen, and later, by the areas of La Mancha, to the North, and Valencia, to the East.

He held in Almeria new constructions and the expansion of the already existing ones. During his reign, Almeria got the status of capital that would retain until its conquest by the Catholic Kings, Ferdinand and Isabella, in 1489.

Among his accomplishments, we have:

a) He ordered the construction the wall of neighborhood called as *Musallà*.

b) He rebuilt the Alcazaba from the ground and gave it its current perimeter. This reconstruction was so considerable that from then the Alcazaba was known as "the Fortress of Khayran".

c) He enlarged the Great Mosque with two new naves.

During his reign, Almeria had a great demographic development due to the economic progress based mainly on Macael marble and luxurious fabrics of silk, gold and silver which were exported all over the Mediterranean Sea through its port.

In this time, Almeria began to be host land of writers and men of *belles lettres*, such as, for example, the renowned Cordovan polygraph Ibn Hazm (994-1064) and the well known Berber poet from the Algarve and Almansor Court's official bard, Ibn Darraj Al-Qastalli (958-1030), who dedicated some panegyrics to Khayran (Garulo, 1998).

At his death, in 1028, after fourteen years of reign, he was succeeded by his companion and protege Zuhayr.

Zuhayr Al-'Amiri (1028-1038)

Zuhayr was another Slavic eunuch belonging to the family of Almansor. He reigned in Almeria during ten years, continuing the work of progress and splendor initiated by his predecessor Khayran. He was, like Khayran, a great military and politician; and, before inherit the kingdom of Almeria, he was governor in Tudmir and lord of the feuds of Jaen, Baeza and Calatrava. His reign was shortly peaceful due to the continuous wars with other Taifas, especially the Zirids from Granada.

According to some historians, for example Al-Nuwayri (Gaspar Remiro, 1915), Zuhayr extended his dominions until Xativa, by the East, and until the boundaries of Toledo, by the North, and he remained them until his death with an absolute power and authority, even managing to mint coins to his name.

Among his achievements, we have:

a) He ordered to close the wall of the *Musallà* suburb by the beach side. According to some, he also commanded to build the wall in the *Al-Hawd* suburb but no evidence of it, as only is known that it was built before 1085.

b) According to Al-'Udhri (Ahmad Al-'Udhri, 1965), he enlarged the Great Mosque adding two more naves to the five existing.

c) He strengthened the economy of the Great Mosque assigning it the rents of the surrounding shops and stores.

d) He commanded to build an underground canal that brought water from the fonts of Alhadra, which were discovered in times of Khayran, to the cisterns built close to the so-called Gate of Pechina. These cisterns were constructed by Zuhayr although, according to some, for example Al-Himjari (Levi-Provençal, 1938), Khayran was who ordered their construction. In anywway, these cisterns are known as the Aljibes of Khayran.

Al-Mu'tasim (1052-1091)

Al-Mu'tasim ascended to the throne at the age of fourteen years and for three years took place the regency of his uncle Abu 'Utba.

His long reign was characterized, like that of the previous rulers, by continual strifes with the Christian kingdoms and the other Muslim Taifas, especially the Zirids of Granada and the Banu 'Abbad of Seville, as well as several agreements and pacts according convenience.

Although Al-Mu'tasim did not neglect his assignments as a king, statesman and politician, he is more known in history for his role as Maecenas or protector of poets, scholars and writers. He himself was a poet (Ibn Al-'Abbar, 1887-1889).

 On the death of Zuhayr, were lost many territories of Almeria which passed to other Taifas, such as Granada and Denia. This loss of lands increased, so that at the time of Al-Mu'tasim the Taifa of Almeria was practically reduced to the current Spanish province. However, this did not prevent the economic, social and cultural apogee of the Taifa kingdom

in the epoch of Al-Mu'tasim. In fact during his rule took place the definitive economic rise of Almeria until becoming the first commercial port of Muslim Spain and one of the most important ports in the Mediterranean Sea, coveted even by Catalans and Genoeses.

In the eleventh century was overflowed in Almeria industrial activity in craft workshops and, when these workshops could not meet the growing demand of traders and merchants, the industrial activity spread to the other regions of the Spanish South East and the products found the natural exit through the port of Almeria, with a profit which converted the citizens of Almeria in the richest ones of al-Andalus and its rulers in the most coveted ones of all the sovereigns of Spain by the tithes received.

Therefore Al-Mu'tasim, with the money that remained after paying the tribute to the Zirids of Granada, could improve the water supply, build two palaces and welcome all poets, scholars and writers who sought his hospitality.

Effectively, he ordered the construction of an underground conduction channel of water from the Aljibes of Khayran to the city center and he built a public font close to the Great Mosque from which began to emanate water for the first time on the 27th of July of 1066; and later, from this public font to the Alcazaba, moving it up by means of some wells. He also transformed the surly and solid construction of the Alcazaba (the Fortress of Khayran') in a marble palace surrounded by gardens and orchards, along with another building that served as the seat of government and the barracks. Besides he commanded to construct the *Sumadihiyya*, a recreation property located at the entrance of the Valley of Pechina, where he used to retreat with his friends the poets and the writers hosted your hospitality.

Al-Mu'tasim indeed surrounded himself with a literary court that had fame and prestige at that time and competed with the famous literary court of Al-Mu'tamid, King of Seville. The gatherings of Al-Mu'tasim's renowned literary court were usually held in the *Sumadihiyya*.

Ibn Sa'id Al-Maghribi (Ibn Sa'id, 1953), Ibn Bassam (Ibn Bassam, 1939-1975) and Ibn Khaqan (Ibn Khaqan, 1990), among others, give information about the artists who frequented the literary court of Almeria, all of them well known in the history of the literature of al-Andalus (González Palencia, 1945; Rubiera Mata, 2004). Thus among the poets, we have: Ibn Al-Haddad, from Guadix in Granada; Al-Sumaysir, from Elvira in Granada; Ibn Ukht Ganim, from Malaga; Al-Nahli, from Badajoz; Ibn Sharaf, from Berja; Ibn 'Abd Al-Samad; Ibn Billita; the panegirists of Al-Mu'tasim: Abu Ja'far Ibn Al-Jarraz and 'Umar Ibn Al-Shahid; Muhammad Ibn 'Ubada Al-Qazzaz, from Malaga, author of *muwashshahas*; the sons of Al-Mu'tasim: Umm Al-Kiram, Rafi' Al-Dawla, Abu Ja'far Ahmad and 'Izz Al-Dawla; Al-Mu'tasim's slave girl: Wayalmana; Abu-l-Asbag Ibn Arqam, etc. Among the prose writers, we have: Ahmad Ibn Burd Al-Asgar, from Cordova, author of *maqamas* and epistles, written in rythmed prose; the already mentioned as a poet, 'Umar Ibn Al-Shahid, who is also author of *maqamas* in rithmed prose; the historians: Ibn Abi-l-Fayyad and Ibn Mudayr Al-Azdi; the historians and geographers: Al-Bakri, from Huelva, and Al-'Udhri, from Dalias in Almeria; the expert agronomist and poet, Al-Tignari; etc.

Conclusion

Almeria reached in the eleventh century during the Taifa Kingdom an economic, social and cultural apogee that never would get to have in another time in its history. And this was possible thanks mainly to the work of three important historical figures: Khayran, Zuhayar and Al-Mu'tasim. This current year 2014, thousand years after its initiation, the Millennium of Kingdom of Almeria is commemorated ([Internet1], 2014) because, owing to the splendor and the prestige achieved then, well worth the celebration of the different events scheduled ([Internet2], 2014).

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CLIMATIC VARIABILITY AND CROP PRICE TRENDS IN WEST TENNESSEE: A BIVARIATE GRANGER CAUSALITY ANALYSIS

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Abstract

Weather aberrations like drought and extremely high temperatures have been associated with adverse impacts on crop yields particularly in agricultural production areas that extensively rely on rainfall. Extremely dry weather accompanied with low or negligible precipitation often leads to crop failure, resulting in decline of supplies and increasing crop prices. Among the recent climatic events of importance, U.S agriculture as a whole experienced one of its worst droughts in mid-year 2012 over a three decade horizon. The 2012 drought had serious implications particularly in the major production areas of Midwest and Southeast U.S damaging vast portions of field crops like corn and soybeans subsequently leading to increase in farm prices. The objective of this study is to conduct a bivariate granger causality analysis for climatic indicators causing soybean price changes over a study period from 1975-2013. The results indicate that a significant causality was detected for precipitation impacting commodity price movements for soybeans. No significant evidence was obtained for the presence of Granger causality between temperature related indicators (maximum, minimum, and average) and soybeans prices. The outcome of this study provides an initial insight into the causality between climatic indicators and commodity price movements for soybeans in the study region, and emphasizes the existence of causality for commodity prices by precipitation changes as compared to changes in temperature, especially in the absence of irrigation based production in the region.

Keywords: Climatic variability, Granger causality, Precipitation, Soybean prices, Temperature, West Tennessee

Introduction

Weather aberrations like drought and extremely high temperatures have been associated with adverse impacts on crop yields particularly in agricultural production areas that extensively rely on rainfall. Changes in crop yields impact crop prices which influence the regional production systems and the overall agricultural economy. Extremely dry weather accompanied with low or negligible precipitation often leads to crop failure, resulting in decline of supplies and increasing crop prices. This is also crucial to consumers because higher crop prices typically lead to higher retail prices. Among the recent climatic events of importance, U.S agriculture experienced one of its worst droughts in mid-year 2012 over a three decade horizon. According to the U.S. Department of Agriculture [7] 80 percent of agricultural land in the United States experienced drought conditions in 2012, with the month

of July being the warmest throughout the country in the last hundred and thirty years. The 2012 drought had serious implications for major field crops damaging major portions of crops in the Midwest and Southeast particularly field corn and soybeans [7]. This subsequently led to increase in the farm prices of corn, soybeans, and other farm commodities. The above information highlights the fact that climatic aberrations can influence the market prices of commodities in areas of significant production. In Southeast U.S, particularly in the state of Tennessee, soybeans production is of significant economic importance among row crops due to high planted acreages. The crop accounts for the largest planted row crop acres in Tennessee, with over one million acres grown annually, and ranks in the top three for cash receipts for row crops [18]. The average statewide yields for soybeans range from 2200-2800 kilograms per hectare. Most soybeans are grown in Western and middle Tennessee counties under rainfed conditions and over 80% are grown in a no-till or conservation tillage system with yields being heavily dependent on rainfall [18].

Numerous agronomic studies have been conducted in the past to determine the response of soybean crop to water and temperature stresses [19]. Soil moisture stress throughout the growing season results in reduced leaf area, leaf duration, crop growth rate, shoot dry matter [21], number of pods per square meter, and number of seeds per pod [20]. Number of pods has been found to be the most sensitive component to drought stress [22], while seed weight is least affected by drought. It has also been found that moisture stress impacts on soybean yields differ from one variety to the other [19], and absolute yield reductions can vary from 1.0 megagram per hectare (Mg/ha) in the most sensitive varieties to 0.2 Mg/ha (3.0 bu/ac) in the least sensitive varieties [23]. Adequate water is imperative after full bloom and during the pod fill stage for maximum yields in soybeans [27]. It has also been found that with rise in air temperature, the rate of development increases, which may in turn result in shorter durations of various stages, such as seed fill and impact yields negatively. Further, night temperatures also impact seed growth, and specific studies reveal that temperatures less than 10°C [24] and greater than 28°C lead to a reduction in seed growth. Also, the effects of low night temperatures on soybean pod set were not offset by high daytime temperatures [25].

Given the above argument about the influence of climatic variability on crop production which in turn impacts crop prices, it becomes imperative to understand the causality between the two, particularly for high soybeans production areas in the state of Tennessee. This investigation becomes inevitable given the limited literature and regional studies for the state of Tennessee that address climatic influence on agricultural production of row crops. However, it is important to note that crop prices are not just a function of production parameters, and are influenced by other exogenous factors like farm programs, and crop insurance programs. Programs like direct payments and crop insurance subsidies are government tools to stabilize food prices for consumers while protecting farmers from weather-related losses. Recent statistics reveal that the Federal crop program insured $117 billion worth of crops for the year 2012, including almost all the corn, soybeans, cotton and wheat grown in the U.S, and made a record $14 billion worth of payouts and subsidies in 2012 [26]. This is a heavy price to pay on behalf of the taxpayers, even if the instruments are intended to stabilize crop prices. These situations further emphasize the uncertainty that agricultural production brings along with the economic costs involved. Understanding the influence of climatic parameters especially in areas of rainfed production could be an initial step towards exploring the contribution of weather related uncertainty on crop price fluctuations. Therefore, this study starts with an initial exploration into the movement of historical crop prices with weather parameters, in West Tennessee as the study region. In the past, broader studies have been conducted for the Southeastern U.S including the state of Tennessee as part of the national climate assessment [4] and this study attempts to enhance

the currently available literature in the area of climatic variability assessment on agricultural production of economically important row crops like soybeans for the specific study region of West Tennessee.

According to the recently released Third National Climate Assessment for the Southeast U.S and the Caribbean [4], the agricultural sector is likely to experience uneven impacts on account of future climatic variability throughout the country including the state of Tennessee. This report also indicates that increasing temperatures will eventually nullify the initial economic gains derived from altered growing conditions, and events like regional droughts, water shortages, excess precipitation, as well as pest and disease incidences will negatively impact agriculture in most regions. Although, the report suggests that crop production may likely be increased for crops like soybeans due to an increase in three major climatic variables - temperature, precipitation, and carbon dioxide levels, extreme events such as heat waves, droughts, and floods, which are highly unpredictable bring forth a large amount of uncertainty for future agricultural productivity in the state of Tennessee. For instance, an early study by [6] revealed that climate variability can severely impact the overall profit margin in the Midwest states. The results indicated that an increase of 10-25 percent in the variability of temperature and precipitation would lead to increased agricultural losses in the range of 150 percent and above, even when holding average temperature and total precipitation increases constant. This could also lead to increased crop pests incidences, due to rising temperatures primarily resulting in higher wintertime lows which eventually would make the winters in the future incapable of killing off pest generations [16]. Furthermore, in a study by [17] it was found that lengthening of the warm season will allow greater numbers of pest generations to coexist. It has not been found yet how climate change will affect cotton and soybean crop pests, but a general conclusion is that crop pests incidences will become more prevalent with climate change [4]. From the point of view of the capacity of agricultural producers to adapt to these climatic changes, there are studies that bring to light the consideration that effects of climate change are likely to appear both in gradual terms and in episodic crises such as outbreaks of new pests and in the onset of severe droughts [28]. This study further suggests that historical records provide evidence in the favor of farmers being able to develop technologies to expand production into areas that were considered unsuitable on account of unfavorable climatic conditions. Also, while it is expected that technological advances will be able to counter some problems brought about by global warming, the ability of farmers to deal with events like episodic pest occurrences is still under question.

In light of the above information and past studies, it is evident that specific climatic information of regional emphasis in areas of high agricultural production in the state of Tennessee may be a starting point for understanding future climate variability and subsequent impacts in these areas. This study utilizes a bivariate granger causality approach to create a basis for future predictive studies which may be extremely useful for evaluating how future climate variability could impact agricultural production in West Tennessee. The specific objective of this study is to explore the granger causality between climatic indicators (like temperature and precipitation) and soybean crop prices, using West Tennessee as the study region. This becomes extremely important given the future projections of increasing temperatures and declining precipitation for most agricultural production regions in the country including the study area [12].

Experimental Section
Study area

The specific area chosen for this study is West Tennessee (Figure 1). Climatic data was gathered for the outlined counties (Figure 1: Weakley, Henry, Gibson, and Carroll) to derive representative observations for the study area.

Data

Observations for daily maximum, minimum, and average temperature and precipitation for individual weather stations in the study area are obtained from the GHCN daily legend (Global Historical Climatology Network) of the National Climate Data center [15]. Further, observations from different weather stations for the climatic variables of interest are averaged to represent a local climate for the study region. Monthly data for commodity prices for soybeans (historical prices received by U.S producers by marketing year) are obtained from the National Agricultural Statistics Service [14]. We use the study region's consumer price index (July 2013) to adjust the prices for inflation [3]. A descriptive statistics of climatic variables and soybeans prices in West Tennessee used in the study is provided in Table 1.
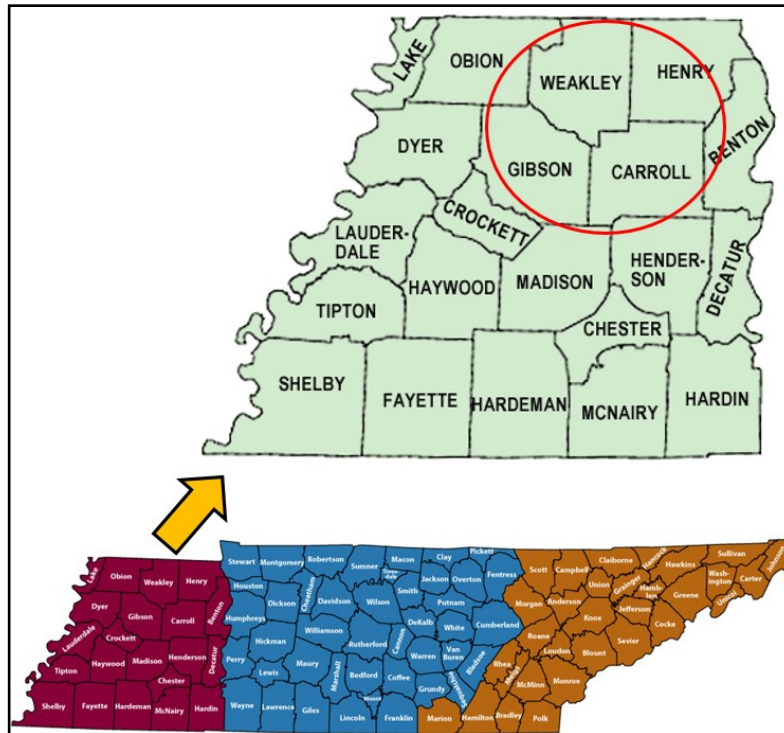
Figure 1. Study area depicting West Tennessee counties used for climatic analysis

Table 1. Descriptive statistics of climatic variables and soybeans prices in West Tennessee (1975-2013)

	Precipitation (mm)	Max temp (^{0}C)	Min temp (^{0}C)	Avg. annual temp (^{0}C)	Soybeans price ($/bu, 1 bu=27 kg)
Mean	111.82	21.64	9.45	15.55	6.81
Standard Error	2.85	0.15	0.12	0.13	0.37
Median	111.38	21.65	9.49	15.56	5.98
Std. Deviation	17.59	0.92	0.75	0.79	2.25
Range	68.63	5.60	4.47	4.70	10.02
Minimum	80.02	17.73	6.43	12.07	4.38
Maximum	148.65	23.33	10.90	16.77	14.40
Observations	38	38	38	38	38

Granger causality

The primary tool used in our analysis is the notion of Granger causality between two time series [9]. The Granger causality approach has been applied to climatic time series in several studies in various fields of interest. However, the literature on causality between climatic indicators and agricultural commodity prices is scarce. Some studies have utilized the concept of granger causality to evaluate agricultural market integration and performance as impacted by climatic shocks [1] [13]. The most relevant study to this analysis that utilized

a similar framework was conducted by [2], where they used granger causality to evaluate the trend changes in climatic parameters and agricultural production in Nigeria, as well as the dimension and linkage between the same. The results revealed that changes in rainfall positively affected agricultural production in Nigeria, while temperature, on the other hand, remained relatively constant and did not affect agricultural output. The Granger Causality test, according to [8], involved the estimation of the following pairs:

$$W_t = \sum_{t=1}^{n} \alpha_1 \ Z_{t-1} + \sum_{j=1}^{n} \beta_1 \ W_{t-1} + U_{1t} \tag{1}$$

$$W_t = \sum_{t=1}^{n} \alpha_1 \ Z_{t-1} + \sum_{j=1}^{n} \delta_1 \ W_{t-1} + U_{2t} \tag{2}$$

where U1t and U2t is a disturbance term; Wt represents climatic element at time t; Zt represents soybeans prices at time t; and t-1 represent lag variables. By this model, a variable that causes the order is identified. This leads to a regression model with a lag variable, which is given as:

$$Y_t = \beta_0 + \beta_1 X_1 + \beta_2 X_{t-1} + \beta_3 Y_{t-1} + U_t \tag{3}$$

where Yt is a dependent variable estimated by the Granger model (Wt or Zt); Yt-1, X t-1 are lagged dependent and independent variables; Ut is an error term. Before testing for causality, it is important to go through the process of testing for stationarity of a time series data, which can strongly influence its behaviour and properties. If the variables in the regression model are not stationary, then the standard assumptions for asymptotic analysis do not hold (like the t-distribution for the t-ratios) and the mean or variance is not constant as we go over progressive units in time. On the other hand, when a process is stationary, the distribution does not depend on time t. Thus the data is i.i.d (identically and independently distributed). The test for stationarity is carried out in terms of the unit root using a Dickey Fuller test [5]. The basic objective of the Dickey Fuller test is to test the null hypothesis that φ=1 in: Yt= φYt-1+ ut

H0: φ = 1 (φ (z) = 0 has a unit root)

H1: Series is stationary

If we fail to reject the null hypothesis of unit root for the time series in question, we conclude that the series is non-stationary and take differences to transform it into a stationary series. Subjecting the data to the Augmented Dickey Fuller (ADF) test, we fail to reject the null hypothesis of unit root for the climatic indicators as well as soybean crops prices and conclude that the series is non-stationary. We further take first differences of each of the climatic variables as well as crop prices to transform the data and again apply the ADF test. The first differenced values show stationarity and we go ahead and proceed with the analysis. The plots for the climatic indicators and prices as well as their first differenced values are provided in Figures 2, 3, 4, and 5.
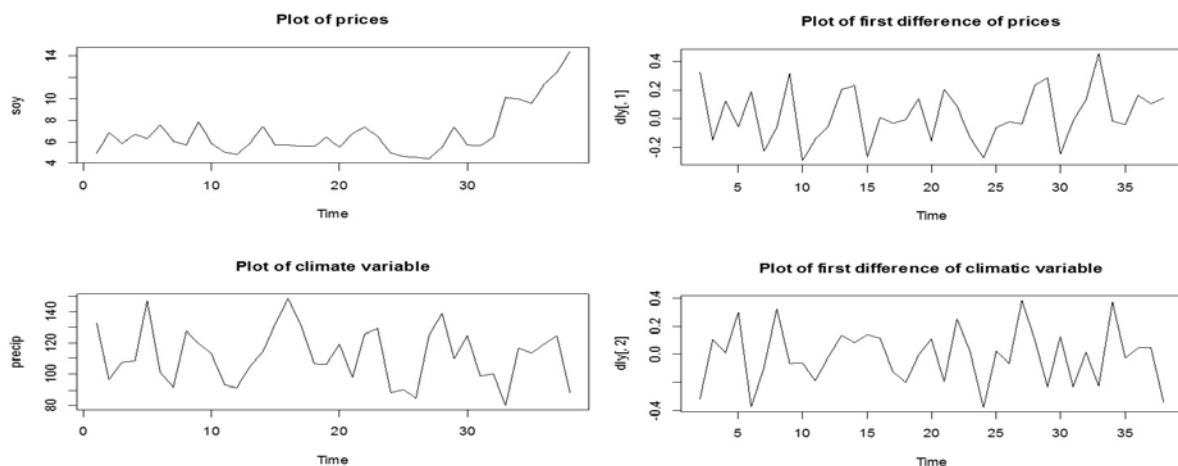

Figure 2. Plot of a). Soybean prices and precipitation (mm), and b). First difference of prices and precipitation (mm)
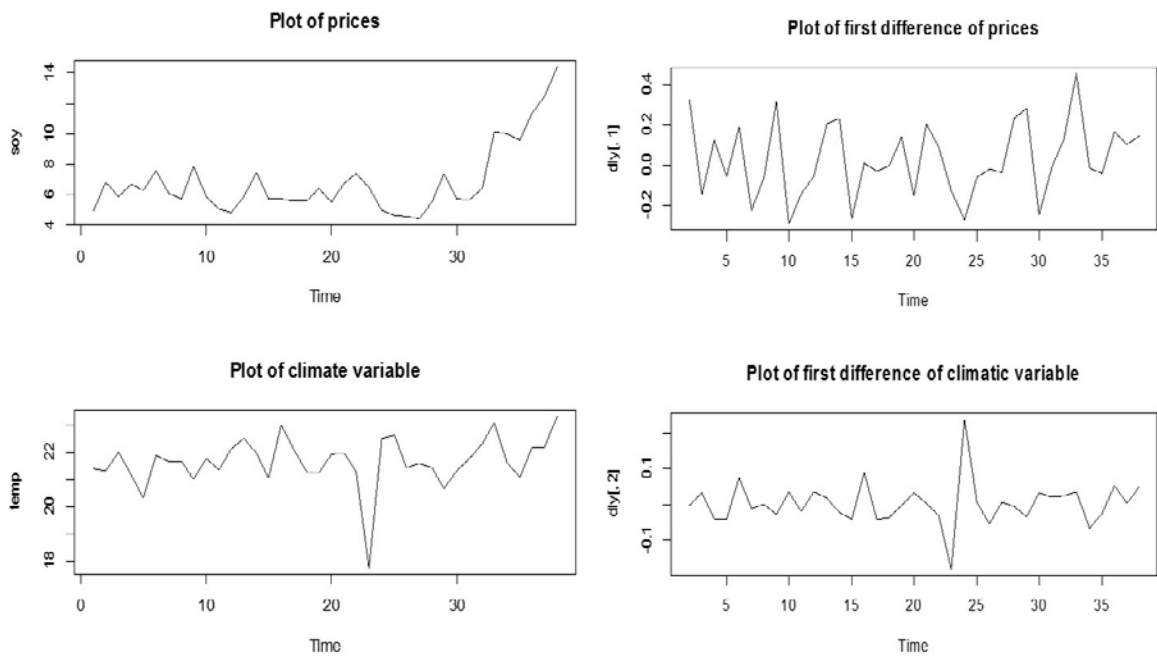
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Figure 3. Plot of a). Soybean prices and maximum temperature (0C), and b). First difference of prices and maximum temperature (0C)
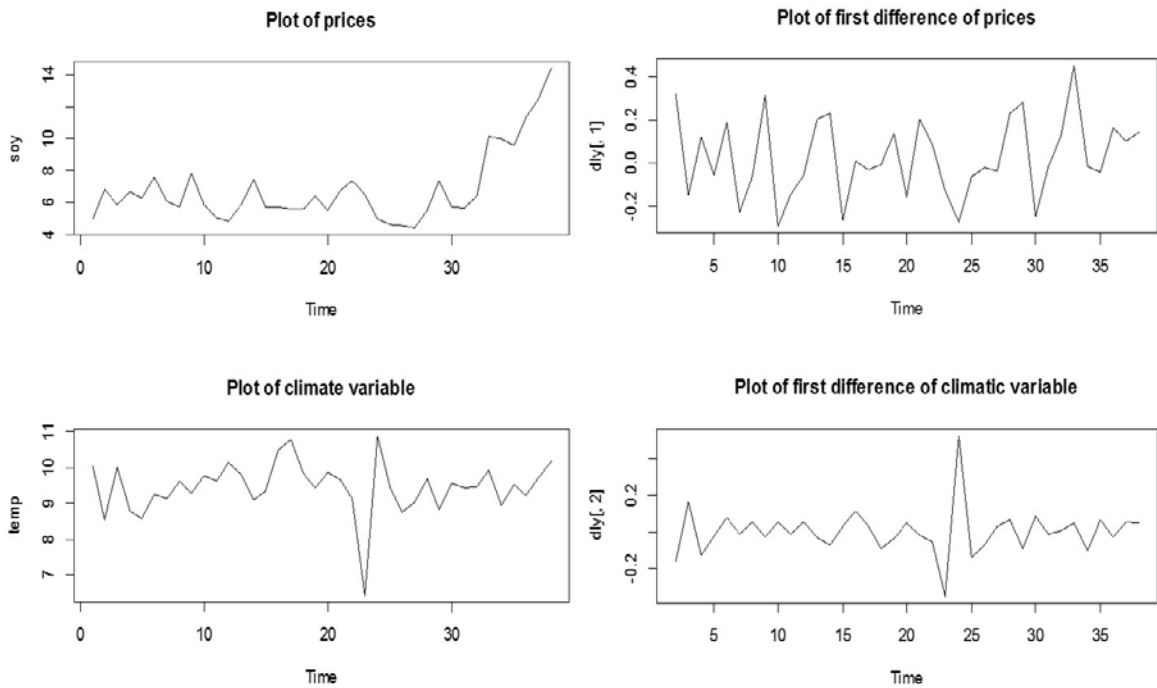

Figure 4. Plot of a). Soybean prices and minimum temperature (0C), and b). First difference of prices and minimum temperature (0C)
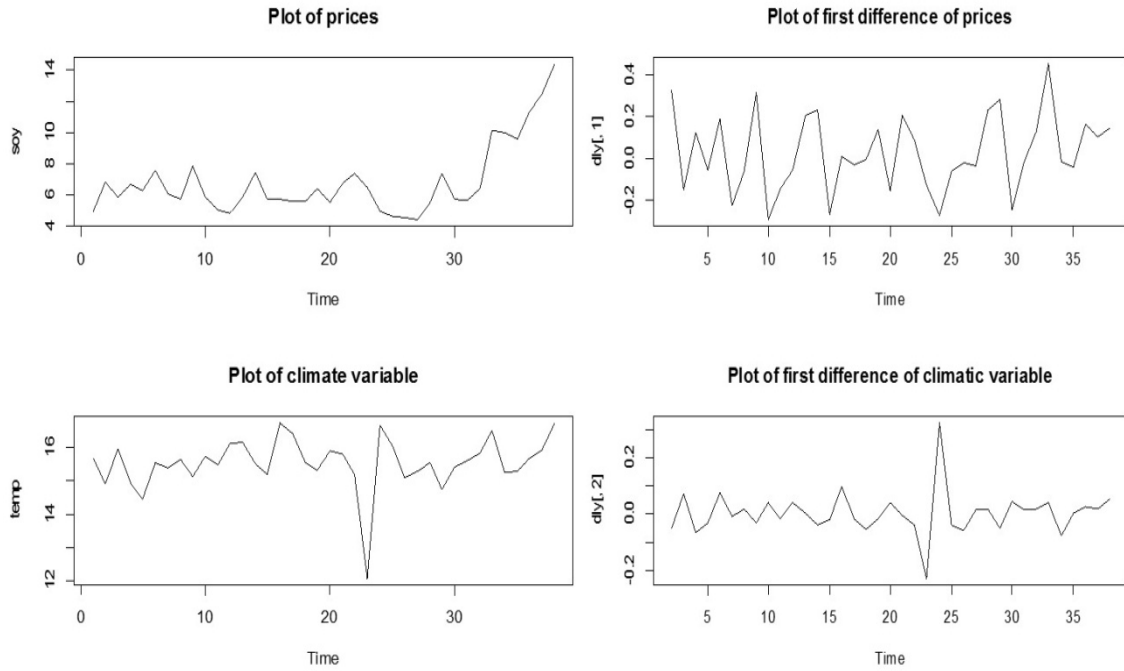
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Figure 5. Plot of a). Soybean prices and average annual temperature (0C), and b). First difference of prices and average annual temperature (0C)

In this study, it is relevant to test if there is causality between soybean prices and each of the climate variables during the study period. Generally stating, an X variable Granger causes Y if Y can be better predicted using the histories of both X and Y (lagged values) than it can using the history of Y alone. The analysis is done using a bivariate VAR (Vector Autoregression) for soybean crop prices and climatic indicators. The general null hypothesis to be tested for each of the climatic variables (precipitation, Tmax, Tmin, and Taverage) and crop prices for soybeans is given as following:

H0 : Climate variable does not Granger cause soybean prices
H1 : Climate variable Granger causes soybean prices

VAR specification

Vector autoregression (VAR) is an econometric technique used to capture the evolution and interdependencies between multiple time series, generalizing the univariate AR models [10]. In a VAR model, all variables are treated symmetrically by the use of each variable as an equation that details its evolution based on its own lags and the lags of all the other variables in the model [10]. A VAR model describes the evolution of a set of k variables over the same sample period (t = 1, ...,T) as a linear function of only their past evolution. The variables are collected in a k × 1 vector yt, which has as the i-th element yi,t, the time t observation of variable yi [11]. For instance, if the i-th variable is precipitation, then yi,t is the value of precipitation at t.

A (reduced) p-th order VAR, denoted VAR (p), is:

$$y_t = c + \Phi_1 y_{t-1} + \cdots + \Phi_p y_{t-p} + \varepsilon_t \tag{4}$$

where c is a k × 1 vector of constants (intercept), Φ_i is a k × k matrix (for every i = 1, ..., p) and ε_t is a k × 1 vector of error terms. The i-periods back observation y_{t-i} is called the i-th lag of y. In this manner, a p-th-order VAR is also called a VAR with p lags.

Results and Discussion
Results of VAR Lag Order Selection

The lag order selection is considered an important preliminary step in model building and further conducting a causality analysis. In this study we use some commonly used lag-order selection criteria to choose the lag order, such as AIC (Akaike Information Criterion), HQ (Hannan-Quinn), and SC (Schwartz Criterion). Using the "VARselect" in R, the lag length selection under different criterion for individual analyses of climatic indicators and soybean crop prices was calculated. The results are provided in Tables 2, 3, 4 and 5.

Table 2. Precipitation and Prices: lag length selection in VAR model: AIC (Akaike   Information Criterion) - SC (Schwarz Criterion) and HQ (Hannan–Quinn information criterion). The minimum for each criterion is provided in bold type-face.

Lag (m)	AIC	SC	HQ
1	-6.6301	-6.4469	-6.5694
2	-6.7019	-6.3354	-6.5804
3	-6.4935	-5.9439	-6.3113
4	-6.5218	-5.789	-6.2789
5	-6.5562	-5.6402	-6.2526

Table 3. Maximum temperature and prices: lag length selection in VAR model: AIC (Akaike Information Criterion) - SC (Schwarz Criterion) and HQ (Hannan–Quinn information criterion). The minimum for each criterion is provided in bold type-face.

Lag (m)	AIC	SC	HQ
1	-8.9318	-8.7486	-8.8711
2	-8.9696	-8.6032	-8.8482
3	-8.91	-8.3603	-8.7278
4	-8.774	-8.0411	-8.5311
5	-8.8947	-7.9786	-8.5911

Table 4. Minimum temperature and Prices: lag length selection in VAR model: AIC (Akaike   Information Criterion) - SC (Schwarz Criterion) and HQ (Hannan–Quinn information criterion). The minimum for each criterion is provided in bold type-face.

Lag (m)	AIC	SC	HQ
1	-7.7059	-7.5226	-7.6451
2	-7.7289	-7.3625	-7.6074
3	-7.6591	-7.1095	-7.4769
4	-7.4417	-6.7088	-7.1988
5	-7.5701	-6.654	-7.2665

Table 5. Average annual temperature and prices: lag length selection in VAR model: AIC (Akaike Information Criterion) - SC (Schwarz Criterion) and HQ (Hannan–Quinn information criterion). The minimum for each criterion is provided in bold type-face.

Lag (m)	AIC	SC	HQ
1	-8.5397	-8.3565	-8.479
2	-8.5825	-8.216	-8.461
3	-8.5352	-7.9855	-8.353
4	-8.3642	-7.6313	-8.1212
5	-8.5212	-7.6051	-8.2175

Results of Granger analysis

Given the results for the lag order selection for the VAR model above, the lag orders chosen for conducting the Granger analysis are both VAR (1) and VAR (2) (under different criteria – AIC, SC, and HQ) for the various combinations of climatic indicators and soybeans

prices. The results of Granger test for causality analysis between each climatic indicator and soybeans prices are provided in Table 6. It was observed that significant results at 5% were obtained for precipitation granger causing prices for both lag lengths under different criteria (2, 1). Further, no significant causality was detected for maximum, minimum, and average annual temperatures granger causing soybean prices, under both lag orders of the VAR model. The results from this analysis clearly support the existing literature discussed earlier in this study and reinstate the importance of precipitation variability as a significant factor in rainfall based agricultural production thereby impacting commodity prices in the markets. It is not clear why the temperature values did not show significance in the granger tests for prices. The lack of significance for temperature causing future prices could be related to the discussion mentioned early in this study, that suggest specific night temperatures may lead to reduction in seed growth, which may impact yields. The drawback of this explanation however, comes from the climatic data in hand being available for average daily values, and not for specific night or daytime temperatures (to which the soybean yields are sensitive). A more extensive climate dataset may be needed to address these points in future studies of relevance.

Table 6. Results of Granger causality test with lag lengths m=1 and m=2 for climatic variables. Here A/→B stands for "A fails to Granger cause B"; the null hypothesis is that the past values of A do not help in predicting future values of B.

Null Hypothesis	Lag length (m)	P-value
Precipitation /→ Soybean prices	1	0.0304*
Precipitation /→ Soybean prices	2	0.0219*
Maximum Temp /→ Soybean prices	1	0.3304
Maximum Temp /→ Soybean prices	2	0.7311
Minimum Temp /→ Soybean prices	1	0.1607
Minimum Temp /→ Soybean prices	2	0.4941
Avg. Annual Temp /→ Soybean prices	1	0.2229
Avg. Annual Temp /→ Soybean prices	2	0.6158

*significant at 5%

Further, based on the IRF's for VAR(1) and VAR (2), in Figures 6 and 7 respectively, we conclude that a shock to the precipitation levels increases the soybean price levels in the initial 2-3 time periods to a peak and then takes a dip in the next few time periods. However, the impulse responses of soybean prices on account of precipitation shocks stays longer as forecasted by the VAR (2) model relative to VAR (1) where the curve dies out relatively earlier.
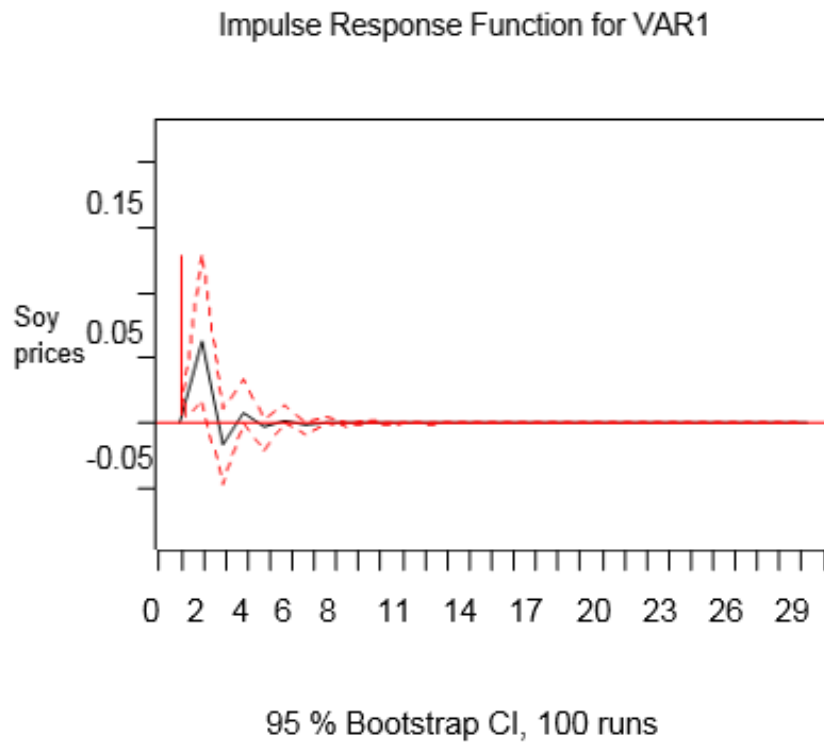
Figure 6. Impulse response function for VAR (1) depicting the response of soy-prices to a shock in precipitation with significant granger causality (Precipitation /→ Soybean prices)
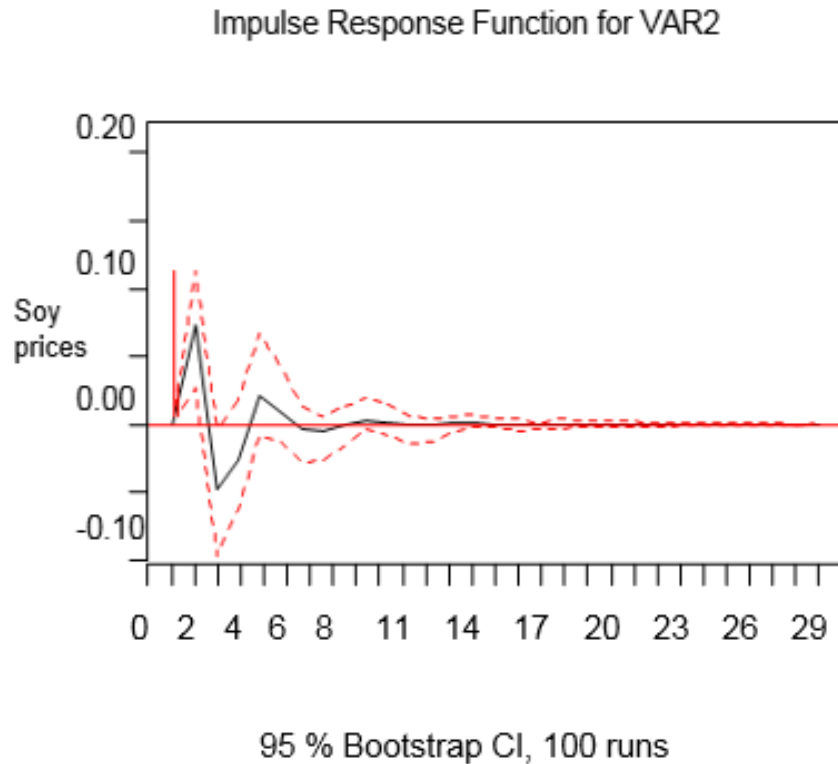

Figure 7. Impulse response function for VAR (2) depicting the response of soy-prices to a shock in precipitation with significant granger causality (Precipitation /→ Soybean prices)

Conclusion

This study evaluated the causality between climatic indicators and commodity price movements of soybeans in the West Tennessee region. A Granger causality test was applied to understand the relationship between climatic indicators and commodity price movements for soybeans. The results indicate that a significant causality was detected for precipitation impacting commodity price movements for soybeans. No significant evidence was obtained for the presence of Granger causality between temperature related indicators (maximum, minimum, and average) and soybean prices. These results concur with the agronomic framework mentioned earlier in this study, that moisture stress is a significant factor affecting soybeans yields. A major limitation of this study was the availability pf climate data. Currently, no specific climatic data sets, or Mesonet exist for West Tennessee. The results from this study intend to draw attention, and promote the thought among research agencies and organizations in the region about this impending need. The outcome of this study provides an initial insight into the causality between climatic indicators and commodity price movements for soybeans in the study region, and emphasizes that commodity prices are more influenced by precipitation changes as compared to changes in temperature, especially in the absence of irrigation based production in the region. This information can be used to highlight the impact of climatic variables like rainfall on commodity prices and to forecast price fluctuations in the regional markets for commodities given future climatic projections. It will serve as an initial framework for developing economic studies that will incorporate multiple secondary climatic indicators besides temperature and precipitation, that impact plant growth and yields at critical stages of production and ultimately the crop prices for various crops of importance.

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WASTE TO ENERGY (WTE) FOR THE SURVIVAL AND THE DEVELOPMENT

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Abstract

The continuing interest to alternative sources of energy is increasing gradually as the world today is very much concern about rapidly growing population, global temperature rising and growing energy demand in short order. Energy is one of the most crucial components for economic, educational, science & technological development in the modern world. It is an integral part of every sphere of modern life and indispensible for almost all of the economic development ranging from farm irrigation to manufacturing of goods and heavy industrial activities. On the contrary, industrial growth is hindered, cost of products & services is intensive and economic growth and employment creation is limited if energy service is not highly reliable & of sufficient quality.

On the other hand global warming, the increase in the temperature of the earth's neon-surface air, is the greatest challenge the world is confronting with and world grave concern for earth's all living creations. Every nation, including large & small, wealthy & poor, developed & developing, is under the impact of the ravage. The potential impact of global warming is devastative. It will affect hydrology and biology of earth-everything including economy, eco-system and substances. Unusual acceleration of earth atmospheric greenhouse gas (GHG) emitted through massive combustion of fossil fuel and municipal solid waste (MSW) landfill is mainly responsible for this. Changing pattern of energy, for example, carbon neutral or carbon negative, easy accessible & cheap sources of energy only can confront the challenges the world is facing today with global warming, global climate changes and rapidly growing energy demand. Waste to energy (WTE) as a green & cheap source of energy could be a viable alternative.

Introduction

Alternative sources of energy is one of the most current & widely discussed global issues that is due to rapidly growing energy demand, massive consumption of conventional energy and its devastative impacts on our eco-system, our economy & our environment.

Global average surface temperature is increasing anxiously. This temperature rising event is cause of concern for earth's all living creations. It will affect hydrology & biology of earth-everything including economy, eco-system and substances. Earth's atmospheric GHG acceleration through human activities is mainly accountable for such as unusual global warming.

Global population growth, massive consumption of fossil fuel and mounting of MSW landfill are closely linked with it-

Global population is growing shortly. World population will multiply to 9 billion by 2050 from current 7.093 billion in 2013 (World Bank 2013). With the rapidly growing

population, a relatively silent problem is soaring up daily that is skyrocketing enhancement of MSW landfill. Global generation of MSW will accelerates from 1.3 billion tons in 2013 to 2.2 billion tons in 2050 that is when the more dominant part of MSW will be organic fractions which will accelerate the MSW related GHG emission more frequent than what is today, will creates new problems with global warming, global climate changes and ecological casualty that have to be faced (World Bank 2013).

This is concern with the other challenge that with the industrialization, urbanization and population growth in short order, world energy demand & consumption are increasing sharply. World energy consumption is estimated to increase from current 560 quadrillion Btu (British thermal unit) in 2013 (524 in 2010) to 630 Btu in 2020 and 820 quadrillion Btu in 2040, will play an extreme role of uncongenial acceleration of GHG in earth's atmosphere (IEO Reference case 2013).

The challenges with conventional energy & MSW are becoming more challenging, the challenges the current world are experiencing with global warming & global climate changes.

In this very condition when energy is indespensible for survival, development, diversity and dynamism in modern world but massive consumption of conventional energy is the cause of global warming, global climate changes and environmental damag, carbon negative 'Waste to Energy (WTE) technology could be a viable component to confront the upcoming challenges. The technology will play an intensive role to accomplish two interrelated challenges the world is currently confronted with: incremental energy demand and rapidly increasing global temperature.

Rapidly Acceleration of municipal solid waste (MSW) & Global Challenges

Countries around the world today are confronting with overwhelming ecological, economic & social problems of processing and containment of MSW.

Due to globalization & global economic affairs, people are moving from rural & remote areas to urban areas either for better opportunities, better employment & incomes, better living facilities or education. People who are once shifting in cities are not very often leaving, accelerating the urban population. Today 3.78 billion people that is 54% of total world population live in urban areas & the figure is expected to increase to about 6 billion that is 66% of the total population (9 billion) by 2050, more than the total world population lived in 2000 (World Bank 2012).

Since the world hurtles toward urban future, the volume of MSW, one of the most significant byproducts of urbanization, is soaring up ever quicker than the proportion of urbanization. A study conducted by the World Bank's Urban Development department 2013, revealed that just a decade before 0.68 billion tons of MSW were generated annually is an average of 0.64kg/capita/day by 2.9 billion urban populations. Today the volume has been increased to 1.3 billion tones by about 3 billion urban populations in 2013 and by 2025 the generation of MSW is projected to accelerate to 2.2 billion tons annually by about 4.3 billion urban populations. Report simply indicated that by 2025 the more dominate part of MSW will be the organic fractions as the demand for agricultural goods will increase by 70% and meat will double which will accelerate global GHG emission more frequent than what is today, will create new problems that have to be faced.

The extreme generation of MSW will multiply the expenditure of MSW management, MSW oriented environmental damage and ecological casualty. The report indicated that by 2025 the annual expenditure of MSW management is projected to increase from current $205 billion in 2013 to $375 billion. The landfill food waste will accelerate global GHG emission from current 34 million tons to 48 million tons. Diseases carrying vectors such as insects and rodents are proliferated due to uncontrolled waste as they get proper breeding environment

and feeding over it. According to Dan Hoorn Weg, the leading urban specialist in the Finance, Economic & Urban Development Department of World Bank, 5% of the total global GHG and 12% of the total global CH4 are emanated from post-consumer waste and landfill methane respectively & the landfill shares of global anthropogenic emissions from 8% to 10%.

Report simply spells out that this is due to massive generation of MSW and nonscientific treatment of it, especially in large cities in developing countries where very common practices of MSW treatment are just kicking off on road sides and open damping areas or uncontrolled burning.

A consumer based life-style which is driving force of much of the global economy, is primarily accountable for excessive generation of MSW. So, reduction of economic activities is the quicker option to slash the generation of MSW, is not an attractive option.

Growing demand of energy & global challenges

The world today is consuming massive conventional energy and the demand is growing in short order, accelerating earth atmospheric GHG and global surface temperature.

With the rapidly growing population, urbanization, industrialization and a projected doubling of the global economy growth, global energy demand & consumption are rising rapidly. Improved living standard; comes through urbanization & rising income, lead to increase household & industrial energy consumption through wider penetration of electronic appliances, modern transportations and other conveniences. According to BP's Energy Outlook 2035, global energy demands continue to grow further beyond 2030 to 2035. The consumption is expected to soar up by 41% in between 2012 and 2035. According to International Energy Outlook (IEO) Reference case 2013, world energy consumption will enhance to 630 quadrillion Btu in 2020 and 820 quadrillion Btu in 2040 from current 560 quadrillion Btu in 2014 (524 in 2010). Per capita energy consumption will increase by 25% by 2040.

The World Energy Outlook (WEO) 2013 projected that by 2050 the world would have to generate enough electricity for an additional 3.3 billion people as 2 billion will be multiplied between 2013 & 2050. The Exxon Mobil's outlook for Energy 2013 projected that between 2013 & 2040, global chemical energy demand projected to rise by 55%, is an account for 35% of growth in industrial sector. Energy used for power generation is expected to grow by more than 50% by 2040, will continue to be the largest source of energy demand. The largest source of energy consumption will come through the industrial sector which will continue to consume over half of the global energy by 2040. The International Energy Outlook 2013 projected that fossil fuel, including oil, natural gas and coal, will supply 80% of the global energy through 2040.
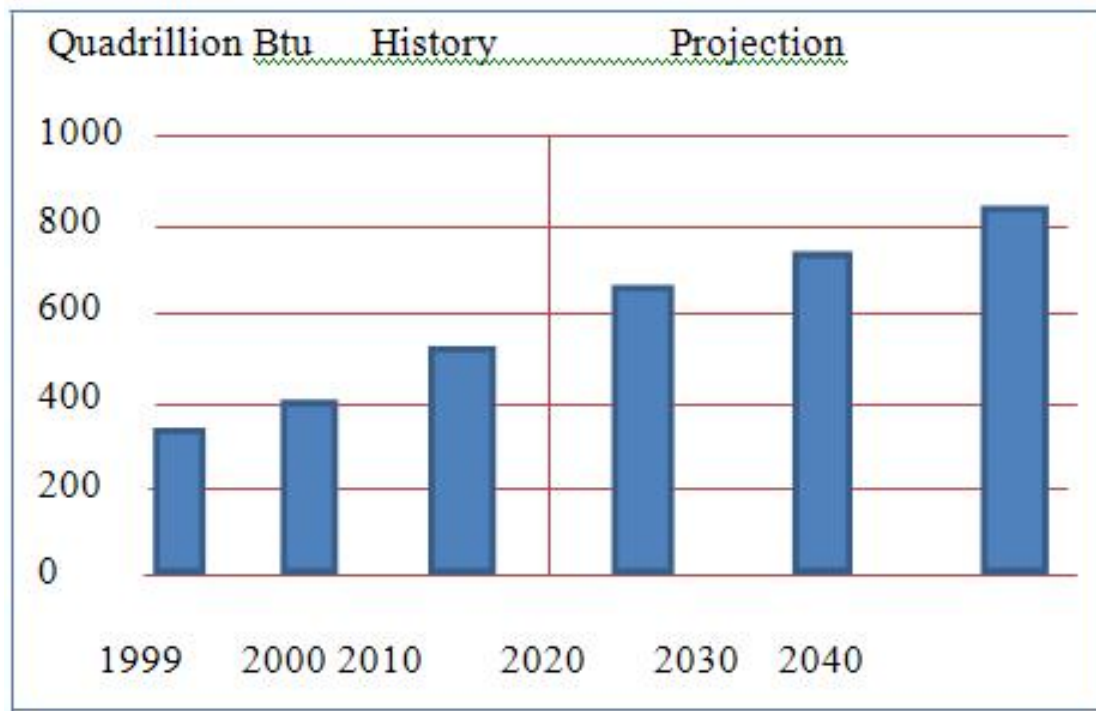
World total energy consumption, 1999-2040

Figure 1: Shows world total energy consumption, 1990-2040 (Source: IEO)

The aftermath of massive consumption of conventional energy would be excessive global warming & global climate changes. Global energy-related CO2 emission will become worse than expected. According to International Energy outlook (IEO) 2010 reference case, global CO2 emission from fuel combustion continue to grow from 31.2bmt (billion metric tons) in 2010 to 45.5bmt in 2040, living the world on the track for a long-term average global temperature increase of 3.6°C or more. Scientists of National Oceanic & Atmospheric Administration say that during the 21st century the earth could warm by an additional 7.2°F if we fail to reduce GHG emission from burning fossil fuel. FatihBirol, the chief economist of the International Energy Agency, said that despite the global agreement to stay below 2°C, the world is on the track that, without action, leads to an increase of 4°C or more by 2050, indicated that such a rise might exceed the world's ability to adapt.

The impact of such an unusual global warming & global climate changes would be extremely devastative for the earth's all living beings. Global worming will affect the hydrology & biology of earth-everything including economy, ecosystem & subsistence. This phenomenon (incremental temperature rising) will be causes of unusual acceleration of ecological catastrophe such as acid precipitation, stratospheric ozone depletion, rising sea levels, increased occurrences of several weather events, more frequent of wildfire & drought, food shortage, changing patterns of diseases, severe water shortage, the loss of tropical forests and many species.

Rising temperature will hamper global food security due to sharp production drop affected by frequent heat waves and more severe drought. A research conducted by U.S Department of Agriculture found that by 2050 reduction of crops yielding will accelerate by 10% of 2000 levels, eventually decreasing global food security. They argue that to plants ground-level O3 (ozone) performing more damages than all combined air pollution.

Moreover, vulnerability of the aging electricity is increasing seriously to rising consequence of global warming.

Dr. Margaret Chang, the director general of WHO in 2014, states that "This is already evidence that overwhelming climate changes endanger human health". (27-29 Aug. 2014, WHO conference, Geneva, Switzerland, Report: RIA Novesti 27.08.2014)

Sir David King, the chief scientist of Blair, described the threat of global climate changes as greater than global terrorism.

This is evidence that natural disasters were cause of displacing same 22 million people, three times more than from conflicts & wars in 2013, were twice as many people were displaced by natural disaster in 1970s (Report: RT News 17.09. 2014).

Energy & Sustainability

Energy is one of the most crucial components for economic, educational, science & technological development, diversification & dynamism in the modern world. It is an integral part of every sphere of modern life and indispensible for almost all of the economic development ranging from farm irrigation to manufacturing of goods and heavy industrial activities. At the World Summit for Sustainable Development (WSSD) in Johannesburg, South Africa 2002, leaders from around the world emphasis the intensive role of energy on alleviation of poverty and sustainable development. On the contrary, industrial growth is hindered, cost of products & services are intensified and financial growth is limited if energy service is not highly reliable & of sufficient quantity. This is the evidence that China loses 1% of average output for textile & electronic industries to power outage every fiscal year when the figure is around 10 folds higher to 9.7% for their Indian counterpart (World Bank 2002). Moreover, there are huge shortage of energy in developing countries like Bangladesh, Nepal, Pakistan where energy shortage hindering the financial growth, investment opportunities and employment creation and increasing social depression, poverty and illiteracy rate. The letter undermines and limits their capabilities and their opportunities to secure employments aftermath prolonging and confinement of poverty cycle.

Cooking fuel & environmental embezzlement

This is another factor to be concern that 1.3 billion of the world population that is about 20% of the total population still out of the electricity supply facilities and an overwhelming of 2.5 billion people that is around 43% of the total population still rely on biomass that include fuel woods, charcoal, agricultural waste & animal dung as their every day's cooking fuel. The number is reported to multiply to 2.6 billion in 2015 and to 2.7 billion in 2030, concerning the massive escalation of deforestation, household air pollution & global climate changes through emitting CO_2 and atmospheric bromine in the form of methyl bromine lead to the chemical destruction of ozone in the stratosphere. Currently deforestation is accountable for an estimated 15 to 20 percent of atmospheric CO_2 emission.

Indoor smoke, mostly produce by the combustion of biomass for cooking or house hitting cause of death of an estimated 4.3 million /year and reduction of an average life expectation of by 8.6 months. More than 50% of premature death among the children under 5 is due to pneumonia caused by particulate matter inhaled from household air pollution.

Potential ways to avoid the danger

Rapidly population growth, industrialization, urbanization, severe economic growth activities & consumption based life-style are the driving forces for rapidly growing global temperature and global climate changes; pushing the green planet to the devastation day by day. These aforementioned events are the ways of lives of world's 9 billion people in the modern global arena. People of today's world cannot start living in the forest or go back to the cave lives so far. But some measures can be taken to alleviate the human caused GHG

emission to lessen the global warming and global climate changes to survive and move forward and keep the green planet remain habitable for the future generation.

Alternative sources of energy which are low, neutral or negative GHG emitted; for example, wind power, solar power, hydroelectric power, waste-to-energy etc. could be viable alternative. According to WHO 2014 change in energy & transportation policies could save "millions of lives" as in 2012, air pollution alone resulted in the death toll of seven millions worldwide (27-29 Aug. 2014, WHOconference, Geneva, Switzerland, Report: RIA Novesti 27.08.2014).

Together with other sources of green energy, WTE could be very effective component to overcome the upcoming challenges the world going to confront with rapid growing global temperature & global climate changes. The WTE technology on one hand will reduce the acceleration of earth atomospheric greenhouse gases emitted through combustion of fossil fuel & MSW land fill and on the other hand will meet the rapidly growing energy demand.

According to US Environmental Protection Agency, WTE is a clean, renewable and reliable source of energy.

According to the estimation of U.S Environmental Protection Agency, "Every ton of MSW can contribute to prevent 1.3 tons of CO_2 emission when it goes to WTE plant due to the following factors:

Eliminate CH4 emission from landfill: WTE facilities avoid the emission of CH4 that would have been generated if MSW were sent to landfill.
o Eliminate CO_2 from fossil fuel combustion: when WTE facilities generate a megawatt of electricity it avoids emission that would have been generated by fossil fuel power plant.
o Eliminate CO_2 from mining & metal plants: WTE facilities recover ferrous metals & reduce the mining of fossil fuel. So, WTE facilities avoid the emission of CO_2 that would have been emitted by production of metals and mining of fossil fuel.

Moreover, WTE facilities contribute to abundant emission & fuel consumption by reducing transportation of MSW to distant landfill.

The Davos report produced by the World Economic Forum 2009 suggest that WTE facilities can hold lead the way to a clean and more energy independent future. The report simply indicated that WTE facilities are emerging green technology that can contribute to reduce GHG emission and change the world's energy consumption pattern.

The remerkable welfares of Waste to Energy
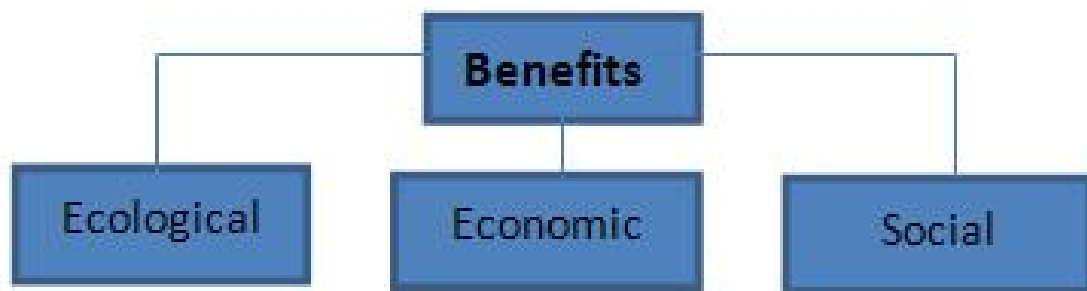
Benefits
o Decrease landfill waste
o Reduce GHG emission
o Accelerate recycling objects & rate
o Slash the reliance of fossil fuel

o Diversify the energy industry
o Ensure green & cheap source of energy
o Create new employments

Existance Waste-to-Energy Technologies Worldwide
A. Thermal technologies:
   o Incineration
   o Gasification
   o Thermal depolymerization
   o Pyrolysis
   o Plasma arc gasification
B. Non-thermal technologies:
   o Anaerobic digestion
   o Fermentation production
   o Mechanical biological treatment

Through the existance technologies either MSW are mass combusted which is eco-destructive or only organic matters of MSW are processed to generate energy.

Incineration, the mass combustion of MSW, is the most common Waste-to-energy implementation, is cause of mass pollutions. Combustion of MSW produce CO_2, N_2O, SO_2, furans & other dangerous pollutions including ground water quality pollution, and a host of air, water & soil pollution. Ash of the combusted MSW is hazardous. Bottom ash which is around 10% of the volume and about 20-30% by weight of MSW input is less harmful but the fly ash, relatively a tiny portion of MSW input, is extremely hazadous. Moreover, the ashs contribute for further landfill. Incineration of MSW generates two types of CO_2: Biogenic (67%) & anthropogenic (33%).

Biogenic, the largest portion of generated CO_2, is the part of earth's natural carbon cycle and earth can absorb it but the anthropogenic, the remaining 33% of the generated CO_2, is the additional GHG to the earth's automosphere, come from man-made substances in the waste that is combusted, such as unrecycable plastic & rubbers.

Advanced Neo-digestion technology (proposed)
Unlike old fashioned mass incineration of MSW or digestion of only organic matters of MSW, the Advanced Neo-digestion Recycling & Energy conversion of MSW technology digests a very wide range of MSW which includes both organic and solid matters ranging from industrial camical liquid to wood waste & tember.

Specific types of waste that are processed
   o Municipal solid waste (MSW)
   o Industrial& commercial waste
   o Hospital waste
   o Construction waste
   o Cafe & restaurant waste
   o Household waste
   o Wood & garden waste
   o Abattoir waste
   o Toxic waste
   o Animel waste& agricultural waste
   o Contaminated oil&Oil sludge
   o Industrial liquid chemical waste

Range of waste
- Hydrocarbon such as oil
- Complex suger such as vegetable waste
- Organic chemical such as animel fats
- Veterinary waste such as animal tissue, blood etc.
- Hospital waste: blood, human tissues, wounded dressing, disposable instruments etc.
- Contaminated oil such as used oil from engines, transformers & other machineries
- Construction waste: wooden doors and windows, timbers framing, waste wood etc.
- Biomass: household & garding waste, agricultural waste, dung, forestery waste, energy corps etc.
- MSW: discarded food,paper, fabrics etc.
- Industrial liquid waste
- Any other disposable waste

Procedure

In Neo-digestion Technology, waste materials are decomposed in biogas plant by bacteria in the absence of oxigen and converted into energy-known as biogas that is consist of 60% CH_4 & 40% CO_2. The generated biogas is then used to generate electricity. The waste of the biogas plant is used as eco-friendly compost fertilizer.

The digestion process begins with the bacterial hydrolysis of the input materials in order to break down insoluble organic polymers such as carbohydrate & make them available for other bacteria. Acidogenic bacteria then convert the suger & amino acid into CO_2, H, ammonia, & organic acids. Acetogenic bacteria then convert these resulting organic acids into acetic acid, along with additional ammonia, H, & CO_2. Finally methanogens convert these products into CH_4 & CO_2.

Implementation

Collecting MSW from dumping sites the disposable waste materials are sorted out from undisposable materials such concrite, bricks, stons and other valuable materials that can be recycled, such as cans, irons, aluminum, plastic etc. Then the disposable waste materials are grind and deliver to the biogas plant with waste water or chemical liquied waste to generate biogas. In the plant biogas is generated by series of natural biological digestion process.
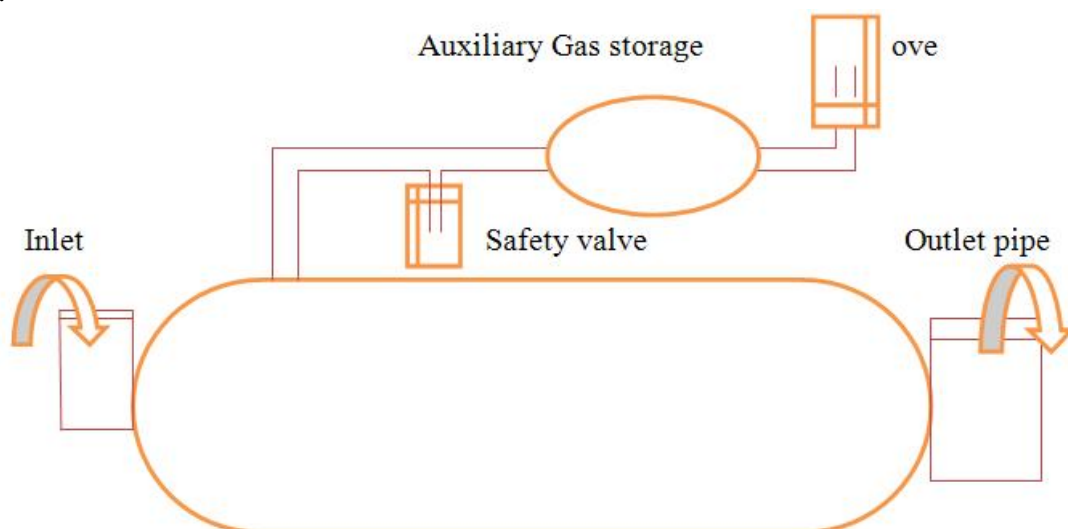

Figure 2:An Idial Biogas Plant

The digestion process consists of two basic stages
    A) The acid producing stage &
    B) The Methane producing stage

At the initiative stage raw sludge is attacked by ferm entative bacteria that break the sludge down into organic acids, alde-hydes and alcohols under anaerobic condition. The organic fatty acids are produced in the greatest quality.

At the following stage the organic acids, aldehydes and alcohol are dicomposed by acetogenia bacteria and converted into CH_4 & CO_2.
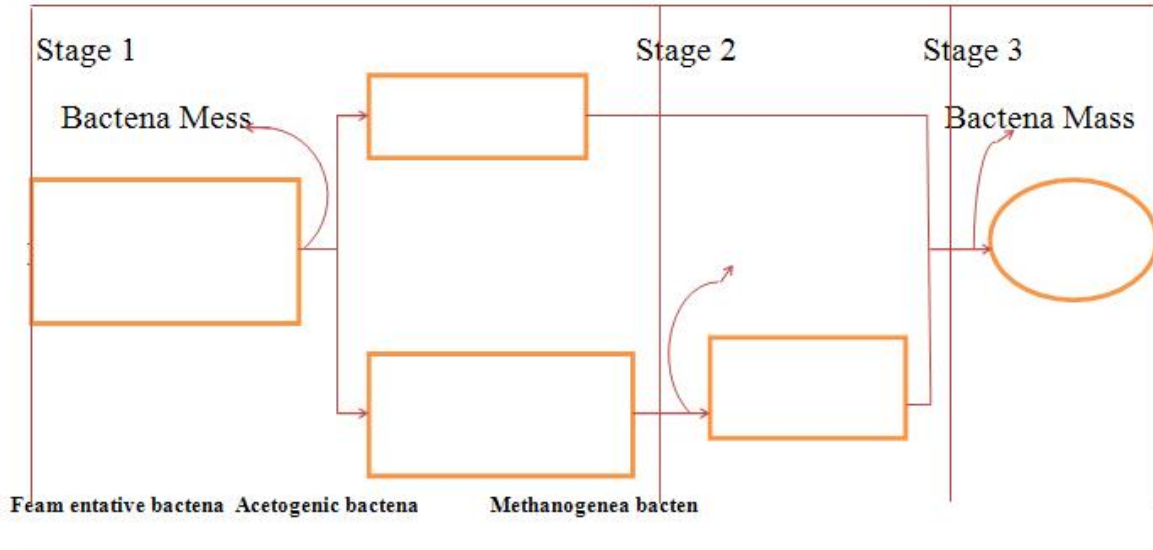

Figure 3: Biogas generation procedures in the plant

Electricity By Biogas

    Electricity is generated by the produced biogas in combined cycle electricity generation unit which is the combination of both gas turbine unit & streem turbine unit.

    In this technology gas is first heated and hot gas is used to turn the gas turbine unit to generate electricity and then the waste gas is used to boil the water to produce steem to spin the steem turbine unit to generate electricity.

    This technology is most effective and cheap. By the technology 60% more electricity can be generated by the same amount of gas and same expenditure of conventional single turbine unit.

Ecological welfear of the proposed technology

    It is a carbon negative source of energy. The technology produce electricity at a negative emission rate of GHG when compared to allow CH_4 to form in landfill & fossil fuel combustion to generate electricity.

    The technology is primarily a CH_4 processing technology that turns landfill CH_4 into gas form.

    When CH_4 is burned in the electricity generation unit to generate electricity, CH_4 is converted into H_2O & CO_2. The latter is 25 times less environment destructive than CH_4.Moreover, the emitted CO_2 of the plant is biogenic that is part of the earth's natural carbon cycle-while trees & plants grow up through photosynthesis process they remove earth atmosphere's CO_2 that is return to the atmosphere back while paper, food & biogenic waste are burnt.

    The WTE facilities opposed to the emittion of GHG into earth's atomosphere by combustion of fossil fuel for mission of many years. Such substitution of energy from WTE

facilities cut down the GHG emission associated with energy production from combustion of fossil fuel.

The waste of the WTE facility is used as ecofriendly compost fertilizer that recycled back valuable nutrients to the land through the production of digestion.

Conclusion

Carbon neutral or carbon negative, easy accessible & cheap WTE technology of this type is the demand of time when energy is an integral part of economic, educational, science & technological development, diversification & dynamism but massive consumption of conventional energy is accountable for global warming, global climate changes and ecological catastrophe,changing pattern of energy is extremely indispensible to keep the earth's atomspheric GHG in adaptable level to avoid the potential ecological catostrophe. The proposed technology on one hand will rein the acceleration of earth atomspheric greenhouse gases and on the other hand will meet the rapid growing energy demand. Worldwide appliance of this technology can save the green planet from the upcoming danger.

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THE EFFECT OF OSTEOPOROSIS HEALTH EDUCATION PROGRAM BASED ON HEALTH BELIEF MODEL ON KNOWLEDGE AND HEALTH BELIEFS TOWARDS OSTEOPOROSIS AMONG JORDANIAN FEMALE TEACHERS

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Abstract

This study was conducted to assess the effect of osteoporosis health education program based on Health Belief Model on knowledge and health beliefs towards osteoporosis among Jordanian female teachers. This experimental study was performed on 200 female teachers (100 teachers in the intervention group and 100 in the control group) aged 25 - 49 years old in four governmental secondary schools affiliated to public educational directorate in Amman governorate. The females participated in a four-week educational program based on the Health Belief Model. The data collection instrument was a validated and reliable questionnaire in three sections: demographics, knowledge and health beliefs. The questionnaires on osteoporosis knowledge and health beliefs were given to the participants before the program (pre-intervention) and repeated three months later after the intervention on the same participants (post-intervention). The health education program prepared according to pre-intervention results. The results revealed that the mean scores of teachers' knowledge and health beliefs subscales among the intervention group were significantly changed before and after the educational intervention program ($P \leq 0.05$). The use of an osteoporosis educational program seems to improve knowledge and health beliefs. In addition, it could support the need to raising the awareness and knowledge of osteoporosis.

Keywords: Osteoporosis, health education program, knowledge, health beliefs, female teachers

Introduction

Osteoporosis is a global health issue along with heart disease, stroke, diabetes and cancer and takes up many financial resources for prevention and treatment (Wallace, Callachand, Elliott & Gardiner, 2011; Curtis JR, McClure, Delzell, Howards, Orwell, Saag, Safford & Howard, 2009).

It is a systemic skeletal disorder characterized by decreased bone mass density, micro architectural deterioration of bone tissue, and fragility fractures, particularly of the hip, spine, wrist and shoulder (Fleming & Patrick, 2002; Davidson, 2003; Vaytrisalova, Kubena, Vleek, Palicka, Hala & Pavelka, 2007). It affects more than 75 million people worldwide and, according to the US Department of Health and Human Services, will affect more than 10 million women by 2020 if efforts to prevent it are ineffective (Schuiling, Robinia & Nye, 2011).

There is a significant difference in the prevalence of osteoporosis among countries. Among the countries of the WHO Eastern Mediterranean Region, osteoporosis is a health priority. In previous studies, the levels of osteoporosis and osteopenia in the Islamic Republic of Iran were 22.2% and 59.9%, respectively and the level of osteoporosis in Pakistan was 55% (Lowe, Ellahi, Bano, Bangash, Mitra & Zaman, 2011). On the contrary, in Turkey was 27%–33.3% (Tüzün, Eskiyurt, Akarirmak, Saridogan, Senocak & Johansson, 2012), Morocco was 31%, Egypt was 28.4%, Bahrain was 27.1%, Saudi Arabia was 23%–24% and also United Arab Emirates was 2.5% (El-Hajj Fuleihan, Gemma Adib & Nauroy, 2011).

In Jordan, there are no specific statistics about the prevalence of osteopenia, osteoporosis and related fractures. The reported prevalence of osteoporosis ranges from 13% -44% (Al-Qutob, Mawajdeh, Khalil, Schmidt, Hannak & Masri, 2001; Shilbayeh, 2003). In addition, in the recent study, the prevalence of osteoporosis among women aged 40-60 years was 13% and 40% of women have low bone density (Jordan University, Jordan University of Science and Technology & Jordanian Osteoporosis Prevention Society, 2010). However, Jordan is in social transformations represented by increasing elderly population in which the majority of whom are women, in addition to, lack of health care services for postmenopausal women (Chowdhury, 2000) that may add susceptibility for osteoporosis.

Osteoporosis is a crippling condition that often results in premature mortality and significant morbidity that is manifested in the form of fractures, bone deformity, and pain (Krall & Dawson-Hughes, 1999). Worldwide, osteoporosis causes more than 8.9 million fractures annually, resulting in an osteoporotic fracture every 3 seconds (Johnell & Kanis, 2006). Evidence suggested that many women who sustain a fragility fracture are not appropriately diagnosed and treated for probable osteoporosis (Freedman, Kaplan, Bilker, et al., 2000; Siris, Miller, Barrett-Connor, et al., 2001).

Since bone density decreases with age, acquisition of peak bone mass during the first three decades and the subsequent retention of bone through middle age are important determinants for reducing the risk of osteoporosis (Martin, Coviak, Gendler, Kim, Cooper & Rodrigues-Fisher, 2004). Primary prevention programs of osteoporosis, which include health education and promotion programs should be emphasized, with the goal of optimizing bone mass growth, to prevent bone loss later in life. Maximizing bone mass along with lifestyle factors such as calcium intake and physical activity are considered as modifiable factors in the prevention of osteoporosis ((Babatunde, Forsyth & Gidlow, 2012). These programs are effective and cheap ways of increasing knowledge and skills needed to establish behavioral changes in the prevention of osteoporosis such as increasing calcium intake and physical activity (Shin et al., 2005; Babatunde et al., 2012). The challenge for osteoporosis prevention programs is to promote early identification of risk factors and to encourage the adoption of risk-reducing behaviors in women from adolescence to premenopause to develop a healthy lifestyle (von Hurst & Wham, 2007).

Health Belief Model (HBM), which was the theoretical framework for this study, is one of the theoretical models that explain factors influencing healthy behavior (Moodi et al., 2011). The HBM addresses four major components for compliance with recommended health action: perceived barriers and perceived benefits of recommended health action, perceived susceptibility and perceived severity of the disease. In addition, there are modifying factors that can effect behavior compliance and perception of health status and value placed on taking preventive action (Becker & Rosenstock, 1984). It is also the most widely applied theoretical framework for evaluating osteoporosis health beliefs and behaviors (McLeod & Johnson, 2011). Furthermore, several studies have already been conducted on osteoporosis preventive interventions using this model, in most of which health beliefs and knowledge improved after the intervention (Turner, Hunt, DiBrezzo, & Jones, 2004; Chan, Kwong, Zang, & Wan, 2007; Hazavehei, Taghdisi, & Saidi, 2007; Abd El Hameed, Emam, Fouad, & Abd El Mohsen,

2008; Abushaikha, Omran, & Barrouq, 2009; Sanaeinasab, Tavakoli, Karimizarchi, Haji Amini, Farokhian, &Rahmati Najarkolaei, 2013; El-Sayed, & Abdel Megeid, 2013). In this study, the modified HBM has been used to test osteoporosis (Kim, Horan, Gendler, & Patel, 1991).

Considering the limited studies focusing on prevention of osteoporosis through health education programs among women in different age groups especially young adult and mid-age women in Jordan (Abushaikha et al., 2009) and with the recent increase in women's life expectancy, the incidence of this disease will grow, and women is a key target group in preventive intervention. So that, this study was conducted with the purpose of assessing the effect of osteoporosis health education program based on Health Belief Model on knowledge and health beliefs towards osteoporosis among Jordanian female teachers. This study could be as a basis for health care providers to plan and develop effective osteoporosis prevention education programs based on the Health Belief Model.

Methods
Study design and sample

Experimental design (pretest-posttest control group) was selected. Two hypotheses were developed to be tested in this study, which were 1) the Jordanian female teachers who engage in osteoporosis education program will demonstrate higher levels of knowledge about risk factors and preventive measures of osteoporosis than those who do not engage, and 2) the Jordanian female teachers who engage in osteoporosis education program will demonstrate stronger health beliefs of osteoporosis than those who do not engage. A cluster sampling technique was used in which two zones from the available five zones in the public educational directorate in Amman were selected. Amman is the capital and the largest city of Jordan. After that, four governmental secondary schools (two from each zones) were selected by simple random sampling then, one school from each selected zone was selected randomly to be in the control group and another one to be in the intervention group. In total, 200 female teachers (100 in the intervention group and 100 in the control group), aged 25-49 years, Jordanian and willing to participate in the study participated. On the contrary, teachers who had physical immobility or had oteoporosis were excluded from participation. The study was conducted from August, 2012 through January, 2013.

Study instruments

A self-administered questionnaire was used and consists of the following instruments: Female Teacher Health Profile Structured Questionnaire, which includes personal and socio-demographic data, and Osteoporosis Knowledge Test (OKT) (Kim, Horan, Gendler & Patel, 1991), which was modified by the researcher to become 35 items tool and to include nine questions on risk factors. The OKT risk factors consist of 18 items. Each item is rated by the subject using ML = more likely, LL = less likely, NT = neutral, and DK = don't know. OKT preventive strategies related to exercise and calcium consist of 17 items questionnaire of multiple-choice questions. For the total instrument, there was only one correct answer for each question, and the maximum score for the OKT was 35 and the lowest was zero. The level of knowledge was categorized according to this rate: 0-8 indicated poor knowledge; 9-17 indicated mild or little knowledge; 18-26 indicated moderate knowledge; and 27-35 indicated strong or high knowledge. In addition, Osteoporosis Health Belief Scale (OHBS) that developed by Kim et al., 1991) and includes a 42-item instrument consisting of seven subscales addressing health beliefs. The subscales address susceptibility, severity (seriousness), benefits of exercise, benefits of calcium intake, barriers to exercise, barriers to calcium intake, and health motivation. Each item was rated by using a 5 point Likert scale with 1 = strongly disagree, 2 = disagree, 3 = neutral, 4 = agree, and 5 = strongly agree.

Accordingly, a maximum total score for OHBS was equal to five and a minimum total score was equal to 1.

The content validity of the Arabic version of the questionnaire was evaluated based on the feedbacks of three research experts in osteoporosis. Furthermore, the questionnaires were tested on a group of female teachers in Amman (N=20) who were not included in the study sample. Questionnaires were found to be clear, and respondents took an average of 15-20 minutes to complete. Internal consistency was used in ascertaining reliability of the instrument. The Cronbach's Alpha that obtained from the pilot data was 0.81 for (OKT) and 0.88 for (OHBS). Data was collected through two stages pre-intervention and post intervention. In pre-intervention stage, participants in each group completed questionnaires, then results were analyzed to design health education intervention program contents for the intervention group.

Furthermore, the intervention group was divided into small groups (10) teachers in each. There were 10 groups, five groups in each school. A four-week health education program based on the Health Belief Model consisted of four sessions, 40 minutes each, presented via pamphlets, slides show and face to face lectures using discussion method..

The content of educational sessions include definition of osteoporosis, prevalence and risk factors; symptoms, complications, diagnosis and treatment; and preventive measures including nutritional prevention and calcium-rich foods and exercise.

Statistical analysis

Data were analyzed with *SPSS,* version 13, and the Excel 5.0 spreadsheet was used to compute all data in this study. Descriptive statistical analysis were used (frequency, percentages, mean, and standard deviation). The paired-sample *t*-test was used to compare mean scores before and after the intervention. The significance of association (p) was accepted as statistically significant at an alpha level of ≤ 0.05.

Ethical considerations

An official permission was obtained from Ministry of Education, each selected zone in public educational directorate, and from each participating school. Then, participants approached and informed about the purpose and significance of the study and a written consent to participate in the study was obtained from each teacher. The participants were reassured that their information will remain confidential. In addition, arrangement was made for questionnaires to be completed by the selected teachers.

Results

The total number of female teachers who participated in the study was 200, of which 100 participated as a control group and 100 participated in the educational program as intervention group. Table 1 presents the subjects' personal and socio-demographic information.

Table 2 presents the percentage scores for osteoporosis knowledge about risk factors of in pre-post intervention stages. In pre-intervention stage, the majority of the control and the intervention groups knew and answered correctly about advanced aging (92.0%; 85.0%), and excessive intake of carbonated beverages (95.0%; 82.0%, respectively) as risk factors for osteoporosis. On the contrary, 10..0% and 15.0% of the control and the intervention groups knew and answered correctly about excessive exercise, being white woman with fair skin (22.0%; 12.0%) and having big bones (18.0%; 13.0%, respectively). In post-intervention stage, 100% of the teachers scoring correct responses were observed for ten of the 18 risk factors items in the intervention group. In addition, there was a significant change in the scores for the other eight items, but still the less percentages in the items that included

excessive exercise (79.0%) and having ovaries surgically removed (88.0%). On the other hand, there were little changes in knowledge about risk factors among the control group. The majority of the control group knew about excessive intake of carbonated beverages (97.0%) and advanced aging (95.0%),

respectively as risk factors for osteoporosis. On the contrary, 10.0% knew and answered correctly about excessive exercise, having big bones (18.0%) and being white woman with fair skin (22.0%), respectively.

Table 1 Personal and socio-demographic characteristics of the study population (N=200, Control group=100, Intervention group= 100)

Characteristics	Control group		Intervention group	
	Frequency	%	Frequency	%
Age				
25-29 years	14	14.0	18	18.0
>29-34 years	28	28.0	33	33.0
>34- 39 years	30	30.0	24	24.0
>39-44 years	18	18.0	16	16.0
>44-49 years	10	10.0	9	9.0
Marital status				
Single	21	21.0	28	28.0
Married	71	71.0	66	66.0
Divorced	6	6.0	4	4.0
Widow	2	2.0	2	2.0
Number of children				
No children	6	7.6	3	4.2
1- 3	48	60.8	44	61.1
4- 6	25	31.6	24	33.3
7 and more	…	……	1	1.4
Level of education				
Diploma	7	7.0	7	7.0
Baccalaureate	71	71.0	75	75.0
Graduate education	22	22.0	18	18.0
Family income/ Month				
Enough and spared	22	22.0	20	20.0
Enough and not spared	61	61.0	61	61.0
Not enough	17	17.0	19	19.0
Body frame				
Small	7	7.0	10	10.0
Medium	79	79.0	79	79.0
Large	14	14.0	11	11.0
Skin color				
White	32	32.0	29	29.0
Fair	59	59.0	63	63.0
Brown	8	8.0	7	7.0
Dark	1	1.0	1	1.0
Osteoporosis in the family				
Yes	18	18.0	21	21.0
No	82	82.0	79	79.0

Table 2 Correct knowledge about risk factors of osteoporosis among the study population in pre-post intervention stages (N=200, Control group=100, Intervention group= 100)

Items	Pre-intervention				Post-intervention			
	Control group		Intervention group		Control group		Intervention group	
	N	%	N	%	N	%	N	%
Risk factors								
• Advanced aging	92	92.0	85	85.0	95	95.0	100	100.0
• Male gender	51	51.0	41	41.0	48	48.0	100	100.0
• Being a white woman with fair skin	22	22.0	12	12.0	22	22.0	93	93.0
• Having a mother or grandmother or sister with osteoporosis	64	64.0	63	63.0	68	68.0	100	100.0
• Being menopausal before 45 years or absence of period for 3 months	60	60.0	58	58.0	60	60.0	100	100.0
• Having big bones	18	18.0	13	13.0	18	18.0	94	94.0
• Excessive dieting	41	41.0	41	41.0	39	39.0	93	93.0
• Diet low in milk products	70	70.0	71	71.0	82	82.0	100	100.0
• Excessive exercise	10	10.0	15	15.0	10	10.0	79	79.0
• Eating dark green leafy vegetables	40	40.0	32	32.0	38	38.0	92	92.0
• Smoking	78	78.0	68	68.0	79	79.0	100	100.0
• Excessive intake of carbonated beverages	95	95.0	82	82.0	97	97.0	100	100.0
• Excessive coffee consumption	68	68.0	60	60.0	68	68.0	100	100.0
• Lack of exposure to sunlight	81	81.0	78	78.0	81	81.0	100	100.0
• Getting regular exercise	60	60.0	66	66.0	85	85.0	100	100.0
• Having a history of previous fracture	39	39.0	32	32.0	35	35.0	99	99.0
• Having ovaries surgically removed	32	32.0	23	23.0	30	30.0	88	88.0
• Taking steroids	69	69.0	59	59.0	68	68.0	99	99.0

Regarding to osteoporosis knowledge about preventive strategies in pre-post intervention stages, the results in pre-intervention stage revealed that the majority of the control and the intervention groups knew about cheese as a good source of calcium (92.0%; 91.0%) and yogurt as a good source of calcium (84.0%; 86.0%, respectively) as preventive strategies for osteoporosis. On the contrary, 9.0% and 7.0% of the control and the intervention groups knew about recommended daily intake for calcium, ice cream as a good source of calcium (16.0%; 22.0%, respectively), and bicycling as a best type of exercise (27.0%; 20.0%, respectively) as preventive strategies. Furthermore, in post-intervention stage 100% of the teachers scoring correct responses were observed for eight of the 17 preventive strategies items in the intervention group. In addition, there was a significant change in the scores for nine items, but the less percentages in the items that included level of exertion of exercise (71.0%), bicycling as a best type of exercise (75.0%) and recommended daily intake for calcium (77.0%). On the contrary, there were little changes in knowledge about preventive strategies among the control group, the majority of the control group knew about cheese as a good source of calcium (94.0%), and yogurt as a good source of calcium (93.0%), respectively as preventive strategies for osteoporosis. On the contrary, 6.0% of the control group knew about recommended daily intake for calcium, ice cream as a good source of calcium (19.0%), level of exertion for exercise (23.0%), amount of milk to supply calcium recommended daily intake (24.0%) , and bicycling as a best type of exercise (25.0%), respectively as preventive strategies as shown in table 3.

Table 3 Correct knowledge about preventive strategies of osteoporosis among the study population in pre-post intervention stages (N=200, Control group=100, Intervention group= 100)

Items	Pre-intervention				Post-intervention			
	Control group		Intervention group		Control group		Intervention group	
	N	%	N	%	N	%	N	%
Preventive strategies • Best type of exercise:-walking	57	57.0	54	54.0	68	68.0	100	100.0
• Best type of exercise:-bicycling	27	27.0	20	20.0	25	25.0	75	75.0
• Best type of exercise:-aerobic dancing	36	36.0	29	29.0	54	54.0	100	100.0
• Best type of exercise:-jogging	66	66.0	46	46.0	57	57.0	93	93.0
• Frequency of exercise:-3 or more days a week	58	58.0	49	49.0	39	39.0	94	94.0
• Duration of exercise-least amount of time:-20 to 30 minutes	63	63.0	58	58.0	68	68.0	88	88.0
• Level of exertion:-much faster but talking is possible	26	26.0	42	42.0	23	23.0	71	71.0
• A good source of calcium:-cheese	92	92.0	91	91.0	94	94.0	100	100.0
• A good source of calcium:- canned sardines	73	73.0	73	73.0	75	75.0	97	97.0
• A good source of calcium:- broccoli	44	44.0	30	30.0	43	43.0	93	93.0
• A good source of calcium:- yogurt	84	84.0	86	86.0	93	93.0	100	100.0
• A good source of calcium:- ice cream	16	16.0	22	22.0	19	19.0	100	100.0
• Recommended daily intake (RDI) for calcium:-> 800 mg	9	9.0	7	7.0	6	6.0	77	77.0
• Amount of milk to supply calcium RDI: 2 or more glasses daily	28	28.0	26	26.0	24	24.0	100	100.0
• Best reason to take a calcium supplement:-if a person doesn't get enough calcium from diet	64	64.0	60	60.0	64	64.0	99	99.0
• Vitamin is required for the absorption of calcium:-vitamin D	49	49.0	55	55.0	73	73.0	100	100.0
• The best source of that vitamin:-sunlight	55	55.0	62	62.0	60	60.0	100	100.0
Total OKT mean score + SD	18.17+5.55		17.14+4.98		19.08 + 5.0		33.22+ 1.08	
t-test = **p=**	1.38 0.17				-26.63 0.00*			

Significant at $p \leq 0.05$

With respect to knowledge, the results showed that before the educational program 46.6% and 42.0% of the control and the intervention groups had moderate knowledge, followed by 39.8% and 45.0% had little knowledge, then 6.8% and 10.0% had poor knowledge and 6.8% and 3.0% had strong knowledge. The average knowledge scores about osteoporosis for the control group was *M= 18.17, SD= 5.55* and *M= 17.14, SD=4.98* for the intervention group. The results indicated that there were no significant differences between them (t=1.38; p=0.17). While afterwards a significant increase in overall osteoporosis knowledge was detected among the teachers in the intervention group after attending health education sessions. In total, 100 % of the intervention group had strong knowledge. On the contrary, there was no significant increase in overall osteoporosis knowledge among the teachers in the control group. Overall, 55.3% of the control group had moderate knowledge, followed by 35.0% had little knowledge, then 5.8% had strong and 3.9% had poor. The average knowledge scores about osteoporosis in both groups were *M=19.08, SD= 5.00* for the control group and *M= 33.22, SD= 1.08* for the intervention group, and the results of the *t*-test indicated a significant difference between two groups (t= -26.63; p= 0.00).

Regarding to health beliefs, the results showed that before the educational program the perceived susceptibility subscale was evaluated as medium for the control and the intervention groups (*M = 2.72, SD=0.81; M= 2.74, SD=0.81,* respectively). In addition, there were no statistically significant differences in responses between two groups (t= - 0.09;

p=0.93). On the contrary, after the educational program there was a significant effect of health education sessions on perceived susceptibility. The results showed that perceived susceptibility score among the intervention group was a statistically significant higher than in the control group (*M = 2.83, SD=0.64; M= 3.64, SD=0.52,* respectively). Furthermore, there was a statistically significant difference in responses between them (t= - 8.51; p=0.00).

Before the educational program the mean scores for perceived seriousness of the control and the intervention groups were evaluated as medium (*M= 3.17, SD= 0.81; M= 3.17, SD= 0.74*, respectively). There was no statistically significant differences between two groups according to *t*-test (t= - 0.17; p=0.87). These results changed after the educational program, the mean score was (*M= 3.21, SD= 0.62 and M= 4.13, SD= 0.30,* respectively), which showed a statistically significant difference according to *t*-test (t= - 13.41; p=0.00).

Before the educational program, the perceived benefits of exercise subscale was the highest for the control and the intervention groups (*M= 3.95, SD= 0.79; M= 3.80, SD= 0.87*, respectively). The *t*-test showed no statistically significant differences in responses between them (t= 1.19; p=0.24). After the educational program, this subscale was strong and there was a significant increase in the scores among the teachers in the intervention group and little increase but not significant among the control group. The mean score for the benefits of exercise subscale was (*M= 3.97, SD= 0.60; M= 4.46, SD= 0.36*, respectively) for the control and the intervention groups, and *t*-test showed a statistically significant difference between the two groups (t= - 6.91; p=0.00).

On perceived benefits of calcium intake before the educational program, the mean was high for the control and the intervention groups (*M= 3.88, SD= 0.65; M= 3.74, SD= 0.70*). As shown in table 4, *t-* -test did not suggest any significant difference among perceived benefits scores between the two groups (t= 1.35; p=0.18). After the educational program these mean scores were 3.87 (SD 0.50) and 4.36 (SD 0.31). There was a statistically significant difference between the groups (t= - 8.28; p=0.00).

Before the educational program, the control and the intervention groups had medium mean scores of barriers of exercise (*M= 2.82, SD= 0.73; M= 2.88, SD= 0.75*). There were no statistically significant differences in responses between them (t= - 0 .67; p=0.51). After the educational program, there was a significant decrease in subscale scores among the intervention group and little changes but not significant among the control group. There was a statistically significant difference between the groups (*M= 2.74, SD= 0.54; M= 2.22, SD= 0.40*) and t= 7.62; p=0.00.

Prior to the educational program, barriers to calcium intake subscale had the lowest mean scores for the control and the intervention groups ((*M= 2.46, SD= 0.71 and M= 2.52, SD= 0.73)*. There were no statistically significant differences in responses between them (t= - 0.39; p=0.69); however, these scores after the educational program were changed. The mean scores were *M= 2.71, SD= 0.56 and M= 1.85, SD= 0.56* for the control and the intervention groups, and the *t*-test indicated statistically significant differences in responses to this subscale between them (t= 11.66; p=0.00).

Regarding to health motivation before the educational program, the teachers in the control and the intervention groups were more highly motivated to take care of their health with *M= 3.61, SD= 0.73 and M= 3.46, SD= 0.68*, respectively. There were no statistically significant differences among them (t= 1.31; p=0.19) as shown in table 4. After the educational program there was a statistically significant difference between the groups in the responses to this subscale (*M= 3.5, SD= 0.53; M= 4.15, SD=0.34* and t= - 10.27; p=0.00.

Table 4 Difference in the participants' health belief model subscales pre and post intervention (N=200, Control group=100, Intervention group= 100)

Subscale	Pre-intervention				Post-intervention			
	Control group	Intervention group	t-value	P-value	Control group	Intervention group	t-value	P-value
	Mean (SD)	Mean (SD)			Mean (SD)	Mean (SD)		
Perceived susceptibility	2.72 (0.81)	2.74 (0.81)	- 0.09	0.93	2.83 (0.64)	3.64 (0.52)	- 9.97	0.00*
Perceived severity	3.16 (0.81)	3.17 (0.74)	- 0.17	0.87	3.21 (0.62)	4.13 (0.30)	-13.41	0.00*
Perceived benefits of exercise	3.94 (0.80)	3.80 (0.87)	1.19	0.24	3.98 (0.58)	4.54 (0.33)	-8.69	0.00*
Perceived benefits of calcium intake	3.88 (0.65)	3.74 (0.70)	1.35	0.18	3.87 (0.50)	4.36 (0.31)	-8.28	0.00*
Perceived barriers to exercise	2.82 (0.73)	2.88 (0.75)	-0.67	0.51	2.74 (0.54)	2.22 (0.40)	7.62	0.00*
Perceived barriers to calcium intake	2.45 (0.72)	2.52 (0.73)	- 0.39	0.69	2.71 (0.56)	1.85 (0.56)	1.66	0.00*
Health motivation	3.60 (0.72)	3.46 (0.68)	1.31	0.19	3.28 (0.33)	3.55 (0.22)	- 6.61	0.00*

* Significant at p $\leq$ 0.05

The research hypotheses were proven true. The Jordanian female teachers who engaged in osteoporosis education program based on Health Belief Model demonstrated higher levels of knowledge about risk factors and preventive measures of osteoporosis than those who did not engage, in addition, they demonstrated stronger health beliefs of osteoporosis than those who did not engage.

Discussion

The total osteoporosis knowledge scores in pre-intervention stage were moderate among the conrol and the intervention groups and lower than expected in this studied population of well-educated women, which was similar to that found in the results of studies conducted by Riaz et al. (2008), Chang (2006), Hernandez-Rauda et al. (2004), Sedlak et al. (2000), Waller et al. (2002), Ungan et al. (2001). The findings of this study indicated that the health education program was successful in increasing knowledge. All items of osteoporosis knowledge shown significant differences across the pre-intervention and post-intervention scores.The significant increase in the teachers' knowledge among the intervention group after the health education program was similar to results reported by other studies of osteoporosis education were found that knowledge improved and increased after the educational program (El-Sayed et al., 2013; Sanaeinasab et al., 2013; Abushaikha et al., 2009; Nejati et al., 2009; Abd El Hameed et al., 2008; Chan et al , 2007; Hazavehei et al., 2007; Kutsal et al., 2005; Brown et al., 2004;Turner et al., 2004; Ribeiro et al., 2001; Piaseu et al., 2001; Sedlak et al., 2000; Ribeiro et al., 2000). This success of osteoporosis education program recmmends for adopting such education program on future osteoporosis education programs. Also, more attention should be devoted to information, education and communication (IEC) programmes concerning osteoporosis.

In this study, the osteoporosis education program was designed to significantly increase the osteoporosis health beliefs of perceived susceptibility to osteoporosis, perceived severity to osteoporosis, perceived benefits of exercise and perceived benefits of calcium intake to prevent osteoporosis, and to significantly decrease perceived barriers to exercise and perceived barriers to calcium, in order to predict an increase in self-reported health motivation.

Before the educational program, over two-thirds of the subjects in the control and the intervention groups did not feel and consider themselves susceptible to developing osteoporosis and they did not believe that osteoporosis would significantly affect their lives, so that according to the HBM, they will not take preventive measures toward off the disease. This is consistent with the previous study in New Zealand (von Hurst et al., 2007). The program resulted in a statistically significant increase among the intervention group with the majority of the teachers in the intervention group agreeing that their susceptibility to osteoporosis are high. This reflects that the majority of the intervention group believed that osteoporosis would significantly affect their lives. It is similar to previous studies suggested that education program increased perceptive susceptibility to osteoporosis (*T*ussing et al., 2005; Piaseu et al., 2001; Hazavehei et al., 2007; and Ghaffari et al., 2012). Thus, it is prudent to provide the necessary education about osteoporosis to Jordanian female and other females worldwide.

In this study, there was a higher level of agreement about the seriousness (severity) of osteoporosis in the control and the intervention groups in pre-intervention stage, but less than a quarter of the teachers in both groups regarded osteoporosis as a crippling disease. This finding was consistent with the report of von Hurst et al., (2007), but different from the findings of Hernandez-Rauda et al., (2004). After the program, there was a significant increase in the scores among the teachers in the intervention group and little increase but not significant among the control group. Also, the most of the teachers among the intervention group reported that it would be serious if they got osteoporosis. This finding was consistent with the finding of Hasavehei et al., (2007) but different from the report of Tussing et al., (2005). So that, the osteoporosis education program did emphasize the visible severity of osteoporosis with images and markers pointing out looking frail and disfigured, having a hunch back, and being shorter in height.

Perceived benefits of calcium intake and physical activity were high both before and after the program among the control and the intervention groups. There was a significant increase in the scores among the teachers in the intervention group and little increase but not significant among the control group after the program as reported by previous studies (Piaseu et al., 2001; Tussing et al., 2005; Hazavehei et al., 2007; Jalili et al., 2007; Ghaffari et al., 2012), which found that program significantly increase perceived benefits of calcium intake and physical activity. The change may be due to exposure to osteoporosis information. The high score seems to imply that young adults understand the benefits of calcium intake and exercise and the teachers' knowledge and beliefs regarding benefits of exercise and calcium intake improved after health education sessions and this may lead to improvement in osteoporosis preventive practices among participants.

In this study regarding perceived exercise barriers, before program most teachers in both groups belonged to a medium level of barriers with about one third of the teachers in the control and the intervention groups agreeing regarding this subscale, which similar to a previous study that indicated few women perceived barriers to exercise participation (Jalili et al., 2007). Thus, programs aimed at personal change may be more effective if they help people feel better about themselves than if they focus exclusively on knowledge of the health benefits of physical activity and exercise. The program resulted in significant decrease in barriers among the intervention group. The same findings have also been reported by Piaseu

et al., (2001), Hasavehei et al., (2007), and Franko et al., (2008). According to Ziccardi et al., (2004) these barriers were possibly belief-based and were reduced by education. Perceived barriers to exercise may have decreased because various examples of weight-bearing physical activity were provided to give the sense of many options. In addition, the examples of weight-bearing physical activity may have been desirable activities that the participants would want to engage in. Also, the amount of weight-bearing physical activity listed, 2-3 or 3-5 times per week for resistance training or activities that are weight-bearing and/or involve jumping, respectively, may have seemed underwhelming, which may have also decreased perceived barriers to exercise. This may help explain why perceived barriers to exercise decreased among the intervention group.

In this study, the majority of the teachers in both groups had "low perceived calcium intake barriers". This studied population did not have many barriers to calcium intake. Similarly, a previous study did not view barriers to calcium intake to be problematic (Swaim et al., 2008). In addition, the program resulted in a significant decrease in barriers among the intervention group. This reduction was statistically significant indicating that teachers could overcome perceived calcium intake barriers. Perceived barriers to calcium may have decreased because various examples of good sources of calcium were provided to give the sense of many options, and many or all of the good sources of calcium listed may have been desirable sources that the participants would want to consume.

Health motivation has been found to be related to degree of readiness of people to engage in health behavior (Kim et al., 1991a). In the present study, before educational program the study population demonstrated a quite high level of health motivation. This indicated that there will be a trend towards increasing participation in preventive health care. This result is consistent with a previous study, which indicated that women were more highly motivated to take care of their health (Jalili et al., 2007). After program, health motivation was significantly increased among the intervention group, which probably due to the influence of knowledge gain and changes but not significant among the control group.

Overall, health education programthat based on HBM increased the variables that could encourage people to engage in osteoporosis preventive measures. The majority of the intervention group after educational program had high feelings of susceptibility and seriousness towards development of osteoporosis and increasing in the view of the benefits of physical activity and calcium intake, the view of the barriers of physical activity and calcium intake, and the motivation for positive health. So, it will be expected that teachers will take osteoporosis preventive measures.

Conclusion

In conclusion, considering the fact that the Health Belief Model had a positive effect on increasing knowledge, health belief and health motivation in to combat osteoporosis, this study could be used as a model for promoting a healthy lifestyle in order to prevent diseases associated with old age. The findings of this study could be used as a basis for developing primary healthcare programs regarding osteoporosis preventive strategies based on the Health Belief Model. The findings also support the need to raising public and community awareness toward osteoporosis including extent of the problem, risk factors, signs, complications, diagnosis and preventive awareness campaigns and community mobilization. Further studies need to emphasize more strongly on proven risk factors for osteoporosis and measurement of bone density. An understanding of the characteristics of women with poor knowledge of osteoporosis may help to design more appropriate public health education programs according to community needs. Future studies is advised for all regions to study the effectiveness of health education program for the whole community including adolescents, young women, and middle aged and elderly women are highly recommended.

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COMPARATIVE TOXICITY STUDY OF CHLOROQUINE AND HYDROXYCHLOROQUINE ON ADULT ALBINO RATS

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Abstract

Expanded use of Chloroquine and hydroxychloroquine drugs for non-malarial disease entities has resulted in prolonged duration of therapy and higher daily dosages leading to cumulative doses greater than those used in antimalarial therapy. The aim of the study is to evaluate and compare the toxic effects of chloroquine and hydroxychloroquine on different organs of albino rats. The study was conducted on 60 normal albino rats divided into 3 groups, the 1st group is the control group that received only distilled water, the 2nd and the 3rd group were given a single daily oral doses equivalent to $1/10^{th}$ of LD_{50} chloroquine and hydroxychloroquine respectively. Assessment of liver and kidney functions, and histopathological changes in liver, kidney, and heart in different groups was done. The chloroquine treated group showed significant elevation of serum glutamic pyruvic transaminase (SGPT), serum glutamic oxaloacetic transaminase (SGOT), alkaline phosphatase (ALP), total bilirubin (TB), serum creatinine-urea (Cr-U), Creatine Kinase-MB, C-reactive protein and Malonic dialdehyde levels as compared to control and hydroxychloroquine treated group. The histopathological evaluation showed marked hydropic degeneragtion, vascular congestion, interstitial hemorrhage, and necrosis in the liver, kidney and heart of chloroquine treated group, while hydroxychloroquine treated group showed mild congestion and slight cellular degeneration. Thus, hydroxychloroquine is less toxic and physicians should prescribe it better than chloroquine. Chloroquine if prescribed for therapeutic uses should be taken for short periods.

Keywords: Chloroquine, hydroxychloroquine, comparative, toxicity, rats

Introduction

Chloroquine was first used as an antimalarial agent. It subsequently played an important therapeutic role in various rheumatological diseases, including systemic lupus erythematosus (SLE), rheumatoid arthritis (RA), and other inflammatory and dermatologic conditions. The use of its analogue, hydroxychloroquine, has largely replaced chloroquine in most parts of the world, because of better tolerability at high dosages. Both medications share a similarity in their therapeutic and toxicological aspects (**Pasadhika and Fishman, 2010).**

Expanded use of these drugs for nonmalarial disease entities has resulted in prolonged duration of therapy and higher daily dosages leading to cumulative doses greater than those used in antimalarial therapy **(Rüther et al ., 2007).** Many studies revealed that chloroquine has many deleterious effects on many systems. The mechanism of chloroquine toxic effects is still unknown, but some studies reported that it may be due to the formation of some oxidative metabolites, which raises the production of reactive oxygen species (**Al-Jassabi et al., 2011).** Chloroquine accumulates especially in the Kupffer cells of the liver with resultant lysosomal damage including overloading of the liver lysosomes with non-digestible material, and an increase in their size and number **(Schneider et al., 1997).** The reported accumulation of CHQ in lysosomes has an apparent destabilizing effect on lysosomal membranes **(Zhao et al., 2005).**

However, **Ostensen (2006) and Michaelides et al. (2011**) reported that chloroquine and hydroxychloroquine are related drugs with different therapeutic and toxic doses. Chloroquine is a safe drug when recommended therapeutic doses are used. Most serious toxicity occurs following accidental or intentional overdose. The acute ingestion of 1–1.5 g (20 mg/kg) will result in toxicity in an adult, and ingestion of 5 g is potentially lethal **(Riou et al., 1988**). Hydroxychloroquine was reported to be less toxic than chloroquine; there are no available data on adverse effects of hydroxychloroquine on male fertility **(Ostensen , 2006).** According to animal studies, chloroquine is 2–3 times more toxic than hydroxychloroquine (**Smith and Klein-Schwartz, 2005**).

Aim of the work

The aim of this work is to evaluate and compare the toxicological effects of chronic exposure to chloroquine and hydroxychloroquine for 6 weeks on adult albino rats.

Material and methods

  Drugs: Commercial tablets of chloroquine phosphate (Alexoquine 250 mg tablets) was purchased from Alexandria Company, and Commercial tablets of hydroxychloroquine phosphate (Plaquenil 200-mg film-coated tablets) was purchased from Sanofi Aventis Company.

Animals and Experimental design

   A total of 60 normal adult albino rats of either sex weighing between 180 gm and 220 gm were used in this study. Animals were divided randomly into 3 groups with 20 animals in each group:
1. **Group 1: Control group**, treated with distilled water.
2. **Group 2: Chloroquine treated group,** treated with chloroquine.
3. **Group 3: Hydroxychloroquine treated group**, treated with hydroxychloroquine.

According to the Research Ethics Committee , Faculty of Medicine, University of Benha, the rats were maintained under standard housing laboratory conditions. Rats were housed in clean well ventilated cages, 12 h light/dark cycles, every 5 rats were housed in a separate cage under strict care and hygiene to keep them in normal and healthy conditions. Free access to food and water were allowed. The animals were kept under supervision of a professional technician. The animals were anesthetized by ether before taking the samples and were eliminated by incineration in Benha university hospital incinerator.

Both tested drugs were dissolved in distilled water as the two drugs are well soluble in water which is an inert substance without any known toxic effects. Each rat received $1/10^{th}$ of the LD_{50} orally of each drug daily for 6 weeks. Chloroquine median lethal dose (LD50) in rats is 330mg/kg **(crouzette et al., 1983),** while the oral LD_{50} of hydroxychloroquine in rats is 1240 mg/kg (**MSDS, 2008).** The dose adjusted every week according to the animal's body

weight. The time of drug administration was fixed for all animals at 12 p.m. and the animals were fasted 4 hours before drug administration.   The total experimental period was designated to be 7 weeks; 6 weeks for drug administration and one week period of passive preliminaries in order to acclimatize prior to treatment.

Biochemical estimations

At the end of the 6th week, rats were anaesthetized by ether; blood samples (3 ml) from all groups were drawn from the heart of rats by 5 ml syringes. Serum was separated by centrifugation at 2500 rpm for 15 min and used for the determination of serum glutamate oxaloacetate transaminase (SGOT), serum glutamic pyruvate transaminase (SGPT), alkaline phosphatase
(ALP), total bilirubin (TB), serum creatinine-urea (Cr-U). Also, creatine kinase, c-reactive protein and malonic dialdehyde were determined.

Histopathological studies

The rats from all groups were sacrificed after ether anesthesia. Tissues were taken from the kidney, liver and heart for histological assessment. Formalin fixed, paraffin embedded blocks were prepared and 5 microns serial sections were cut and stained with haematoxyline and eosin and examined by light microscope (Benli et al, 2008).

Scoring of histopathological lesions

Five slides were observed from each organ to evaluate the lesion semi-quantitatively by ranking tissue lesion severity (Benli et al, 2008). Ranking was done from 0 to 3 depending on the degree and extent of the alteration as follows: no histopathology changes: (0), histopathological changes in < 20% of fields: (1+), histopathological changes in 20 to 60% of fields: (2+), histopathology changes in >60% of fields: (3+).

Statistical analysis methods

All data were analyzed statistically, using a current SPSS statistical package Version 19 and the data presented as Mean ± Standard Deviation of Means (S.E.M). Comparison between two groups was performed using t-test and p value was considered statistically significant if ≤ 0.05, P value >0.05 insignificant.
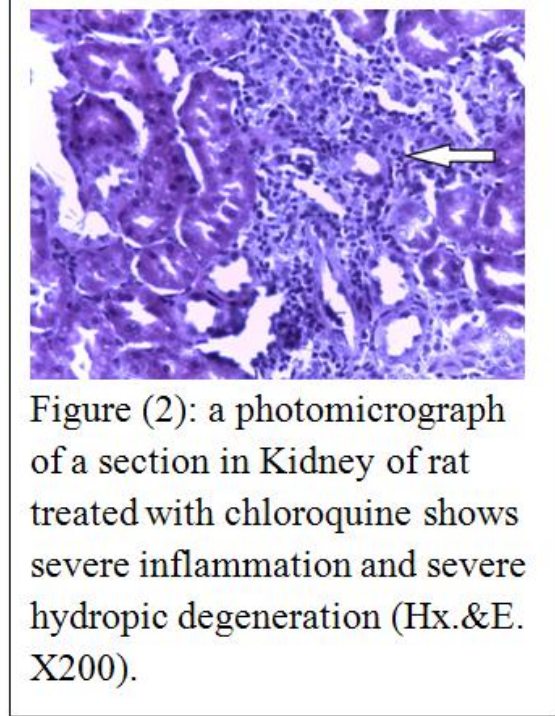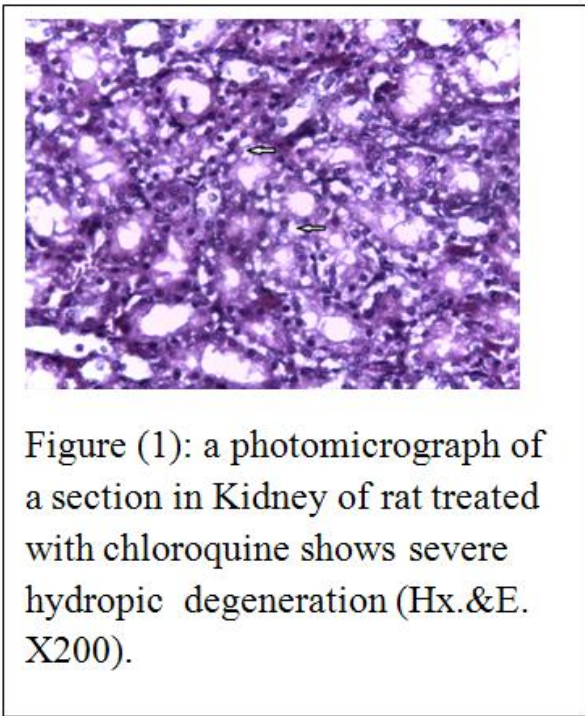
Results:

Table 1: Effects of chloroquine and hydroxychloroquine on rat serum biochemical parameters.

Group	Biochemical parameters								
	SGOT (IU/I)	SGPT (IU/L)	ALP (IU/L)	TB (mg/dl)	Creatinine (µmoL/L)	Urea (mg/dL)	Creatine Kinase-MB (ng/mL)	C-reactive protein (mg/L)	Malonic dialdehyde (µmol/L)
Control group	42.89 ± 17.86	41.66 ± 25.11	271 ± 44.22	0.78 ± 0.22	0.41 ± 1.66	8.01 ± 0.14	0.9 ± 0.23	0.3 ± 0.01	0.4 ± 0.12
Chloroquine group	422.9 ± 38.12 *	407.31 ± 35.5*	362 ± 34.01	1.44 ± 0.30	3.54 ± 0.41*	15.88 ± 0.21*	10.06 ± 2.1*	6.4 ± 1.1*	4.1 ± 1.02*
Hydroxychloroquine group	143.8 ± 50.23 *	210.52 ± 515.4*	312 ±37.3	1.02 ± 0.09	2.31 ± 0.22*	13.57 ± 0.31	6.17 ± 0.9*	4.3 ± 0.8*	3.9 ± 0.9*

Table 2: Histopathological scoring showing effects of chloroquine compared to hydrochloroquine. on rat organs**.**

Histopathological changes	Group		
	Control group	Chloroquine group	Hydroxychloroquine group
Liver	-		
Hepatoportal and Sinusoidal congestion	-	+++	+
Cloudy swelling and Hydropic degeneration	-	+++	+\-
Cellular necrosis (Nuclear pyknosis, karyorrhexis, karyolysis)	-	+++	-
Inflammatory cellular infiltrate	-	+++	+
Kidneys			
Vascular congestion	-	+++	+
Cloudy swelling and hydropic degeneration	-	+++	+\-
Inflammation	-	+++	+
Interstitial and tubular hemorrhage	-	+++	+
hyper -cellularity of glomeruli	-	+++	-
Focal tubular necrosis	-	++	+
Heart			
Vascular congestion	-	++	++
Cloudy swelling of Cardiac muscle and loss of striation	-	+++	+
Hemorrhage	-	++	+
Cardiac muscle necrosis	-	++	-
Interstitial fibrosis	-	++	-

Histopatgological changes

Figure (1): a photomicrograph of a section in Kidney of rat treated with chloroquine shows severe hydropic degeneration (Hx.&E. X200).

Figure (2): a photomicrograph of a section in Kidney of rat treated with chloroquine shows severe inflammation and severe hydropic degeneration (Hx.&E. X200).
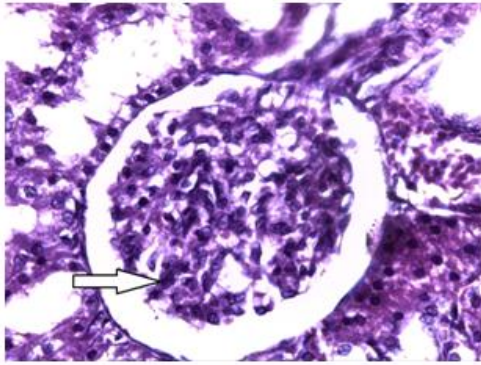
Figure (3): a photomicrograph of a section in Kidney of rat treated with chloroquine shows severe hyper -cellularity of glomeruli (Hx.&E. X400)
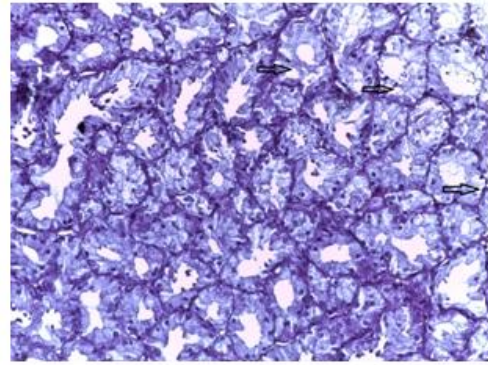
Figure (4): a photomicrograph of a section in Kidney of rat treated with hydrochloroquine shows mild cloudy swelling (Hx.&E. X200).
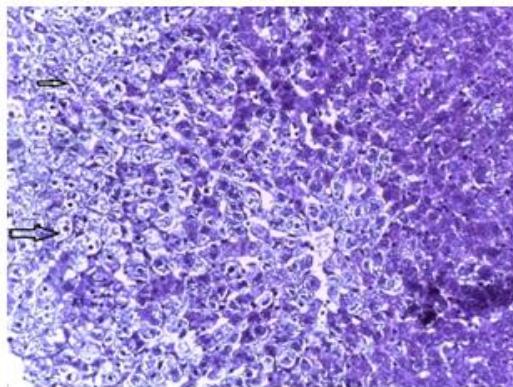

Figure (5): a photomicrograph of a section in liver of rat treated with hydrochloroquine shows mild cloudy swelling (Hx.&E. X200).
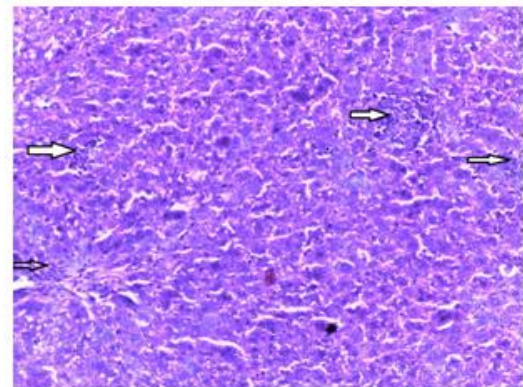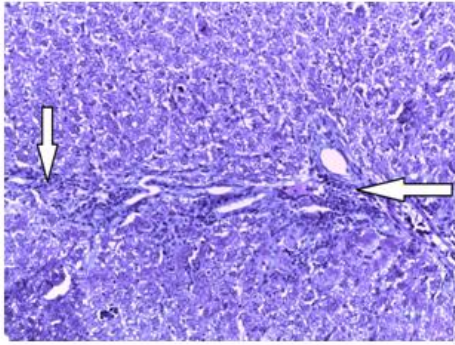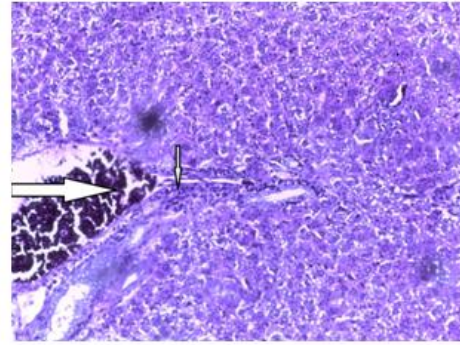

Figure (6): a photomicrograph of a section in liver of rat treated with hydrochloroquine shows mild inflammatory changes (Hx.&E. X200).

Figure (7): a photomicrograph of a section in liver of rat treated with chloroquine shows sever inflammatory changes (Hx.&E. X200).

Figure (8): a photomicrograph of a section in Liver of rat treated with chloriquine shows severe inflammation and congestion (Hx.&E. X200)
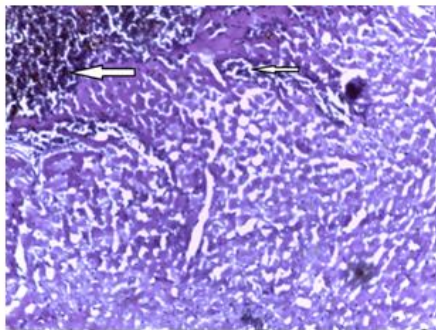

Figure (9): a photomicrograph of a section in heart of rat treated with hydrochloroquine shows moderate congestion and mild haemorrhage (Hx.&E. X200).
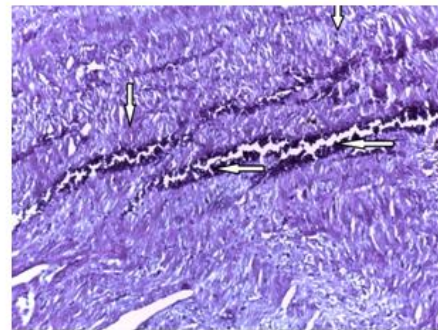

Figure (10): a photomicrograph of a section in heart of rat treated with chloroquine shows moderate congestion and interstitial fibrosis (Hx.&E. X200)

Discussion

Most antimalarial agents had been shown to be toxic. Chloroquine was first used as an antimalarial agent. It subsequently played an important therapeutic role in various rheumatological diseases. The use of chloroquine analogue, hydroxychloroquine, has largely replaced chloroquine in most parts of the world, because of better tolerability at high dosages (**Adeeko and Dada, 1998; Pasadhika and Fishman, 2010).**

So, physicians uses chloroquine and hydroxychloroquine by large doses in treating various rheumatological diseases. Systemic side effects of hydroxychloroquine and chloroquine include disturbances in hepatic and renal function (**Lee, 2005; Ling Ngan Wong, 2008).**

The results of the present study indicated that Chloroquine induced marked lesions in the liver, kidney, and heart, as shown by pathologic study. The lesions appeared on the form of hydropic degeneragtion, congestion, inflammation, necrosis and atrophied glomeruli. Hydroxychloroquine treated group showed mild changes in organ structure as compared to chloroquine group. Chloroquine produced statistically significant increase in the level of biochemical parameters as compared to control group and hydroxychloroquine treated rats.

The histopathologic changes are in agreement with the biochemical results. The pathological changes of kidney, liver and heart in rats treated by chloroquine are more severe than that occurred with the rats treated with hydrochloroquine. Chloroquine seems to have toxic effect as a powerful membrane destabilizer, as well as direct effect on organs (**Riou et al., 1988**).

The results of the present study showed that chloroquine has deleterious effects on the structure of the liver; 90% of chloroquine treated rats had severe inflammation and congestion and this result was statistically significant as compared with control group, only 20% of hydroxychloroquine treated rats have Inflammation and congestion and this results was statistically significant.

Colombo and Bertini (1988) argued that the biological and pharmacological actions of chloroquine are directly related to its interaction with lysosomal membranes. Chloroquine, however, decreases the density of hepatocyte lysosomes. this could result from the fact that hepatocyte lysosomes accumulate Chloroquine to high extent in the liver**.**

In the present study chloroquine treated rats showed severe hyper -cellularity of glomeruli in 50 % of rats and this result was statistically significant as compared with control group and hydroxychloroquine group, while in hydroxychloroquine treated rats only 10% of treated rats had abnormalities in glomeruli.

The accumulation of Chloroquine in tissues may result from inhibition of anti-malarial microsomal metabolism in kidney cells and potentiate its uptake in lysosomes in the cytoplasm. Chloroquine, which is also deposited in the adrenal glands may indirectly affect kidney function by modulating the secretory patterns of aldosterone to cause a reduction in tubular Na+ handling. The deposition of CHQ in the epithelial cells of the kidney may result in a possible interference with ion movements (**Cooper and Magwere, 2008**).

Currently, there are only few investigations on the effect of Chloroquine on kidney morphology. Chloroquine may exert its renal effects indirectly via histopathological and ultrastructural cardiac damage through reductions in glomerular filtration rate (**Teixeira et al., 2002**).

The results of the present study indicated that short term chronic administration of chloroquine can cause necrosis of cells of rats' organs, hydroxychloroquine treated rats also showed these changes but to lesser extent than chloroquine group. The results of the present study revealed that 70% of chloroquine treated rats had interstitial tissue fibrosis compared to only 20 % of hydroxychloquine group and this difference was statistically significant. These results are agreed with **Jordan et al. (1999)** who reported that chloroquine is 2-3 times more toxic than hydroxychloroquine in animal studies**.**

Bercovici (1982) in a review of published cases found that chloroquine leads to increase the accumulation of cell associated epidermal growth factor (EGF) and inhibition of mitogenic activity of EGF and may lead to interstitial fibrosis.

These findings in the study agreed with the work of **Izunya et al. (2011)** who found that chronic oral administration of chloroquine may cause cytoplasmic vacuolation, nuclear enlargement and apoptosis of cells.

Chloroquine is 60% bound to plasma proteins and equally cleared by the kidney and liver, the toxicity of chloroquine is partially related to its transiently high whole blood concentration presents early in the distribution phase (**Looareesuwan et al., 1986**).

For biochemical myocardial parameters profile, Creatinine kinase-MB, C-reactive protein and Malonic dialdehyde were significantly elevated in the chloroquine treated group compared to control. Also, these differences were statistically significant in comparison to hydroxychloquine treated group. The increased cardiac markers could be directed to the reported pathological degeneration and necrosis in the myocardium. Chloroquine treated rats showed moderate congestion and interstitial fibrosis of cardiac muscle. Comparison between the two tested drugs showed that chloroquine has more toxic effect on heart than hydroxychloroquine, as 85% of chloroquine treated rats had fibrosis compared to only 10% in hydroxychloroquine treated group. This result was statistically significant.

Death from chloroquine toxicity seems to be related to cardiac toxicity from chloroquine's action on the cardiac conduction system and myocardium. **(Clemessy et al., 1995).** Long-term chloroquine can cause cardiac complications, such as conduction disorders and cardiomyopathy (restrictive or hypertrophic), by structural alteration of the interventricular septum **(Cervera et al., 2001).**

Conclusion

In conclusion, the risk of toxicity with chloroquine appears to be significantly higher than with hydroxychloroquine. For this reason, chloroquine should only be considered if hydroxychloroquine has failed to control the disease adequately. It is recommended that all patients taking chloroquine should be counseled on the risk of liver, kidney and heart toxicity and examination for renal and liver function should be arranged. The maximum dosage of hydroxychloroquine should not exceed 6.5mg / kg body weight (typically 200-400 mg daily).

Recommendations

Hydroxychloroquine is lesser toxic than chloroquine to a great extent. So hydroxychloroquine must replace chloroquine. Also, liver and kidney function should be done periodically for patients receiving hydroxychloroquine and chloroquine for prolonged time. Further investigation on the toxicity of chloroquine and hydroxychloroquine should be done. Finally, results will be disseminated to rheumatology department in faculties of medicine.

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THE ROLE OF FAITH-BASED ORGANIZING IN HEALTH CARE

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Abstract

This paper seeks to explore the cross-section of religion and public health. First, I explore the way in which certain religious principles correlate with some moral and philosophical reasons promoting public health. Here, I seek to answer whether or not a case can be made for social justice in global health. I specifically look at the ideas proposed by Norman Daniels and responses to those ideas by other public health theorists. In the second part of the paper, I explore the role that religious and faith-based partnerships can play in the delivery of health care (specifically in underserved rural and urban areas). Here, I argue that religious and faith-based grassroots organizations are: (1) the most prevalent, well connected, and efficient grassroots organizations in underserved areas; (2) have the infrastructure in place for the government to use for health care delivery; (3) are excellent avenues, to advocate for certain preventative health measures. I also present a case study that further illuminates the idea of health care delivery through religious and faith-based organizations. The case explores the story of a faith-based initiative in Bronx that targeted HIV/AIDS prevention. This outreach in Bronx presents two different uses of faith-based organizations: using already-present grassroots infrastructure for health care delivery, but also for preventative health education. Ultimately, this paper seeks to promote the idea of governments and health care practitioners delivering health care – and initiating conversations regarding health – through the infrastructure in place by religious and faith-based organizations.

Keywords: Religious grassroots, public health, organizing

Introduction

Scholars of health care often study the intersection of public health and social justice – the ethics of health care delivery, quality, and accessibility. An important topic in this arena is health care ethics and addressing different inequities and inequalities in the quality and access of health care: disparities, for example, between different social, racial, and age groups. Having studied the realities of health care inequalities today, for students to then ask the question of how to solve such inequalities is only natural. What are the mechanisms by which we can make health care equally accessible for all peoples? How can we work toward developing quality health care for everyone who needs it? However, before simply exploring what we can do, another question arises: what are the moral underpinnings of *why* we should do something. In that sense, before figuring out what one needs to do to repair the flaws of health care accessibility and outcomes, one must understand the moral implications of public health. Before one can act, one must feel compelled to act. One such driver of morals for many people is religion and faith. The case can be made that faith-based values and religious communities can be used as a springboard to effect change in the realm of global health.

This paper seeks to explore the cross-section of religion and public health. I look at two specific facets of this cross-section. First, I briefly explore the way in which certain

religious principles correlate with some moral and philosophical reasons promoting public health. Here, I look at sources seeking to answer whether or not a case can be made for social justice in global health. I specifically look at the ideas proposed by Norman Daniels and responses to those ideas by other public health theorists. In the second part of this paper, I explore the role that religious and faith-based partnerships can play in the delivery of health care (specifically in underserved rural and urban areas). My argument here is that religious and faith-based grassroots organizations are: (1) the most prevalent, well connected, and efficient grassroots organizations in underserved areas; (2) have the infrastructure in place for the government to use for health care delivery; (3) are excellent avenues, to advocate for certain preventative health measures. Aside from using readings that have covered this topic, I also present a case study that further illuminates the idea of health care delivery through religious and faith-based organizations. The case explores the story of a faith-based initiative in Bronx that targeted HIV/AIDS prevention. This outreach in Bronx presents two different uses of faith-based organizations: using already-present grassroots infrastructure for health care delivery, but also for preventative health education. Ultimately, this paper seeks to promote the idea of governments and health care practitioners delivering health care – and initiating conversations regarding health – through the infrastructure in place by religious and faith-based organizations.

I.
The Morals: How Religion Advocates for Just Health

Before delving into the question of how religious communities can effect change in the realm of public health, it would first be helpful to see what religious *values* have to say about global health care ethics. For lack of space – and for clarity's sake – I will only focus on Christian theology. The case studies that I will explore later in this paper are rooted in church movements and most literature on domestic faith-based organizations in the realm of health care delivery is concerned with studying Christian grassroots organizations.

In terms of seeing how religious values line up with arguments in place for global health care ethics, it is also important to review some of the ideas of modern-day philosophers and bioethicists like Norman Daniels. Specifically, it is imperative to see how people have responded to Daniels idea of "justice in health." Simply put, Daniels finds that health care is morally important as it has an impact on opportunity:

The central moral importance, for purposes of justice, of preventing and treating disease and disability with effective health care services (constructed broadly to include public health and environmental measures, as well as personal medical services) derives from the way in which protecting normal functioning contributes to protecting opportunity. Specifically, by keeping people close to normal functioning, health care preserves for people the ability to participate in the political, social, and economic life of their society. It sustains them as fully participating citizens – normal collaborators and competitors – in all spheres of social life (Daniels, 2).[114]

If we boil this down, we can see that Daniels presents health care ethics as a case for social harmony; it is a point of view that stresses community strengthening. He justifies the necessity for "preventing and treating disease and disability [amongst individuals] with effective health care services" because of the effects that those individuals will have on their society. Calling it a "return on investment" style of ethics would be a gross exaggeration, because Daniels does not give any us any means to measure what individuals will have a *greater* return on investment – he does not judge the potential of each member of the

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[114] Daniels, Norman. "Justice, Health, and Health Care." *The American Journal of Bioethics*, Vol. 1 #2. Spring 2001.

community but rather finds it morally essential that each member have an equal opportunity to contribute. It is also important to note that Daniel's moral basis for just health is, for the most part, cabined to a domestic level.

Others have responded to Daniels, specifically taking up his charge to propose a moral basis for *global* health ethics. While the aforementioned passage from Daniels' piece gives a *reason* for why health care should be delivered to all peoples, it does not give a *means* of application. Two impeding factors, according to Daniels, impede communities from delivering and promoting health care globally. Nations must, as Gorik Ooms and Rachel Hammonds write, navigate the middle ground between Scylla and Charybdis – nationwide health care ethics and global health care ethics:

> We agree with his call to resist "the pull of cosmopolitan intuition" since, as he argues, too much focus on global responsibility, without a strong affirmation of the primacy of national responsibility could erode the latter. We also agree that the global institution necessary to govern the relationship between national and global responsibility is lacking, and we argue that this deficiency should provide sufficient impetus to create such an institution (Ooms and Hammonds, 30).[115]

Ooms and Hammonds boil down Daniels argument to show that he has two main concerns with global health care ethics: (1) a focus on *globalized* health care ethics may potentially erode the integrity and stability of national health care, and (2) there is no institution that is in place to regulate and/or equally and efficiently distribute health care. For purposes of this paper, the second concern is of more importance. To the first, one can contend that efficient regulation and sustained economic incentives can maintain both national and global health care programs. However, this notion of a "global institution" is the more imperative. Daniels contends that the development of such an institution poses itself as the greatest challenge of global health care (Daniels, 354).[116] Here, Ooms and Hammonds also respond, disagreeing with Daniels "rejection of international human rights law as a potential compass" for global health care (Ooms and Hammonds, 30). To them, the development of a global infrastructure to regulate and/or equally and efficiently deliver health care is not only feasible – economically, politically, etc. – but also an essential element to global health care ethics. For now, let us table this idea – that of an "international human rights law" or international infrastructure to aid global health care – and return again to the aforementioned quote from Daniels article on the moral basis for just health.

In returning to Daniels' moral basis for just health, we can see parallels between religious teachings and Daniels' idea of individual opportunity adding to the potential for community cohesion and advancement. The case has been made in papers and research for years that there is a relationship between religion and medicine. In many ways, religion, science, and medicine have had a co-dependence of sorts, each discipline influencing the other. The growing trend of "spiritual but not religious" has revived the role of spirituality in conjunction with allopathic medicine; yoga, ayurvedah, homeopathy, prayer – these are a few examples of where religion and spirituality has again become prevalent in the realm of medicine (Rosner, 1811).[117] How does this, then, relate to Daniels idea of just health? What does religion and spirituality have anything to do with preventing diseases and disabilities amongst individuals to promote community cohesion and development? Daniels' notion of just health can fall into the larger umbrella of certain religious values; in many ways *all*

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[115] Ooms, Gorik and Rachel Hammonds. "Taking Up Daniels' Challenge: The Case for Global Health Justice." *Health and Human Rights*, Vol. 12 #1. 2010.
[116] Daniels, Norman. *Just Health: Meeting Health Needs Fairly.* Cambridge University Press, 2007.
[117] Rosner, Fred. "Religion and Medicine." *Arch Intern Med*, Vol. 161 #15. 2001.

religions are in place to promote social harmony. If not explicitly community development, religions at large do stress – in stereotypical terms – "to treat others as you would have them treat you." In that sense, just health can be a component of this Golden Rule; a religious person would hope to be helped if they needed help as much as they are expected to help others if others are in need.

As the question of just health is viewed as an ethical one, it is important to understand that as Kant or Rawls can be used to provide ethical guidance, so to can historically religious teachings. Indeed, religion can be simplified as a moral compass for believers. If this compass is used in the realm of health care, what do we find? Often, headlines are populated with religion *countering* health care – prohibitions on treatment, lifestyle, etc. However, beyond the negative impacts that religion may potentially have on one's health, there is definitely a role that religion plays in being a source of energy and motivation for both health care providers and recipients alike, especially in instances where health care has the potential to come up short (Pera and Van Tonder, 176).[118] The entire concept of clinical chaplaincy has developed, in some part, from works such as *Pastoral Care* by Pope Gregory the Great, the writings of theologian and medicine Avicenna, etc. Simply put, religion has a fundamental role in shaping the way peoples, historically, have come to view medicine and health care:

> "The whole redemption is a work of healing; therefore the whole of theology, but particularly of moral theology, has an essential therapeutic dimension. Christ the Savior is also the Healer. He came to heal the individual person in his or her relationships, but he also proclaimed an all-embracing kingdom and therefore a healthful world to live in. Christians are, in Christ, healers. They have a mission to heal themselves, to heal each other and to join hands to create a healthier world (Pellegrino and Thomasma, 39)."[119]

Here we can see a concept where the entirety of Christian theology is seen as being one with a predominantly "therapeutic dimension." In essence then, Pellegrino and Thomasma have found the Christian religion as one that has a moral compass that inadvertently directs its followers to "heal" those around them. Does this strictly to mean heal someone physically? Absolutely not – but as bioethicists, it would make sense that people like Pellegrino find a health-based dimension in Christian theology. Further interesting is when we take a deeper look into Christian history, there are multiple instances where Jesus "healed" people – physically – and helped them to reintegrate themselves into a society that had counted them out (i.e., leper, deceased person, the hungry, etc.). So through physical, health-based, medical-like healing, Jesus was able to provide members of a society with opportunity. In some ways, Pellegrino and Thomasma touch upon this; while Jesus "came to heal the individual person" there is still an "all-embracing kingdom" that he stressed that they could be a part of. How does this fit into Daniels' idea of a community-based moral principle advocating just health? Does Daniels thoughts not also parallel this interpretation presented by Pellegrino and Thomasma? Indeed, Daniels' moral basis stresses the same ideals, except the wordage is obviously far more secular without the religious undertones. But to both moral bases presented here – that proposed by Daniels and that proposed by Pellegrino and Thomasma – there is a constant: healing individuals is beneficial to society at large.

At this point, we can accept the premise then that both groups of people – those similar to Daniels, Ooms, and Hammonds and those similar to Pellegrino and Thomasma – have found a *reason* for just health. Whatever be the impetus behind those reasons, religious

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[118] Pera, S. A. and Susara Van Tonder. *Ethics in Health Care*. Juta, Limited. 2011.
[119] Pellegrino, Edmund D. and David C. Thomasma quoting Bernard Häring in *Helping and Healing: Religious Commitment in Health Care*. Georgetown University Press. 1997.

or humanist, we move on having a sound moral basis for just health. In healing members of the community in an equitable way, we can more fully realize the potential of our communities. The question now returns to where we left off earlier: how do put these morals into action? How do we answer a call for social justice in public health?

Daniels questioned the development of international infrastructure to regulate and/or equally and efficiently distribute health care. Ooms and Hammonds disagreed with this questioning, claiming that international human rights law could be a starting point to developing a global entity that would make it easier to respond to global health care challenges. What many people forget is that there is already an incredibly intricate, active, and large infrastructure in place – both domestically and globally – that has the power to effect change in the realm of health care: that of faith-based organizations. Simply put, social movements led by religious peoples and groups (faith-based organizations, religious grassroots movements, neighborhood partnerships, etc.) are effective in many places all over the world with the infrastructure and networking already in place. Often times, these movements lack the funds or credibility to actually be effective in the field of public and community health. However, if ethicists like Daniels found a way to reconcile their just health theories with the reality of faith-based infrastructure already present in the field, a lot of questions of *how* could be potentially answered.

The Application: How Faith-based Organizations Can Play a Role in Just Health

In turning to faith-based organizations, I would again like to reflect on the three key points I brought up at the beginning of this essay. Faith-based organizations are: (1) the most prevalent, well connected, and efficient grassroots organizations in underserved areas; (2) have the infrastructure in place for the government to use for health care delivery; (3) are excellent avenues, alongside schools, to advocate for certain preventative health measures. Also, it is worth once again pointing out the fact that certain moral bases for advocating just health can be found in religious theory. As an aid, I also use two examples of faith-based organizations to support the idea that they can both actively and preemptively promote health within their communities.

Income inequality, historical inequity, and racial divides have led to extremely predictable community layouts in predominantly black and poor neighborhoods in America. One such reality that is often reflected upon by social theorists is the number of liquor stores that can be found in low-income neighborhoods. Liquor stores are more commonly found in low-income neighborhoods than in affluent ones. While this is a predominantly economic-based divide, it is worth considering that historical and institutional racism has resulted in more poor black Americans than White Americans. This may come as a surprise: why would poor people waste their money on alcohol? The answers are fairly straightforward. Zoning laws and taxes in poorer neighborhoods are simpler to deal with and liquor stores have an easier time buying property in these areas (Wilson, 72).[120] Another reason that cannot be ignored is that liquor stores in poorer neighborhoods make a lot business – historically, it is *poorer*, and often times black, Americans who are the top consumers of alcohol:

> Psychology suggests that drinking often goes beyond the need
> to have a good time. Alcohol is often used as a therapy of sorts,
> or more accurately, a temporary solution that will eventually
> cause more problems than it solves. Who is more likely to drink
> than someone who has a lot of problems they'd like to forget if
> momentarily (Wilson, 72).

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[120] Wilson, Byron. *44 Questions for Black America*. iUniverse, Inc. 2005.

Here one can see the connection between social frustrations and drug abuse. In societies where work is difficult to come by, money is scarce, and education is weak, substance abuse is heavily common since alternatives are limited. If we accept this premise – that socioeconomic shortages cause people to turn to *anything* else (sadly, usually drugs), than I would like to suggest another point. This same reason that many people abuse drugs (frustrations with work, families, etc.) is the same reason why many people turn to religion. The numbers prove this idea.

In a study comparing Chicago's "black poor ghettoes" to those in other cities, it was found that within Chicago, the number of churches was more than three times that of pharmacies, twice that of childcare centers, and thirty times the number of banks.[121] In other ghettoes outside Chicago, the numbers of church prevalence were higher. Small organizations, like churches, can be found in these sorts of neighborhoods not only because rent is low, but also because of the same aforementioned reasons that people turn to drugs. It is, in Marxist terms, an opiate of different sorts – a means for people to escape the harsh realities of living life poor. But unlike liquor stores, churches – not simply as places to find spiritually fulfillment – provide much more:

> … many poor neighborhoods, despite being poor, have a high density of (literally) low-rent businesses. That's why they're there, because the rent is low. And while they're low rent [sic], they do provide basic goods, employ people, establish social connections, generate taxes, and generally provide both foundation and circulation within the neighborhood (Moser, no page).

In essence, this supports my initial point that faith-based organizations are, at once, both the most commonly found and most well connected groups in underserved and poor communities. Simply put, with nothing else to turn to – no jobs, broken families, etc. – many people in historically poor communities either turn to drugs or religion. The beauty of faith-based organizations is that they have the power to (like Daniels stressed) help people realize their fullest potential and help to contribute to their community. There is an element of service and redemption found in the work of faith-based organizations, and it is this element that can and should be tapped by government health care providers. As mentioned earlier in this paper, these small-scale organizations are those that have the most efficient and effective infrastructures in place in underserved communities.[122] Another interesting point to note is that *internationally*, Christians, Muslims, Hindus, etc. can unite with their religious communities to effect change in the realm of public health care.[123] If governments were to divorce themselves from conversations on theology and exclusively deal with faith-based organizations from a sectarian standpoint, much of the just health theories covered earlier in this paper could be put into action.

A whole different benefit of partnering with faith-based organizations is that both domestically and globally, they give health care providers much-needed cultural competency.

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[121] Moser, Whet. "Chicago's Poor Neighborhoods: Everything Deserts" in *Chicago Magazine*. 26 September 2012.

[122] Rowland, Michael and Lolita Chappel-Aiken. "Faith-Based Partnerships Promoting Health." *New Directions for Adult and Continuing Education*, Vol. 2012 #133. Spring 2012. pg. 25.

[123] Of course, there are several minorities within these religious groups. Howeveen then, sectarian groups can unite with themselves or work can be done to supersede those sectarian differences. It is also worth considering how in a growingly pluralistic America, there is a greater interest in inter and intra faith movements, so overcoming sectarian divides to solve public health issues seems to be feasible. For further reading, please consult the introduction of the article "Finding common ground: the boundaries and interconnections between faith-based organisations [sic] and mental health services" by Gerard Leavey, Gloria Dura-Vila, and Michael King in *Mental Health, Religion & Culture*, Vol. 15, No. 4, published April 2012.

Many cultural components of people can be found in their religious practice: languages, beliefs, customs, mannerisms, social structures, etc. To be sensitive to these cultural nuances can be of great benefit to health care providers solely on the basis of the fact that it will give them more credibility when they challenge community members to change their lifestyle habits (practice safe sex, eat healthy, cut smoking, etc.). Faith-based organizations can be especially useful domestically in immigrant communities where language and cultural barriers prevent the dissemination of information regarding health care. For example, in tackling the stigma of HIV/AIDS in immigrant communities, partnering with faith-based organizations can lead to fostering communities of support and prevention as opposed to those of judgment and ignorance:

> Recent studies have underscored the potential role immigrant churches in HIV prevention and care initiatives, given their visibility and authority within ethnic and mainstream communities … The religious and cultural norms that often alienate groups living with or perceived to be at risk for HIV from the church may concurrently guide engagement with these very same groups … (Kang, et al., 270).[124]

This role – of shaping community members' perceptions on certain health related issues – may be the single most important aspect of partnering with faith-based organizations. Through them, health care professionals and providers can disseminate information more efficiently and engage communities in essential health related topics. Obviously, government mandated health care education is effective, but the likelihood of people skipping commercials on TV or ignoring emails is higher than that of them ignoring sermons and programs at their places of worship. In that sense, faith-based organizations offer an incredible opportunity to be a springboard for conversation and preventative medicine. Even today, over fifty percent of health programs offered through faith-based organizations are focused on primary prevention.[125] However, the key to making these programs even more effective is having the government pour funding and resources into them. The problem is not in a lack of infrastructure or reach, but rather in an allocation of resources; instead of government mandated health programs that deal with bureaucracy more than they deal with people – it makes sense to help organizations that have actual influence.

Case Study: REACHing out in the Bronx[126]

In the tail end of 2008, the Centers for Disease and Control Prevention initiated a coalition in Bronx as part of their Racial and Ethnic Approaches to Community Health (REACH) program. This initiative, led by the Institute for Family Health, specifically focused in the Southwest Bronx, this program targeted almost 280,000 people, of whom more than 41% lived below the poverty line and 95% were Black and Latino. Sixteen percent – compared with 9% in the rest of New York City – were diagnosed with diabetes.

The program had a rigorous faith-based component, seeking to engage the greatest number of people it could. Partnering up with seventeen different churches of various denominations – from Baptist to Seventh Day Adventist to Catholic – and of various sizes – the congregations ranged from twenty to a thousand members. Each church received $3,000 a

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[124] Kang, Ezer, John Chin, and Elana Behar. "Faith-Based HIV Care and Prevention in Chinese Immigrant Communities: Rhetoric or Reality?" *Journal of Psychology and Theology*, Vol. 39 #3. 2011.

[125] DeHaven, Mark, Irby Hunter, and Jarret Berry. "Health Programs in Faith-Based Organizations: Are They Effective?" *American Journal of Public Health*, Vol. 94 #6. 2004.

[126] Kaplan, Sue, Charmaine Ruddock and Neil Calman. "Stirring up the Mud: Using a Community-Based Participatory Approach to Address Health Disparities through a Faith-Based Initiative." *Journal of Health Care for the Poor and Underserved*, Vol. 20 #4. 2009 (all information in the following section is from this article).

year to aid in the health programs. The program had two key goals in working with faith-based organizations:

> (1) To use the capacity and resources of local faith-based institutions to change the knowledge, attitudes, and behavior of community members concerning health promotion, disease self-management, and navigation of the health care system; and (2) to mobilize clergy and church members to seek changes in law, regulation, and policy to promote equal access to care (Kaplan et al., 1112).

Ultimately, the goal of this program was not necessarily to deliver tangible health care resources (while that was done too) but *rather* to change perceptions and raise awareness of diabetes and other illnesses before more and more people were afflicted by it. A specific means of raising health care awareness was in the printed literature that the coalition supplied to the churches, which the coalition expected to be distributed at services. Furthermore, clergymen – specifically the senior pastors in the congregations – delivered information from the pulpit regarding not just health care awareness but also food for thought on racial inequalities in the health care system at large. The ultimate goal here was to excite the congregation members to take charge and demand social justice in public health.

Midway through the program, a focus group to evaluate the program thus far was established, consisting of church members and pastor leaders. Through these evaluations, certain strengths and weaknesses of the initiative came to light. The first goal of the coalition was successful; specifically, the pastor's role in making changing congregational perspectives on health was essential. Many participants found that the connection of the health message to the spiritual message was especially fulfilling – stressing that good health was a means to a greater end than simply surviving. Consensus found that the second goal of the partnership was equally successful. Awareness was raised about systemic and intuitional racism and discrimination and the avenues to take in dealing with it. What participants particularly lauded was the setting: church was an extremely comfortable place to have conversations on inequality and it was easier asking questions without fear of judgment or misinformation.

However, while the two goals were met, participants recognized huge room for improvement. Of note were three particular concerns: (1) pastoral engagement and education, (2) dealing with bi-cultural and bi-lingual communities, and (3) sustaining the program. In terms of the first difficulty, the coalition leaders found that efficiency could be increased if pastoral education and engagement happened collectively, so that there was no discrepancy in leadership. Instead, pastors worked with the coalition leaders individually, resulting in some pastors feeling more prepared and engaged – and appearing as such – than others. Furthermore, while the coalition had taken the step of targeting Spanish-speaking churches, they had not fully translated all their written materials, and even in those that were translated, intra-lingual differences posed problems.[127] The "cultural" difficulties accounted for dietary preferences – tailoring dietary literature and food pyramids with foods those communities could recognize easier.

Finally, the third difficulty that the evaluation preempted was in finding ways to sustain the program. Luckily, many of the pastors had implemented the health programs into their own church budgets, the institutionalization a result of the programs' length and flexibility. However, carrying the program on further required money. Funding for grassroots programs is already scarce, but perhaps adding faith-based organizations into the mix makes potential donors – and specifically, the government – hesitant in becoming to heavily

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[127] For example, the Mexican-Spanish word for orange is *naranja*, while in Peurto Rican-Spanish, it is *china* which means a *Chinese woman* in Mexican-Spanish.

involved. While there may be fear in becoming overly meddled with religious groups, there seems to be more to gain from working with faith-based organizations as demonstrated in this case. Promoting health, not proselytizing religion, is the goal here.

Conclusion
Moving Forward: Where to Go From Here?

In this paper, I focused on two essential components of faith-based organizing: the impetus for action and the action itself. I briefly explored theories of just health proposed by the likes of ethicists like Norman Daniels, Gorik Ooms, and Rachel Hammonds and put that in conversation with religious sentiments illustrated by bioethecists like Edmund Pellegrino and David C. Thomasma Here we found that much of the conversation on the moral basis for just health is to be found on both sides of the isle: both religious and non-religious people can share the same reason to promote just health. I found that this reason is rooted in the notion that helping individuals can result in a more cohesive society with a greater chance to realize its fullest potential. It is a mutually beneficial social health care model.

In the second half of the paper, I explore the action – with the moral compass set, how can navigate to a more just society in terms of health equality and equity? Here I suggested that faith-based organizations pose the greatest potential for grassroots work for the following three reasons: (1) they are the most prevalent, well connected, and efficient grassroots organizations in underserved areas; (2) they have the infrastructure in place for the government to use for health care delivery; (3) they are excellent avenues, to advocate for certain preventative health measures. I then explored a case study from Southern Bronx in which the CDC partnered with community health leaders to initiate a coalition with several churches in the area to raise awareness of both health related issues – such as diet, disease prevention, etc. – but also of issues dealing with inequality and systemic discrimination in the realm of public health.

As a theology student aspiring toward a career in public health, I already recognize the tremendous power of faith-based solutions to respond to our biggest health care challenges and to improve the delivery and outcomes of health care, especially in our highest-risk, most-vulnerable communities. We *do* need a more empirical and sophisticated understanding of how these models of delivery actually work, how effective they are, and how they can be improved and scaled. But ultimately, faith-based organizations present an in-place infrastructure that the government and health care providers can tap to effect change at the grassroots level. While the partnerships have begun, they are still in their early stages of development. Nevertheless, this is an interesting prospect to study and an especially exciting one to advocate for.

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EFFECTS OF CINNAMON AQUEOUS EXTRACT ON BLOOD GLUCOSE LEVEL, LIVER BIOMARKER ENZYMES, HEMATOLOGICAL AND LIPID PROFILE PARAMETERS IN ALLOXAN- INDUCED DIABETIC MALE ALBINO RATS.

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Abstract

Cinnamon extract are widely used in Middle East and Asian countries as herbal medication for diabetes. The study evaluates the effects of Cinnamon aqueous extract on blood glucose level, liver biomarker enzymes, hematological and lipid profile parameters in alloxan- induced diabetic male albino rats (Wistar strain). Adult male albino rats weighing between 170-220g were induced intraperitoneally with alloxan. The male albino rats were grouped into five groups of six animals per group. Group A is the normal control group, Group B served as the negative control, Group C served as positive control and was treated with glibenclamide, Group D and E were treated with 100 and 200 mg/kg body weight of cinnamon aqueous extract respectively. The extracts were given to the animals orally for 14 days. At the end of the experimental period, the albino rats from each experimental group were starved for 16 hours and sacrificed by cervical dislocation. The weight of diabetic untreated rats (Group B) were significantly ($P<0.005$) reduced when compared to other groups. The animals treated with glibenclamide, 100 and 200mg/Kg body weight of cinnamon extract showed significant decrease ($P<0.05$) of blood sugar level compared to the untreated rats (group B). This suggests that the plant extract possesses anti-diabetic and hypoglycemic effect. The extracts significantly increased RBC, HGB and HCT; and the WBC was significantly reduced in the treated groups compared to the untreated group. There were significant decrease ($P<0.05$) in plasma TC, TG, LDC-Cholesterol and an increase in HDL-Cholesterol values was observed in the treated groups compared to the untreated group. This is an indication that the extract had hypolipidemic effect and can be used in the treatment of diabetes. The extract significantly increased ($P<0.05$) plasma total protein level in the treated groups. The extract significantly reduced ($P<0.005$) liver biomarker enzymes (AST, ALT and ALP), an indication that it does not have effect on the liver.

Keywords: Alloxan-induced diabetic rats, Cinnamon aqueous extract, hematological parameters, hypoglycemic effect, lipid profiles and liver biomarker enzymes

Introduction

Diabetes mellitus (DM) is one of the major complex and chronic disorders of carbohydrate, lipid, and protein metabolism characterized by persistent elevation of blood glucose, resulting from a partial or complex cessation of insulin secretion or synthesis, or

peripheral resistance to insulin action. In diabetic patients, the body loses insulin producing capacity as a result of pancreatic β- cell apoptosis or insulin insensitivity. The cytokines, lipo-toxicity and gluco-toxicity are three major stimuli for β-cell apoptosis (Hui *et al* 2004). Medicinal plants constitute an effective source of both traditional and modern medicines, herbal medicine has been shown to have genuine utility and about 80% of rural populations depend on it as primary health care. Diabetic nephropathy is one of the major causes of morbidity and premature mortality in patients with insulin-dependent DM. Medicinal plants contain potentially useful chemicals that serve as basis for the manufacturing of modern medicines (Okigbo et al., 2009). Cinnamon is the bark of the *Cinnamon cassiae*, it contain cinnamon anhydride,tannin, cinnamic acid and methyl-hydroxychalcone polymer (MHCP) etc. Cinnamon has a long history as an anti-diabetic spice, but trials involving cinnamon supplementation have produced contrasting results (Kirkham *et al* 2009). Mang *et al* 2006 show that cinnamon extract seems to have a moderate effect in reducing fasting plasma glucose concentrations in diabetic patients with poor glycaemic control.

Methodology
Cinnamon extract preparation
Cinnamon aqueous extract was extracted based on method of sheng *et al* 2008. Cinnamon powder 200g was dissolved in 1000 ml double distilled water then subjected for revolving evaporator in vacuum state using vacuum pump till the volume of water reduced to about 50%. The supernatant was filtered using Whatman filter paper to obtain cinnamon extract.

Animals and biochemical Assay
Sources of animals
Male Wistar albino rats of 170 to 220g body weight (B.WT) were obtained from University of Lagos Idi-araba, Lagos- Nigeria. These animals were maintained under laboratory conditions of temperature (22 to 24°C), humidity (40 to 60%) and 12 hour light/12 hour dark regime at Lagos State polytechnic Ikorodu animal house. They were exposed to both food and water *ad libitum* for the entire duration of the study. All animals used for this study were maintained according to the rules and regulations outlined in accordance with NIH Guide for the care and use of laboratory animals; NIH Publication revised (1985) NIPRD Standard Operation Procedures (SOPs).

Administration of alloxan
Male albino rats (Wistar strain) of about fifteen weeks old with average weight of 186g were made diabetic by injecting them with alloxan monohydrate intraperitoneally with dosage of 150mg/kg body weight (Pari and Venkateswaran, 2002). Development of diabetes was confirmed after 72 hours of alloxanisation by using "Accuchek Active Glucometer" (Roche Diagnostics) and blood glucose test strips

Grouping of animals
The animals were grouped into five groups of six animals per group as shown below:
Group A – normal control (non-diabetic rats)
Group B- Negative control (diabetic without treatment)
Group C- Positive control (diabetic + glibenclamide)
Group D- Diabetic + 100mg/Kg B.WT of **Cinnamon aqueous extract**
Group E- Diabetic + 250mg/Kg B.WT of **Cinnamon aqueous extract**

Determination of hematological parameters

The total red blood cell (RBC), hemoglobin concentration (HGB) ,white blood cell count (WBC), platelet count and other hematological parameters were determined in the blood using BC-3200 Auto Hematology Analyzer in University of Lagos Teaching Hospitals (LUTH) in Idi-araba, Lagos, Nigeria.

Collection of blood samples for plasma preparation

The rats were sacrificed by cervical dislocation. Blood samples were collected by ocular punctures into heparinized tubes. The blood was later centrifuged for 10mins at 3000rpm using a centrifuge. The clear supernatant was used for the estimation of total protein, lipid profiles and liver function tests.

Determination of plasma lipid profiles

The plasma total cholesterol, triglyceride and HDL-Cholesterol were determined using Randox diagnostic kit [Trinder,1969 and Tietze, 1990]. Low density Lipoprotein-Cholesterol (LDL-C) was calculated using formula from [Friedwald, et al 1972].

Determination of liver function tests

Plasma enzymes like alkaline phosphatase (ALP), aspartate aminotransferase (AST), and alanine aminotransferase (ALT) were determined using Randox diagnostic kits. The total protein in the plasma was also determined using Randox kit.

Data Analysis

Data analysis was done using the GraphPad prism computer software. Students 't'-test and one-way analysis of variance (ANOVA) were used for comparison. A P-value < 0.05 was considered significant.

Results

Table 1 below shows that Cinnamon extract and the standard drug have hypoglycaemic effects on alloxan-induced diabetic rats.

Table 1. Effect of standard drug (glibenclamide) and Cinnamon extract (100 and 200mg/Kg B.W) on blood glucose level of albino rats induced with alloxan.

Groups	Initial glucose concentration (mg/dl)	Glucose conc. after Alloxan induction (mg/dl) Day 0	Glucose conc after 7 days of treatment (mg/dl)	Glucose conc. after 14 days of treatment (mg/dl)
Group A	98 ±10	104 ±11	100 ±11	107 ±13
Group B	98 ±7	436±21	443±33	461±43
Group C	96 ±10	461±32	212 ±40	97 ±14
Group D	101 ±12	417±31	289 ±85	137 ±12
Group E	93 ±11	438±49	274 ±82	123 ±11

Group A animals were not induced with Alloxan while Group B were induced and not treated.

The standard drug (glibenclamide), reduces the blood sugar level by 79.9% while 100 and 200 mg/Kg body weight of cinnamon extract reduce the blood sugar level by 61.1% and 67.8% respective (Table 1 above).

Determination of animal body weight

There is a progressive decrease in the body weight of diabetic untreated rats compared to other rats in other groups. As expected, alloxan-induced diabetic rats showed all the characteristic of diabetes such as polyuria, polyphagia, polydipsia and loss of body weight.

This is evident from figure I, below. Group B (diabetes untreated animals) albino rats have significant (P<0.05) weight lost compared to other groups.
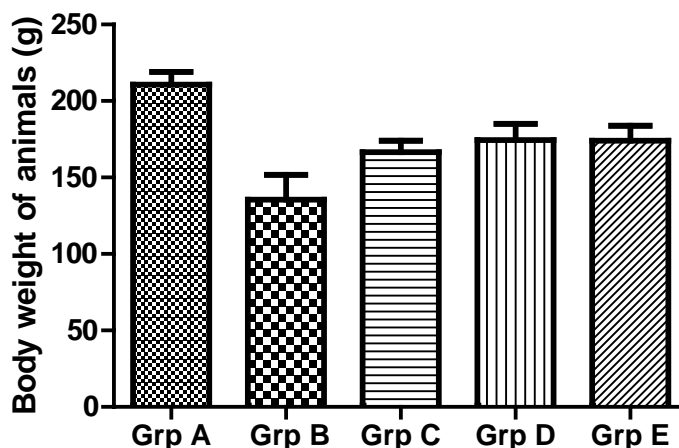

Figure 1: Mean body weight (g) of normal, Diabetic untreated, Diabetic rats treated with glibenclamide, 100 and 200mg/kg body weight of Cinnamon extract.

Table 2. The effect of Cinnamon extract and glibenclamide on hematological parameters of male albino rats induced with alloxan..

Hematological parameters	GROUP A	GROUP B	GROUP C	GROUP D	GROUP E
WBC ($\times 10^9$/L)	9.3 ± 1.1*	15.2±2.1	11.1±2.3*	10.2±1.4*	9.8 ±1.2*
HGB g/dl	13.1 ± 1.3*	8.9 ± 2.6	12.2 ± 1.2*	13.8 ± 1.6*	14.4 ± 1.9*
RBC ($\times 10^{12}$/L)	7.8 ± 1.6*	5.3 ± 1.8	7.0 ± 1.2*	6.9± 0.8*	7.4 ± 1.8*
HCT %	44.3 ± 2.1*	29.2 ± 7.2	46.1 ± 1.1*	49.3 ± 1.5*	47.2 ± 1.8*
MCV fl	62.0 ± 1.0	59.1 ± 2.4	59.3 ± 0.5	62.3 ± 1.2	58.8 ± 1.2
MCH pg	19.1 ± 1.3	18.2 ± 0.8	18.5 ± 1.1	19.2 ± 0.9	19.1 ± 1.1
MCHC g/dl	31.2 ± 0.8	31.7 ± 1.0	31.6 ± 1.2	29.4 ± 1.1	31.1 ± 0.7
RDW-CV %	16.8 ± 0.6	16.1 ± 0.7	16.9 ± 0.8	16.4± 1.1	16.7 ± 0.9
RDW-SD fl	35.5 ± 1.1	32.1 ± 1.5	33.6 ± 0.8	38.4 ± 1.4	36.7 ± 0.7
MPV fl	6.7 ± 0.4	7.9 ± 0.8	7.1 ± 0.5	7.0± 0.4	6.5 ± 0.4
PDW	16.4 ± 0.7	16.3 ± 0.4	16.0 ± 0.4	16.1 ± 0.3	15.8 ± 0.6
PCT %	0.411 ± 0.017	0.420 ± 0.023	0.345 ± 0.011	0.361 ± 0.154	0.386 ± 0.199

The values are the Means ± SD for six rats in each group. White blood count (WBC), Hemoglobin (HGB), Red blood count (RBC), Hematocrit (HCT),Mean cell volume(MCV), Mean corpuscular hemoglobin (MCH), Mean corpuscular hemoglobin concentration (MCHC), Red Blood Cell Distribution Width Coefficient of Variation (RDW-CV), Red Blood Cell Distribution Width Standard Deviation (RDW-SD), Mean platelet volume (MPV),platelet Distribution Width (PDW) and Plateletcrit (PCT).

The different hematological parameters of the entire experimental groups (group A to E) are shown in Table 2 above.

Table 3. The effect Cinnamon extract on lipid profiles in alloxan–induced diabetic male rats.

Parameters	Group A	Group B	Group C	Group D	Group E
Total Cholesterol (mg/dl)	**71.3 ± 4.5***	**98.4 ±6.5**	**80.1± 6.7***	**75.3 ±5.3***	**73.5 ±4.9***
Triglyceride (mg/dl)	**82.4±3.2***	**143.2±4.30**	**104.2 ±6.8***	**99.4 ±5.9***	**93.5±4.8***
Low-density Lipoprotein (mg/dl)	**10.1 ±0.5***	**44.6± 1.60**	**22.6 ±2.4***	**16.4 ±2.8***	**13.6 ±3.1***
High-density Lipoprotein (mg/dl)	**46.2 ±4.2***	**25.3 ±5.70**	**37.2 ±3.4***	**39.6 ±4.8***	**40.2±2.9***

* indicate Significant difference (P <0.05) when comparing normal and treated group with negative control group.

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Cinnamon extract significantly reduces ($P<0.05$) the plasma level of TC, TG and LDL-Chol in the treated animals compared to the untreated animals. The plasma HDL-Chol of the treated animals is enhanced by the administration of the extracts (Table 3).

The effect of Cinnamon extract on plasma liver marker enzymes and total protein in healthy and alloxan–induced diabetic male rats.

Figure 2 below shows that cinnamon extract significantly reduces plasma Aspartate aminotransferase (AST) in alloxan-induced diabetic rats.
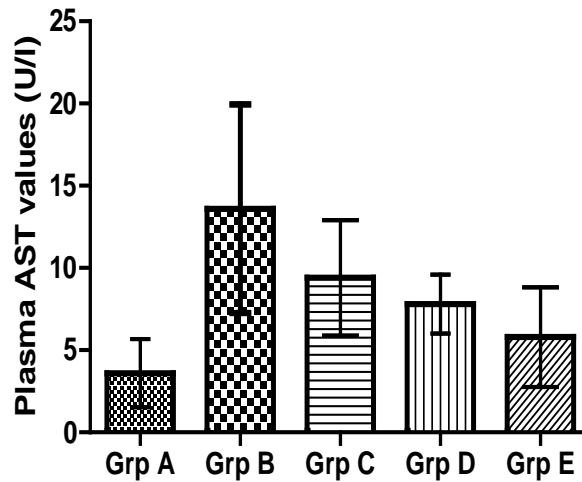
Figure 2. Plasma Aspartate aminotransferase (AST) values of normal, Diabetic untreated, Diabetic rats treated with glibenclamide, 100 and 200mg/kg body weight of Cinnamon extract.

Figure 3 below shows that cinnamon extract significantly reduces plasma Alanine aminotransferase (ALT) in alloxan-induced diabetic rats.
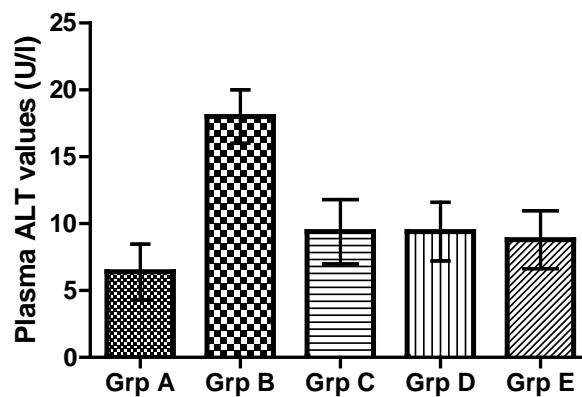

Figure 3. Plasma Alanine aminotransferase (ALT) values of normal, Diabetic untreated, Diabetic rats treated with glibenclamide, 100 and 200mg/kg body weight of Cinnamon extract.

Figure 4 below shows that cinnamon extract significantly reduces plasma Alkaline Phosphatase (ALP) in alloxan-induced diabetic rats.
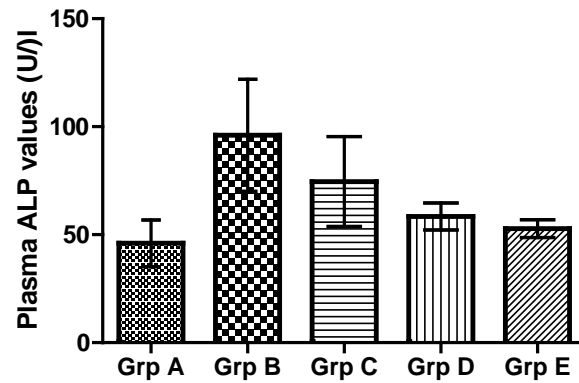
Figure 4. Plasma Alkaline Phosphatase (ALP) values of normal, Diabetic untreated, Diabetic rats treated with glibenclamide, 100 and 200mg/kg body weight of Cinnamon extract.
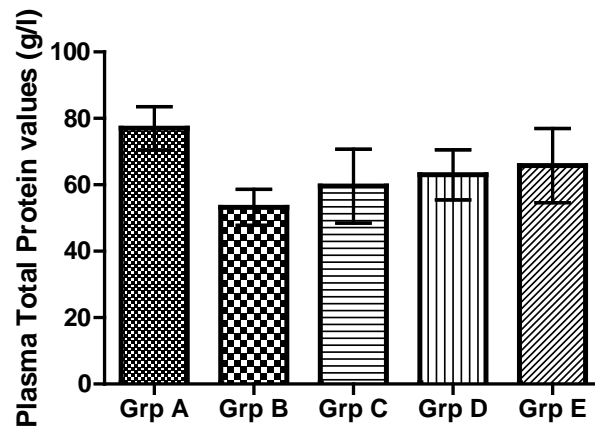

Figure 5. Plasma Total Protein values of normal, Diabetic untreated, Diabetic rats treated with glibenclamide,100 and 200mg/kg body weight of Cinnamon extract.

Figure 5 above shows that cinnamon extract significantly increases plasma total protein in alloxan-induced diabetic rats.

Discussion

Several hypoglycemic herbs have been used as non-prescription treatment for diabetes. Few herbal medicines have been shown to have hypoglycaemic effect, however there test result is subjected to several factors. First each herb contains thousands of components, only a few of which may be therapeutically effective. Secondly extraction of active component is not easy (Karashima, 1988 and Angelova et al, 2008). Ebong *et al*., 2008 showed clearly that medicinal plants formed the basis of health care throughout the world and have considerable importance. Some of these herbal preparations have been found to exert biological actions against diabetes mellitus and its complications (Ojiako and Nwanjo,2006). Alloxan induce diabetes by damaging the insulin secreting cells of the pancreas leading to hyperglycemia (Szuldelski at al 2001).

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Table 1 shows significant decrease in blood sugar level after periods of 7 and 14 days of treatment. The results showed that cinnamon extract exhibited a significant reduction (P<0.005) in blood glucose level of the diabetic male albino rats. The hypoglycaemic effect of cinnamon oil (CO) in a type 2 diabetic animal model was studied by Ping *et al* 2010 and according to their study CO was administrated at doses of 25, 50 and 100 mg/Kg for 35 days. They found that fasting blood glucose concentration was significantly decreased (*p*<0.05) with the 100 mg/Kg group (*p*<0.01) compared to diabetic control group. They observed that CO had a regulative role in blood glucose level and lipids, and improved the function of pancreatic islets. A number of other plants have been reported to have antihyperglycemic and insulin stimulatory effects.(Venkateswaran S, 2002 and Latha M, Pari L: 2003)

Graph 1 above shows that there was a significant reduction (P <0.005) in the body weight of group B untreated diabetic rats compared to other rats in other groups. This could be due to the defect in glucose metabolism and excessive breakdown of tissue protein which is a characteristic condition of diabetics (Swanston-Flat. *et al* 1990).

There was a significant reduction (P < 0.05) in WBC levels of diabetic rats treated with cinnamon aqueous extract compared to the untreated albino rats. This shows the abilities of the above treatment groups to curtail hematological abuses in the defense system of the diabetic rats. The study shows that there is a significant increase (p<0.005) in the level of RBC, HGB and HCT of group C and the treated groups compared to the untreated group (Table 2). These may be as a result of anemia or the onset of glycosylation process in the untreated diabetic rats (group B). The extract may not have adverse effects on the bone marrow, kidney and hemoglobin metabolism, since it has been reported that only substances which significantly affect the values of red blood cells and associated parameters would have effects on the bone marrow, kidney and hemoglobin metabolism (Young and Maciejewski 1997). The non– significant change (P<0.05) in the MCV and MCH values indicate absence of macrocytic anemia since increased in MCV an MCH values are known to be indicative of macrocytic anaemia. The extract also caused non- significant change in the MCHC value which suggests absence of hereditary spherocytosis since MCHC values are known to be elevated in hereditary spherocytosis. Other hematological parameters (RDW-CV, RDW-SD, PLT, MPV, PWD and PCT) showed no significant differences in the entire different group.

Table 3 shows that cinnamon extract lowered plasma TC, TG, LDL-Chol levels and increase HDL-Chol concentrations in the treated rats, and this could account for its use in traditional medicine for the treatment of diabetes and hypertension. The results of this study clearly indicate that the administration of cinnamon extract produces hypoglycemic and hypolipidaemic effect and may prevent cardiovascular diseases. Studies have shown that increased in the risk factor of cardiovascular disease correlate with increase in plasma TC, TG, LDL-Chol, atherogenic index level and a decrease in HDL-Chol concentrations. The results of an experimental study show that cinnamaldehyde possesses hypoglycaemic and hypolipidemic effects in STZ-induced diabetic rats (Blevins et al 2007). This is in agreement with our studies. These results suggest that cinnamon aqueous extract has a regulatory role in reducing blood glucose level and lipids parameters. This may be due to blood glucose suppressing effect by improving insulin sensitivity or slowing absorption of carbohydrates in the small intestine.

The extract caused significant decrease (P<0.05) in the activity of AST, ALT and ALP values as shown in Figure 2-4. These indicate that the extract may reduce hepatic damage. In medicine, the presence of elevated values of ALT and AST is indicative of liver damage (Giboney, 2005). ALP levels in plasma rise as a result of large bile duct obstruction, intrahepatic cholestasis or infiltrative diseases of the liver. Increased level of ALP has been attributed to the damaged structural integrity of hepatic cells because the enzyme alkaline phosphatase is located in the cytoplasm and is released into the circulation after cellular

damage. The plasma total protein increases in the healthy group and treated groups compared to the untreated diabetic group (Figure 5).

Conclusion

The results show that aqueous extract of cinnamon possesses hypoglycaemic effect, hypolipidemic properties and the extract is not hematotoxic and may reduce liver damage induced by alloxan.

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HINDRANCES TOWARDS DISCLOSING THE HIV POSITIVE STATUS AND ITS EFFECTS ON TREATMENT: A CASE STUDY OF RAWALPINDI CITY

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Abstract

This anthropological research investigated the stigmatization of HIV & AIDS and the discrimination in disclosing HIV positive status to family, peers, relatives and coworkers. However, the narratives and in-depth interviews related to its impact on the treatment, from the point of view of people living with HIV&AIDS, and health care workers were also examined and analyzed. In Rawalpindi, not much has been done to explore the effects of stigmatization and discrimination at the ground levels i.e. personal, family, relatives, friends, acquaintances, work place and care facilities. This study includes all these levels at which HIV positive can face stigmatization and discrimination and its impact on the medical treatment. Informal discussion, participant observation, in-depth interviews, case studies and focus group discussion were conducted with a sample of people living with HIV&AIDS in Rawalpindi and health care providers. Findings indicated that due to the fear of rejection from family, peer, relatives, workplace, and society, individuals with HIV-AIDS do not disclose their status with any of their affiliates. Blaming and rejection are the two key aspects which are unbearable for the patients, furthermore, the factor of shaming also plays an important role in resistance of HIV positive status disclosure. Findings suggest that individuals with HIV&AIDS faced the threat of stigmatization and discrimination by family, friends and other institutions of the society. Society does not accept HIV&AIDS patients with ease. That is the reason most of the individuals remained silent about their HIV positive status. This condition has also an effect on the treatment of HIV positive patients. Therefore, many such individuals do not expose their status because of stigma status attached with this never-ending disease.Ultimately, the hiding part causes great harm to the patient as the treatment is hindered by this. When status is not known by the people around, it becomes quite difficult to get proper care and required treatment. This article explained in depth the fears of patients when it comes to disclose their status with family members.

Keywords: HIV, AIDS, stigmatization, discrimination, treatment, Rawalpindi

Introduction

Infection of Human Immunodeficiency Virus (HIV), a member of the retrovirus family, if untreated eventually develops into acquired immunodeficiency syndrome (AIDS). The virus is passed from one person to another through blood transfusion, contaminated hypodermic needles and sexual activity. It can also be transmitted during pregnancy, delivery and breast feeding (Douek, Roederer, & Koup, 2009).

According to United Nations Report, almost 34.0 million people were living with HIV&AIDS   at the end of year 2011. An estimated 0.8% of adults aged 15-49 years worldwide are living with HIV, although the burden of the epidemic continues to vary

considerably between countries and regions. It is estimated as almost 5 million people are living with HIV in South, South-East and East Asia combined (United Nations Report, 2012). In Pakistan 97,400 cases of HIV&AIDS were estimated in 2009 and more than 6,000 cases are registered till 2010, among them 1425 patients are on the treatment of Anti-Retro Viral Medicine (ARV; Ahmed, 2010).

Focus of this current research is to dig out and examine social and cultural constraints & stigmatization & discrimination while disclosing HIV positive status and getting treatment of HIV&AIDS. Culture is one of many factors influencing human behavior and act as a determinant of socially and economically accepted behavior, value systems, beliefs, and practical knowledge. Means of expression of communication such as music, dance, theatre, and art, are those creative aspects of culture that we often define conservatively as a culture itself. However, culture in the broader sense, includes all traditions and local practices, taboos, religious affiliations, gender roles, marriage, kinship patterns, and so forth. Therefore, culture is deeply rooted in all aspects of a society socially and economically, including local perceptions of health, illness and health seeking behaviors.

HIV & AIDS related stigmatization and discrimination create a serious threat to the fundamental human rights for all people infected with the disease. Individuals who receive treatment and care after a diagnosis of HIV infection, we need to better understand the behavioral and socio cultural constraints to timely HIV treatment and care entry.

Stigmatization is the societal labeling of an individual or group as different or deviant. Another way of defining is through social processes that are linked to actions and attitudes towards people who are living with HIV/AIDS. Stigmatization and discrimination are not only the expression of individual attitudes, but are social processes based on social, economic and political power. Power is required to be able to introduce stigma and to remove power from the stigmatized person (Link & Phelan, 2002). "One approach to more completely explain how a priori attitudes may moderate understanding for pain is to explore the effect of social stigma on the empathic response. Stigmatization of an individual occurs when that individual is (1) labeled, (2) negatively stereotyped, (3) discriminated against, and (4) experiences status loss as a result of their stigma" (Link & Phelan, 2001).

Stigma is mostly a social disease by which society imposes this negative status on a person or groups of people (Links & Phelan, 2001), however, a person may self stigmatize their own conditions due to feelings of shame and embarrassment (Davidoff, 2002). In the HIV/AIDS context, stigma is mostly defined as negative thoughts about a person or group of people based on a prejudice position and is derived from the most elemental parts of the human experience such as sex, blood, disease and death. It has been demonstrated that stigmatization is a process of devaluation of HIV/AIDS patient done by the individuals or communities (Litamo, 2003; Goofman, 1967; Manawar, Sahay, Pandit, & Mahajan, 2004; Srivastav, 2006).

According to Hasnain (2005), social stigma attached to HIV & AIDS patients exists in all societies. It is much more manifest and common in Muslim cultures and societies due to the religious doctrine concerning illicit sex and drug related practices. There are negative sanctions imposed by society on individuals involved in illicit sexual conduct and drug use. Even if there is a suspicion of illicit sexual conduct, the affected persons is discriminated against and avoided by the family as well as by community. The stigma attached to risk behaviors thus prevents those at risk from forward for appropriate treatment and counseling.

However, it has been proposed that stigmatization and discrimination as a conceptual problem of difference between "them" and "we" (Manawar, Sahay, Pandit, & Mahajan, 2004). Srivastav proposed that "external or internal stigma and discrimination based on real life experiences. This external stigma may include the experience of domination, oppression,

the exercise of power or control, harassment, categorizing, accusation, punishment, blame, devaluation, prejudice, silence, denial, ignorance, anger, social inequality, exclusion, ridicule, resentment or confusion" (Srivastav, 2006).

Goffman added to the same notion that stigma as perceived bad within one group of society is different from the perception of stigma in another culture settings. Moreover, we are unable to generalize the attributes causing stigmatization but we can study it through sociological perspective contrary to Letamo (2003). Srivastav created the difference between internal and external stigma which is similar to the idea of "as dilemma of discredited and the dilemma of discreditable" as proposed by Goffman (1963), as both dilemmas are clearly understood by stigmatized individuals.

It is believed "HIV/AIDS related stigma is based on various misconceptions and it is differentiated the HIV/AIDS related stigma in two broad types (1) internal aids stigma, (2) symbolic AIDS stigma and contrary AIDS stigma". However, it is stated that "often AIDS stigma is expressed in conjunction with one or more other stigmas, particularly those associated with homosexuality, bisexuality, promiscuity and intravenous drug use (Sharma, 2007).

Stigma towards HIV/AIDS is shown by anger and negative feelings towards those with HIV/AIDS. There is a belief that those with HIV/AIDS deserve to be ignored and ostracized because this disease is incurable. This includes attitudes based on misunderstanding and misconceptions of how HIV/AIDS spread and the effects of physical contact with an infected person and negative attitudes towards groups that have high rates of infection, such as homosexuals, bisexuals, prostitutes and drug users (Herek & Capitanio, 1998).

In individuals, the way in which HIV/AIDS is related stigma and discrimination are manifested depends on family and social support and the degree to which people are able to be open about such issues such as their sexuality as well as their serostatus. In contexts where HIV/AIDS is highly stigmatized, fear of HIV/AIDS related stigma and discrimination may cause individuals to isolate themselves to the extent that they no longer feel part of civil society and are unable to gain access to the services and support they need. This has been called internalized stigma (Daniel and Parker, 1993). They want to disclose their status and hide at the same time. In order to hide their health condition (Klizman, 1997).

Who to tell, how and when, can be a potential source of fear and anxiety among many people living with HIV/AIDS and may prevent individuals from accessing treatment and care (Castro, 1998). People living with HIV/AIDS control their range of activities and social interactions to reduce the probability of people finding out about their HIV positive status (Green & Serovich, 1996). "Personal and interpersonal significance involves factors external and how these factors influence individual experience living with an illness. Having HIV can influence ones employability and job security, sex appeal and other social relationships" (Kleinman, 1988).

As a result of the fear of prejudice and discrimination, many people with HIV choose to remain silent about their status and/or other factors. Three types of silence are often used to protect themselves; silence about having HIV, silence about being on HIV treatment. Many people with HIV are so concerned about the way others might react that they choose not to reveal their HIV status to anyone. Although such a decision should be respected, it must also be recognized that in many cases an HIV diagnosis can be extremely difficult to deal with, particularly in the early days. Being unable to talk to family or close friends through fear of their reaction can lead to further anxiety and isolation. Emotional rejection by friends and the society may lead to loss of any support, nervous, breakdown, and even suicide. Hence,

attitudes and beliefs play a very vital role and HIV positive patients should be treated with dignity just as patient with other illness (Mehta, & Sunindr, 2004).

In this communal and social network, contact with someone afflicted with a disease regarded as a mysterious threat, inevitably, feels like trespassing or, worse, as violation of a taboo (Sontag, 1989). Breinbauer, Foreman and Lyra (2003) stated that experiences such as loss of family, friends, work and housing, verbal and physical abuse have been widely documented across social and political boundaries. Due to poverty and lack of community and religious awareness many people are indulged in different kind of social evils like prostitution, homosexuality, drug addiction, child sexual abuse, etc. These are serious threats towards AIDS and to the community itself.

As Rawalpindi is considered as twin city of capital Islamabad, Pakistan so people from villages or cities migrated to and settled in this city which makes Rawalpindi as one of the high risk vulnerable population communities in Pakistan. The main objectives of the present research is to in-depth study of the stigmatization of HIV & AIDS and the discrimination in disclosing HIV positive status of people living with HIV/AIDS; socio economic conditions of identified HIV/AIDS patients; and its impact on stigmatization and discrimination on ARV medicine/treatment of HIV positive patients.

Method

Due to the sensitive nature of the topic, it is quite hard to get the consent from the individuals with HIV positive in order to participate in the research study. With the assistance of key informants, 26 inidividuals who were already diagnosed with HIV positive and receiving treatment were selected for the present research study through snow ball and convenient sampling of both gender and age between 15-55 years. This study is qualitative in nature. In-depth interviews, informal discussions were conducted based on themes while socio-economic survey forms were also completed by the participants. All participants are Urdu, Punjabi, Pushto, Potohari, Potohari, Kashmiri, and Hindkoo speakers and resided in Rwalpindi city, Pakistan.

Analysis & Discussion

The narratives of the participants were analyzed in separate sections based on themes and subthemes of in-depth interviews. Efforts were made to analyze the identified factors and reasons mentioned by the respondents regarding their HIV positive status's disclosure. Main themes were related to stigmatization and discrimination such as fear of stigmatization by spouse, by family, by peer, by colleagues/co-workers, and by community, as well as the impact of stigmatization on the treatment were also analyzed as discussed below.

Fear of stigmatization and discrimination by spouse

The strong fear of rejection was found in married participants. Majority of participants did not disclose their HIV positive status to their spouses as having the misconception of this illness in their spouses. It is generally believed that this illness was occurred due to illegal and illicit sexual activities other than partner which effect their marital relationships and generate distrust and other problems in their married life. After the diagnosis, disclosure of their HIV AIDS status with their spouses was the major concern of married participants.

One male respondent stated that "*I am always confused that should I tell this to my wife or family or should I not tell them? . . . I have the fear of stigmatization and discrimination by my partner . . . she will think that I am sinner and involved in physical relations with other women . . .*".

Another male respondent shared his views that "*I am getting treatment, care and counseling regularly since 2003 when I found out that I am infected with HIV, I have not yet*

exposed my status to anyone including my wife, family, and friends. . . I don't want to tell my wife about this terrible disease, *because this disease is not acceptable in our society due to its connection with sexual activities. . . I don't want to break my wife's trust. . . If she finds out that I am infected with HIV then she will humiliate me for connecting with this disease . . . "*

Most of the respondents stated that their marital relationship would be at risk if they even slightly make known anything related to HIV positive status to their spouses and they never want to be rejected or being stayed alone by their spouses. Among respondents, one of the married male shared his spouse reaction after disclourse his status of HIV-AIDs *" . . . why should you come in contact with such illness?. . . You must have been involved in extramarital sexual activities . . ."*

One male participant stated that *"I am diagnosed as HIV positive patient 3 years ago. I am regularly taking treatment care and counseling. Till now I am confused about disclosing this condition with my wife. I am worried that what would be her reaction after disclosing HIV positive status. Now our relation is very compromising but this disease is life threatening and attached with sexual activities and drug use. I am very concerned about my future because I don't want to lose my wife's trust. She will blame me for catching HIV. This will bring great issues in my life. This is the reason behind not disclosing my HIV positive status in front of my wife".*

Another respondent highlighted his point of view in it this way: *"If you are married to somebody, you are not supposed to go to another women. . . you should have to stick with your wife. . . in that condition the person has to be careful with their involvement with other women . . . people who are HIV positive are blamed to have sexual relation with someone; that is why they carry this disease . . . but no one understands the involvement of other factors in this disease besides sexual aspect. . . ".*

A counselor shared during his interview that *"Majority of HIV positive male patients disclosed their status with their spouses but after that they live in compromise environment. . . Other patients who do not disclosed HIV positive status. They feel that if their status become known to spouses they would be blamed for bringing this disease at home and in a family . . ."*. while other counsleor stated that *"As per my experience as a counselor majority of male individuals do not expose their HIV positive status with their spouses just because of the fear of blame and rejection"*. Fear of facing rejection by the spouse is one of the elements which makes the lives of the infectees more miserable as spouse always reject the presence without giving regard, respect and dignity.

As one of the respondents aged 45 depicted that *"I am diagnosed as HIV positive 2 years ago in Saudi Arabia. After coming back, I am taking proper treatment and care. I have two daughters and one son. Till now I am unable to disclose of being HIV positive with my family. Whenever any one of my family member talks about the medicine which I am taking for this disease, I tell them that this is for T. B . . . I am worried that by chance if it is known to my wife. . . . then how she would react . . . she would definitely reject me. . . I don't know how much time I have in this world. . . Nobody would like to be AIDS patient. There are countless chances of rejection if I disclose this condition with my wife. I am infected but I don't want to lose my family. I want that I live the rest of the life with happiness as I am living with my family. I do very much care that my family stay safe by this life threatening disease".*

Most of the participants reported that they don't want to experience any sort of rejection by spouses as one of the male respondent stated that *"I have never thought that HIV will bring such a critical time. . . I don't want to tell my wife about this disease. I am always worried that if she found out that I am infected she will reject me. I love her and my whole family, without them I would have died by now . . .".*

Fear of stigmatization and discrimination by family

Participants oftenly do not expose their status towards their family members because they feel that they got this disease as due to involvement in ruthless acitivies and considered as antisocial in native or atleast might be part of it. It is observed that most of the participnats have a great fear of stigmatization and discrimination by their families. They don't want to reveal to their family about this HIV AIDs positive status just because of fear of blame, rejection and isolation.

One counselor reported that*"usually families do care about their loved one having HIV positive, for example, of any one is drug abuser family fed up easily and left that drug abuser in rehab centers but the families of HIV positive provide positive support to their family member but after the phase of acceptance of such disease in any family. It is really a great pain . . . but individuals with HIV positive feel shame and guilty by themselves in most cases . . . as they have always fear of stigmatization and discrimination and they are very anxious about it . . . I have witnessed that families are very cooperating in certain conditions".*

Anxiety symptoms are precipitated while trying to suppress their HIV positive status from their closed ones, which resulted in negatively impact on patient's potential to deal with their disease and stick on to their medication schedule.

One female respondent highlighted that*"I am not a person of bad character but my family members would recognize me as a sinner, cruel, crooked, and kick me out from house if i share this terrible diease with them".* One of the male respondents reported that *"my family will ask a question about carrying this disease. . . every person knows about its transmission that it is sexually transmitted. . . then how can I tell to my family?"*

Many respondents felt that they will be victims of rejection by family if they come to know about HIV. Most of the respondents were of the view that HIV is disreputable disease. It damages the person's reputation within the family. Often family rejects the infected person. One male respondent aged 27 had a great fear of negative responses by his family "I *am infected and require care and support by my family. . . though I am taking treatment regularly. My family is very strict and they will never compromise with me if they come to know that I am infected with HIV. I never want to reveal it to my family. I have very short life now and I want to live rest of my life with my family with happiness. . . this is crucial issue of my life and I do not want to think about it".*

Many participants agreed that HIV is such stigmatized disease and patients think that this disease will have the mark of shame for the family. It is also misconception that this disease can be transmitted through casual contact, that is why they are afraid to share their positive status with their family. They assumed that their family will reject them because of the fear of casual contact transmission.

Most respondents reported that society or community also rejects the inidividuals diagnosed with HIV AIDs after rejected by family, that is why the matter of being survived in a society is questionable for those inidividuals. Sometimes not only individual with HIV AIDs positive but also family becomes isolated in that society due to stigma and dicrimination towards HIV AIDs disease. One male respondent mentioned that "I *am a father of two daughters and three sons. If by any chance people come to know about my HIV infection then they will reject my whole family. It will be matter for my children's marriage. This disease will mess up our relationship if people come to know about it. I don't want to upset my family's social life".*

One female respondent stated that *"people have aversion about this disease and the people who are infected with it. I don't want that people know about me that I am infected. I know in reaction they are going to reject me and as well my family. I want to live normal social life as I am living now. People would not visit our family and would refuse to talk".*

Another female respondent said that "agar *logo ko pata chaly k ye HIV&AIDS patient ha to wo dutkaar dety hen us ko or us k ghar walo ko milna pasand ni karty*" means if people come to know that person is HIV&AIDS then they completely reject that person alognwith his/her family and even they don't want to contact with patient's family.

Fear of stigmatization and discrimination by friends

It is reported by many participants that sometimes they share their anxiousness with their close friends rather than spouses or family members but fatefully those friends started ignoring or avoiding them or start discriminating.

Most respondents connected HIV with sexual activities and described HIV as a ''stigma'' and, ''its stain '' or ''it is mark of shame for me.'' One respondent said, ''*I have to live with the fact that I am HIV positive. I am going to depart this life anyway, but I don't want to be stigmatized or blamed by my friends for carrying this disease. I have established my respect among friends. I would not like to be disrespect by my friends*". Many particicpants did not share their HIV positive status with their friends. They had the fear stigma attached with HIV&AIDS. Respondents faced the consequences of sharing their positive status with their friends such as one of the female respondents reported that "*This disease has a direct link with sexual activities, I believe. If anyone is infected then he/she is perceived in our society as having a lousy character and label as a "prostitute"*.

One respondent reported that *"Usually friends don't cooperate with the individuals with HIV AIDS and friends usually leave the patients helpless"*. Contrary, one female working as lady counselor in local hospital stated that *" in my opinion, friends help such individual in getting treatment and I found that usually those friends are the educated . . . but the ratio of such cooperation and loyalty from friends is low in social circle"*.

One of the male respondents gave a negative picture of his friends that "*my friends argue with me that how do you get HIV? . . . Were you involved in londay bazi (means homosexual activities). . . They* are *blaming me for this infection. . . blaming me for my bad habits. . . "*.

One elder male respondent stated that "*If I tell my friends that I am infected with HIV then they will ask many irrational questions about it . . . They will ask for the reason of infection and definitely they will blame me for contracting this disease. . . I have good relations with my friends but likelihood is that they will pay no attention to me and will leave me"*.

Some participants with HIV positive status highlighted that they experience the sense of shame, guilty, and discomfort in front of their friends. Soemtimes their disrespected behaviour resulted in mentally torture, regret and distress. One male respondent illustrated that "I *have got respect among my friends. They treat me as a brother. . . I share my problems with them and they do help me in every problem. . but I have no endurance to tell them that I am HIV positive and taking treatment. I think I have no need to tell them. If I tell them it will ruin my respect among friends. I will be considered as a bad character who is involved in such ghastly activities"*.

One female respondent shared her notion that *"I think people believe that female get HIV because they are prostitutes or go about having sexual activities with men or flirting about. I would never like to share with any of my friends or relative to think about that I am having this type of loose character. . . In reality I am infected by my husband but who will accept this reality? . . .Who likes HIV& AIDS? . . . You know it's very difficult to show this . . . This is a fact that I am very much scared about . . . "*.

Some respondents mentioned that HIV directly is associated with death. One respondent mentioned that "*if I tell my friends that I am infected they will think that I am going to infect them. . . They will leave me because of the threat of infection. I don't want to*

generate any problem by disclosing my HIV positive status with my friends. You know, people think that they would be infected by handshake and eating or drinking with HIV&AIDS patient. People do so much care about that. Nobody would like to get in touch with this disease".

Another respondent a female of 37 stated that "*I am diagnosed as HIV positive 4 years ago. I was infected by my husband. . . My husband used to live in Dubai. I didn't share it with my friends because there are 90% chances of rejection from them . . . I don't want to lose these relations. In reality I am infected by my husband but my friends will consider me as sinner and think that I am involved in sex work. The reaction will be only rejection nothing else".*

Such kind of responses showed lots of irrational assumptions including casual contact transmission which portrayed poor awareness of HIV & AIDs among people of the society and community. There is still low level of awareness among people about AIDS.

Fear of stigmatization and discrimination by relatives

The ratio of reporting cases exhibiting stigmatization & discrimination by relatives is very low. This is not only family members who would not be told but also the relatives. Otherwise relatives are going to leave or discriminate the patient and it is seen quite in a few cases. Participants reported that close relatives if found out then patient might lose their respect and people on the other hand treat the patient with rude behavior which is in response to disclose. This will also lead towards the fact that relatives are going to blame family members, relatives are going to boycott the relationship exhibiting between family and there selves.

One male respondent of 45 years old living in Rawalpindi shared that*: "I don't want that any of my relatives come to know that I am infected with HIV. Family will definitely be affected once my HIV positive status is going to be disclosed. I have two sons and one daughter and I have them to get married. Due to this fact I am not going to disclose as relatives are going to boycott with me and my family. People perceive this disease as chronic and precarious, thus people living in community are going to be scared by me and my family".*

Female respondent stated that: "*I am Punjabi and 45 years old. I never exposed my status to anyone except one of my daughters. I don't want to expose my status to anyone because people don't like to listen about this disease and those who have it . . . People don't have awareness regarding how to tackle AIDS patients. People are going to insult me and my daughter."*

If accidently the HIV positive status is disclosed to relatives, their reaction is usually alarming towards the individual and relatives start blaming him/her that he/she is involved in illegal sexual activities or drug usage or something like that. Thus it served as prime reason of fear and anxiety in such individuals. One respondent was of the view that "*I don't want to show my relatives that I am HIV positive. They will blame that I get this disease through involvement in opposed to social activities".*

However, relatives start to blame entire family of involving in unhealthy activities and practices. This will ruin the respect of not only patient but the entire family respect is always at stake. As one of the male respondent of 45 years indicated that: "*Family will definitely be affected once my status is going to be disclosed. People perceive this disease as chronic and precarious, thus people living in community are going to be scared. People will blame my children. I have spent my life and now I am worried about that may God safe my family by the label of HIV&AIDS. I am not worried about me but the disclosure of being HIV positive will have an effect on my children's social life".*

It is observed that most of the patients were feared that this disease will not only bring blame for them but as well it will be a great matter for their families. One female respondent was of the view that "among relatives *disclosing that I am infected with HIV is impossible for me. They will speak out that whole family is responsible for bringing this disease. They will blame us as whole family did very immense sins. I think they would be very disappointed and they would possibly, questions like, from where did you get this disease? Where were you people involved? And I know I can't satisfy them by any possibility. There is also negative picture of HIV&AIDS and its association with restricted activities*".

Fear of stigmatization and discrimination by Co-workers/Employers

In governmental sectors, if it comes in the authorities knowledge that their employees are having positive status of HIV & AIDs, they instantly terminate them. Regardless of this, there are some non-governmental organizations that provide jobs with handsome incentives to such individuals living with HIV. As one female key informant stated that "*mostly people do not share that they have HIV. It is witnessed that in armed forces if the authorities come to know that anybody is infected with HIV they usually terminate such employee. As a counselor, I witnessed few cases that portrayed as stigmatized or discriminated towards that employee at high level*".

There is uncertain fear among participants with HIV positive that if their status is disclosed, they lose their respect and then they would be absolutely treated as third class citizens and employees. All participnats agreed that their status shouldn't be disclosed because of the sake of the respect which is always at stake for HIV AIDs individuals. One respondent described his thoughts this way "*why can I tell people in working place that I am infected with HIV. I have respect in working place and this fact will have adverse effects on my work and I will lose my respect among my coworkers. . . *".

Another respondent was of the view that "*I have got respect in work place and I want to obtain it in the rest of the time. Furthermore I don't want any detrimental social situation by disclosing my HIV positive status. . . people address HIV pessimistically. . . They correspond about HIV that this virus spreads through anti social activities like homosexuality, heterosexuality, or drug abusers. There is also misconception that this disease passes through casual contact . . . In this kind of environment this is not easy for me to disclose my HIV positive status. I will lose my respect*".

One male respondent, who was a driver, illustrated that "*Being infected with HIV is not tolerable in our society . . . I don't want to disclose that I am infected with this disease. I am working and earning bread and butter for my family. My health condition is not good but I am happy that I am working hard. I have very good relation with some of my coworkers. They come to visit my family along with their families on several occasions. If my colleagues come to know that I am an AIDS patient they would reject me. They will have the fear of being infected with HIV as they think that it spreads through informal contact*".

One participant shared his notions that "*I am HIV positive and this disease is life threatening. People do not like HIV positive individuals. So how would people living with HIV expose their status? There isn't any value of HIV positive individual. People consider HIV patient as sinner. They want to stay away from people living with HIV. I have an absolute threat of job loss if I disclose my status at working place. People have the threat of contracting this disease in response there are ultimate chances of rejection and job loss*".

One respondent expressed his point of view that "*mostly HIV positive individuals suffers from bad health conditions because of the damaged immune system . . . This is very difficult for such individuals to carry their job regularly. HIV positive individuals generally suffer from fever, cough, and other infections diseases because of damaged immune system. Therefore they do not disclose their HIV positive condition at work place. . . They have an*

utter threat of job loss". One of the respondent highlighted that *"I am diagnosed as HIV positive 2 years ago. . . I am working in a private company. . . I never not disclose my HIV positive status. . . I will lose my job if I disclose my HIV positive status."*

Conclusion

This study was conducted to investigate the stigmatization and discrimination towards individuals with HIV&AIDS in the socio-cultural perspective and its impact on the adherence of medicine/treatment that they are receiving. Despite of having access to free ARV treatment and health care, the marginalized are further also more likely to experience social stigma and increased marginalization as a result of contracting HIV&AIDS.

Findings suggest that individuals with HIV&AIDS faced the threat of stigmatization and discrimination by family, friends and other institutions of the society. Society does not accept HIV&AIDS patients with ease. That is the reason most of the individuals remained silent about their HIV positive status. This condition has also an effect on the treatment of HIV positive patients. Most of the patients had the threat of blamed and rejection by the family. It has been revealed the concept of stigma is applied same as above because the mostly HIV positive individuals experience before disclosing their positive status who are living in Rawalpindi city. Therefore, many such individuals do not expose their status because of stigma status attached with this never-ending disease. This fear of discrimination produce the negative impact on the health and well being of individuals with HIV positive status.

Although ARV treatment is totally free of charge from UNAIDS and patient have only one responsibility to take this medication and counseling regularly for better cure/treatment but most of participants avoid this treatment for the fear of labeling and stigma with this treatment. However, counselors and doctors made their efforts to make bridge between the individual with HIV AIDs (with positive status) and their family members; facilitate their family in guidance and counseling related to this disease but sometimes their efforts are ineffective and make the situation worse.

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CLOSED CASES? – THE MENTIONING OF MEDICAL ERRORS IN DOCTORS' MEMOIRS

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Abstract

The concession of errors in the pursuit of the art of medicine, where mishaps can lead to deleterious consequences is at the center of this paper. The social costs of medical errors and a professional culture with a strong tradition of self-regulation and shielding itself via a more or less permeable "Wall of Silence" make the issue not only interesting but keep it timely. The focus is on how and within what framework medical errors are admitted in the memoirs of American doctors. The times remembered reach from the 1950s and 1960s to the present.

Keywords: Medical errors, memoirs, medical ethics

Instruction

Readersof autobiographies expect interesting storiesthat truthfully disclose very personal circumstances and experiences (Barrington, 1997, pp. 26, 70-75). The humanity of the writer interests them, his/her accomplishments and, also, errors and failures and how they were overcome. Thus, there is a voyeuristic aspect to the reader's interest in autobiographic stories, especially with regard to the tales of those belonging to professions that have traditionally had a culture characterized by self-regulation and with fiduciary relationships to their clients that are not just under moral but also under legal principles.In the case of medical doctors, these confidentiality rules can be traced back to at least the Oath of Hippocrates, which obliges the professional to keep secret that what ought not to be divulged. To keep conversations between doctors and patients as well as among medical professionals privileged is necessary for trust to develop so that the doctor can diagnose, prescribe therapies, and gain the patient's participation in healing and treatment processes. Consequently, medical doctors who want to share their memories will have to take that into account and gain permission, even if names and circumstances are modified. That means, the doctor must carefully consider the feelings of the patient, the patient's confidants and family as well as of his/her own family, of the family's close circle of friends and his/her colleagues and coworkers. The social and moral prestige of the profession as well as any vulnerabilities to possible litigation need to also be taken into account.Consequently, since memoirs are also written to validate one's life and share lessons (Zinsser, 1987, pp. 24, 110-114), that which is presented will consist of a mix of confessions, admissions, omissions, allusions, and personal valuations of events.

The concession of errors in the pursuit of the art of medicine, where mishaps can lead to deleterious consequences is at the center of this paper. The social costs of medical errors and a professional culture with a strong tradition of self-regulation and shielding itself via a more or less permeable "Wall of Silence" make the issue not only interesting but keep it timely. Medical errors cause extensive emotional stress and extra medical and social costs for both health-care givers, patients and their families and friends, not to speak of the at least 98,000 deaths of hospitalized Americans (Allen, 2013). Overall, considering the amount of

books and online posts belonging to the self-help and "what your doctor doesn't tell you" genres, in recent years, the trust between doctors and patients seems to have been eroded. Moreover, real or perceived mistakes on the side of health care providers and government agencies that are also entrusted with health issues, can instigate public scares and panics, as in the case of AIDS, MRSA, or Ebola… Earning and maintaining the public's trust, therefore, is more than an issue of personal doctor-patient relationships and concerns social trust into the profession, health and information policies, and the sciences.

Out of the wide range of issues that are mentioned above, this paper will reflect upon: How openly are mistakes admitted and what kinds of? How are the stories of having either witnessed or done something with deleterious consequences unto a patient framed and what kinds of value judgments are handed over to the reader to evaluate? How is the Hippocratic dictum of, First do not harm interpreted? What epistemological and moral positions are taken concerning the possibility of avoidance of harming? What roles do responsibility and guilt play?

The discussion will restrict itself to memoirs that have been relatively recently published in the U.S. and not go further back than to the 1950s.

 The working definition and the typology of medical mistakes that will be utilized are mainly based on the approaches of D. Hilfiker (1998, pp. 59-66), J. Groopman (2008), and J. James (2013).

It has long been a truism in medicine that doctors learn most from their mistakes (although most doctors don't tell this to their patients). (Reilly, 2013, p. 59)

The concern with efficiency and financial and legal accountability of the increasingly specialized and technologized health care system resulted, among others, in efforts to boost patient safety. In this context, knowledge and performance deficiencies on individual and organizational/corporate levels have been analyzed, which, then, led to attempts to categorize and measure medical errors or "preventable adverse events" (PACs). J. James typology (2013, pp. 122-124) has been developed with a view to the occurrence of PACs in hospital and clinic settings and differentiates between five different types of errors that may lead to the immediate or delayed (months or years) experience of harm by a patient. These five types are: (1) errors of commission (wrong action or improper performance of the right action), (2) errors of omission (a particular action was not performed that is necessary to treat or heal a patient according to institutional protocol or professional standard), (3) errors of communication (between health care service providers or between provider and patient), (4) contextual errors (disregarding unique and possibly constraining circumstances or conditions of the patient, such as mental retardation, finances, religious or cultural beliefs) and (5) diagnostic errors, which can also lead to (1) or (2). According to recent studies, among them Groopman's *How Doctors Think,* the majority of misdiagnoses is due to flaws in the thinking of medical professionals. In his book, Groopman stresses again and again the importance of self-awareness of the limits of their skills and knowledge for the physician. They should always generate a "short list of alternatives" to what appears, on first sight, to be the right answer (2008, p. 66) and become aware of factors in their internal and external environments that are influencing their decision-making process (e.g., conflicting rules and expectations, time constraints, emotional stressors, liability fears). Moreover, Groopman's analysis reveals that the identification of errors often is not as simple as it might seem; there exist grey zones, which, in turn, raises the questions of when to really admit and what. What harm could have been prevented and what not? Furthermore, the practice of medicine involves risk taking, which increases the possibility of errors. Being too fearful of legal liability might lead to absolute caution and risk avoidance, which, in turn, can lead to mistakes, too. In contrast, being interested in preventing the repetition of mistakes can make one push for a full disclosure of errors and failures, as the transplant surgeon Starzl, for instance, did. He argued

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against a policy of non-concealment and for institutional oversight and public debates to reach consensus on what should be done to allow for innovation in medicine and provide patients with the best possible treatment. His argument relies on his rich experience with the fleeting borders of what is patient care and what is clinical research, experimental treatment, innovative medicine and error/mistaken assumptions (1992, pp. 164-165, 234-242, 256-287). More than once he discussed what and why he and his colleagues' considered "best judgment" concerning beneficial actions, that is, actions that minimize possible harm and maximize possible benefits to the patient. His explications of the unavoidability of harm were free of cynicism and invited the reader to partake in his deliberations on determining the best possible treatment. Starzl makes the reader realize that this determination requires knowing what is harmful; even obtaining this information might expose a person to the risk of harm (p. 236).

So, no matter whether it is experimental or "regular" medicine, errors are not as unique an event in the life of a medical professional as one might assume; their emotional impact can be tremendous, though. Many of the memoirs that are reflecting back on the first years of medical practice of young doctors in the 1950s and 1960s, if not solely focusing on the doctor's adventures and delights in small-town America, warrant that. They often include at least one account of a medical error, experienced either first or second hand experienced. Ingrained in the physician's memory, the incident became a constant reminder of the difficulties of diagnosing, the limits of skills and knowledge (Betts, 1998, pp. 82, 150), the relevance of good communication skills, and the need to consult with others (e.g., Cronin, Lown, Mitchell, Nuland). – And that at a time when malpractice litigation was rare. Starzl, for instance, recalled the tale of someone who incurred severe brain damage because an inexperienced doctor had applied the right method incorrectly (p. 33). This story was formative for him and stayed with him from the time he was a medical student. Starzl also remembered his sense of grief and horror because of having to watch the effects that inadvertency in the operating room had on a patient (p. 42). In difference to this, the family doctor Cronin's story is a humorous one. Cronin talked about his learning process as a young doctor whose lack in experience in his profession and of child's play made him mistake a squeaker in a child's nostril for a pneumothorax (1952, pp. 77-81). The error, uncovered by his experienced older colleague, taught him the importance of consulting colleagues in case of doubts. The surgeon Richard Selzer warned against allowing oneself to be taken over by anger over a patient's unruly behavior and then acting impulsively, in his case, exposing an unruly patient to punitive and somewhat cruel treatment (1996, pp. 59-69). In his account of present day medicine's crisis, the cardiologist Bernard Lown went back 50 years in time when his teacher, Dr. Levine, admitted an erroneous diagnosis because of the deep impact this experience had on him and other trainees (1999, p. 6). From this his teacher he did not only learn the utmost importance of carefully listening to and observing the patient but also of the need to have the humility to learn from younger colleagues (pp. 161-175). More so, he described how, in 1948, he himself was hit hard by the tragic death of a patient that resulted from his, Lown's, ignorance and how this incident fueled his research, thus leading to improved treatment. He also recalled, and this is a recurring theme in many narrations about the 1980s, 1990s, and later years, how difficulties to distinguish between what is likely and what is highly improbable as well as how over-reliance on tests led to patients' exposure to unnecessary, highly invasive procedures and, with it, to needless suffering.

A specific concern of the cardiologist Isadore Rosenfeld is the complexity of the communication process both among health care providers and between physicians and their patients. As an intern, Rosenfeld learned about the need to never remove hope from a patient under the guise of honesty and forthrightness. When and how the problem is explained to the patient can make an enormous difference with reference to the quality of life left for the

patient and might prevent or, even, cause tragic acts (2010, pp. 50-56). Rosenfeld also shared his awareness that a doctor's misdiagnosis can have the power to label a patient for life and, with it, drastically change this person's life. Furthermore, he stressed the need for both, the doctor checking out his/her patient's intuitions and seriously considering every reasonable explanation of the patient's symptoms (pp. 61-66, 91-96, 156-161) and the patient voicing his/her concerns not just during the anamnesis but if he/she suspects that there is something wrong during or after a medical procedure (pp. 162 -166, 237-247). Other physicians, such as Lown, Reilly, Nyland, and Groopman, gave similar advice to their readers, thereby expressing their support of a non-paternalistic approach to the doctor-patient relationship. They stressed the rights of the patient, their autonomy and dignity, which enable them to become or simply make them partners in the process of managing their health or illness. That this is, by no ways, a new approach was articulated by the surgeon Sherwin Nuland. He referred to an aphorism that has been attributed to Hippocrates, "The physician must not only be prepared to do what is right himself, but also to make the patient, the attendants, and the externals, cooperate." (2008, p. 142). Nyland provided with numerous examples of unsuccessful treatment and mistakes because of failure to make patients and their families and friends partners in the healing process. He pointed out that these inefficient attempts were related to personal prejudices and concerns of health care providers (cost saving versus treatment of someone who might be prone to abandon treatment; moral judgments that blame the patient for acquiring certain diseases), cultural differences (inability to successfully communicate across cultural differences, and, consequently, to enroll a patient into a highly promising course of treatment) as well as psychological factors on the side of the sick patient (inability to be vigilant because of being frightened, weakened, scared or distracted) (pp. 34, 142- 145). In this context, he raised several interesting ethical questions, such as whether there could be too much insistence on self-determination, causing a "tyranny of unrealistic expectations for both the sick and the well." He also raised the issue of to what degree people can be reasonably expected to take good care of themselves. To him, the reward for taking good care of oneself is not the attainment of moral superiority on the side of the caretaker but the probability of good health, which, in turn, presupposes having the resources to do so. This however, raises the questions of the boundaries of medical responsibility and health regulations, aspects that surely influenced why he titled his book, *The Uncertain Art*.

Overall, the memoirs show that it would be a misconception to assume that medical errors are only a problem of some "bad apples" among the physicians or happen only during high risk and/or surgical procedures. At the roots of the problem is that both physician and patient swim in a sea of uncertainty and have complex and often contradictory expectations towards each other and themselves. The physician, for instance, is expected to appear confident and to act decisively and with assurance for he patient while being aware of his/her limited knowledge and skills and the difficulties of correctly diagnosing patients and, consequently, making the right choice of treatment. More so, he/she is supposed to stay calm and reassuring, no matter the stress put on him/her because of time limitations, sleep depravation, conflicting organizational rules, and bureaucratic hierarchies. His/her knowledge is expected to stay up to date, despite the rapid changes in technology, technique, or medications and to include information that is also available to the patient, including that of alternative treatments. By writing about the difficulties of pursuing his/her art, the well but imperfectly trained healer wanted to his/her audience to know about the long time it takes to gain the experience that the young doctor cannot have. Furthermore, the authors tried to communicate that they also suffered; each and any of the mistakes they made came with high emotional costs. Nonetheless, the mistakes inspired them to strive to be *good* doctors (in the sense of excellence). Thus, the mistakes functioned as stressors and inspirations. What also shows is that the process of dealing with these incidents was a quite lonely one.

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The memoirs also corroborate that the issue of disclosure, whether to oneself, to colleagues, other health care providers, and/or to patients its lost anecdotal character in the 1990s. What once was depicted as an almost unprecedented incident with formative character lost in uniqueness and gained in "normalcy" and, because of that, in importance.

From the *Confidential Friend* (Worthington Hooker, 1849) to the *Confessing Friend*: Pealing away the layer of the white coat of silence

The changing approach to medical errors in memoirs reflects political, economic, legal, and cultural transformations in the research and practice of medicine and health care. Technological and technical advances, research in clinical epidemiology (population-based research, specifically, randomized controlled trials), the development of Evidence Based Medicine and the implementation of Medicare and Medicaid changed the ways of medicine and led to a re-structuring of the health care sector. However, neither the creation of HMO's nor the increasing corporatization and privatization of the health care sector, including the implementation of the business model in clinics and hospitals, could drastically dampen the escalation of health care costs. Because of the rising costs of the newly available technologies, tests, treatments, and pharmaceuticals, increasing specialization among health care providers and extra-costs because of an increase in malpractice lawsuits and the amounts granted, the pressure to reduce costs accumulated. One of the effects of the pressures to diminish costs and increase performance is that Morbidity and Mortality Conferences, a traditional form of confidential peer review of PACs at medical centers, gained in importance both as educational tools and a means to change behaviors on individual and systemic levels. Another effect is the establishment of the Agency for Healthcare, Research and Quality (1999) in order to gain evidence for measures that can improve patient care. Related to the agency's report *To Err Is Human: Building a Safer Health System* (1999), new federal regulations to report and reduce PACs were introduced, which lead to state regulations and safety indicator systems for hospitals. Nevertheless, there exists sufficient evidence for underreporting, be it because doctors tend to minimize the occurrence of mistakes and/or do not even admit the error to themselves, or because they fear for their reputation, are afraid of administrative and legal punishment or worry about financial losses because of a loss of referrals and patients (Ruggiero, 2012, pp. 87-90).

For the reader of the memoirs, though, it is not the mushrooming costs but the doctors' concerns about the status of their profession that them led step forward and publicly debate medical errors.The physicians put the issue of errors into the broader framework of the challenges that health care providers nowadays face. Their worries include: having too less time for too many patients, having to "standardize the patient," colleagues who practice "defensive medicine," or who rely overly on technology and tests. Other concerns are the experience of a high level of stress and emotional drain. The need to adjust to fast changing conditions and to meet contradictory demands can lead to alienation from patients, burn out symptoms, and overall dissatisfaction with the ability to be the healer and partner to the patient that the doctors want to be. To those doctors who recognized the patient's autonomy and their right and need to be collaborating partners, it seemed only natural to reach out to both other healers and prospective patients and toconfess. Others were made step forward by the newly emerging legal and administrative frameworks mentioned above. The line of voluntary confessions was started by the general practitioner David Hilfiker'scourageous and honest accounts *Facing Our Mistakes*(1984) and *Healing the Wounds* (1985); they were sometimes met with hostility by other health care professionals but often acknowledged with respect. Hilfiker stated that doctors generally behaved like competitors or were put into such a position and that they rarely talked about their mistakes and how they left them feeling (1998, p. 129). According to him, "neither the structure of their profession nor society at large in any way equips them" (8) to speak honestly about the problems in their professional lives. Hence

his plea for a social and communal environment that gives doctors the possibility to admit wrongdoing and discuss feelings openly, such as, sadness for patients and themselves, a sense of inadequacy that especially dedicated doctors might develop, and, also, frustration, despair and cynicism. Hilfiker pointed to the need to not let the *wounded healer* become a second victim of the mistake he/she allowed to happen,a problem that the profession alone cannot resolve. This problem became a recurring concern in other memoirs.

After Hilfiker's outcry, it was like a dam burst open: Whole chapters in memoirs or auto-biographically inspired discussions of the medical profession reflected on reasons for medical errors, on what unnecessary treatment and judgment calls are, on the mistaken assumption that new technologies, methods, and drugs allow for absolute exactness, and how uncertainty produces the need to follow one's gut feeling - as fallible as it might be. Other issues were the importance of honesty and the need to recognize and correct unexpected errors without creating a culture of blame and shaming, the existing mechanisms of peer review and reporting of errors and the nonetheless continuing existence of the "white coat code of silence." Also again and again articulated were the doctors' pain and suffering, their feelings of guilt and need for forgiveness – by others and themselves (e.g., Ruggieri, 2012; Lown, 1999; Reilly, 2013; Banja, 2005, pp.132-149, 200-202, Jones, p.127, Austin, 2008, pp. 64-68, 126-165, 291-293). Concerning the latter, the hospital physician Brendan Reilly, for instance explained: Despite the fact that doctors and nurses have become part of a health care industry that provides services, which, in a sense, commodifies care or, as the surgeons Atul Gawande and Paul Ruggieri called it, turn care into treatment, health providers still feel guilty when things go wrong with their patients. Reilly linked the feeling of guilt to self-disappointment because of not living up to one's own standards. He suggested that the act of making a mistake should not be considered a moral failure, except for cases of intentional or callous misdeeds or utter incompetence. He suggested to think about errors in terms of excusability, which would eliminate the need for forgiveness and moral repair. The question is, though, whether that would presuppose an environment that is characterized by policies, rules and regulations and working procedures that are requesting total disclosure, grant justice, and do repair, which includes apologies and mediation.

More so, if the doctor is part of a "care" system, reduction of mistakes strongly depends on systemic failures, an issue addressed by, among others, Gawande, Ruggieri, Austin, Lown, Ofri, and Jauhar. As explicated by Gawande, for instance, "The important question isn't how to keep good physicians from harming patients; it's how to keep good physicians from harming patients." (2002, pp. 56-57) Furthermore, it's not primarily medical malpractice suits that are remedying systemic and individual failures but systemic quality improvement measures within the health care system, improved peer review procedures (56-57, Ruggieri, pp. 44-45, 63-74; Reilly, pp. 179-184) and rule and therapy changes based thereof as well as initiatives of doctors that create new care practices (Reilly, pp. 246-247).

Other messages by the writing doctors addressed to their readers can be summarized as follows:

- We care. However, errors are part of our daily lives. Although we are highly educated and trained, our skills and knowledge is limited. It is not always easyto recognize what constitutes patient harm or that a particular event harmed a patient. Not even the use of protocols and algorithms, as helpful as they are, can prevent the occurrence of mistakes. Illnesses have an individual face and rules and regulations are imperfect and can be contradictory. Moreover, decisions are made not just by me but also by a complex group of agents.
- We care and are talking about our mistakes to our peers but you might not be aware of it because you are unfamiliar with the peer review mechanisms. Hospitals, for instance have performance data. But you need to understand that hospitals and clinics

are afraid to admit system-based mistakes, too; after all, they function as a service provider in a market economy. Doctors and clinics have a reputation to loose and the media love sensations. So there is still some kind of a protective wall…

- We care but it is hard to talk about mistakes in a competitive environment that includes other doctors and hospital administrations; confessing might endanger our livelihood and that of our families.

- We care and would like to talk to patients or their loved ones about mistakes that we made. But, please couldn't we have our conversations without right away being threatening with legal steps? When treating a patient, you want us to be decisive and not constantly second-guess ourselves. So give us a chance to not feel continually threatened by lawsuits. More so, it is very hard to face people one has hurt by erring; one doesn't only have to overcome one's ego and correct one's self-image but deal with suffering and grief. Maybe, we need a bit of help to learn how to communicate mistakes. Official disclosure statements are written in legalese…

- We care and want you to understand that we, too, suffer when mistakes are made; the case is never really closed for us. We would like to have a support system that helps us to heal our wounds, thereby allowing us to stay the good doctor we want to be, despite all the stress.

- We care, so, please, help us by becoming more active as a patient. Become a good partner and ask educated questions or have someone do that for you – even if some doctors don't like it.

Conclusion

After a period of relative silence, the "white gods" have taken it on themselves to honestly and seriously discuss medical mistakes with the general public. They have done so because of their growing concern for the condition of the health care system and the future of their profession. Moreover, their accounts are pointing to a number of complex and contradictory wider issues: On the one hand, Americans often have exaggerated expectations towards "scientific medicine;" they trust in the capacity of sciences and technologies to "fix" what is wrong. On the other hand, there exists an undercurrent of distrust concerning the sciences, linked, among others, to ideological beliefs (Valdesolo, 2014) and mistrust of government, business ethics, and the news media. The calms about business and government regulations and the distance between media image and real activities seem to have spilled over to attitudes towards the health care system as well. Any discourse on improvements of the system or medical errors will have to take this ambiguity into consideration.

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GLOBAL INTEGRATION AS FACTOR OF THE INTRODUCTION OF KAZAKHSTAN IN THE WTO: LEGAL PROBLEMS AND PROSPECTS

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Abstract

The World Trade Organization (WTO) as the only international body which is engaged in global rules of trade between the states carries out such tasks as assistance in streamlining of process of trade within the system based on certain rules; objective settlement of trade disputes between the governments; organization of trade negotiations. 60 agreements of the WTO — the main precepts of law of policy of the international commerce and trade are the cornerstone of this activity. The principles on which these agreements are based, include lack of discrimination (the mode of the most favored nation and the provision on a national treatment), more free terms of trade, encouragement of the competition and additional provisions for the least developed countries. One of the purposes of the WTO is fight against protectionism.

Since the creation activity of the WTO served as a forum for successful negotiations on opening of the markets in the field of telecommunications, information processing equipment and financial services. She participated in settlement more than 200 trade disputes and continues to watch implementation of the agreements adopted within the WTO.

In article analyzed a role of the WTO in the course of integration of the states into world economic space, preconditions and prospects of accession to WTO in the conditions of globalization and legal preconditions, the basic positive and negative aspects of the introduction of Republic of Kazakhstan in the WTO.

Keywords: Integration, world economic space, WTO, globalization, legal preconditions

Introduction

One of the main tendencies of world economy is struggle for a freedom of commerce. This movement last years has received the globalization name for a freedom of commerce. Globalization means a world freedom of movement not only the goods, but also the capital, and, finally, even the qualified labor. Globalization is basically political activity of the developed industrial countries which often support own globalization to the detriment of the another's.

Globalization - objective process, we want it or not. It penetrates information, technical, economic spheres, erases distinctions of the countries and the people, internalizes economy and develops uniform system of world communications - a word, destroys habitual, creates new world foundations. Today the world system is captured by a globalization phenomenon. Nothing can seriously prevent globalization for it based on «opening of borders» and «de-regulation» and movable by scientific and technical progress, conducts to the further improvement and expansion of the international integration, growth of an economic competition between the countries, to occurrence of regional integration

associations. It she creates additional possibilities for acceleration of economic growth and production efficiency increase (Esentugelov A., 2011).

Certainly, globalization is capable to generate simultaneously, and Generates new calls and threats steady and to safe development economy of the various countries, especially small with "the narrow" internal market. It does national economy vulnerable for the various negative processes occurring on world commodity and financial markets. In particular it concerns the financial market, which is internationalized to the greatest degree and differs the high instability and in the speed of its distribution. Other threat of globalization is blasting of national state sovereignty under the pressure of the foreign capital and actions of transnational structures.

But globalization bears the main threat to national economy through I will shade the international economic competition which became today the integral characteristic feature of world economy (Chernyshev S.V., 2001). The competition already was beyond for a long time the separate companies, firms, it became interstate.

Attempts of opposition of globalization, creation of the closed economy can lead only to the country self-isolation which result will appear absence of a competition, increase of technological backwardness, fastening of the inefficient deformed structure of economy and the lowest standard of living of the population.

It is necessary to use as much as possible new possibilities which globalization gives us for progress and steady economic growth, and to minimize its negative consequences for our economy. It is necessary, that the government spent responsible economic policy, achieving that benefits exceeded costs that it carried out long-term economic strategy as much as possible, being guided by principles of efficiency, protection of the state national interests and economic safety of the country.

Undoubtedly that in the conditions of globalization by one of the major ways of integration of the states in world economic space is functioning of the states within the limits of the World Trade Organization (WTO).

The Main Results of the Research

The WTO represents an organizational-legal basis of system of international trade. It has been created on January, 1st, 1995 after end of the Uruguayan round of multilateral trading negotiations on December, 15th 1993 and signed in April 1994. The WTO is the receiver of the General agreement under tariffs and trade (GATT).

The WTO differs from GATT not only that in it is presented more states, than in GATT (160 members), but also wider scales of that activity in which it is involved. GATT operated exclusively in sphere of trade with the goods; the WTO covers trade in the goods and services, and also protection of intellectual property rights. Besides, it is that forum where trade relations between the countries in the course of negotiations and the decision of disagreements are formed.

Legally the WTO system is fixed by the Agreement on the WTO establishment, known also as the Marrakesh agreement, and 4 appendices to this agreement, each of which includes international legal arrangements on international trade individual questions. The agreement on WTO establishment contains 29 agreements, 17 of them and the legal documents connected with them, are included in Appendices 1, 2 and 3 (called Multilateral Trading Agreements), make an integral part of the given Agreement and are obligatory for all members of the WTO. Other Agreements and the legal documents connected with them, are included in Appendices 4 (called «Trading Agreements with the Limited number of participants») are obligatory for members of the WTO who have accepted them and don't create obligations for members who haven't accepted them. All agreements define those key

treaty obligations by which the governments should be guided at creation and practical application national legislative and statutory acts in trade sphere[128].

Example of really uncontrollable desire can access to WTO to serve China – to its acceptance in organization numbers 15 years of negotiations preceded. There are no doubts that the Peoples Republic of China wholly will use the new status and thanks to falling of trading barriers, the Chinese goods become cheaper and getting everywhere.

Actually, therefore the countries-participants also needed so much years as much as possible to protect from expansion of China the manufacturers. In exchange for WTO membership of the Peoples Republic of China it was necessary to accept a number very much severe constraints and obligations, some of which were never shown to other countries.

One of the most rigid a condition which were taken up by China is that the next 15 years, at carrying out of antidumping investigations, the Peoples Republic of China will be considered as the state with "not market economy", and it means that the decisions which have been taken out by arbitration bodies of the WTO not in favor of China and to it will be very difficult for challenging them.

The post-Soviet territory countries have realized necessity of accession to WTO too. Except for Turkmenistan, all other republics have directed demands for membership, and Moldova, Latvia, Kyrgyzstan, Georgia and others have already joined the ranks of the organization.

The Kirghiz Republic became the first full member of the WTO among the CIS countries. For Kyrgyzstan negotiations on accession to WTO lasted three years.

As a result of so active negotiations Kyrgyzstan had to lower sharply the customs duties, and on a number of the goods to cancel them in general, to abolish licensing, to establish extremely low level of subsidizing of agriculture, to enter a uniform legislative mode for local and foreign businessmen.

Finally, the domestic production which was almost noncompetitive and before accession to WTO, after membership registration has been forced definitively out from home market. At the same time to use decrease in traffic walls and to adjust though any export for the country it is unreal. Foreign investments on which so counted Kyrgyzstan at accession to WTO, and haven't arrived because of an adverse investment climate.

The Kirghiz Republic is compelled to spend now repeated, not less tiresome negotiations on revision of conditions of WTO membership – differently the country should pay indemnification to other member countries of the WTO for non-observance of conditions of trade and leave the organization.

Long time was planned accession to WTO of Russia. After joining of China it remained the unique large power which is outside the limits of trading system.

Unlike Kyrgyzstan negotiations of Russia went very hard as, was considered that the Russian legislation isn't resulted yet in full conformity with norms of the WTO, it is offered to Russia to make for some months amendments to the legislation defining economic activities of the country. Between the parties there are serious disagreements, members of the WTO make very rigid demands. Along with traditional questions of a mode of trade, tariffs and subsidizings of agriculture by the most difficult have appeared problems of intellectual property right and activity of the state trade enterprises, the WTO persistently demands from the Russian Federation joining and to unessential agreements, so-called to "sectoral initiatives» (concerning the governmental purchases, harmonization of duties on the chemical goods, trade in civil aviatechnics, information technology).

Negotiations on joining of Russia to the WTO have been frozen in June 2009г., as at session of interstate council EvrAzEs in Moscow the prime minister of Russia Vladimir Putin

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[128] «The Marrakesh agreement of creation of World Trade Organization» // concluded to Marrakesh, 15.04.1994.

has made an official statement about the termination of individual negotiations on joining of Russia to the WTO. Simultaneously he declared that in negotiations on accession to WTO since January, 2010 Russia will participate in frameworks (on behalf of) the uniform Customs union of Russia, Belarus and Kazakhstan. It will allow both to access to WTO, and to keep the Customs union. In the WTO, according to the Contract on WTO creation (WTO Agreement) can enter both the countries, and separate customs territories (so, EU is a member of the WTO, as well as all countries separately, entering into its structure) (On a WTO, 2012). Russia tried to become a member of the organization within 18 years, and at last on December, 16th, 2011 became 154 country, in it entered.

In the Message to the people of Kazakhstan «Kazakhstan on a threshold of new jerk forward in the development: Strategy of occurrence of Kazakhstan in number of the most competitive countries of the world» from 01.03.2006г. The president of Republic of Kazakhstan Nursultan Nazarbaev has noticed that «Negotiating process under the introduction of Kazakhstan into the WTO goes at full speed. A considerable part of laws of republic which regulate the foreign trade mode, are already brought into accord with norms of the WTO or are on discussion in Parliament. It is convinced that the introduction of our country into this international economic organization opens ample opportunities for strengthening of competitiveness of Kazakhstan in the international markets» (The message, 2006).

The prompt introduction of Kazakhstan into the WTO on the conditions considering interests of Kazakhstan, is defined in the given Message as one of the main strategic interests of republic in foreign policy. Kazakhstan as the country with the market economy, headed for achievement of strong positions in the international community aspires to raise the foreign trade potential.

09.10.2014, Kazakhstan and the European Union officially announced the completion of negotiations on partnership and cooperation and solving bilateral issues on the road to membership to the WTO. The result of these blows was the signing of the "Agreement on the expanded partnership and cooperation between Kazakhstan and the EU".

European Union countries accounted for 50 percent of Kazakhstan's foreign trade and 50 percent of foreign direct investment, which came to our country and help its economy. Kazakhstan, in turn, has become the leading trade partner of a united Europe in Central Asia.

One of the key aspects of the new Agreement is modernized Shopping section, which takes into account the commitments undertaken in the framework of Kazakhstan's accession to the World Trade Organization, as well as adopted within the framework of the Customs Union and the Treaty on the Eurasian Economic Union.

WTO membership is considered as a major factor for increase of access of Kazakhstan production to the world markets, its competitiveness, development of domestic business, increase in volumes of investments and stabilization of economic growth. Now 135 member countries of the WTO are trading partners of Kazakhstan. It is natural that Kazakhstan will aspire and should aspire to settlement of the trade relations with these countries on conditions comprehensible and favourable to. Any of these countries can begin at any time under the relation of any goods imported from Kazakhstan, procedure of antidumping trial. The country any more faces the first year similar investigations and measures concerning the Kazakhstan export of a steel, production of nonferrous metallurgy, ferro-silicium, ferro-chrome, a titanic sponge, uranium highly enriched, etc. from the USA, EU, India, Mexico, Brazil, Colombia and Venezuela.

Process of the introduction of Republic of Kazakhstan in the WTO has begun on January, 26th, 1996 when Kazakhstan has submitted to Secretary of the WTO an official

statement about the introduction into this organization[129]. In February of the same year to Kazakhstan the country-observer status in the WTO is appropriated. Simultaneously with it the Working group under the introduction of Kazakhstan into the WTO, into which structure has been created now 39 countries - the basic trading partners of republic (the USA, EU, Canada, Japan, Australia, Switzerland, China, Republic Korea, etc.) enter. With a view of coordination of process of the introduction into the organization in 1996 the Republic of Kazakhstan Governmental order had been created the Interdepartmental commission concerning the WTO (ICC). Now it is transformed in ICC concerning the customs-tariff policy and participation in the international economic organizations. Within the limits of process of the introduction of Kazakhstan in the WTO negotiations are conducted at multilateral and bilateral levels in four basic directions:

1. Negotiations on system questions;
2. Negotiations on agriculture questions;
3. Negotiations on access on a commodity market;
4. Negotiations on access on the market of services.

During multilateral negotiations pass the coordination such questions in the field of economic and a country commercial policy, as: norms and practice of regulation of pricing, state ownership and privatization, system of the taxation and application of taxes to the import goods, grants in separate economic sectors, in particular, in agriculture, a mode of foreign investments, system of a currency exchange and payments, import custom duties, including any available tariff preferences, custom charges, protective measures and other measures of protection of national manufacturers (antidumping and compensatory measures), import licensing, export regulation, the state trade enterprises, system of standardization and certification of the import goods, sanitary and fytosanitory measures, protection of intellectual property rights, etc. (Lomakin V.K., 2010).

Besides that Kazakhstan will be recognized by the country with the open market economy integrated into the world economy and world structures, promoting its development, it automatically receives in relations with all member countries of the organization a most favored nation treatment. In connection with the big involvement of our republic into world export of oil, oil products, natural gas, the electric power and coal for Kazakhstan the great value in the WTO will have a condition of conducting trade between participants of the WTO on not discrimination basis.

Accession to WTO will give to Kazakhstan a number of advantages in the field of licensing of export, standards, applications antidumping and countervailing duties and will promote as a whole to growth of the external economic activity of the state. Further from expansion owing to more effective competition in the market of assortment and quality of the goods and services, the Kazakhstan consumers should win decrease in their price. Reduction of prices will concern not only the ready import goods and services, but also domestic in which manufacture import components are used. At the same time there will be respective alterations in volumes and structure of consumption which will come nearer to standards of the developed countries. Increase of solvent demand will positively affect manufacture growth, to testify to improvement of economic and social situation of the population.

For manufacturers potential benefits will be connected with reception of the facilitated access to the world markets of the goods, services, the capitals, the international-recognized rights for protection of national economic interests in these markets. There will be a decrease in commercial risks - at the expense of an establishment of stabler mode of trade, and also reduction of transport expenses - owing to warranting of freedom of transit of the goods on

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[129] Since January, 1996 the Republic of Kazakhstan has the status of the observer in the WTO.

territory of member countries of the WTO. All it, in general, will promote decrease in the cost price of Kazakhstan production.

Sharp rivalry between regional blocks leads to regular trading collisions. But the WTO became the tool thanks to which «trading wars» don't lead to the present military conflicts.

Without accession to WTO Kazakhstan it will be inevitable to be exposed any to economic discrimination. Sanctions, quotas, Jackson-broom amendment and the other measures infringing interests of Republic of Kazakhstan, will proceed, while we don't become the full participant of the international division of labor. But today Kazakhstan isn't to the full ready to open completely the market for stronger competitors.

Our industry, agriculture, financial sector need protectionist protection.

There is also an opinion that the domestic industry of Kazakhstan only will win from the introduction for following reasons: first, that the Kazakhstan industry is sated today by a considerable quantity of import accessories and consequently sustains losses from duties on imported production; secondly, a parity of the low price and bad quality which is shown by the domestic industry, any foreign firm as values the reputation can't offer.

For Kazakhstan the great value has a condition of conducting trade between participants of the WTO on not discrimination basis, in connection with the big involvement of our republic into world export of oil, oil products, natural gas, the electric power and coal. Accession to WTO will provide to us a most favored nation treatment with 160 countries-participants and will give a number of advantages in the field of licensing of export, standards, applications antidumping and countervailing duties and will promote as a whole to growth of the external economic activity of the state. Joining to the WTO is the integral step on a way of integration to the world community as the full participant of multilateral trading system and a conclusion of the legislation of republic to modern international level.

Creation of civilized conditions of a competition and transparent legal field will stimulate the general acceleration of structural reforms and will impulse for creation of competitive economy. It will be promoted by reduction of the national legislation (in particular, in sphere of the taxation, customs regulation, standardization and certification, regulation of sphere of the services, the competitive policy, intellectual property protection) in conformity with norms and WTO rules (Tynel A., 2014).

WTO membership essentially raises investment appeal of the country since one of main principles of this organization is the principle «transparency», i.e. a full disclosure of the country, a transparency of legislative base. It is natural that the foreigners assured of security of the investments, more willingly will put up the money in economy of the given country.

Prospects of an investment climate in connection with the introduction of Kazakhstan into the WTO will be positive. Inflow of foreign investments to national economy will increase owing to such factors, as the general improvement of image of the country, opennesses of economy of Kazakhstan, improvement of legislative base, increase of a transparency of investment procedures, simplification of access by home market of foreign financial institutions, stock market development. Investment streams, undoubtedly, will lead to domestic production development, will be a powerful source of updating of manufacture and economic growth of the country, promote industrial production modernization, export growth, attraction of new technologies and growth of workplaces, increase of a skill level of local experts. The accelerated development will be received by the branches which are letting out end production with high level a science-capacity and the added cost, high and average adaptability to manufacture. Growth of manufacture of such production can be supported only by an exit of Kazakhstan on a foreign market which compensates "narrowness" of home market and limitation of internal demand.

As a result of expansion of presence of high technologies, the goods, services and investments in home market, introductions of the international quality standards will be created favorable conditions for improvement of quality and competitiveness of national production. WTO membership will provide to Kazakhstan an exit in the unified international legal space which will create to all exporters and importers stable and predicted conditions of activity. Kazakhstan can really count on reception of the right of participation in working out of the norms regulating world trade, being guided by national interests. Besides, there will be an access possibility to the operative information in the external economic policy and to intentions of the governments of the countries-participants of the WTO that will allow to develop more effective trading and economic policy (Magazine, 2013).

The recognition of Kazakhstan the country with open market economy not only will raise image of the country, but also will allow Kazakhstan to receive automatically in relations with all members of the WTO a most favored nation treatment (MFNT).

It is possible to carry creation of the transparent and predicted internal legislative environment corresponding to the international standards, and assistance in attraction of the foreign investments, new technologies and a know-how to number of positive factors in manufacturing industry. Accession to WTO will allow to expand quantity and to improve quality of the goods offered for the consumer, will stimulate economic growth on the basis of trade expansion in the long-term plan. At settlement of disputes use of the mechanism of the WTO too is telling argument, it is especially actual for the small countries in their trading disputes with larger partner. And, at last, participation in a new round of multilateral trading negotiations on a wide range of questions, including by means of voting at decision-making which will define international trade rules on long-term prospect, gives the chance to Kazakhstan to advance the trading and economic interests (Abdymanapov S.A., 2006).

In the introduction of Kazakhstan into the WTO along with positive there are also negative sides.

Doesn't raise the doubts the fact that we have competitive sector only in the field of development of primary products of processing and extraction of natural resources. Other branches of our economy aren't to the full competitive yet, in particular it concerns agriculture and light industry. It is necessary to open home markets for foreigners and the state to lose such important levers of protection of home market as quoting and licensing. According to some experts, accession to WTO can turn back for Kazakhstan a complete liquidation of some branches of a national economy. Thus agriculture production most will suffer.

However, accession to WTO will give to republic a mode of favorable trade with 156 countries-participants of the organization. But Kazakhstan should carry out coordinated to the policy with the partners in EvrAzEs. Before joining to 56 basic agreements of the WTO the country will be exposed any to economic discrimination. Also from Kazakhstan decrease in level of custom duties with right loss in further demand them to raise. It is clear that it will be the strongest test for the budget of our country. According to the general agreement on trade in services, traffic walls approximately on 100 various types of service will be cancelled. In December, 1997 the agreement on liberalization of the market of the financial services 102 states became which participants also has been signed. This global market covers 38 bln. bank credits, 18 bln. dollars of securities and 2 bln. dollars of insurance contributions (Kupalov I.V., 2014). And we too will be compelled to remove all barriers in sphere of services, first of all the financial.

For Republic of Kazakhstan can't be considered fair if obligations on accession to WTO are based on reduction of level of the internal support rendered by the state to agrarian sector. Level of the governmental support of agricultural manufacturers in Kazakhstan considerably differs from developed in the developed countries. The countries of EU and Japan continue to protect the food markets from the American goods. The European Union

spends half of state budget for a grant to agriculture, including 7 bln. dollars on encouragement of agricultural export. In these conditions also it is necessary for Kazakhstan to achieve special measures of protection of internal manufacture of agriculture. But WTO requirements are that that if the country wants to apply similar measures, serious researches are necessary to prove that the damage will be caused to the manufacturer by import.

According to opponents of the WTO – this organization supports interests only transnational corporations. The USA are used actively by intermediary of the WTO for protection of the interests. From 24 cases when Washington addressed for the help to the WTO, in 22 this organization supported the American position. The United States have got support of the WTO and in a question of genetically changed products. The USA also intend to achieve an establishment of universal standards in sphere of labor relations.

The number of priorities of the USA includes also the world agreement about transparency in the state purchases. This market is absorbed annually over 3 bln. dollars Under the pretext of fight against corruption by the American administration aspires to provide access on this market.

Concerning negative sides, also it is possible to assume that short-term losses which bear again entering countries at reduction of tariffs, will be with interest compensated by long-term incomes of occurrence in the world market. The WTO gives us only rules of trade and the favorable environment, i.e. possibilities and as the separate country will develop the export are given, depends on it. If the government conducts the competent policy and resources there will be also an export increase will be effectively used. Kazakhstan possesses all necessary to become in the XXI-st century among leaders of world development. Huge natural resources, the scientific potential, the qualified labor - all it can make us quite competitive in global economy.

Also it is necessary to tell that for today in the WTO voices of the advanced countries, such as the USA, Japan and EU which carry on negotiations for the purpose of reception of the greatest benefit prevail. Coordination of a trunk-call policy of the accessing to WTO CIS countries can change a situation. Having created such general policy, probably, it will be possible to achieve any best conditions on the introduction, additional privileges in this organization and etc.

Harmonization of legislatively-standard base and trading practice of the CIS countries with norms of the WTO is necessary, since it will promote simultaneously to their rapprochement and development of mutually advantageous trade. Observance of uniform approaches and rules in such spheres as standards, sanitary-fytosanitory measures, application of grants and the state support, definition of country of origin, licensing, realization of the state purchases and etc., will allow to develop both international trade as a whole, and trade between the CIS countries.

Conclusion

Summing up, it would be desirable to tell that joining of Kazakhstan to the WTO is a question both external, and internal policy.

First, the WTO role in world economy is global enough and it is impossible to underestimate it. Otherwise it is possible to lose in the foreign trade struggle for the buyer, i.e. not to sustain tariff aggression of member countries of the WTO.

Secondly, to make the decision under the WTO introduction, it is necessary to analyze experience of the countries which already are members of this organization. It is necessary both positive, and negative experience as, considering errors and the successful moments, it is possible to find so-called "golden mean" in construction of a foreign trade policy of this or that state, in particular Kazakhstan.

Thirdly, that in the last some years foreign trade of Kazakhstan grows big enough rates though hesitates, depends on a competent management of economy. The government is stabler, the also all other spheres of a society is better develop.

Fourthly, full modernization of all spheres of economy is necessary. The purpose – easier adaptation to norms of the WTO.

Fifthly, in the decision of a question of the introduction correlation of this step with the strategic problems standing in economic sphere, - increases of its competitiveness of the Kazakhstan economy and stability to external influences is key.

Sixthly, first of all, it is necessary to create such conditions and organizational mechanisms which will allow to increase effect and to lower the losses connected with joining.

Further, it is necessary to overcome all barriers which face our economy on a way of its development and including developments within the limits of the WTO.

Thus, it is possible to tell that by means of this work it would be desirable to prove - exist not only opportunities which are born in itself by WTO mission, but also negative which can is destructive to affect economy of any country.

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IN-VIVO ANTI-PLASMODIAL ACTIVITY AND IN-VITRO ANTIOXIDANT PROPERTIES OF METHANOLIC LEAF EXTRACT OF AZADIRACHTA INDICA AND ITS POSITIVE EFFECT ON HEMATOLOGICAL AND LIPID PARAMETERS IN SWISS ALBINO MICE INFECTED WITH PLASMODIUM BERGHEI NK 65.

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Abstract

The study was conducted to determine the effect of in vivo anti-plasmodial and in vitro antioxidant properties of methanolic leaf extract of *Azadirachta indica* and its positive effect on hematological and lipid parameters in Swiss albino mice infected with *Plasmodium berghei NK65*. Swiss albino mice were inoculated intraperitoneally with *Plasmodium berghei NK65*. The mice were grouped into six groups, five per group. Group I were not infected with *P.berghei*, Group II and III served as both the negative and positive control while Group IV, V, and VI were treated with 200, 400, and 800 mg/kg body weight of methanolic leaf extract of *A. indica*. The secondary metabolites in the extract include tannin, flavonoids, glycosides and saponin etc. The extract does not have any toxic effect that can lead to the death of the animals. The median lethal dose LD_{50} was estimated to be >5000mg/Kg body weight. The extract caused 47.80%, 50.96% and 52.30% suppression in parasitaemia at 200, 400 and 800mg/kg body weight respectively while Chloroquine exerted 100% suppression at 5mg/kg body weight. The curative test shows that the different concentration of the extract exert a growth inhibition of 50.1%, 74.57% and 73.68% at 200, 400, 800mg/kg body weight respectively while Chloroquine cleared the parasites by 94.07% at 5mg/kg body weight. The Hematological parameters showed that the extract is not hematotoxic since it significantly increase ($P<0.05$) RBC, HGB, and HCT values while their WBC count reduced significantly when compared to the infected untreated mice. There is a significant decrease ($P<0.05$) in plasma TC, TG and LDL-C in the treated groups and their HDL-C significantly increase when compared to infected untreated group. This study shows that *A.indica* extract has hypolipidemic effect. In the in-vitro antioxidant assay, the extract significantly increase ($P<0.05$) the level of SOD, CAT and GSH in the liver homogenate induced with oxidative stress using H_2O_2 while the MDA values reduced significantly with the administration of the extract of *A.indica.*

Keywords: *Azadirachta indica,* Anti-plasmodial activity, hematological and lipid parameters, in-vitro antioxidant properties and *Plasmodium berghei NK 65* infected Swiss mice

Introduction

Malaria is a disease caused by Plasmodium species, is one of the oldest and greatest health challenges affecting 40% of the world's population (Greenwood, 2002). About 300-500 million clinical cases is observed and 1.2–2.8 million deaths occur each year due to malaria. (Linares and Rodriguez , 2007 and Sahu *et al* 2008). Severe malaria is a complex multisystem disorder. Complications such as cerebral malaria, anemia, acidosis, jaundice, coagulation anomalies, respiratory distress, renal insufficiency, and hyperparasitemia can occur in severe malaria (Penet *et al* 2005).Some of the problems associated with malaria are the control of mosquitoes which transmits malaria which is made difficult by their resistance to a wide range of insecticides. Secondly, is the production of fake anti malarial drugs. Thirdly, most of the Plasmodial parasites are resistant to most widely available and affordable drugs like Chloroquine and Fansidar (Kisame,2005). Lastly, most countries in Africa lack the necessary infrastructure and resources to manage and control malaria (WHO, 1994).

Plasmodium berghei have been used in studying the activity of potential anti-malarials in mice (Pedronic,*et al*.2006) and in rats (English, *et al* 1996). It produces diseases similar to those of human plasmodium infection (Kumar *at al*, 2006, Peter and Anatoli 1998)

Azadirachta indica, commonly known as Neem, is found in Nigeria and in most of the tropical and subtropical countries and is widely distributed in the world. The taxonomic classification of *Azadirachta indica* is as follows: Kingdom *Plantae*, Order: *Rutales*, Suborder: *Rutinae*, Family: *Meliaceae*, Subfamily : *Melioideae*, Genus : *Azadirachta*, Species: *indica* (Girish *et al,* 2008). All parts of the plant are useful and have been used in treatment of diseases ranging from teeth decay, swollen liver, ulcers, dysentery, diarrhea, malaria and other bacterial infections. (Allameh et al., 2002 and Mossini et al., 2004). Studies have shown that the generation of reactive oxygen and nitrogen species (ROS and RNS) associated with oxidative stress, plays a crucial role in the development of systemic complication caused by malaria. Atamma *et al* 1993 observed that erythrocytes infected with *Plasmodium falciparum* produced OH^- radical and H_2O_2 about twice as much compared to normal erythrocytes. Malaria infection induces the production of hydroxyl radicals (HO^-) in the liver, which may be the reason for the induction of oxidative stress and apoptosis (Guha, 2006).

Materials and methods
Collection and identification of Plant extract

The leaves of *Azadirachta indica* were obtained from Ikorodu in Lagos State, Nigeria. The plant was authenticated by Miss Shokefun a botanist from Science Laboratory Technology Department, Environmental biology Unit, Lagos State Polytechnic, Ikorodu.

Preparation of methanolic leaf extract of Azadirachta indica

The leaves of *Azadirachta indica* were washed, air dried under shade in the Biochemistry Laboratory, pulverised to coarse power using blender. Extraction was carried out by dispersing 200g of the grounded *A. indica* plant material in 1L of 80% ethanol and shaking was done with GFL shaker for 72 hours. This was followed by vacuum filtration and concentrated by rotary evaporator at a temperature not exceeding 40^oC. The concentrated extract was dried to complete dryness in an aerated oven at 40^oC for 48 hours. The extract was latter stored in a refrigerator at 4^oC.

Phytochemical analysis

Phytochemical analysis for   phytochemical constituents were carried out on the methanolic extract of *Azadirachta indica* using standard phytochemical procedures (Sofowora (1993), Harborne (1973), Trease and Evans (1985).

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Sources of Swiss albino mice

Eight (8) weeks old Swiss albino mice weighing 24- 35g were obtained from Nigeria Institute of Medical Research (NIMR), Lagos, Nigeria. These animals were maintained under laboratory conditions of temperature (22 to 24°C), humidity (40 to 60%) and 12 h light/12 h dark regime at NIMR animal house. They were acclimatized for three days, housed in plastic cages with saw dust as beddings; they were exposed to both food and water *ad libitum* for the entire duration of the study. The mice were used in accordance with NIH Guide for the care and use of laboratory animals; NIH Publication revised (1985) NIPRD Standard Operation Procedures (SOPs).

Acute toxicity test

The acute toxicity test of nethanolic leaf extract of *Azadirachta indica* was carried out using modified Lorkes method (1993). Eighteen Swiss albino mice weighing 24 to 35 grams were randomized into three groups of six mice each and were given 1600, 2900 and 5000mg/Kg body weight of the extract orally. They were observed for signs of toxicity and mortality for the first critical four hours and thereafter daily for 7 days. The oral median dose LD_{50} was calculated

Grouping of animals for infection and treatment

The parasite *Plasmodium berghei NK 65* was obtained from Nigeria Institute of Medical Research (NIMR), Lagos, Nigeria from Dr Aina, O.O. The parasites were kept alive by continuous intraperitoneal inoculation of known amount of the parasite into Swiss mice. Iml of blood was taken from donor mice and diluted with 5ml phosphate buffer; such that 0.1ml contained standard inoculum of 1^7 infected red blood cells (Maegraith *et al*, 1952). Thirty acclimatized Swiss albino mice were randomly selected and twenty five Swiss mice were inoculated intraperitoneally from the same source to avoid variability in parasitemia. The mice were randomly distributed into six groups of five per group as shown below:

GROUP I (Normal control) Healthy uninfected Swiss mice

GROUP II (Negative control) mice infected with *P.berghei NK65* without treatment

GROUP III. (Positive control) = *P.berghei* +5mg/kg b,wt of Chloroquine (Standard drug)

GROUP IV= *P. berghei* + 200mg/kg b.wt of *Azadirachta indica* extract.

GROUP V= *P. berghei* + 400mg/kg b.wt of *Azadirachta indica* extract.

GROUP VI=*P. berghei* + 800mg/kg b.wt of *Azadirachta indica* extract.

Anti-plasmodium studies
Suppressive test

The Peter's 4-day suppressive test against *P. berghei NK65* infection in Swiss mice was used (Peters, 1965). Adult Swiss mice weighing between 24 to 35gram were inoculated by intraperitonial injection with standard inoculum of *Plasmodium berghei NK65* with 1^7 infected red blood cells. The mice were divided into six groups as shown above and treated for 4 consecutive days with 5mg/kg.b.wt of Chloroquine, 200, 400, and 800mg/kg body weight of *Azadirachta indica* extract orally daily. On day 5 of the experiment, blood was collected from the tail of each mouse and smeared onto microscope slide to make a film. The blood films were fixed with methanol, stained with Geimsa at pH 7.2 for 10 minutes and examined under the microscope for the presence of parasites. The parasite density was calculated for each group by comparing the parasitaemia in infected group (Group II) with those of control and treated groups..

Curative test

The Curative test of methanolic leaf extract of *Azadirachta indica* on another fresh infected Swiss albino mice were carried out according to the method described by Ryley and Peters, 1970. The Swiss mice were injected intraperitoneally with standard inoculums of 1×10^7 *Plasmodium berghei NK 65* infected erythrocytes on the first day (day 0). Seventy two hours later, thirty mice were divided into six groups of five mice per group as shown above. The treated groups were orally treated with 5mg/kg b.wt of chloroquine, 200,400 and 800mg/kg b.wt of *Azadirachta indica* respectively. The treatment was carried out once daily for 5 days, on each day of the treatment, blood was collected from the mice tail and smeared onto microscope slide to make thin and thick films. The blood films were fixed with methanol, stained with 10% Giemsa at pH 7.2 for 10 minutes and examined microscopically to monitor the parasitaemia level. The parasite density was calculated for each group over a period of six days.

Hematological analysis

The Swiss albino mice in the curative assay groups were sacrificed and their bloods were collected in EDTA bottles by ocular puncturing. The bloods in the EDTA bottles were assayed for hematological parameters using BC -3200 Auto Hematology Analyzer in Lagos University Teaching Hospital in Lagos- Nigeria.

Lipid analysis

The Swiss mice used for Curative test were sacrificed and their blood were collected by ocular puncturing in an heparinized bottles, the blood were centrifuged for 10 minutes and the plasma removed for lipid assay. Total cholesterol (TC), Triglyceride (TG) and High Density lipoprotein-Cholesterol (HDL-C) were assayed in the plasma using Randox Kits (Trinder,1969, Tietze, 1990 and NIHCDCS, 1992). Low density Lipoprotein-Cholesterol (LDL-C) were all calculated using formulae (Friedewald *et al*, 1972).

In-vitro antioxidant assay

Two new healthy albino rats wistar strain with average weighing of 220 gram were scarified and their liver were removed and used for the assay. One gram of albino rat liver slice was taken in 4ml sterile PBS in flat bottom flask. H_2O_2 at 0.5M concentration was used as an oxidant for the induction of oxidative stress in the liver slices. 100µl of the methanolic leaf extract of *Azadirachta indica* were added and later incubated for 1 hour at 37^oC

Group A: 1g of untreated liver slice (negative control)

B: 1g of liver slice + H_2O_2 (positive control)

C: 1g liver slice + 200mg of *Azadirachta indica* extract

D: 1g liver slice + H_2O_2 + 200mg of *Azadirachta indica* extract

E: 1g liver slice + H_2O_2 + 400mg of *Azadirachta indica* extract

F: 1g liver slice + H_2O_2 + 800mg of *Azadirachta indica* extract

After incubation for 1 hour, an homogenate was prepared from the slices using 10% (W/V) PBS buffer. The homogenate was centrifuged at 1500rpm for 20 minutes to clarify the debris and the supernatant was used for the in-vitro antioxidant assay.

Estimation of Lipid peroxidative (LPO) indices

Lipid peroxidation as evidenced by the formation of thiobarbituric acid (TBARS) and malondialdehyde (MDA) . These parameters were measured in the liver homogenate by the method of Niechaus and Sameulsson 1968 and Jiang *et al*, 1992.

Estimation of superoxide dismutase (SOD)

The homogenate was assayed for the presence of SOD by utilizing the technique of Magwere *et al* 1997 with slight modification.

Estimation of catalase (CAT)

The liver homogenate was assayed for catalase colorimetrically at 620mm and expressed as μmoles of H2O2 consumed/min/mg protein as described by sinha,1972.

Estimation of Reduced glutathione (GSH)

Reduced glutathione (GSH) was determined in the liver homogenate using the method of Ellman, 1959.

Data analysis

Data analysis was done using the Graph Pad prism computer software. Student's'-test and one-way analysis of variance (ANOVA) were used for comparison. A P-value < 0.05 was considered significant.

Results

The results obtained from the phytochemicals analysis of *Azadirachta indica* extract showed the presence of some secondary metabolite like tannins, saponins, flavonoids, protein, glycoside, reducing sugar and fats and oil. (Table I). The presence of these secondary metabolites in this extract may be responsible for the anti-plasmodial activity of the extract.

Table 1: The phytochemical constituents of the methanolic leaf extract of *Azadirachta indica.*

Phytochemical components	Qualitative abundance
Tannins Ferric Chloride test	++
Saponins Frothing test	++
Alkaloids Wagners test	+++
Steroids Salkowiski test	-
Terpenoids	+
Flavonoids Ammonium test	+
Test for protein Millions test Biuret test	+ +
Test for fat and oil	++
Test for reducing sugar	++
Glycoside	+

+ (Present in low concentration), ++ (present in moderate concentration) and -(absent)

Azadirachta indica toxicity test

The mice were monitored for four hours, but no signs of toxicity were observed. The behavioural and physical observations revealed no involuntary urination, muscle weakness, and convulsion. The animals were physically active for the first four hours.
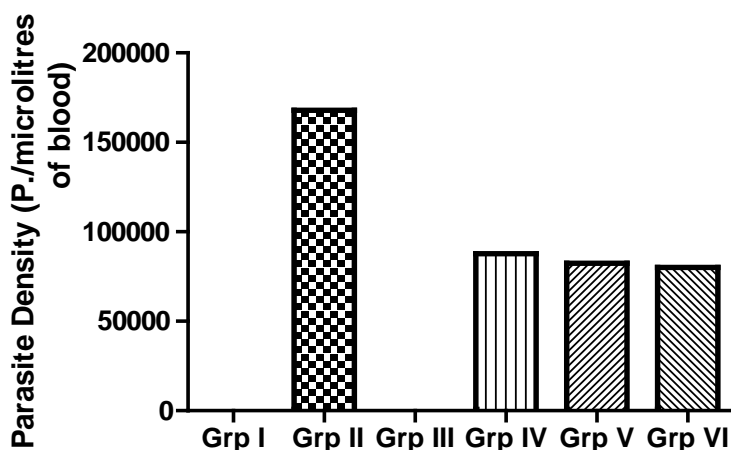
Figure I.Suppresive test showing the effect of methanolic leaf extract of _A,indca_ on Swiss mice infected with _Plasmodium berghei NK65_.
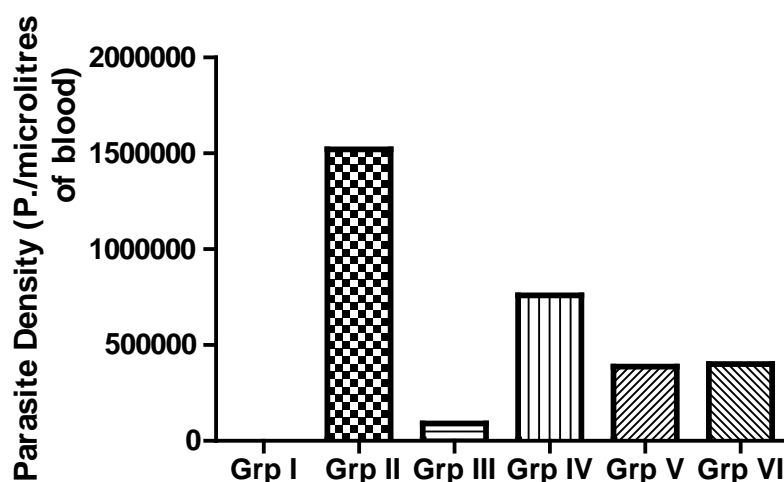

Figure 2.Curative test showing the effect of methanolic leaf extract of _A.indica_ on Swiss mice infected with _Plasmodium berghei NK65_.

The methanolic leaf extract of _A.indica_ caused 47.80%, 50.96% and 52.30% suppression in parasitaemia of _P.berghei NK65_ infected mice at 200, 400 and 800mg/kg body weight respectively (Figure 1), while Chloroquine, a standard anti-malarial drug used exerted 100% suppression at 5mg/kg body weight. The curative test shows that the different concentration of the extract of _A. indica_ exert a growth inhibition of 50.1%, 74.57% and 73.68% at 200, 400, 800mg/kg body weight of the extract respectively while Chloroquine, the standard drug, cleared the parasites by 94.07% at 5mg/kg body weight (Figure 2).

Table 2: Curative test showing the effect of methanolic leaf extract of _Azadirachta indica_ and chloroquine on hematological parameters of Swiss albino mice infected with _P.berghei NK65_.

Hematological Parameters	GROUP I	GROUP II	GROUP III	GROUP IV	GROUP V	GROUP VI
WBC (X 10^9/L)	*15.9±4.50	69.7±10.40	*39.20±7.1	*49.6 ±6.20	*45.5±3.60	*36.50 ±5.2
PCT (%)	0.4640 ± 0.090	0.345 ±0.058	0.258 ±0.042	0.312 ±0.062	0.282 ±0.060	0.305 ±0.072
MPV (fL)	6.10 ± 0.50	8.1 ± 0.30	7.6 ± 0.30	7.7 ± 0.30	7.9 ± 0.40	7.1 ± 0.30
PDW	14.10±0.20	15.80±0.70	15.10±0 .30	15.2±0.40	15.40±0.60	15.0±0.10
HGB (g/dl)	*12.9±0.10	4.50 ±0.90	*9.30±0.30	*6.80±0.30	*7.70±0.50	*7.10±0.60
RBC (X 10^{12}/L)	*8.20±0.03	*2.65 ± 0.30	5.40±0.30	*5.33±1.20	*5.00±1.42	*4.48±0.20
HCT(%)	*42.5±2.20	17.2±1.00	*32.50±1.2	*25.4±0.3	*26.1±0.7	*23.1±0.8

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MCV (fL)	55.7±4.10	68.0±0.30	63.50±0.20	73.20 ± 0.20	75.20±0.20	70.3±3.60
MCH (Pg)	15.5±0.40	18.4±0.40	16.8±0.10	18.50±0.40	20.30±1.10	18.10±0.10
MCHC (g/dL)	31.9±0.80	25.2±0.23	25.4±0.21	25.3±0.30	28.2±0.50	26.9±0.30
RDW-CV (%)	18.10±0.20	20.50±0.70	18.00±0.30	19.82±0.40	21.90±1.40	19.40±0.50
RDW-SD (fL)	30.50±1.60	46.60±1.40	37.80±0.70	47.50±5.30	51.1±7.70	47.7±0.90

Values are expressed in mean ± SD of five mice in each group. * indicate Significant difference when compared to negative control (P <0.05). WBC: White blood cell; PCT: Mean platelet volume; MPV: Mean platelet volume; PDW: Platelet Distribution Width; HGB: Hemoglobin Concentration; RBC: Red Blood Cell; HCT: Hematocrit; MCV: Mean corpuscular volume; MCH: Mean Cell hemoglobin; MCHC: Mean Cell hemoglobin concentration; RDW–CV: RBC distribution width–coefficient of variation; RDW–SD: RBC distribution width–standard deviation.

The total WBC counts were significantly lowered (P<0.05) by 28.12%, 33.72% and 48.63% following *A. indica* extract administration at different dosage. The treated groups all showed elevated WBC counts when compared to Group I (healthy mice). This is caused by the *Plasmodium berghei* infection present in the treated group. The mean HGB values are significantly increased by 34.12%, 41.68% and 36.16% on administration of the extract of *A. indica* at different dosage compared to the untreated infected mice. Treatment with 200, 400 and 800mg/kg body weight of the extract significantly (P<0.05) increase the RBC values by 50.80%, 48.10% and 41.12% respectively when compared to group II mice. The HCT values of the groups treated with *A. indica* were significantly increased by 33.03%, 34.94% and 26.07% respectively when compared to infected untreated group. (Table 2). There are no significant differences in the other hematological parameters of the infected untreated group compared to other group.

Table 3: The effect of Chloroquine and methanolic leaf extract of *Azadirachta indica* treatment on plasma Lipid profile of healthy and infected Swiss mice.

Lipid profile	GROUP I	GROUP II	GROUP III	GROUP IV	GROUP V	GROUP VI
Total cholesterol (TC) mg/dl	*70.80 ± 4.40	87.33 ± 4.30	*72.50 ± 4.20	*71.52 ± 3.30	*70. 20 ± 3.20	*66.40 ± 2.80
Triglyceride (TG) mg/dl	*64.20 ± 4.23	79.85 ± 3.23	*66.30. ± 3.40	*63.60 ± 2.40	*61.30 ± 4.70	*60.50 ± 3.60
HDL –C mg/dl	*39.90 ± 2.60	27.42 ± 4.10	*32.40 ± 2.15	*37.30 ± 3.40	*33.10 ± 3.40	*39.40 ± 2.40
LDL-C mg/dl	*18.33 ± 0.31	40.21 ± 2.10	*25.40 ±2.21	*22.25 ± 1.60	*23.40 ± 2.60	*17.40 ± 1.60

Values are expressed in Mean SD of five mice in each group. * indicate Significant difference when compared to negative control (P <0.05).

From Table 3, plasma TC is reduced by 18.93%, 19.83% and 24.03% respectively on administration of the different dosage of the extracts in the treated groups compared to the untreated infected group. The values of the plasma TG in group IV to VI were reduced by 20.35%, 23.63% and 24.01% respectively on administration of the extract. The different dosage of the extract significantly reduce the low density lipoprotein-Cholesterol (LDL-C) by 44.67%, 42.12% and 56.02% respectively after treatment compared to the untreated infected group. However, significant decreases (P < 0.05) in plasma TC, TG and LDL-C levels in infected mice treated with chloroquine were also observed. The HDL-C values were increased by 25.82%, 17.09% and 31.02% respectively on treatment with the extract compared to untreated infected group.

Table 4: In-vitro antioxidant activity of *Azadirachta indica* on H_2O_2 induced oxidative stress on liver tissue.

Oxidative stress Parameters	GROUP A	GROUP B	GROUP C	GROUP D	GROUP E	GROUP F
Lipid Peroxidation X 10^3 mm MDA/mg protein	*4.70±1.20	9.20±3.40	*3.11±1.20	*5.20±1.30	*4.90±1.60	*3.90±1.50
Catalase (CAT) unit*/ mg protein	*41.20±4.10	22.20±4.20	*47.10±3.40	*30.20±4.2	*31.50±3.5	*38.20±3.1
Superoxide dismutase (SOD) unit*/ mg protein	*11.30±0.80	4.60±0.50	*11.80±1.20	*8.60±0.70	*7.40±1.60	*8.50±1.30
Reduced glutathione (GSH) mg/mg protein	*0.41±0.09	0.13±0.02	*0.32±0.08	*0.26±0.07	*0.24±0.03	*0.22±0.06

Values are expressed in Mean SD of five mice in each group. * indicate Significant difference when compared to negative control (P <0.05).

MDA is the major oxidation product of peroxidized poly-unsaturated fatty acids and the increased MDA content is an important indicator of lipid peroxidation. Table 4 shows that the group treated with *A.indica* extract dosage of 200, 400 and 800mg/kg body weight significantly reduce the MDA liver homogenate level by 43.82%, 45.98% and 57.28%, respectively compared to the untreated group B. Group C reduces the MDA level by 66.81% when compared to group B. Catalase is an enzymatic antioxidant widely distributed in all animal tissues. Catalase decomposes hydrogen peroxide and helps protect the tissues from highly reactive hydroxyl Radicals. The CAT liver homogenate was also increased by the administration of *A.indca* extract by 53.80%, 26.88%, 28.45% and 43.26% respectively (group C to F). SOD has been touted as one of the most important enzymes in the enzymatic anti-oxidant defense system. SOD level is increased by the administration of the different extract of *A.indica* by 61.82%, 47.062%, 38.54% and 46.63% respectively (group C to F). The GSH liver homogenate values increased by 59.38%, 50.20%, 45.58% and 40.64% respectively on the administration of different extract of *A.indica.*

Discussion

The result of this study shows that methanolic leaf extract of *A. indica* contain some secondary metabolites like tannin, saponin, glycoside, reducing sugar and flavonoids (Table 1). The presence of these secondary metabolites in *A. indica* may be responsible for the plant anti-*plasmodium* activity. It is evident by these findings that *A. indica* possessed anti-plasmodium activity justifying its usage in the management of malaria. Milliken, 1997, Christensen and Kharazmi, 2001 showed clearly that anti-plasmodial screening of plant substances may be caused by terpenes, flavonoids and alkaloids. These compounds could be acting singly or in synergy with one another to exert the anti-plasmodial activity observed in this study.

No death occurred during toxicity test at all the dose level used which shows that the extract does not have any toxic effect that can lead to the death of the animals. The median lethal dose LD_{50} was estimated to be >5000mg/Kg body weight. Behavioral signs of toxicity like salivation, paw licking, restlessness, reduced activities and stretching were observed.

The four day suppressive test is a standard test commonly used for anti-malarial screening, and the determination of percentage inhibition of parasitaemia is the most reliable parameter. The results obtained from this study showed significant decrease in parasitaemia of *P. berghei* after treatment with the extract of *A. indica.* The significant decrease in parasitaemia observed in this study was dose dependent. The methanolic leaf extract of *A. indica* caused 47.80%, 50.96% and 52.30% suppression in parasitaemia of *P.berghei* at 200, 400 and 800mg/kg body weight respectively while chloroquine, a standard anti-malarial drug

used exerted 100% suppression at 5mg/kg (Figure 1). When a standard anti-malarial drug is used in mice infected with *P. berghei*, it suppresses the parasiteamia to a non-dectable level (Kiseko,*et al* 2000). The curative test shows that only chloroquine cures the parasites from day 3 of treatment while the different concentration of the extract of *A. indica* exert a growth inhibition of 50.10%, 74.57% and 73.68% respectively. Studies showed that the *in vitro* anti-malarial activity of *A. indica*, previously reported by El-Tahir *et al* in 1999, indicate that an aqueous extract of Neem leaves showed an IC_{50} value <5 µg/ml against *P. falciparum*. Similar results were obtained by Alshawsh and colleagues in 2007, where they reported that aqueous *A. indica* extracts inhibited the development of the ring stage of *P. falciparum*.

Hematological and biochemical indices have been reported to be a reliable parameter for assessment of the health status of animals (Sexena ,*et al* 2011 and Ohaeri, 2011). WBC count functions primarily in body defence against foreign bodies and this is often achieved through leucocytosis and antibody production (Marieb, 1995).There was a significant increase ($P < 0.05$) in the WBC count in group II mice compared to all other groups treated with *A.indica* extract (Table 2). Leukocytosis observed in group II may be due to luekemia, bone marrow tumors, tissue damage and inflammatory disease of the mice infected with *P.berghei NK65*. There were significant reduction ($P<0.05$) in HGB, RBC and HCT of the untreated infected mice compared to the group treated with chloroquine and *A.indica* extract . This is an indication of severe anemia in group II animals. The extract prevented a drastic reduction in HGB, RBC and HCT values, features signifying severe anemic conditions. This observation is supported by a report stating that anemia is characterized by decreased values of HGB, RBC and HCT (Aleksandro,2009). There were no significant change ($P<0.05$) in the MCV, MCH, MCHC, PCT, PDW, RDW-CV and RDW-SD values in the entire experimental groups. This study shows that the methanolic leaf of *A.indica* extract does possess hematopoietic activity and is not hematotoxic.

Several studies have shown that high plasma total cholesterol, triglyceride and LDL-cholesterol are the major cause of cardiovascular disease. There were significant increase ($P<0.05$) in plasma TC, TG and LDL-C in the untreated infected group compared to other groups. The extract significantly reduces ($P<0.05$) these lipid parameters (TC, TG and LDL-C) by an average of 20.93%, 22.66% and 47.60% respectively for the entire treated group (Table 3). This is an indication that *A. indica* may be used to prevent cardiovascular infections. This observation is consistent with report from earlier study by Onyeneke *et al*. 1997.They showed that there were increased in serum lipoprotein fractions in malarial patients compared with apparently healthy control subjects. The extract significantly increase ($P<0.05$) HDL-C in the treated groups by 25.82%, 17.09% and 31.02% respectively compared to the infected untreated animals. Njoku and colleque (2001) also reported significant increase in HDL- cholesterol levels of malaria patients treated with crude neem extracts relative to both malaria controls and chloroquine treated patients.

Liver is the major organ used for removing Xenobiotic substances from the body and as such it possesses a high metabolic rate and is subjected to many substances causing oxidative stress. The host system produces reactive oxygen and nitrogen species (ROS and RNS) in response to infection. The parasite is capable of producing free radicals, which interfere with the biochemistry of red blood cells and may facilitate the internalization of the parasite into hepatocytes and RBC. Malondialdehyde (MDA) concentration was used as an index for lipid peroxidation. The liver homogenate MDA value was significantly higher ($P<0.05$) in group B compared to other groups (Table 4). The result of lipid peroxidation in the liver homogenate of the group treated with the different doses of *A. indica* showed the least value. This is an indication that the extract reduces oxidative stress since increased in lipid peroxidation has been linked to cause oxidative stress. Evidence has shown that ROS like H_2O_2 are implicated in ethanol induced lipid paroxidation (Schlorff et al 1999). SOD is

one of the most important enzyme in the enzymatic anti-oxidant defense system. SOD catalyses the dismutation of superoxide anion (0_2^-) to form H_2O_2. CAT decomposes the H_2O_2 to form water and oxygen. SOD and CAT values in the liver homogenate were significantly lowered ($P<0.05$) in group B compared to other group (group A, C, D, E and F). Group C has the highest values for SOD and CAT respectively. The reduced levels of SOD and CAT in group B liver homogenate clearly indicate hepatocytes necrosis due to production of reactive metabolities induced ROS production. Pegeolot *et al* 1990 observed that decreased in SOD and CAT could be due to feed back inhibition or oxidative inactivation of enzyme protein due to excess ROS generation. GSH acts as a free radical scavenger, a generator of α-tocopherol and plays an important role in the maintenance of protein sulfhydryl groups (Farnandez, and Videla, 1981). Group A, C, D, E and F showed significant higher GSH values ($P<0.05$) compared to group B. Low GSH value has been implicated with oxidative stress. Farnandez, and Videla, 1981 showed that acute ethanolic ingestion, depletes GSH levels which lead to oxidative stress. The above result showed clearly that *A.indica* possess antioxidant potentials.

Conclusion

The result obtained from this study reveals that 200, 400 and 800mg/kg body weight of methanolic leaf extract of *Azadirachta indica.* suppresses *Plasmodium berghei NK 65* and could be used in the management of malaria. The extract is not hematotoxic, it has hypolipidemic effect and possess antioxidant properties.

Acknowledgments:

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GENE POLYMORPHISM FOR A-RECEPTOR OF OESTROGENES AND ALTERATIONS IN BONE MINERAL DENSITY FOR ADULT CELIAC DISEASE PATIENTS

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Abstract

It is well known that osteopenia and osteoporosis are frequently found celiac disease patients presenting classical symptoms of malabsorption[1]. Osteomalacia cases have also been diagnosed in celiac patients who do not present clinical signs of malabsorption , in patients with latent celiac disease, as well as in first degree relatives of patients with celiac disease who do not suffer from celiac disease themselves. This suggests the presence of different pathogenic mechanisms[2]. The analysis of genetic polymorphism represents an effective approach for an in-depth screening of genes potentially implicated in the development of osteoporosis.

Because of the central role that estrogen plays in bone metabolism, ER genes play an important role in the determination of bone mineral density and the risk of osteoporosis. The fact that osteoporotic phenotypes are observed in patients with a destructive mutation of the α receptor gene for estrogen together with the signs of reduced bone mineral density that are found in mice presenting a functional insufficiency of ER α, but not in mice showing reduced ER β function, demonstrates that ER α is one of the principal genes involved in the genesis of osteoporosis[3].

Previously , two intronic polymorphisms of the α ER gene, identified by restriction endonucleases PvuII and TA Xba and repetitive polymorphism sequences, have been linked to bone mass density in the Japanese population and in menopausal Italian women[4].

Keywords: Bone mineral density (BMD), Estrogen receptor(ER), Celiac disease (CD), Standard deviation (SD), Dual Energy X-ray Absorptiometry (DEXA), Polymerase Chain Reaction (PCR), World Health Organization (WHO)

Introduction

It is well known that osteopenia and osteoporosis are frequently found celiac disease patients presenting classical symptoms of malabsorption[1]. Osteomalacia cases have also been diagnosed in celiac patients who do not present clinical signs of malabsorption, in patients with latent celiac disease, as well as in first degree relatives of patients with celiac disease who do not suffer from celiac disease themselves. This suggests the presence of different pathogenic mechanisms[2]. The analysis of genetic polymorphism represents an effective approach for an in-depth screening of genes potentially implicated in the development of osteoporosis.

Because of the central role that estrogen plays in bone metabolism, ER genes play an important role in the determination of bone mineral density and the risk of osteoporosis.

Objective

Evaluate the genotypic distribution of two intronic polymorphisms, PvuII and Xba1, of the α ER receptor gene in a group of celiac disease patients. Study the correlation between particular bone structure and the corresponding genotype in celiac patients, divided into three groups based on their BMD (normal, osteopenia, osteoporosis).

Case Studies

Patients: 80 celiac disease patients between 23 and 74 years of age (mean ± SD = 44.7 ± 1.5). Control: 156 healthy patients (no celiac disease), post-menopausal women between 43 and 75 years of age   (mean ± SD = 63.6 ± 0.6).

Methods

Celiac Disease Diagnosis: Dosage of AGA IgA, IgG, TTGA (Eurospital, Trieste), EMA (Euroimmun, Poyesis, Padoue), quantitative immunoglobulin.
Histological exams of biopsies of the second and third part of the duodenum taken during endoscopy.

Laboratory Tests: Parameters of intestinal absorptions of antibodies, some indicators of bone remodeling, and BMD of the entire body.

Table1.Turnover Markers and Bone Resorption Parameters of Celiac Disease Patients.

Parameters	Normal Values
Serum Calcium	8.8-10.7mg/dl
24 hours Urine Calcium	100-300mg/24h
Phosphorus	2.5-5.0mg/dl
Phosphaturia	400-1000/24h
Serum Magnesium	1.8-2.6mg/dl
Parathyroid PTH	10-70p g/ml
Osteocalcin	U 4.4-12.8; D 3.2-16.8
Total Alkaline Phosphatase	60-270 U/I
Bone Alkaline Phosphatase	U 3.7-22; D 3.4-20 ng/ml
Urinary D-pyridinoline	2.0-9 nM/Mm Creat.
Vitamin D 25-OH	5.51 Winter; 56.8 Summer
Vitamin D 1-25 (OH)$_2$	20.6-70.8 pg/ml

Evaluation of Bone Mineral Density: Bone mineral density (BMD) was measured in all patients by computerized bone mineralometry (OMC) with a total body DEXA densitometer (Dual Energy X-ray absorptiometry) Hologic QDR-1000.

BMD absolute value was established with a Z-score and a T-score in accordance to WHO classification system.

Table2. WHO T-Score Values

Normal	osteopenia	Osteoporosis
0<T-score<-1 SD	-1<T-score<-2.5 SD	T-score<-2.5 SD

Genotyping

DNA was extracted by the standard procedure with phenol/chloroform and then amplified in 50 µL buffer solution using 1 unit of Taq Polymerase (Promega, Madison WI) and 0,4 µM of oligonucleotidic primers direction 5'-3' and opposite direction 5'-3' using 30 cycles of polymerase chain reaction (PCR) to obtain a part of the intron 1 and exon 2 of the α ER gene. The product of amplification was digested by 10 units of restriction enzyme XbaI or PvuII and subjected to electrophoresis on 2% Agarose Gel.

The presence of the restriction site for each endonuclease was conventionally indicated with lowercase letters p and x, whereas the absence of the restriction site was indicated with capital letters P and X respectively for PvuII and Xba1. Based on the model of digestion of the PCR product, patients were identified as homozygous pp, xx, PP or XX or heterozygous Pp or Xx.
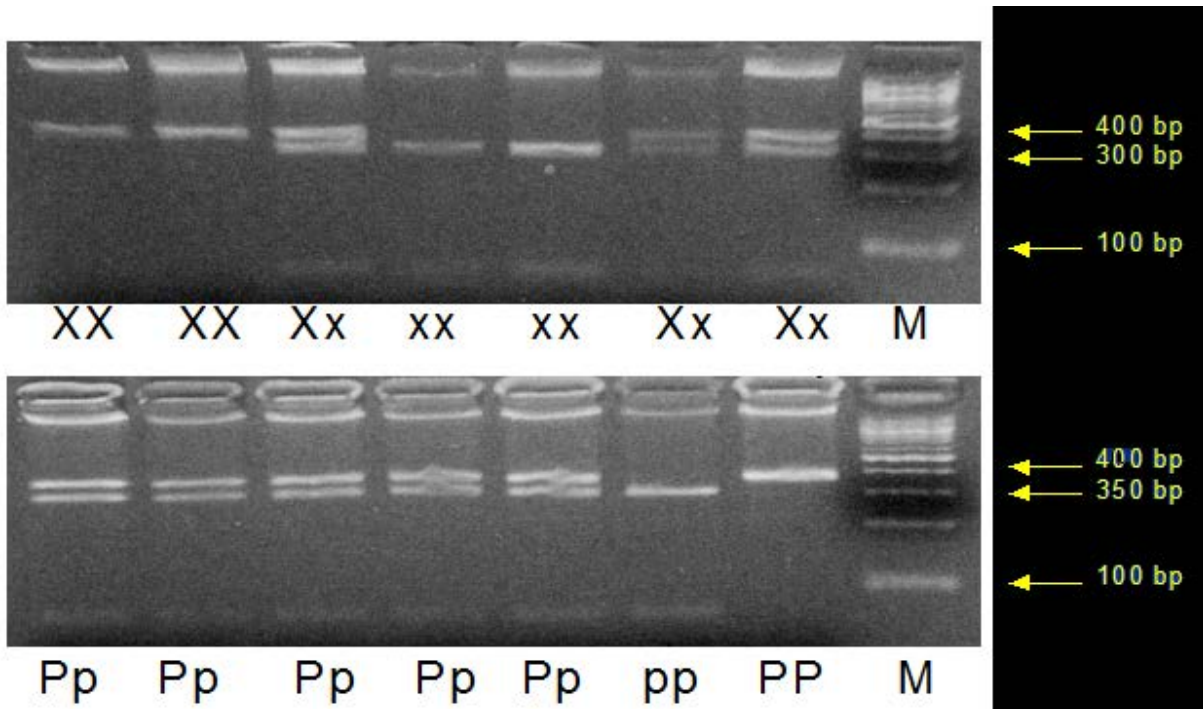

Fig1.Electrophoresis on 2% Agarose Gel of the Product of Digestion for the α ER Gene Xba1 & PvuII

Statistical Analysis

The test χ squared was used to compare the polymorphism distribution of the α ER gene in CD patients and controls. The Fisher test was used to evaluate the difference between the frequency of both polymorphisms in the three groups: normal, osteopenia, osteoporosis.

Fig2.Genotypic Distribution of Xba1 and PvuII Analyzed Separately for Patients and Controls
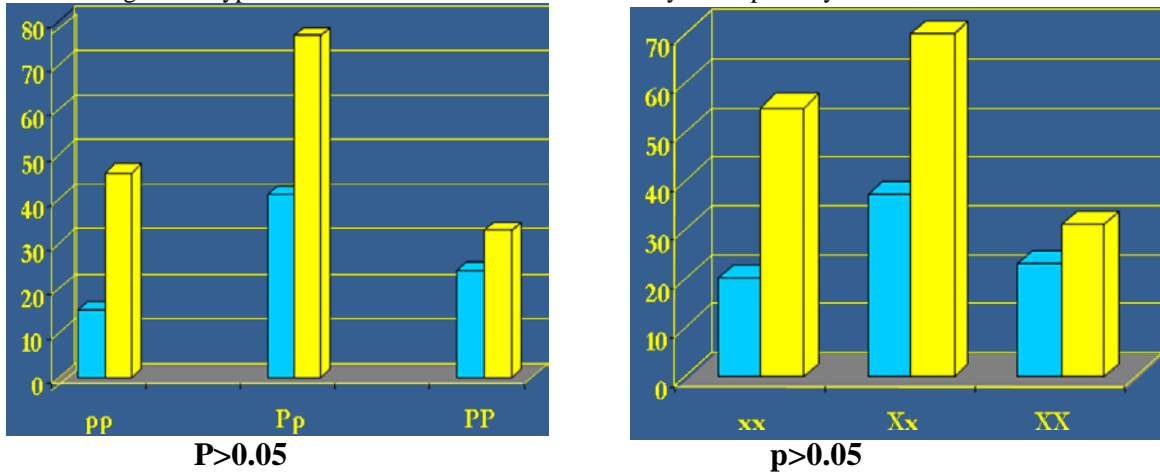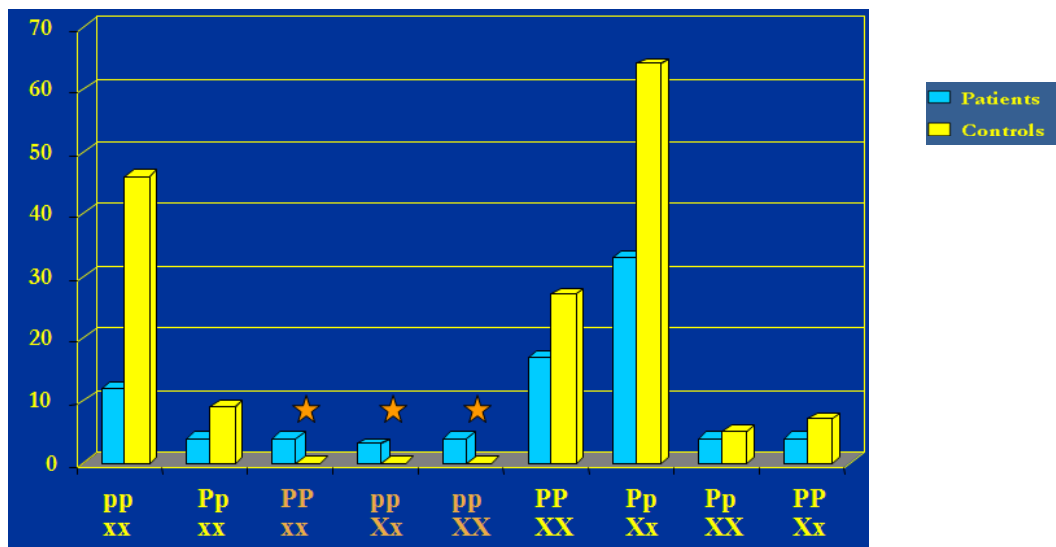

P>0.05   **p>0.05**

Fig3.Genotypic Distribution of Xba1 and PvuII in Combined Analysis for CD Patients and Controls

Results

Fig4.Genotypic Distribution of Xba1 and PvuII analyzed Separately for the Three Groups of CD Patients
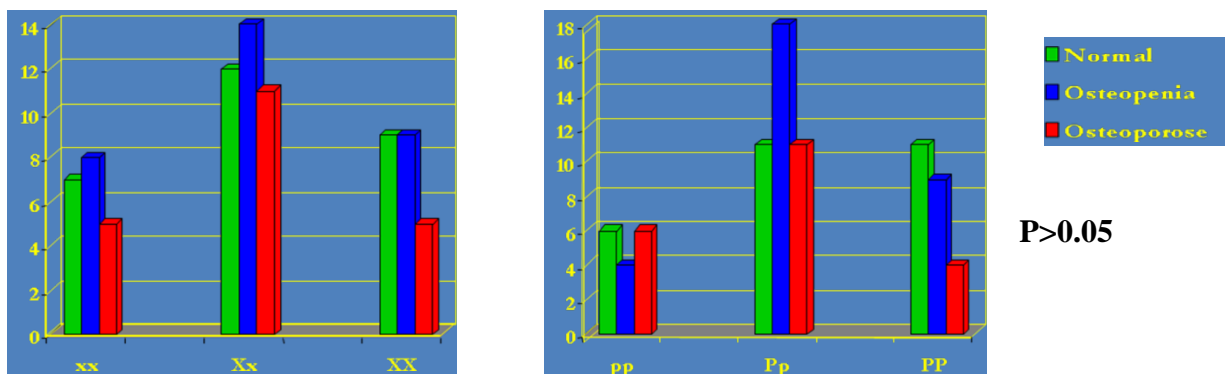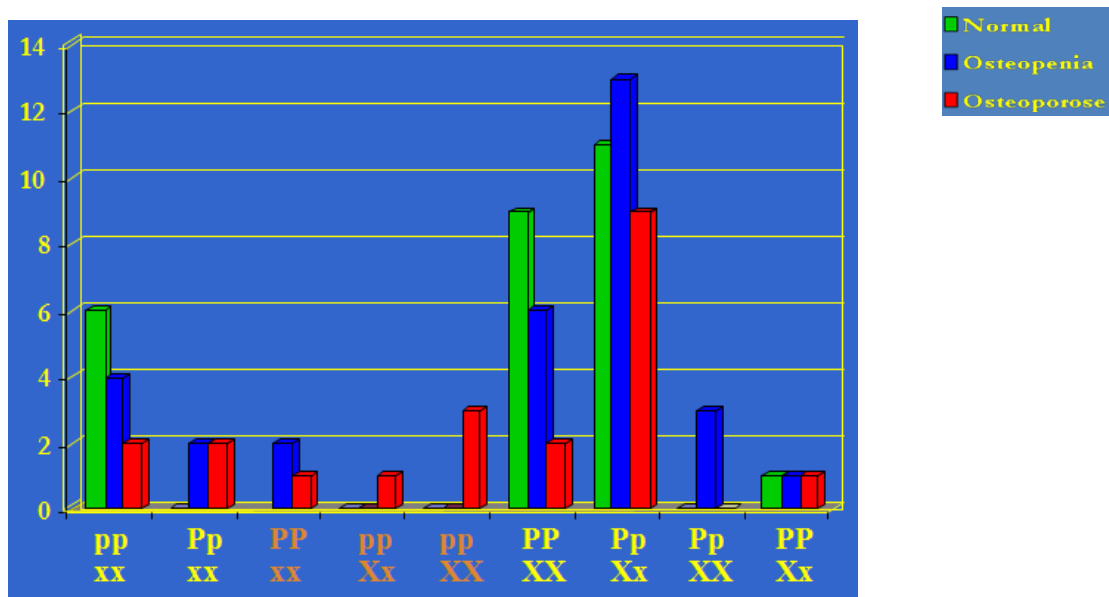

P>0.05

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Fig5.Genotypic Distribution of Xba1 and PvuII Analyzed in Combination for the Three Groups of CD Patients
P>0.05

52/80 patients (65%) were diagnosed with osteoporosis or osteopenia.
31/80 osteopenia
21/80 osteoporosis
28/80 normal

No significant differences were found between the three different genotypes in either analysis of the three CD groups (normal, osteopenia, osteoporosis) in both analysis: Separately and in combination for restriction sites.

Conclusion

There is a high prevalence of alterations in bone mineral density in celiac disease. There are significant differences between the genotypic distributions of the two polymorphisms for the CD patient group versus the control group. No significant difference was observed in the two genotypic distributions for the three groups of CD patients. The three genotypes PPxx, ppXx and ppXX are found ONLY in CD patients suffering from osteopenia or osteoporosis.

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