Mediterranean Journal of Social Sciences

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Remedying Factors Associated with Credit Mismanagement among Rural Dwellers

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Abstract

This study identified kinds/forms and the sources of credit facilities available to respondents; investigated the level of knowledge of respondents about credit management; and identified the causes of credit mismanagement among rural dwellers. The study was conducted in rural communities of Akure South Local Government Area (LGA), Ondo State, Nigeria. Two hundred and forty rural dwellers who were involved in one business or the other were interviewed with a structured and pre-tested interview schedule using snow ball sampling procedure. Collected data were summarized with descriptive statistical tools while correlation analysis was used to make inferences. The results revealed that most of the respondents (96.7%) traded with credit, 95.8 percent of these beneficiaries took credit mainly for business investments and 72.5 percent actually spent the credit on their businesses. Furthermore, 40 percent of the respondents never planned the use of credit and 27.5 percent never paid back as agreed. Factors that predisposed credit beneficiaries to mismanaging credit include deviation from plan (90.0%), spending for other purposes (89.2%), extending payment period (85.0%), lack of financial discipline (80.0%) and mis-prioritization (77.5%) among others. There was a significant relationship between organizational participation (r = 0.323) and credit mismanagement. Also, there was no significant relationship between knowledge about credit management (r = 0.114), sources of credit (r = 0.170) and credit mismanagement. Credit beneficiaries should imbibe the culture of financial discipline to minimise possibilities of credit mismanagement to a large extent.

Keywords: Credit, mismanagement, credit management, rural dwellers, credit beneficiaries

1. Introduction

Financial management is the management of finances of a business or organization in order to achieve financial objectives (Riley, 2011). Some experts refer to financial management as the science of money management. Financial management is important at all levels of human existence; at the individual and organizational levels. An integral part of financial management is credit management. Grover (2011) expressed that credit is an indispensable catalyst in financing the movement of commerce. Clear Point Financial Solutions (2009) and Gelb (2011) viewed credit as a contractual agreement in which a borrower receives something of value now and agrees to repay the lender at some later date. Also, that if properly managed, credit increases the immediate buying power of a consumer. Credit management entails responsible use of credit. Responsible use of credit means living below ones means. This entails eliminating debt and adjusting wants and needs to be manageable within the income received (Flexo, 2012). It also means staying out of debt by not spending more money than you actually have (Rowley, 2005). It can also mean eliminating excessive spending habits that people often unconsciously do (FINLITTV TEAM, 2011). Wise use of credit is advantageous while its misuse is dangerous.

In rural development programs, the government uses credit programs in an attempt to provide the rural poor with access to cheap credit in order to increase productivity and output in farm and rural non-farm sectors. Access to credit is considered to be an important tool for smoothly increasing consumption and promoting production, especially for poor households (Zeller et al., 1997; Robinson, 2001; Armendariz and Morduch, 2005; Conning and Udry, 2005; Swain et al., 2008). Armendariz and Morduch (2005), among others, argue that microfinance makes households wealthier, through an income effect that improves total consumption levels; and it also seems to have a positive impact on the demand for children's health care and education, as well as leisure.

Financial mismanagement is management that, deliberately or not, is handled in a way that can be characterized as ''wrong, bad, careless, inefficient or incompetent'' and that will reflect negatively upon the financial standing of a business or individual (Dictionary 3.0, 2005). Credit mismanagement is characterized primarily by erroneous values,

57 unwise decisions, lack of a personal budget and lack of giving (Crown Financial Ministries, 2010). An instance of credit
58 mismanagement can be seen when an individual trader is supplied on credit with an agreement to repay after selling the
59 goods supplied, and later diverted the money realized from the sales for an unprofitable purpose other than his debt. This
60 same situation is also observed among rural dwellers. Credit mismanagement leads to poor credit reputation. Most often
61 than none, individuals, groups and organizations have access to one form of credit facilities or the other. Rural dwellers
62 particularly, have access to credit facilities in the form of farm inputs and cash to aid their farm productivity. It has become
63 evident that over times, such facilities were not directed towards the intended purposes. Such situation always leads
64 beneficiaries into a state of financial imbalance; a situation where the beneficiaries could not repay to the benefactors as
65 agreed upon. Sometimes, interest charged on such facilities becomes higher than the principal. Consequently, such
66 beneficiaries will neither increase their productivity nor repay the facilities as scheduled. Hence this study was carried out
67 to assess the factors associated with credit mismanagement among rural dwellers in Akure South Local Government
68 Area, Ondo State.
69   Therefore, this study sought to provide answers to the following questions among others:
70   i.   What are the forms or kinds of credit facilities available?
71   ii.   What are the sources of credit facilities available to rural dwellers?
72   iii.   What is the level of knowledge of credit management of the rural dwellers?
73   iv.   What are the causes of credit mismanagement among rural dwellers?

1.1 Objective

77 Broadly, the study identified the factors associated with credit mismanagement among rural households in the Akure
78 South Local Government Area, Ondo State. Specifically, the study
79   i.   identified kinds/forms and the sources of credit facilities available to respondents;
80   ii.   investigated the level of knowledge of respondents about credit management; and
81   iii.   identified the causes of credit mismanagement.

1.2 Hypotheses

85 The hypotheses formulated for the study were:
86   i.   There is no significant relationship between socio-economic characteristics of respondents and credit
87   mismanagement.
88   ii.   There is no significant relationship between knowledge of respondents in credit management and credit
89   mismanagement.
90   iii.   There is no significant relationship between sources of credit and credit mismanagement

2. Review of Literature

2.1 Credit management and mismanagement

96 Credit is as important as money to individuals, families and organisations. It can be used to acquire necessities of life or
97 start business. Credit means delaying payment for goods or services already received until a later date (Institute of Credit
98 Management (ICM), 2012). Dubey *et al*. (2009) affirmed that credit is a very powerful instrument for the empowerment of
99 the resource-poor people. It can generate "accelerated economic growth" when loans are easily available, properly
100 utilized and repaid in time. Credit also acts as a catalyst for rural development by motivating latent potential or making
101 under-used capacities functional (Oladeebo and Oladeebo, 2008).
102   Producers who have access to well-designed credit, savings and insurance services can avail themselves of
103 capital to finance the inputs, labour and equipment they need to generate income; can afford to invest in riskier but more
104 profitable enterprises and asset portfolios; can reach markets more effectively; and can adopt more efficient strategies to
105 stabilize their food consumption (Zeller *et al*., 1997). In the aggregate, broader access to financial services provides
106 opportunities for improving the agricultural output, food security and economic vitality of entire communities and nations
107 (Oboh *et al.,* 201l)*.*
108   In most developing countries, credit is considered an important factor for increased production and rural
109 development because it enhances productivity and promotes standard of living by breaking the vicious cycle of poverty of
110 small scale farmers (Adebayo and Adeola, 2008). Credit or loanable fund is regarded as more than just another resource

such as land, labor and equipment, because it determines access to most of the farm resources required by farmers (Oboh *et al.,* 201l).

The usefulness of any credit programme does not only depend on its availability, accessibility and affordability, but also on its efficient allocation and utilization for intended purposes by beneficiaries (Oboh, 2008). In Nigeria, beneficiaries face a lot of problems in the acquisition, management and repayment of agricultural loans. According to Awoke (2004), the sustainability and revolvability of most public credit schemes in Nigeria have been threatened by high rate of default arising mainly from poor management procedures, poor loan utilization (leading to loan diversion) and reluctance to repay loans.

Credit taken should be well planned and used for intended productive purposes to achieve desired objectives and ensure repayment as agreed. International Credit Insurance and Surety Association (ICISA) (2012) regarded credit management as assuring that buyers pay on time, credit costs are kept low, and poor debts are managed in such a manner that payment is received without damaging the relationship with that buyer. Credit management is concerned with making sure the organisations that buy goods or services on credit, or individuals, who borrow money, can afford to do so and that they pay their debts on time (ICM, 2012).

Credit is usually obtained for a purpose. Per chance, if it is used for unintended non-productive purpose(s), it is regarded as mismanagement. Osunbayo (2013) defined credit mismanagement as the wrong handling of one's finances or that of an organisation. Osunbayo (2013) however affirmed that financial mismanagement has ruined many lives and even some have resulted to committing suicide when they could not find a way out of their financial predicament. Osunbayo (2013) identified living without a budget, lack of financial focus and direction, living beyond one's means and addictions as causes/sources of financial mismanagement. Most people do not intentionally set out to mismanage their finances but before they know it they have racked up a pile of debt, in most cases well beyond their control. Ross (2015) posited that using one debt source to pay off another, focusing on getting cleared away highest interest loan first, be unrealistic about debt-paying ability, fall into the minimum payments trap, be disorganized when it comes to debt and trying to go it alone are common causes of credit mismanagement. Steps to overcome financial mismanagement as identified by Osunbayo (2013) are budgeting, creation of a financial guide, acquire financial discipline and self-control and seek professional help. These and other remedies such as using credit for intended productive purposes, not taking loan above what can be accommodated within one's income as well avoiding over-use of credit can go a long way in controlling credit mismanagement.

3. Methodology

The study was carried out in Akure South Local Government Area, Ondo State. Akure South Local Government consists of eleven wards, namely; Aponmu, Isolo, FUTA Area, Isikan, Oke-Lisa, Oluwatuyi, Oda, Oke-Aro, Irowo, Adegbola and Ijapo. It is located in Akure, the State Capital of Ondo. It is the largest of the 18 Local Government Areas in Ondo State, with an area of $331km^2$ and a population of 353,211. The inhabitants were predominantly Yoruba. They were mostly farmers, fishermen and traders, and were very resourceful. The temperature in the area throughout the year ranges between 21-29 degrees centigrade and the humidity is relatively high.

The target populations were the rural communities' inhabitant in the Local Government Area. A total number of 240 respondents were selected by the simple random sampling technique with 40 respondents each from six purposely selected rural wards: Aponmu, Adegbola, Oke-Lisa, Isolo, Oda and Irowo.

The research instrument for data collection in this study was a well-structured questionnaire and interview schedule. The instrument was self-administered to the respondents. The data collected from the respondents was analyzed using descriptive statistics such as mean, percentage and frequency counts, while correlation analysis was employed to test the hypotheses.

4. Results and Discussion

4.1 Trading with the use of credit, purpose for obtaining loan and how loan is spent

Data in Table 1 indicated that most (96.7%) respondents affirmed they could not trade without using credit and also confirmed that they had enjoyed credit facility at one time or the other. Of these people, 26.7 percent had enjoyed credit facility up to 3 times, 29.2 percent up to 6 times, 13.3 percent up to 9 times and 27.5 percent up to 12 times. This showed that some of these people used credit almost all the time. Dubey et al. (2009) affirmed that credit is a very powerful instrument for the empowerment of resource-poor people.

165   The result further pointed out that 95.8 percent obtained loans for business investments and 72.5 percent actually
166   spent the loans on business investments. Only a few respondents (3.3%) obtained loans for family regular expenses
167   while 32.5 percent really spent the loans on family regular expenses. It was also found that 6.7 percent of the
168   respondents obtained loans for special projects but 12.5 percent spent the loans on special projects. Also, 7.5 percent
169   purposely obtained loans for education of children whereas 22.5 percent spent the loans on education of children.
170   Furthermore, 6.7 percent obtained loans for ceremony and while 25 percent spent it for that purpose. It therefore,
171   implies that loans were being spent for unintended purposes which may predispose beneficiaries to mismanagement.
172   This corroborates assertion of Soll *et al.* (2011) that credit beneficiaries engage in impulsive buying, end up with items
173   that they do not need or perhaps even want, and spend more than they can afford. Soll *et al.* (2011) affirmed that this can
174   lead to serious debt problems, which are exacerbated by the high interest rates.
175
176   *4.2   Forms and sources of credit*
177
178   Data in Table 2 revealed that 88.3 percent of the respondents confirmed cash/money as the most available form of credit,
179   only 29.2 percent made use of this form. While input supplies was said to be the available form of credit for 50.0 percent,
180   49.2 percent of them actually used this form of credit. Likewise, out of the 82.5 percent respondents that equipment and
181   tools were available to, only 39.2 percent made use of it as a form of credit.
182
183   **Table 1:** Distribution of respondents by use of credit, purpose for obtaining loan and how loan is spent (n=240)
184

Trade without credit	Freq	%
Yes	8	3.3
No	232	96.7
Enjoyed/accessed credit		
Yes	232	96.7
No	8	3.3
Times enjoyed/accessed credit		
None	8	3.3
1 – 3	64	26.7
4 – 6	70	29.2
7 – 9	32	13.3
10 – 12	66	27.5
***Purpose of obtaining loan**		
Business investments	230	95.8
Family regular expenses	8	3.3
Special projects	16	6.7
Education of children	18	7.5
Ceremony	16	6.7
***How loan is spent**		
Business investments	174	72.5
Family regular expenses	78	32.5
Special projects	30	12.5
Education of children	54	22.5
Ceremony	60	25.0

185   *Multiple responses
186
187   Also, Table 3 indicated the sources of credit that were available to respondents mainly include money lenders (39.2%),
188   micro finance banks (38.3%), cooperative societies (35.0%) and periodic contribution (30.8%) Also, sources frequently
189   used include micro finance banks (30.0%), money lenders (25.0%), periodic contribution (23.3%) and cooperative
190   societies (23.3%) while preferred sources include micro finance banks (20.8%), cooperative societies (20.8%) and
191   periodic contribution (20.0%). Respondents preferred informal sources. This may be so because of the ease of
192   accessibility, low interest rate and minimum bureaucracy in case of microfinance banks.
193
194
195
196

Table 2: Distribution of respondents by forms of credit

*Category	Available forms of credit		Forms of credit used	
	F	%	F	%
Cash/money	212	88.3	70	29.2
Input supplies				
Seeds	28	11.7	26	10.8
Seedlings	12	5.0	4	1.7
Pesticides	6	2.5	8	3.3
Herbicides	12	5.0	24	10.0
Fertilizers	22	9.2	44	18.3
Others	52	21.7	12	5.0
Equipment and tools				
Sprayer	14	5.8	4	1.7
Cutlass	2	0.8	-	-
Hoe	-	-	-	-
Oil mill	-	-	-	-
Rice mill	-	-	-	-
Gari processing machine	2	0.8	2	0.8
Hair dryer	8	3.3	-	-
Sewing machine	6	2.5	10	4.2
Power Generating set	10	4.2	10	4.2
Others	156	64.9	68	28.3

*Multiple responses

Table 3: Distribution of respondents by sources of credit

*Category	Available Sources		Sources used		Preferred sources	
	F	%	F	%	F	%
Micro finance banks	92	38.3	72	30.0	50	20.8
Periodic contribution	74	30.8	56	23.3	48	20.0
Friends and families	60	25.0	42	17.5	16	6.7
Cooperative societies	84	35.0	56	23.3	50	20.8
Money lenders	94	39.2	60	25.0	22	9.2
Input suppliers	46	19.2	34	14.2	42	17.5
Development organisations	66	27.5	30	12.5	28	11.7

*Multiple responses

4.3 Knowledge of respondents about credit management

Table 4 shows that only some respondents never (40.0%) and (36.7%) rarely planned the use of credit. Also in the study area, almost half of the respondents rarely (51.7%) and never (13.3%) allocated available resources. Furthermore, the credit obtained by the respondents at one or more times was sometimes (34.2%) and rarely (50.0%) used to meet the intended purpose while 50.8 percent of the respondents rarely paid back as agreed. Whereas, optimum credit facilities were sometimes (47.5%) and always (26.7%) obtained by the respondents. It can be deduced from this finding that most of the respondents did not often plan the use of credit, allocate available resources, use credit for the intended purpose, or paid back as agreed. Research among secondary school students has suggested that financial education has a positive effect on financial competency (Langrehr, 1979; Tennyson & Nguyen, 2001). Also, Chen & Volpe (1998) opined that individuals with higher levels of financial knowledge were more likely to make good financial decisions in a hypothetical situation.

4.3.1 Level of knowledge

Using mean ± standard deviation, knowledge was categorised into three different levels. Respondents with knowledge score less than 12.4 (40%) had low knowledge level, 45.8 percent had medium level with knowledge score between 12.4 and 16.8, while 14.2 percent of the respondents had high knowledge level with knowledge score above 16.8. Therefore, majority of the respondents possessed between low and medium knowledge level about credit management.

Table 4: Distribution of respondents by knowledge about credit management (n = 116)

*Statement	Always		Sometimes		Rarely		Never	
	F	%	F	%	F	%	F	%
I planned the use of credit	14	5.8	34	14.2	88	36.7	96	40.0
I allocated available credit resources	12	5.0	64	26.7	124	51.7	32	13.3
Used credit to meet intended purpose	14	5.8	82	34.2	120	50.0	16	6.7
I paid back as agreed	4	1.7	40	16.7	122	50.8	66	27.5
I obtained optimum credit facilities	64	26.7	114	47.5	44	18.3	10	4.2

Mean = 13.13
Standard deviation: 3.71

Table 5: Level of knowledge about credit management

Knowledge score	f	%	Knowledge level
Less than 12.4	48	40	Low
12.4 – 16.8	55	45.8	Medium
Above 16.8	17	14.2	High

4.4 Goals achieved by respondents with the use of credit

Data in Table 6 show that out of the total number of people who used the credit on their businesses, a large percentage (63.3%) used it to sustain their businesses, while only 3.3 percent of them used the credit to procure business vehicle. Research showed that others used the credit to achieve goals outside business objectives, of which 15.8 percent used it to support their children's education, 13.3 percent used it to acquire home gadgets, 12.5 percent used it to facilitate personal building construction and 11.7 percent used it for other purposes, still outside business objectives. It can be deduced therefore from this finding that some of the respondents still used the credit intended for their business to achieve other goals aside business. Adherence to plans made enables individuals and household to accomplish stated goals both for individuals and household as a whole. (Soyebo, 2011)

Table 6: Distribution of respondents by goals achieved with the use of credit

*Goals	Frequency	Percentage
Expand store	29	24.2
Sustain business	76	63.3
Take up business opportunities	23	19.2
Procure business vehicle	4	3.3
Establish branches	8	6.7
Build warehouses	5	4.2
Diversify business	21	17.5
Facilitate personal house construction	15	12.5
Support children's education	19	15.8
Acquire home gadgets	16	13.3
Others	14	11.7

*Multiple responses

4.5 Situations leading to credit mismanagement

As observed in Table 7, credit can be mismanaged by respondents as a result of deviation from plan (90%) and spending for other purposes (89.2%). Furthermore, extension of payment period (85%), lack of financial discipline (80%), mis-prioritization (77.5%), taking more than can be accommodated within income (64.2%) and obtaining facilities with higher interest rates (45.8%), lead to credit mismanagement. It shows that all reasons identified were potential causes of credit mismanagement. Obtaining optimum credit, spending it according to plan, for intended purposes and paying back within stipulated repayment period goes a long way to safe individuals from financial embarrassment. This is in line with Agrawal and Fuloria (2004) assertion that overspending many a time is the reason for the mismanagement of the personal finances and thus creates pressure on investment management of individuals. Soyebo (2011) asserted that

257 impulsive buying could disrupt the plans made and prevents achievement of household goals. Morgan (2008) also viewed
258 that late payments and failure to make payments at all are other reasons. Whereas, Smith (2011) indicated that many
259 people spend more than what they earn, and that their credit allowance makes them feel that they can afford anything.
260 They only realize that they cannot afford their purchases when they are having a hard time paying their debts. Thereon
261 (2010) then warned that financial mismanagement leads to poor credit reputation.
262
263 **Table 7:** Distribution of respondents by situations leading to credit mismanagement
264

*Situations	Frequency	Percentage
Deviation from plan	108	90.0
Spending for other purposes	107	89.2
Extending payment period	102	85.0
Taking more than can be accommodated within income	77	64.2
Obtaining facilities with higher interest rate	55	45.8
Lack of financial discipline	96	80.0
Mis-prioritization	93	77.5

265 *Multiple responses
266
267 *4.5.1 Test of Hypotheses*
268
269 4.5.2 *Hypothesis 1: There is no significant relationship between the socio-economic* characteristics of the respondents
270 and credit mismanagement.
271
272 The result shows that only respondents organizational participation (r = 0.323) had a positive and significant relationship
273 with credit mismanagement at 0.01 level of significance. This implies that the more the number of organizations
274 respondents belonged to, the higher the possibility of wasting money on association related issues and events rather than
275 on what credit was obtained for.
276
277 4.5.3 *Hypothesis 2: There is no significant relationship between the knowledge of* respondents about credit management
278 and credit mismanagement.
279
280 The result of the correlation analysis revealed that there is no significant relationship between respondents' knowledge (r
281 = 0.114) about credit management and their propensity to mismanage credit. This implies that other factors might
282 influence credit mismanagement. Hence, there was no significant relationship between knowledge of credit management
283 and credit mismanagement.
284
285 **Table 8:** Correlations between the socio-economic characteristics of respondents, knowledge of credit management,
286 sources of credit and credit mismanagement
287

Variable	Correlation value r	Coefficient of determination r^2
Age	-0.042	0.001764
Number of children	0.080	0.0064
Monthly income	0.093	0.008649
Number of times credit was enjoyed	0.045	0.002025
Organizational participation	0.323**	0.104329
Purpose of credit	0.083	0.006889
Knowledge of credit management	0.114	0.012996
Sources of credit available	0.170	0.0289

288 **Significant at 0.01
289
290 4.5.4 *Hypothesis 3: There is no significant relationship between the sources of credit and credit mismanagement.*
291
292 The result of correlation analysis showed that the sources of credit (r = 0.170) available to respondents had no significant
293 relationship with credit mismanagement. This implies that the number of places to obtain credit has nothing to do with
294 whether credit is being mismanaged or not. Therefore, there was no significant relationship between the sources of credit

and credit mismanagement.

5. Conclusion and Recommendations

The sources of credit used and preferred by beneficiaries were micro finance banks, periodic contribution and cooperative societies. Forms of credit available were mainly input supplies and cash/money which was used to take up business opportunities, expand store and to sustain their businesses. However, the respondents possessed between low and medium knowledge level about credit management. Deviation from plan, spending for other purposes, extension of payment period, lack of financial discipline, mis-prioritization, taking more than can be accommodated within income predisposed respondents to credit mismanagement. The more the respondents participate in social organisations the high the possibilities to mismanage credit.

Therefore, financial institutions and social organisations should organise financial literacy programmes for prospective and current beneficiaries to acquire basic knowledge in finance management. Credit beneficiaries should be encouraged to participate more in activities of organisations of economic benefits than any other type. Also, credit beneficiaries should imbibe the culture of financial discipline which will minimise possibilities of credit mismanagement.

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A Study on the Educational Status of Tourism Child Laborers in Petra, Jordan

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Abstract

The study seeks to identify the real status of child labour in tourism in the Petra area and the children's cultural and social tendencies through using the descriptive social survey. The study identifies the real status of child labour through revealing the demographic and social characteristics of children working in the field of tourism and the economic and social characteristics of those children and their families, as well as monitoring the set of values those children have pictured, which express their tendencies and stands toward work, education, and future. The study revealed that the majority of the children working in tourism in Petra face educational and health troubles and they are subjected to different types of abuse. As for the characteristics of children working in tourism in Petra, the majority of them come from large families with relatively high monthly income (around or over the national rate), they are residents of Umm Saihoun village, and half of them work permanently between 8-12 hours per day.

Keywords: child labour; tourism; Petra; education; dropout of school

1. Introduction

The problem of child labour in Jordan represents a great challenge for the official and civil institutions, specifically after the results of the 2008 Department of Statistics survey results have been announced. The survey indicated that there are 32,676 child labourers in Jordan under the age of eighteen. Nonetheless, child labour in the tourism sector emerged as one of the most dangerous types of child labour in view of the tempting environment and the amount of money children earn. Meanwhile, Petra is considered the main tourism attraction in Jordan and, therefore, for child labour in tourism activities.

This study aims to analyse the status education among child labourers in Petra with specific reference to the reasons and consequences within the scope of phenomena and the characteristics of child labourers (social, cultural, economic and demographic). That would contribute to making a scientific reference for the parties concerned with reducing the negative effect of child labour in general and in the educational status of children in particular. .

The importance of this study stems from the increasing growth of this phenomenon over the past few years, which is related to the increase in the tourism volume and activities in Petra. The engagement of children in a work in the tourism sector has contributed to depriving generations of the local community members of their right to education, something that has affected their chances of improving the quality of their lives. Moreover, this phenomenon has negatively affected efforts to protect the archaeological site and Petra because of ignorance and lack of education, as well as the efforts to protect children and tourists.

2. Literature Review

The phenomenon of child labour is considered a complex global problem that many countries of the world are facing, especially in developing countries. According to the International Labour Organization (ILO), the concept of child labour applies to all the workers in school age and all the children, including males and females, under the age of fifteen.

57 Children work for several reasons; most important of which is poverty and the lack of deterrent laws and practices.
58 According to the ILO (2006) report, there are some 218 million child labourers in the world. This figure might not reflect
59 reality as there are many children, who were not included in theses official statistics as they belong to the category of
60 children who work for families or in agriculture (ILO, 2006).
61   According to the ILO, child labour is defined as "the harmful work to the physical, psychological, and health of
62 children that deprives them of their childhood, potentials, and dignity" (Al-Raqqad, 2005).
63   Child labour is prohibited by all the human rights declarations and agreements allover the world. Funnel (2006)
64 referred to the Universal Declaration of Human Rights, the UN declaration of the rights of the child, and the Tourism and
65 Human rights Document. The 1959 UN declaration of the rights of the child stated that
66 "The child shall be protected against all forms of neglect, cruelty and exploitation. He shall not be the subject of
67 traffic, in any form. The child shall not be admitted to employment before an appropriate minimum age; he shall in no
68 case be caused or permitted to engage in any occupation or employment which would prejudice his health or education,
69 or interfere with his physical, mental or moral development"
70   In addition, George and Varghese (2007) and Cole and Eriksson (2010) discussed child labour from a human
71 rights point of view. They explained that child prostitution and child labour are among the issues that stand against the
72 sustainability of tourism and its contribution to the welfare of communities.
73   Having considered sustainable tourism, Koenig (2010) listed the negative effects of tourism, those of which
74 threaten the sustainability of tourism and its contribution to development, in a socio-cultural context; prostitution, child
75 labour, drug trade, human trafficking, and sometimes destroying social life and traditional values of societies.
76   In the same context, it is thought that tourism should help societies in both economic development and poverty
77 reduction (Koenig, 2010). The millennium development goals in relation to tourism development and poverty illumination
78 stressed on the role of tourism in enhancing economic growth, in providing employment opportunities, in spreading
79 tourism activities to remote and rural areas, and in developing infrastructure, healthcare and welfare of communities in
80 the tourism destinations (Novelli and Hellwig, 2011; Koenig, 2010; Honey and Gilpin, 2009).
81   The World Tourism Organisation's publications suggest focusing on natural, social, cultural and economic
82 environment reserve and development to help in reducing the phenomenon of child labour. This is to be applied through
83 partnerships between the industry governments and civil societies (mainly non-governmental organizations NGOs). The
84 role of NGOs is salient here, George and Varghese (2007) stressed on the role of NGOs in helping communities to know
85 the rights of women and children.
86   Sharma, Kukreja and Sharma (2012) recommended that NGOs' mission here should be to push towards
87 prohibition of child labour, getting the children back to school and propose that the legislation should changed to include
88 stronger acts against child labour facilitators.
89   Tourism activities attract children in a wider range, both boys and girls, all over the world to work in small
90 restaurants and coffee shops. Moreover, the children work as peddlers and as tour guides at tourism and archaeological
91 sites. They also work in cleaning and carrying luggage at hotels, washing dishes and helping at kitchens, while others
92 work in prostitution, and as beggars (David. 2000). Although tourists, emotionally, tend to give money to children who
93 work in tourism activities thinking they are helping them and their families, a note should be given here about type of risks
94 may children face while working. These risks are represented by long working hours, abuses and sexual harassment, and
95 the risk of infections of several diseases, especially AIDS-HIV, which international statistics indicate that it spreads in the
96 local communities surrounding the tourism sites. Moreover, the risks of this work are also related to the discontinuity of
97 work, child abuse and self-inflicted injuries, and working in an unsuitable environment from both health and social aspects
98 (ILO, 2011; David. 2000).
99   Black (1995) stated that the reasons behind child labour in general were due to poverty, parental unemployment,
100 instable family situation, such as orphanhood. Majority of children working in tourism prefer such sector because of the
101 easy access, deskilled jobs and the help of relatives or connections to get the access to the industry.
102   According to the ILO, there are between 13 to 19 million children and youngsters in the world below the age of 18
103 working in tourism. This figure only covers the organized tourism sector.
104   The reasons for the increase in the numbers of children working in tourism in the world are linked to the economic
105 and social conditions of the local communities in the tourism sites. The fact that these communities did not have the
106 chance to positively be part of the tourism development process, forced poor families to push their children to work in
107 tourism and to get the advantage of its relatively high income. Meanwhile, child labour is considered cheap labour for
108 employers (Bliss, 2006). Moreover, the seasonality of tourism in various regions in the world has greatly contributed to
109 attracting children during school holidays to work, and in many cases to continue to work and drop out of school
110 afterwards. One of the major reasons behind the increase of this problem is the weakness of the governmental

111 procedures in providing education and preventing child labour (Bliss, 2006).
112   Gordon Brown (2012), as the UN Special Envoy for Global Education, stated that the lost of childhood and
113 psychological and emotional damage of children involved in hazardous employment is a dangerous issue; he stressed
114 that the threat of children dropping out of school before completion will affect their mental and physical abilities as well as
115 their future opportunities of decent employment. He called for a global action to enhance children education that in a way
116 prevents child labour.
117   In the same context, in 2002, the ILO published a report that discussed the future of child labour in relation to the
118 strong links between child labour, education and poverty. Considering education, ILO (2002) stressed on the fact that the
119 absence of public education systems, quality schools and training programmes opens the door for more child labourers.
120 Accordingly, good education systems can prevent child labour through school readiness, children-friendly schools,
121 flexibility in education to accommodate the needs of children and their families according to their economic status, non-
122 formal education programmes, training of teachers that focus on children-centered teaching approaches and methods,
123 and apprenticeship and vocational education with economic incentives (ILO, 2002).
124   In Jordan, laws and regulations prohibit anyone under the age of sixteen from working in the formal sector, which
125 represents a minimum age more consistent with the age of compulsory education (Labour Law of 1996 and Education
126 Law of 1988) (Saif, 2004). In 1991, Jordan endorsed the Convention on the Rights of the Child, which is considered the
127 most important international mechanism to reduce child labour internationally. In 1995, Jordan established the National
128 Task Force for Children; the first national report on child labour was issued in 1997. Jordan also officially joined the ILO's
129 International Programme on the Elimination of Child Labour in 2001. As a result, the Child Labour Unit was established at
130 the Labour Ministry, which in turn created a database on child labour in Jordan (USDL, 2004). The 1997 national report
131 mentioned earlier stated that 13% of boys between the ages of fifteen to sixteen are working, and that 1.1% of girls of the
132 same age also work. The ILO estimated the rate of child labour in Jordan at less than 1% among the children between
133 the age of ten and fourteen (Saif, 2004).
134   In 2008, the national survey on child labour revealed that there were 32,672 children between the ages of five to
135 seventeen are working. This figure represents 1.8% of the total number of children within this age group. The survey also
136 revealed that the most attractive professions for children were the vocational professions, with less percentage in the
137 primary professions of services and sales. The survey also showed that the average working hours children work per
138 week was 42 hours with an average income that does not exceed 81 Jordanian Dinars (JD) a month (less than $60). It
139 was revealed in the survey that 42.5% of these children study at educational institutions, the remaining percentage is
140 considered a dropping out of school number. The dropping out of school was believed to happen due to children's poor
141 academic performance or disinterest in studying (Department of Statistics, 2008).
142   Darweesh (2000) concluded that the working children belong to large in size families with low parents' educational
143 and economic levels. The study noted that there were negative influences of child labour on the development of the
144 children as a result of their feeling of deprivation of their rights, such as education and playing. Moreover, they negatively
145 develop some bad behaviour patterns such as weaknesses of their personality aspects, tendency to prefer isolation, and
146 aggressiveness toward others.
147   Gharaibeh and Hoeman (2003) conducted a study on the social and health conditions of working children in Irbid
148 city (north) and found that most of the working children are poor children who dropped out of school to help their families.
149 The study also found out that the health conditions of those children are poorer than their peers on a national scale, and
150 that they are facing physical exhaustion and psychological pressures greater than their abilities and ages could stand.
151   Over the past ten years years, many efforts have been made to combat child labour as part of a programme
152 implemented by the Ministry of Labour, the Ministry of Social Development, the Jordanian Women's Union, the National
153 Council for Family Affairs, and the National Programme on Child Labour, in cooperation with a number of international
154 organizations and agencies, most important of which are the ILO, UNICEF, the United Nations for Relief and Work
155 Agency for Palestinian Refugees (UNRWA), and Save the Children. These activities focused on the problem of child
156 labour in streets, auto repair shops, and carpentry shops. These efforts covered the large cities of Amman, Al-Zarqa, and
157 Irbid. However, these efforts failed to address other sectors that attract children, foremost of which is tourism. Two of the
158 very few studies, out of these previously mentioned, studied child labour in tourism were conducted by Al-Hilalat (2003)
159 and Magableh and Naamneh (2010).
160   Al-Hilalat (2003) aimed to identify the characteristics of working children and the feature of their families, and to
161 uncover their working conditions as well as identifying the most important health and social repercussions of child labour
162 in Petra. It was found that most of the children working in Petra work as attendants for riding animals and dealers; most of
163 them belong to big in size families with parents of low educational level. The results also indicated that the majority of
164 working children work 6 days or less per week with an average of 8.2 hours a day. The most important reason that forced

165 them to work was to assist their families financially and to earn their pocket money.

166   Magableh and Naamneh (2010) concluded that the majority of the children working in tourism came from poor
167 families and that majority of them came from families with low educational level. As for the educational status of the
168 children themselves, the results indicate that 51% of them still go to school, and that most of them work in jobs that do not
169 require any skills.

170   On the other hand, the Jordanian education system requires that the age of compulsory education is between six
171 and sixteen years old (Ministry of Education, 2007), while the Jordanian labour law requires the minimum age of
172 employment at 16 years old (ILO, 2011b); this makes no gap between the compulsory education age and the minimum
173 age of employment. According to the Understanding Children's Work Programme (UCR, 2014), the statistics show that
174 approximately 1% of children between seven and fourteen years old in Jordan are working with no enrollment in
175 education, compared to 6.4% in Iraq and 8.6% in Lebanon.

176   Due to the negative impact of the phenomena of child labour in tourism activities in Petra, with specific reference to
177 the United Nations declaration of the rights of children, and the valid Jordanian laws and regulations related to labour and
178 education, this study seeks to present information about the demographic, social, and economic characteristics of the
179 children working in tourism, with an analysis to their educational status and the future consequences.

180   The results of this study are to be used in forming further steps to reduce child labour in Petra site in general, and
181 to support the efforts of getting those children back to school through a number of practical recommendations.

182
183 ## 3.   Methods
184

185 This descriptive study adopted the survey method. Two surveys were developed to achieve the goals of the study. First, a
186 survey relied on one question with the aim of knowing about the real size of child labour inside and outside the
187 archaeological site. This tool was implemented in three different times; the high tourism season in April, the medium
188 tourism season in May, and during the period of low tourism season in July. Second, a large sample survey was
189 developed to answer the research questions through learning about the demographic characteristics, work status, family
190 status, and scholastic status and some related aspect to children education.

191   Regarding sampling technique, the second survey, which was the main tool of the study, was based on surveying
192 all the population that was available during the data collection time. Overall, the sample size reached 208 children; this
193 number comprises all the children who work in the archaeological site at the time of data collection.

194   Accordingly, the statistics reached from the sample were grouped and exhibited in tables of frequencies and
195 descriptive statistics to go along with the research aim and descriptive research design.

196   A final note about data collection and research ethics; it was ensured those parents and other adults around the
197 site where data was collected informed consent and children participated voluntarily. In addition, data was collected in a
198 face-to-face method by the researchers and well trained research assistants. The researchers and assistants filled in the
199 questionnaire to ensure than questionnaires were correctly filled in. moreover; incentives were given to children who
200 participated to enhance more valid contribution.

201
202 ## 4.   Results and Discussion
203

204 The results of the study have been analysed based the aspects of: demographic characteristics of children; work status;
205 family status; and educational status of children.

206
207 ### 4.1   The demographic and work profile of child labourers
208

209 The results of gender distribution concluded that the percentage of male working children is higher than females, which
210 are successively 89.4% and 10.6%. These percentages are consistent with those in the survey on child labour in Jordan
211 conducted by the Department of Statistics, which were successively 89% and 11% (Department of Statistics, 2008). This
212 is assumed to be normal due to the masculine culture of the region as males work more than females in such activities.
213 Moreover, the number of formal workers in tourism in Jordan records greater percentage of males (90%) and low female
214 employment (10%). Table (1) shows the demographic characteristics of the child labourers sample.

215
216
217
218

Table 1. The Demographic status of child laborers in Petra

Demographics		N	Percentage
Gender	Male	186	89.4%
	Female	22	10.6%
	Total	208	100%
Age	Less than 7 years	1	0.5%
	(7-12)	86	41.3%
	(13-15)	46	22.1%
	(16-18)	75	36.1%
	Total	208	100%
Place of Residence	Wadi Mousa	6	2.8%
	Umm Saihoun	187	90%
	Al-Baida	7	3.4%
	Elsewhere	8	3.8%
	Total	208	100%
Type of Work	Horse attendant	4	2%
	Donkey attendant	50	24%
	Camel attendant	12	5.8%
	Peddler	121	58.1%
	Salesman in a shop	14	6.7%
	Worker	7	3.4%
	Total	208	100%

Table (1) also shows that the percentage of the working children whose ages are within the age group (7-12) years, was the highest and represented 41% of the size of the sample. The age group (16-18) comes second as it represented 36% of the sample, followed by the age group (13-15) at 22%. Accordingly, the children within the age group (7-15) represent more than 63% of the sample.

This result does not agree with the survey conducted by the Department of Statistics in which the percentage of working children in the age group (12-17) was the highest representing 90% of the total number of the working children in Jordan (Department of Statistics, 2008). This affirms that the ages of the children working in the tourism sector in Jordan are low compared to child labour in other sectors, which makes them more vulnerable to risks.

Table (1) illustrates, as well, that the percentage of most of the working children are residing in Umm Saihoun area at 90% of the size of the sample. The rest of the children are residing in Al-Baida area and Wadi Mousa.

The distribution of children working in tourism by type of work is shown in Table (1). It concludes that the percentage of children working as peddlers was the highest and represented 58% of the sample, followed by donkey attendants at 24%, and the lowest was for the horse attendants at 2%. The total percentage of the attendants of riding animals and camels represented 66% of the size of the sample. This illustrates the large numbers of donkeys, horses, and camels present inside the archaeological site.

In relation to the work status of children, table (2) illustrates the distribution of children working in tourism by number of working hours. It indicates that 45.1% of the children work (7-9) hours, followed by 30% of the children work longer hours between (10-12) hours. These percentages match those in the study of the phenomenon of child labour in Petra. The children working within the category (6 - less than 10) hours had the highest percentage at 63.8%, followed by the category (10 and above) hours at 25.3% (Al-Hilalat, 2003). It is thought that children who work more earn more; that explains why the majority of children work between 7-12 hours.

Table 2. the work status of child labourers in Petra

Work status		N	%
Number of Working Hours	1-3	5	2.4%
	4-6	42	20.1%
	7-9	94	45.1%
	10-12	63	30%
	13-14	5	2.4%
	Total	208	100%

Continuity of Work	Permanent	102	49.5%
	Seasonal	25	12.1%
	Temporary	21	10.2%
	Intermittent	58	28.2%
	Total	206	100%

This point needs a comment; more than 77% of children work more than 7 hours, which means a full working day and cannot be considered part-timers. Table (2) also indicates that almost half of working children work permanently at 49.5%, which makes a link between the two issues that the majority of children are fully engaged at a permanent work without perusing neither their childhood nor their education. This is an urgent alert about their future.

4.2   The family status of child labourers

Table (3) stresses that most of the children working in tourism have one or more family members working in tourism excluding the working child, and they represent the highest percentage of the size of the sample at 80% (the total percentage for 1-6 members and above), and the percentage of the presence of one family member working in tourism was the highest at 33.7%, followed by the presence of two members working in tourism at 23.6%.

Table 3. Family status of child labourers in Petra

Family status			N	Percentage
Number of family members Working in tourism		None	46	22.1%
		One	70	33.7%
		Two	49	23.6%
		Three	22	10.6%
		Four	15	7.2%
		Five	1	0.5%
		Six or above	5	2.5%
		Total	208	100%
Average family Income (in Jordanian Dinars)		500 and less	71	34%
		501-1000	87	42%
		1001-1500	35	17%
		1501 and above	15	7%
		Total	208	100%
Educational levels	Of Fathers	Illiterate	84	40,4%
		Reads and writes	19	9.1%
		Elementary	74	35.6%
		Secondary	31	14.9%
		Total	208	100%
	Of Mothers	Illiterate	116	55.8%
		Reads and writes	15	7.2%
		Elementary	58	27.9%
		Secondary	19	9.1%
		Total	208	100%

The result was close to the study of the phenomenon of child labour in tourism in Petra in terms of the presence of one family member working in tourism (Al-Hilalat, 2003). It is noticed here that there is an inverse relationship between the number of the working family members and the number of working children, that is, the higher the number of the working family members, the lower the number of working children.

Table (3) clarifies the family monthly income and the total income of working children. The income between (501-1000) Dinars was the highest at 42%, followed by the category (500 and less) at 34. It is noticeable that the level of the total income of families is higher than the average income of the Jordanian families (about 700 JD according to 2010 statistics). This encourages the families to make their children work in this sector.

Table (3) points up the increase in illiteracy among the fathers and mothers of the working children; the percentage of illiteracy for fathers is 40% and for mothers 55.8%. This might be an indicator of the lack of interest of the parents in

272 educating their children because of their low educational level. The illiteracy percentage here is much higher than the
273 national rate that is 6.7% (Department of Statistics, 2012). It is noted as well that non of the parents of child labourers
274 have a degree, which made a strong emphasis on the assumption that children see their parents as a model.
275
276 **4.3   The educational status of child labourers**
277
278 Table (4) illustrates that the education level of the working children in the elementary stage is the highest and it
279 represents 53.8%, and the lowest for the working children in the secondary stage at 9%; a close percentage between
280 males and females. Meanwhile, there is a percentage of 19.2% who are illiterate, which indicates a problem in a country
281 with highly educated population such as Jordan.
282
283 **Table 4.** The Distribution of Children Working in Tourism by Educational Level
284

Education Level	Males		Females		Total	
	N	%	N	%	N	%
Illiterate	35	19%	5	22.7%	40	19.2%
Reads and writes	33	17.6%	4	18.2%	37	17.8%
Elementary	100	53.8%	12	54.5%	112	53.8%
Secondary	18	9.6%	1	4.5%	19	9.2%
Total	186	100%	22	100%	208	100%

285
286 These percentages were in line with the study of the phenomenon of child labour in tourism in Petra which affirmed that
287 the percentage of those who were in the elementary stage was the highest in the educational level of working children
288 (Al-Hilalat, 2003). According to the educational system in Jordan, the age of the elementary stage is between 5 and12;
289 this is the highest age group of child labourers as mentioned earlier.
290 　　　Table (5) gives an idea about the scholastic status of working children. The results indicate that 41.3% of the
291 sample dropped out of school, while the remaining percentage still attends school.
292
293 **Table 5.** The Scholastic Status of the Children Working in Tourism
294

Status	N	%
Dropped Out of school	85	41.3%
Still Go to School	121	58.7%
Total	206	100%

295
296 Table (6) illustrates the distribution of children working in tourism by their continuity to work and scholastic status. It
297 emerges that the children who work permanently are the children who most refrained from going to school than those
298 who work seasonally, temporarily, or intermittently at 83.5% of those who said that they have dropped out of school.
299 Whereas, the children who work intermittently represented the highest percentage of children who answered yes, that is,
300 they still go to school.
301
302 **Table 6.** The Distribution of Children Working in Tourism by Continuity of Work and Going to School
303

Work continuity	Do You Go To School?			
	Yes		No	
	N	Percentage	N	Percentage
	121	58.7%	85	41.3%
Permanent	31	25.6%	71	83.5%
Seasonal	19	15.7%	6	7.1%
Temporary	19	15.7%	2	2.3%
Intermittent	52	43%	6	7.1%

304
305 Table (7) explains the reasons for dropping out of school. The lack of desire to go to school because of the poor
306 academic performance at school represented the highest percentage at 46%. This is followed by the teachers' abuse and
307 for work equally at 13% for each. This result agrees with the study of the Department of Statistics as the poor academic

performance was the most important reason for dropping out of school, followed by dropping out of school for work (Department of Statistics, 2008). Also, the results agree with the study of the phenomenon of child labour in tourism as the poor academic performance was the most important reason for dropping out of school (Al-Hilalat, 2003).

Table 7. The Distribution of Children Working in Tourism by Reasons of Dropping Out of School

Reasons for Dropping Out of School	N	Percentage
The lack of incentives	3	3.5%
Because of the Teachers' abuse	11	13%
The lack of desire because of poor academic performance	39	46%
The absence of anyone to help the family	3	3.5%
For work	11	13%
Unwilling parents	1	1%
Below the school age	1	1%
The lack of a clear reason to drop out of school	16	%18.8%
Total	85	100%

An overall comment about children's work and education asserts that the lack of academic achievement and the lack of desire to go to school was the reason behind half of the child labourers who dropped out of school. A question raised here about the seriousness of authorities, especially in the education departments, to help in reducing the phenomenon of child labour by giving more help to families and children to attract them to school and to increase their academic performance. The effort of societies and NGOs is required at this stage.

To sum the results up, it was revealed that majority of working children inside the Petra archaeological site were males, aged between seven to 15 years old, woeking as peddlers and animal attendants as an easy and unskilled work, and residents mainly in Umm Saihoun village near the site. This was maybe an important result as it indicates that the society of Umm Saihoun needs further deep analysis in relation to the social, economic and cultural aspects to determine the reason behind the 90% figure of child labourers appeared in the results. In addition, half of the child labourers in Petra are permanent workers with low school attendance, which indicated an important issue related to the future of a large number of children with no education and therefore no protected future. One-third of the population below the pverty line doesn't mean low income of families is the main reason behind child labour; considering the family status of child labourers in Petra, low educational level of parents and the need of getting the advantage of the tourism income are assumed to be reasons behind the child labour phenomenon in Petra.

In addition, children working in tourism face a problem regarding education; dropout of school at early age is a result of students disinterest in education and their want to earn money at early age. One-fifth illiterate percentages and just about half of the children do not attend school is a crucial problem that results in creating inactive members in their societies in the future.

5. Conclusion

The survey concludes that the scope of child labour in the tourism sector in Petra is continuously increasing with the increase of tourism activities. The study indicated that the average number of working children is 400, and that it reaches greater number in the high tourist season.

As a main issue, the reasons behind child labour phenomenon in Petra are related to educational and scholastic aspect (high illiteracy among children's parents and lack of children's academic performance and lack of interest of school), social aspects (childrens seem to act like their fathers and other family members who work in tourism), economic reasons (as one-third of child labour was because of their families' poverty).

In addition, the work of children in the tourism sector in Petra poses a danger to children's future compared to the children working in the other sectors in terms of:

- The high number of children who dropped out of school at an early age for the easiness of doing the work (peddler, donkey attendant, among others).
- The long working hours associated with bad health, physical, and environmental conditions the children suffer at the workplace.
- The bad behavioural habits children acquire through the contact with the tourists and the adult colleagues at the same workplace.

Moreover, the study affirmed that the number of working children is on the rise inside the archaeological site, which constitutes an element that hinders tourism development and damages the archaeological site.

Finally, the children developed negative tendencies toward school and education; no willingness to attend school as they see work more beneficial. The social status of the children's families encourages them to work at early age because of parents' low educational level and hence low interest in education their children. In addition, having a percentage of illiterate and children with only elementary education warns for a dangerous effect of child labour on the children's future as well as the future of their society.

6. Recommendations

After reviewing the literature and the research analysis and results, the following recommendations were drown out:

First: looking at the economic reason (poverty and low income) as the main and only reason behind the phenomenon in the region is not the right approach to solve it. Hence, partnerships among governmental authorities, NGOs, local people and the tourism industry is needed to discuss the phenomenon and helping in finding creative solutions to resolve it.

Second: the need for enforcing the law that prohibits child labour. It was concluded that there was an absence of any follow-up from the official institutions to enforce the law, regulations, and instructions related to child labour below the legal age. There were no serious efforts to force students to complete the compulsory education. In addition, there were little efforts from the local authorities (Petra Tourism and Development Region Authority, Ministry of Interior representatives, Education Directorates) to seriously study the phenomenon and take into consideration recommendations on it.

Third: establishing a governmental body for local development and for supporting childhood in Umm Saihoun area through official initiatives or by the local civil society organizations that would be a local arm for development and encouragement for the children and their families to quit work and return to school. This might include setting a programme for informal education targeting the children who dropped out of school and the children who have poor academic performance. Such programme would contribute to the rehabilitation of the children to continue studying at school or return to it.

Fourth: launching awareness programmes and spreading a friendly culture concerned with the children's right to education that target the local communities, as well as launching similar programmes that target the community at the archaeological site, tourists and business owners regarding the phenomenon.

Fifth: launching programmes for supporting the improvement of the environment of schools in the areas of Umm Saihoun, Al-Baida, and Wadi Mousa so that they would be more attractive to children.

Sixth: developing training programmes for teachers to help them acquiring new skills that would enable them to deal with children who are vulnerable to risks.

Seventh: further research is recommended to deeply study the economic, social and cultural status of Umm Saihoun area to understand the actual problems this area face. Also, further research on the status of children who work in their family businesses is recommended. It should aim to explore the reasons behind their work and to help them to go back to school.

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Formalistic as an Analysis Method in Signifying the Malay Cultural Symbol in Malaysian Modern Art of Paintings

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Abstract

In order to appreciate an artwork, beauty is not the main issue to be studied, but instead, it is the elements that make up the beauty. Therefore, to investigate the elements, subjects, forms and meanings are the three aspects in the study of art that are used for such purposes. All these elements are interconnected and cannot be separated because of the unity of an artwork is formed from these elements, and further explained the ideas of artists. Thus, in defining the elements of artwork, it is important to study physical data that function by connecting the context of an artwork. The aim of this study is to examine the symbol of Malay cultural traditions in the context of visual art in Malaysia embodied by local artists as the expression of their cultural ideas. Accordingly, a qualitative descriptive study method has been adopted to identify the forms and meanings of the symbols of Malay cultural traditions in Malaysian visual arts,. Two painting artworks from the 1980s and 1990s have been chosen in order to investigate their forms and meanings. After the independence, the symbols of Malay cultural traditions have been embodied by the artists in the search for artistic identity. The results of this study are expected to expose the public generally and art enthusiasts particularly, to appreciate the artworks. Hence, the Malay culture can be well preserved as today's young artists tend to choose the modern universal symbols rather than the symbols of community culture.

Keywords: Symbol, Malay Culture, Paintings;

1. Introduction

Art is a phenomenon of human beings activities. Human beings produce art in order to understand life or communicate ideas with other human beings. In the case of Lazzare & Schlesier (2008: 4), it is stated that Art is a visual medium that is used to express our ideas about human experience and the world around us. Accordingly, in embodying the art of feelings, it is the dominant factor for human beings other than the interests of observation and experience. (Pooke & Witham, 2010) Art is a symbol that is included in the symbolic levels of expressions, feelings or expressive symbols. According to TjepTjep Rohendi Rohidi (2000), human beings think, feel and behave in symbolic expressions. Each symbol has its own function and the symbol contains the beliefs that would normally be the essence of respective religions, the cognitive symbols that form knowledge, the symbols of moral judgments that form the values and rules, as well as the symbols of expressing feelings or expressive symbols. (Bachtiar, 1982) All of these are revealed based on the lives of human beings who live in the cultural context. As according to TjepTjep Rohendi Rohidin (2000: 74-75), human beings are biocultural creatures; the products of interaction between biological and cultural factors. This means that as

cultural creatures, they cannot be separated from biological existence. The cultural life itself is maintained in biological populations and biophysical environments. It evolves and creates a culture with its biology. The way human beings dress up, process foods, build homes and communicate by languages, even the entire environment is the result of human interventions. Hence, that is why it is said that human beings cannot live without culture. (T. Jacob, 1982)

An artist cannot escape from connecting the essence of his art with the things that are related to culture. As biocultural creatures, artists convey their desires that appear from the souls of human beings that have been channeled through thoughts and practices over their lives through artworks. Thus, Winckelmann (1717-1768) in implementing the innovations of the art methodology by Vasari emphasized that the evaluation of an artwork is important to connect to its cultural history rather than the history of the artist. He explained that the cultural context is produced as part of the written history of art. (Ahmadrashidi Hasan, 2006). Artists such as painters, sculptors, designers or art printmaking experts always try to improve the sensibility and perception on cultural dynamics of the community because the issue is near and circling their lives. Artists as the creatures who are given the intelligence on the development of images or according to Earnts Cassirer as creatures who like to play with symbols, transform the sensibility through forms of symbols or pictures. Therefore, the forms of the symbols produced are not created from the sense of emptiness but they contain the values and aesthetics that reflect the ideas and aspirations of the creator on the socio-cultural of the community. Each artwork that is produced gives a certain value and specific meaning that is able to give benefits from the point of its appreciation or purpose. Meanwhile, value and meaning trigger symbolism or representation that displays the lifestyle, beliefs and rules of life, as well as give the sense to the person using it. This premise suggests that symbolism is an important aspect in the field of art other than its usability or function, as quoting the opinion of M. Habib Mustopo in his writings entitled "Ilmu "Budaya Dasar" in Kumpulan Esei Manusia dan Budaya (1983: 46)

> One of the purposes of art in the society is to help preparing and forming the background of life. Art is the answer for humanitarian imperative requirements. Its main purpose is to improve the interpretation and complement life. In addition, art is also used as a helper for other purposes such as the glorification of religion, propaganda, symbolism and so on. (Muhammad Afandi Yahya, 1995: xvii)

Thus, it symbolizes the creativity and maturity minded of artists in bringing profound aesthetic taste through symbols that provide benefits to those who appreciate it and it does not give shallow taste of art. Artists as symbols creatures are different in terms of character from other human species because the symbols have become the medium of instruction in conveying their ideas about life. They create symbols, in which each symbol has its own role to convey the message. As according to TjepTjep Rohendi Rohidi (2000: 74),

> The artworks created by human beings are not without purpose. In other words, every natural thing that is touched or worked out by human beings gives a new form that has a certain value, indicating the purposes and ideas of the creator. He/She is the symbol of the cultural scope.

This is proven from the ancient time where artistic symbols have been embodied for expressing ideas of arts with various purposes that have been produced by human beings. Day by day, it seems that the symbols change their processes due to different desires and purposes.

2. The Symbol of Malay Culture as the Expression of Modern Art Painting

The symbol of Malay culture is one of the symbols of art and culture that is embodied by local artists in the art of painting. Before painting was introduced, many forms of artworks which symbolized the Malay culture were found in the art of Malay handicrafts. (Liza Marziana Mohammad Noh, 2013) Art painting is part of the visual arts that has become the communication medium for artists in conveying ideas through art symbols. The art of painting has the form of a two-dimensional surface and it becomes a space for artists to explore the symbols of their arts through various techniques and mediums of colours. Referring to the evidence, the symbols of art which were embodied from the paintings produced by human beings since ancient times up to the Renaissance in Italy, are in the forms of representation and non-representation.

Generally, human beings communicate through media form, which is called a sign, but is a special sign. The sign is more universal and is not bounded by culture. (TjepTjep Rohendi Rohidi, 2000) The difference between a sign and a symbol is that a sign is the one marks and is marked for example, when there is smoke, definitely there should be fire, and smoke is the mark that signifies that the fire is there. Meanwhile, a symbol is a special sign that is arbiterer, which means that it is different from the one that is marked. A symbol can only be understood as a specific cultural context that

113 is interpreted by the culture itself (Keraf, 1980)
114   There are many definitions of culture. This statement actually refers to the writings of Kroeber and Kluckhohn
115 (1952) entitled Culture: A Critical Review of Culture Concept and Definition, which listed more than 160 definitions of
116 culture. The next definition is modified in different views of specific fields such as anthropology, sociology and ethnology.
117 (Anwar Din, 2008) Nevertheless, overall, it can be concluded that culture can be defined as the beliefs, customs and arts
118 of a society, group, place or time. As described by Burnett Tylor (1871), culture is something complex that encompasses
119 knowledge, belief, art, law, morals, customs and other capabilities that are created by human beings for their societies.
120 The culture norm is something that is respected by every member of society, from the family or from the outside
121 elements. (Rasid Ismail, 2014)
122   Meanwhile, Malay also gives a broad meaning. By taking social and cultural definitions, the term Malay refers to
123 people living in Peninsular Malaysia and in the wide territories of the Archipelago, which include Peninsular Malaysia and
124 thousands of islands that formed the Republic of Indonesia and the Philippines today. (Milner, 2011, Syed Husin Ali,
125 2008) Although the Malay is divided into several groups and has a variety of languages, dialects and cultures, but yet,
126 they are of the same stock, therefore it is known as Malay or Malayo-Indonesian. (Syed Husin Ali, 2008) The concept of
127 Malay in the context of Malaysia, according to Anwar Mohammed, is that the existence is not from a single lineage.
128 Partly, it is made up of natives in Peninsular Malaysia, partly descended from Indonesia while other communities such as
129 Arabs, Indian, Siamese, Chinese and European who become Muslim Malays. It means that the Malays were formed from
130 a combination of various ethnic groups. The basis of such combination is the religion of Islam and the Malay language.
131 Therefore, the reality of the Malay existence today is in tandem with the definition of Malay given in the legislation that
132 defined the Malays by the Malaysian Federal Constitution (Article 160 (2), in which the Malay means a person who
133 adheres to Islam, commonly speak Malay and follow Malay customs. (Anwar Din, 2008) Accordingly, with the diversity of
134 ethnics, it produces a wide variety of cultures in the Malay community. The culture in the community encompasses all
135 activities and practices performed on a daily basis inclusive of arts to meet the time or source of income. (Rasid Ismail,
136 2014)
137   As such, the embodiment of Malay cultural symbols on the art of painting is specific to the Malay culture itself.
138 Based on every artwork, it has always reflected the bias into one cultural category by the artist who created the work.
139 There is no denial that art has its roots in the social life, and there is no artwork whether painting, music or literature can
140 be understood which stays apart from the personal genius who invented it, the race of the people who is active will
141 penetrate into themselves. Based on that, according to Deutch (1975) in Darsono Sony Kartika (2007), an artist as the
142 source of information forms a perception of cultural bias that leads to the formation of character and colour of the subject
143 or the object as he/she forms the basis of its aesthetic expectations and requirements. Hence, the symbol of Malay
144 culture that is embodied is a creation of bias perception of an artist who has strong race relations on himself/herself. The
145 tendency and understanding towards his/her culture yield the cultural symbols that are formed based on the aesthetic
146 order of an artist through the reflection of Malay culture such as its customs, taboos, religions or beliefs, as well as
147 manners and ethics.
148   The symbols of Malay culture on the art of paintings have begun to receive the attention of local artists since the
149 country gained independence with some batik painters, from the Wednesday Art Group and the Peninsular Artists Force
150 (APS) that highlighted the subject of arts and the community as part of the Malay culture. (Muliyadi Mahamood, 2001).
151 Their works reflect the bond of arts among the community that portrays their attempts in refining the culture of the
152 community that forms some parts of their practical lives. Most of the symbols embodied in the objective forms that are
153 known as representations. The cultural tendencies of paintings are the reminiscent of Dolores D Wharton's statement
154 who was able to experience the struggle to preserve the heritage and identity of national arts when she was in Malaysia
155 around 1958-1964. Her statement reads:
156
157   *While one can still not say that there is a Malayan "school of painting, the search for some form of identity began during*
158   *this period."(D'zulhaimi, 2006)*
159
160   The struggle was also noticed by Howard Taubmann of the New York Times through the First Triennal of
161 Contemporary World Art exhibition in New Delhi in 1968. He believed that the traditional themes in the modern context
162 through the artworks of Malaysia have shown the brave efforts undertaken by the artists. (D'Zulhaimi, 2006)
163   The struggle was also noticed by Howard Taubmann of the New York Times through the First Triennal of
164 Contemporary World Art exhibition in New Delhi in 1968. He believed that the traditional themes in the modern context
165 through the artworks of Malaysia have shown the brave efforts undertaken by the artists. (D'Zulhaimi, 2006)
166   In the 1970s until the 1990s, shortly after the organization of the National Cultural Congress, the event saw a

symbol of Malay culture embodied actively through the participation of local artists. The active embodiment arose due to the awareness on the importance of identity in the works. The tragedy that occurred in 1969 has opened up the eyes of all parties on the fragile identity of Malaysians. (D'Zulhaimi, 2006) Likewise, the resolutions were achieved through the Congress in finding a formula for the establishment of a national culture to unite the people, and they have set three important concepts as the basis of national culture:

1. The National Culture should be based on the original culture of the people of this region.
2. The elements of other cultures that are appropriate and reasonable may be accepted to become the elements of a national culture.
3. Islam becomes an important element in the formation of a national culture.

Subsequently, it has given an impact to the field of art, specifically to the local artists in search of their identity in art. According to Zakaria Ali, when non-Malay artists did not mention about the National Cultural Congress, the Malay artists saw it as an opening of the direction in creating a new era in art. In the 1970s and 1990s, the era of growth to the symbol of Malay culture was actively embodied by most Malay artists. (Siti Zainon Ismail, 2012)

3. Formalistic Approach in Signifying the Symbols of Malay Culture in Modern Art Paintings in 1970-2003

Reading the beauty of visual arts is not the main point to be studied; instead, the elements that make the beauty of the visual arts. (D'Alleva, 2012) It does not matter whether it is an art of painting, printing or sculpture, or design of elements that becomes the physical data of artwork and often prevails in the spotlights. These elements (the properties of works of art) play the role in shaping or building a form of art, whether in the form of representation or non-representation. (Pooke & Whitam, 2010) As a symbol of Malay culture, it is composed of the elements that form the basis for the formation of an image and it is known as formalistic. Cultural symbols are dealt with intellectually through the elements of lines, shapes and colours, and the next texture is composed well by the local artists. With that, the significant formation of Malay culture can be embodied appropriately with the subjects and ideas presented.

In the 1970s and 1990s, the symbols of Malay culture had been widely produced. These developments occurred after the National Cultural Congress was held, in which the values that are beneficial to the society had been widely produced. For Malay artists in particular, the emphasis was on the ethnic consciousness that made them tried to uncover all of their origins and cultural heritage. The situation did not deny the existence of art intellectual's involvement comprising Malay/Muslim revivalist artists who intellectually created new cultural symbols in upholding the concept of art for the society. With that, it witnessed the embodiment of Malay cultural symbols which were actively produced with various characters of Malay cultural symbols as a result of the artist's perception that was biased towards culture. This is in line with Tolstoy's art concept who said that:

> In order for art to be placed among those other areas of knowledge and to be considered as amelioration according to Tolstoy's concept of art, it must have a form which is based upon intellectual ideas and free of deficiency. Tolstoy was seeking a criterion of value and assumed that the pursuit of art can be justified only if some ulterior benefit can be seen to derive from it. (Mohamed Ali Abdul Rahman, 2000: 9)

According to Clive Bell in Pooke & Witham (2010), a work of art is a product of art that is capable to spark emotional and aesthetic reactions of the observers. They respond to the work of art based on the subject (idea), form (materialized form) and meaning (content) that are delivered. However, among all these three, form is often chosen to be the topic of discussion. Dewey (1980) explained that the early history of philosophy believes that form is seen as containing the intrinsic value within it and this is because the essence of any formation is based on the metaphysical structure of the nature. It can be associated with the classical theory by the founder of the doctrine of mimetic art, Plato who defined work of art as having the elements that are derived from the ideal forms of the outside world of the artwork itself. (Rahmah & Norazlin, 2002) The concept of mimesis by Aristotle is an incarnation of the actual objects that are organic and structured. Aristotle gave more attention on the art of representative, which he thought is capable to evoke emotion. It is associated with the cases of the tragedy of his drama, which left the emotion of pity and fear to those who appreciate it. Similarly to Eisener, Elliot & Ecker (1966) who also considered that the work of art as a real imitation that includes universal values. Nevertheless, the representative is not really meant to imitate the whole thing but it is a representation of thought that represents the reality embodied from the human mental development.

Therefore, the one that appeals to the observers is the form that contains the elements of formalistic that has been organized into the specific compositions. Bell stated that when observers react, it is the key to visual experience.

> We respond to a work of art- either figurative (One that resembles our visual experience of the world) or abstract (one

222   *that does not)-because we consciously or unconsciously respond to its compositions or formal arrangement. (Pooke &*
223   *Witham, 2010)*
224
225   Observations by observers are different. The way they perceive art is based on their personality, which is
226   established through education and purposes, as well as the interests of the observers. In order to understand the work of
227   art, analysis and evaluation are important criteria in understanding the whole process. In the field of art criticism, most art
228   critics in the 20th century believed that formalistic approach is more relevant to discuss about art. Clive Bell and Roger
229   Fry, Wofflin emphasized that formal characteristics make an artwork more meaningful and important compared with the
230   subjects displayed. According to them, the characteristics apply to all the works of visual art. Bell (1914) thought that the
231   elements of lines, shapes and colours in a certain way are capable of evoking the importance of the form.
232
233   *To appreciate a work of art we need bring with us nothing from life, no knowledge of its ideas and affairs, no familiarity*
234   *with its emotions...nothing but a sense of form and colour. (Pooke & Witham, 2010)*
235
236   Moreover, for the importance of the form, Bell argued it as to provide the interaction to the specific meaning that is
237   formed through the qualities of art, namely formalistic elements. Bell's argument was also affirmed by Greenberg that the
238   value of an art is based on the formal qualities. Consequently, there are three formalistic approaches developed by
239   Greenberg to assist in understanding the form of an art. (D'Alleva, 2012)
240   1.   Formalistic approach emphasizes the visual quality of the artwork, whether the layout of the elements and
241   brush strokes.
242   2.   Makes actual views or image experiences as something important, and the history of art is about how to view.
243   3.   Formalists also stressed on stylistic and analyze it analytically and typically, tend to observe social, cultural
244   aspects and political context widely through the art produced.
245   Form is part of art components. Form refers to the overall layout artwork. Form refers to the external image or
246   formalistic that consists of lines, shapes, colors and tones which are then processed using the principles of art that build
247   the unity in the artwork. Furthermore, formal elements can also be helpful in illustrating meaning and importance. The
248   elements of art or formalistic become the basis for producing a design in an artwork. The art elements serve to embody
249   the subject matter that is physical in nature.
250   As a method in exploring pictures, the aspect of formalism prefers to emphasize on viewing the form rather than
251   assessing the meaning and narrative or even viewing to what is presented (subject matter). (Pooke & Newall, 2008) This
252   method suggests to those who appreciate art to investigate the elements of formalistic, which act as a developer to the
253   form and function in providing the meaning as the formalistic elements that capable of conveying feelings, ideas or
254   information. (Pooke & Witham, 2010) In the art of painting, visual elements including lines, shapes, colours and tones are
255   embodied from the effects of the technique and media used by the artists. The combined results lead to the formation of a
256   composition that includes rhythm, results of the equilibrium from the organizational of elements of lines, shapes and
257   colours. This is mentioned by Ragan as the language of art that forms the visual of symbols, which are capable of
258   conveying the communication of idea. Panofsky, or even T Barret including semiotician who submitted the study to review
259   the images, could be diverted from discussing about formal elements as a function to give the meaning. Therefore, in
260   detecting symbols of the Malay culture, formalistic is the most appropriate approach to help in understanding them.
261   In summary, formalistic is an approach that emphasizes the way something is selected, rather than to view what is
262   presented. In order to make the work of visual art a success, the form and subject must be compatible with the contents.
263   In terms of meaning, Finch (1974) explained that meaning is the need of the artistic and contents to the artwork. Artistic
264   needs are the reasons why the work of art is produced, while the contents are the results of the manifestation of the
265   needs of the created object. Therefore, the contents consist of pure ideas of an artist and the evidence of ideas in a form
266   of artwork. The contents do not just react to the artist himself/herself, but also to a group of artists, community or likely to
267   the culture.
268
269   **4.   Formalistic Analysis on the Symbols of Malay Culture in the Art of Paintings in the 1980s and 1990s**
270
271   In this analysis part, formalistic method was used to study the form and meaning of Malay cultural symbols. Therefore,
272   observations were used to detect other forms of the symbols. Elements such as shapes, colours, lines, texture, tones with
273   balanced art principles, harmony, unity, and repetition were analyzed. The advantage of this formalistic method is as
274   explained by Carrol (1999: 129); it is able to discover the hidden meaning in the artwork.
275   Important issues will be answered through a systematic process. As you go through the step of description and

276 analysis, you will collect facts and clues. When you get to interpretation, you will make guesses about what message you
277 think the artwork is communicating. Finally during judgment, you will make your own decisions about the artistic.
278   A total of four paintings by local artists in the 80s and 90s have been selected to be analyzed. Among them are,
279
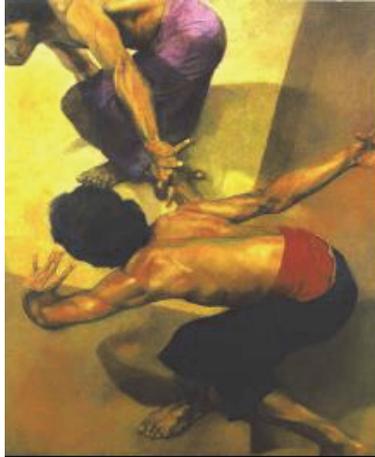
280
281 **Examination of Artwork 1**
282 Title: The Battle (Pertarungan), Year: 1983, Media: Oil Paint Measurement: 120 x 120 cm; By Amron Omar
283
284 For the first research artwork, the author chose Amron Omar's work entitled "Self Portrait" or "Potret Diri". Amron Omar is
285 the second generation artist who studied at Universiti Teknologi MARA in the late seventy's. Amron Omar makes mimetic
286 theory as his theory of art and figurative subject as the image. Amron's expertise in the use of oil paint and high accuracy
287 of perception, as well as the ability or natural talent in drawing figures, has made him very successful. (Ahmadrashidi,
288 2003). It is recognized by Redza Piyadasa (2002: 116), his realistic, represented rendering of his chosen themes have
289 been enhanced by his accomplished handling of human anatomy. Amron used the tones from light to dark, including
290 shadow to embody his idea of realism. The two forms of his figures posed in the state of a battle were clearly illustrated
291 by Amron Omar with great accuracy without the modification of forms. In terms of clothing of the figures, it was displayed
292 by wearing a single style of clothing for a fight, which described the practices of a society. Both did not wear shirts and
293 only wear pants. The subjects were composed in the middle position horizontally, which are refined in the aerial
294 perspective. Amron seemed to emphasize only the fight action of two figurative who faced each other and ready for a
295 battle. The muscular characteristics on the parts of the body of his figurative were clearly illustrated by Amron to
296 symbolize strength and agility. The figure at the bottom was displayed in full, whereas for the figure at the top, the
297 composition at the part of the head and body was not fully reflected as though it was accidentally cropped through the
298 painting frame. Such situation is a reminiscence of the approach undertaken by Degas through his art of paintings by
299 suggesting ideas outside the parameter space. (Redza Piyadasa, 2002). This recommendation aims to encourage those
300 who appreciate the art to feel the artwork outside the viewing normality. The most interesting part can be enjoyed through
301 the work of Amron is the way he records the shadow aspects naturally. It seems clear on the reaction from this work of
302 Amron, which showcases the battle action forms that represent the characteristics of a particular culture.
303   Therefore, in order to connect it with the meaning, the battle painted by Amron Omar is from the perspective of
304 cultural context. Its presence in the form of representation is a display from the reality of the world that happens around
305 him. The artwork of Amron Omar is a representation of environmental and cultural issues that displays the beauty of
306 martial art that was created among his community. In this case, Amron connects the subject of Malay traditional martial
307 arts (Silat) that was used by ancient heroes or warriors. Silat is a popular martial art to the present day among the Malay
308 community as a form of exercise or to be performed at wedding ceremonies.
309
310
311
312
313

314

Examination of Artwork 2

Title: House of Flowers, House of Harmony, Year: 1999, Media: Mixed Measurement: 83 x 276 cm; By Mastura Abdul Rahman

For the examination of the second artwork, the author chose the work of Flower House, House of Harmony 1999 by Mastura Abdul Rahman. From the point of formalistic, the authors found that the method of making this work is complex because it is made of three separate wood panels subsequently merged into one piece of surface and measuring 83 x 276 cm. Mastura chose the subject of interior decorations of the Malay traditional house that was inspired by the traditional house of the Malay noble group. In order to further strengthen the beauty of interior decorations, images such as baby cribs, rugs, vases, prayer mat, Sura of Yasin, congkak, labu sayong, pillows, calendars, masts of the house including floral motifs (floral from motifs of Malay textile/Archipelago) were used to display the interior decorations of the Malay residential. Mastura matched the batik ornamentation with the concept of a Malay residential space that was displayed from the top view. In addition, Mastura also connects her works with the traditional ornamentation in Islamic art, which is smooth and detailed as reflected in the architecture of the mosque or the miniature painting. According to Muliyadi Mahamood (2002: 20), in this context,

> Mastura matched the global aspects of Islamic art with the local style, supported by formalistic policies in the form of styling, repetition and no emphasis on individuality.

In translating her aesthetic ideology, Mastura used the approach of the Western art style in expanding the interpretation of depiction aspects. Mastura managed to uncover a form of critical understanding about the concept of a new depth to distinguish the concept of the conventional space of three-dimensional in nature. She inspired the interior architecture of Malay traditional houses in isometric perspective, which is prevalent in architecture by using structured lines painted diagonally. The spaces on the architecture were filled with motifs of traditional Malay and Islamic ornamentations that were patterned with bright colours, which aimed not to allow for the creation of three-dimensional illusion of space. As a result, the visual effects of this work show the concept of space that is flat and shallow. Redza Piyadasa (2002: 104) explains

> The spatial effect of the work has been heightened by the use of structural lines and foreshortened shapes that are derived from western perspective influences. Yet the visual effect of the work is a flattened, two dimensionality, induced by her concerns with the ornamentation of her surfaces.

In terms of the colours refined, it seems that Mastura used contrast bright colors. There was an occurrence of the colour analysis applied carefully by Mastura in matching the colours on the subjects she chose. Her work highlighted the complimentary colour, such as hot and cold colours or neutral colours in a state of low-intensity of colors. Thus, the effects of harmony and joy radiated through the work. The emphasis on colours in the works of Mastura has enriched the decorative style in the large range of colours. These factors stimulate the eyes of the observers by continuously appreciate every colour patterns created by Mastura. As according to Lazarri & Schlesier (2008: 34),

> Warm and cool colors can affect an audience both physically and emotionally. Certain colors in the surroundings can actually influence your alertness, sense of well-being, and sense of inner space. Colors can be symbolic and, thus associated with ideas or events.

In terms of meaning, Mastura works can be connected with the concept of femininity. The life related to marriage has inspired Mastura to explore the nature of femininity that she went through. She displayed the feeling of affection and

359 love for her husband, children and the married life, which are symbolically embodied and implicit. The feeling has
360 successfully been translated by Mastura through images and compositions that were arranged with the utmost order and
361 carefully to create happy, charming and harmony atmosphere for the subject. This means attitudes that emphasize
362 neatness, elegance, beauty and harmony symbolize the personal touch of Mastura on her taste. Thus, the selection of
363 interior decoration images with the nature of Malay and complimented with floral motif ornamentation is compatible with
364 her themes that reveal the passion and soul of Mastura towards the environment.

5. Conclusion

368 In order to understand an artwork, formalism is an appropriate approach to help in understanding the artwork. Theory of
369 modern art by formalists and Greenberg has made feelings, observations and experiences on images as the motivation
370 and important, as well as no reason can be given because the history of art is about viewing. Accordingly, both artworks
371 that have been analyzed clearly connect the ideas from the perspective of the Malay culture. Both artists used the style of
372 representation as a symbol to convey the meaning of the Malay culture, particularly from the art of the Malay traditions
373 such as martial arts and traditional Malay house interior decorations. Obviously, both of these artists successfully adapted
374 the context of Malay civilization through formalistic elements that make up the appropriate and more concrete symbols of
375 arts. In conclusion, the Malay cultural symbols on paintings are the reflections of the heritage of the Malay community.
376 With the efforts undertaken by some artists that have been analyzed, it is obvious that they have managed to highlight the
377 form and meaning of cultural traditions to the modern recitation that were only manifested in the traditional arts
378 previously. Hence, new generations should emulate these efforts by doing the experimentation of form and meaning of a
379 culture so that it is not outdated. By approaching and appreciating cultural heritage, a self-identity will be embodied. In
380 this case, Awang Had Salleh (1992) expressed that if we hope for the existence of appreciation on some elements of
381 Malay arts into works of modern arts, thereby such an approach should be taken to understand closely on the Malays. If
382 the artists restrict themselves by just only viewing without mindful of their souls, then the artists only paint the surface
383 aspects of appearance alone.

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Hermeneutics in the Eye of Al Ghazali

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Abstract

There has been an overwhelming worldwide consensus among scholars that Al Ghazali was blessed with a great mind. Through an examination of the writing of Al Ghazali, this paper attempts to study his theory and method of interpretation, analysed within socio-political and historical context that tended to inform the development of his thought in the light of hermeneutics and modern approaches to the Qur'an. This study found that the Qur'anic hermeneutics methodology has built by Al Ghazali as one of his efforts in projecting the role and value of Qur'an to the Muslim community in order to put the Qur'an as the supreme source of knowledge and truth.

Keywords: Hermeneutics, Al Ghazali, Qur'anic text, Interpretation.

1. Introduction

In recent years there is increasing interest in hermeneutics to conduct the interpretive research in the field of exegeses or scriptural interpretation. The tradition of scriptural interpretation had been well-established in the religious discourse as a result of the efforts of each religious believer to better understand to the respective scriptures. In ancient Greek history, hermeneutics considered as a medium used to understand the literary books and religious texts. As flourish development, the Jews also use it in order interpreted Old Testament. The main influence for many hermeneutists is Husserl, a Jewish-turned-Christian philosophy born in Moravia in the 19th century. Husserl, known as the "father" of phenomenology defines phenomenology as "a kind of descriptive psychology and an epistemological, foundational eidetic discipline to study essences" (Rutt, 2006). Later also followed by a Christian theologian and seeks how to empower hermeneutic in Biblical studies discourses.

In the Christian tradition discourse of hermeneutics found the momentum and growing from theological phase to rationalization phase and philosophical studies. Then the study developed by Friedrich Schleiermacher (d. 1834), hermeneutics becomes nuanced study of the theoretical philosophy used to understand a variety of texts from diverse forms. Hermeneutic philosophy in this way attempts to foster understanding, as opposed to describing cause and effect when attempting to make sense of and comprehend worldly phenomena (Bauman, 1978)

In Islamic discourses, several modern Muslim scientists such as Fazlur Rahman (d. 1988), Mohammed Arkoun (d. 2010), Nasr Hamid Abu Zayd (d. 2010), etc starting to get an appreciation to the hermeneutics study to see some elements that can be used from the theory of hermeneutics. The emergence of scientists was instrumental in transforming the study of the Qur'anic hermeneutics studies. Through them that the Islamic world began to recognize the tradition of Biblical interpretation from the experts hermeneutics such as Friedrich Schleiermacher, Wilhelm Dilthey (d. 1911), Paul Ricoeur (d. 2005), and Gadamer (2002).

However, many researchers still facing the problem of debate and contradict on how to applied hermeneutics in the social sciences field especially in Islamic exegeses regarding the validity of hermeneutics as a means of interpretation. This paper seeks to describe and analyse the foundation of the validity of hermeneutics as interpretation of media texts of

the Qur'an. This paper investigates acts of reading and interpretation under scope of the hermeneutics theory. The origins of this thought are traced in classical Western literature. In this case the mechanics of hermeneutics application in Qur'an, as well as the idea of a hermeneutic circle, would be explored with reference to the Al Ghazali's works in his several seminal books. This paper therefore adopts qualitative description and draws Al Ghazali's thinking of Qur'anic Interpretation methodology. The paper has been organized in the following way, section two presented on the origin of hermeneutic. Followed by Al Ghazali on Hermeneutics in section three and the last section is Conclusion.

2. The Origin of Hermeneutics

The hermeneutics term originally from *hermënuetikós* (Greek language) bears obviously to Hermes as reference, the messenger god of the ancient Greeks. In this sense Hermeneutics philosophy historically reaching back at least as far as ancient Greece. Generally the noun is translated "interpretation" or "explanation", "Hermeneutics" means the theory of interpretation, i.e. the theory on how to understanding the texts, utterances, and etc. (it does not mean a certain twentieth-century philosophical movement). However, new approach was brought to apply on it in the modern era for interpreting the Bible from the Church to individual Christians in general, in the wake of the Reformation with its displacement of responsibility. This new focus occurred especially in Germany (Dilthey, 1996).

A seminal figure in the development of modern hermeneutics in Germany was Johann August Ernesti (d. 1781). Ernesti's Institutio Interpretis Novi Testamenti [Instruction for the Interpreter of the New Testament] of 1761 constitutes an important transition from a hermeneutics focused exclusively on the Bible towards a more general hermeneutics. Particularly, Ernesti was quoted by Dilthey (1996) takes five vitally steps how to interpret trough hermeneutics as following:

- The Bible like any other text must be interpreted in just the same way. Ernesti does not follow this principle fully or consistently – for, while he does indeed forgo any reliance on a divine inspiration of the interpreter, Ernesti assumes that, the Bible is the word of God hence must be true and self-consistent throughout, which is not something that he would assume in connection with profane texts. However, Johann Gottfried Herder (d. 1803) and Schleiermacher embrace this principle in a full and consistent way.
- In many cases there are two obstacles that facing by interpretation: (i) different languages possess markedly different conceptual resources. (ii) A particular author's concepts significantly often diverge from his background language.
- The meaning of words very influenced by linguistic usage, so fundamentally the interpretation is a matter of determining the linguistic usage of words.
- In opposition to a tradition of exclusively text-focused reading of the Bible must deploy a detailed knowledge of a text's historical, geographical, etc. context.
- On the forms of holism: when the parts of a text must interpreted as the whole text; and both of these in light of an author's broader corpus and other related texts. In order to acquire sufficient evidence to be able to pin down word usages, and hence meanings such holism particularly necessary.

Further, these five principles refer to Foster (2012) taken over and developed subsequently by his successors such as Herder, Friedrich Ast (d. 1841), and Schleiermacher.

In term of the grammatical interpretation method, the comprehension of the words and common language is required because involves the understanding of the texts. In relation to the sentences the words must be examine by the interpreter carefully, as well as the sentences in the contexts of the paragraphs, until the interpreter can reach an understanding of the text accurately. This gives rise to what Schleiermacher called as the 'hermeneutical circle':

> *"We cannot understand the meaning of the whole text apart from understanding the meaning of the individual sentences, and even words, in the text. On the other hand, we cannot properly understand the individual parts apart from some grasp of the whole." (Stiver, 1996)*

In modern era, according to Palmer (1969) there are six model of hermeneutics usage (based on the progress that has been passed and represents the times and forms of hermeneutics itself) as:

2.1 Biblical exegesis

Commonly and widely, understanding of hermeneutics is still referring to the principles of Biblical interpretation. We may discover this understanding if we can look at to the books published in the 17th century, that the meaning of Bible is still

about scriptural interpretation. In this sense, Dannhauer (d. 1666) book in 1654 "*hermeneutica sacra sive Methodus exponemdarum sacrarum litterarum*" considered as representative of this perception. After publication of this book, hermeneutic then growing rapidly, especially in the area of German. While in England and America the word "hermeneutics" following the general trends of the interpretation of the Bible. Relatively, Hermeneutics is a new term in English, as are its equivalents in other languages. The earliest citation of this term in the English-language occurred in the Oxford English Dictionary (1961, rpt. 1983) in year 1737 with the meaning, "to be free to the scriptures", when two centuries after its invention, possession of human consciousness in the West was taking definitively, as Kernan (1987) in his Printing Technology, Letters, has so well shown, as well as Samuel Johnson may not using the other methods than hermeneutics.

2.2 Philological Methodology

In the 18th century classical philology developed concurrently with rationalism developed. When it come to the historical-critical method in theology both are major influence to hermeneutics. This method confirmed that the interpretation of the Bible by using a hermeneutic discipline were also applicable to read all other texts (Palmer, 1969). In these developments, the methods of Biblical hermeneutics essentially become synonymous with the theory of secular interpretation of classical philology. At least from the Enlightenment to the present method of Biblical interpretation cannot be separated with philology (non-religious texts).

2.3 The Science of Linguistic

In this term, Schleiermacher seeks to re-modify hermeneutics into a science or an art of understanding. He devoted all his intellectual energy to this purpose and managed up to certain limits. He tried to go beyond theology is hermeneutical perspective philological hermeneutics seeks to bring systematic invitation-coherent as a science that describe the conditions of understanding in all dialogs.

2.4 The Methodological Foundation for the Human Sciences

Schleiermacher hermeneutics seeks to re-modify it into a science or art of understanding. He devoted all his intellectual energy to this purpose and managed up to certain limits. He tried to go beyond theology is hermeneutical perspective philological hermeneutics seeks to bring systematic invitation-coherent. That is a science that describes the conditions of understanding in all dialogs.

2.5 The Phenomenology of Being and existential understanding

In addressing the issue of ontological, Martin Heidegger borrowed methods, Edmund Husserl, and use this phenomenology study on how everyday human existence in the world. Hermeneutics in this context does not refer to science or interpretation method, but the explanation of its phenomenology about human existence itself. Haidegger analysis indicates that the understanding and interpretation of human existence as the basic model.

2.6 A System of Interpretation (of Symbols)

Paul Ricoeur defines hermeneutics which refers back to the textual interpretation as a crucial element in hermeneutics. He says, "We mean the theory of hermeneutics is the rules that organize an interpretation". In other words, an interpretation of a particular text or set of potential sign of something that is considered a text.

In another place, as Coyne (1995) has compiled there are many contemporary perspectives to Hermeneutics as table below:

Table 1. Contemporary perspective on hermeneutics

Perspective	Main Theme	Proponents
Conservative	To uncover the original meanings of the action-text as intended by the author, Objective, a-historical, and a-contextual purposeful meanings would be secured from the correct and decidable interpretation.	Emilio Betti (d. 1968).
Pragmatic (Constructivist)	Historical contexts of the interpreter and interpreted meaning that interpretation involves the interpretative norms of a community	Hans-Georg Gadamer (d. 2002), and Ludwig Wittgenstein (d. 1951).
Critical	The emancipatory is a purpose of interpretation; hence in order to address potential power asymmetries conventional wisdoms of community are challenged.	Karl-Otto Apel and Jurgen Habermas.
Radical (Deconstructionist)	To reveal and conceal knowledge through the play of difference and contradiction, the texts and social action treated as an endless play of signs.	Jacques Derrida (d. 2004).

3. Al Ghazali on Hermenetiucs

There have been more and more theorists in the field of interpretation as thought and practice under the title of "hermeneutics", such as Martin Heidegger (d. 1976), Edmund Husserl (d. 1938), Dilthey, and Ricoeur, but in bringing hermeneutical inquiry onto a general level, Schleiermacher (1977) was the most significant responsible.

However in Islamic discourses, hermeneutics as one of interpretation method of al Qur'an is still debatable between Islamic scholars. This debate arises from cultivating Islamic schools within a Western context are not yet viewed as a philosophical field where the relation between theory and practice can be further explored. By moving from text, to tradition, to (public) reason, conservatives scholars according to Barlas (2006) has set up dominant readings of the Qur'an as well as their own interpretive authority without heeding the critiques directed at them and without opening up text, tradition, or reason to critique themselves, as following figure:
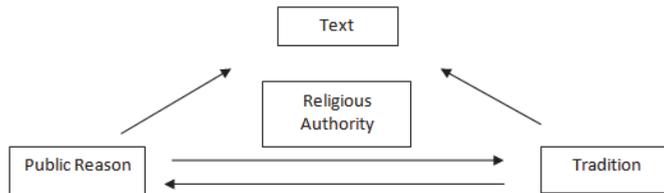
Figure 1. Conservative scholars on Qur'anic interpretation

Hence, in an attempt to partially fulfil the intentions of the title of essay and, in particularly we try to describing the Al Ghazali's thought of hermeneutics refer to his theological and philosophical competency to contribute to the debates related to religion and rationalization regarding interpretation and jurisprudence. As Inglis (2003) believes that Al Ghazali should more accurately be called a champion of the philosophical method than levelled him as an enemy of philosophy.

3.1 Outline of the life of al Ghazali (d. 1111)

Abd al-Ghafir al-Farisi's (written in 1113) and Al Ghazali's own autobiography (written in 1108) are two main primary sources often expounded to the biography of Al Ghazali. The former was about 13 years younger than him and was known as his fellow student and teaching assistant. Al Farisi's writing was based on several of his interviews with Al Ghazali and others reportages. Even there is slight inaccuracy in his account. However, al-Ghafir's writing is the one that stands out the most among the classical biography written on Al Ghazali according to Griffel (2004).

Abu Hamid Muhammad ibn Muhammad ibn Muhammad ibn Ta'us Ahmad al-Tusi al-Shafi'i, generally known simply by his nisbah al Ghazali was born in 450/1058 at Tabaran, one of the the district of Tus in northeast of Iran around 1058 AD, now in ruins in the neighbourhood of modern Meshed in Khurasan. His father died and left two sons and daughters in poverty. Having his own dream to raise his sons to be Sufis, he confided his Sufi friend to take

care of Muhammad and Ahmad. Both then stayed with him and received their education from Imam Ahmad al-Radhkani. There was no date given for the earlier part of his education but as the normal age to school was eleven, one may assume that he was eleven in 1069 (Kraus, 1941).

The life of Al Ghazali mostly examined as the development of his individual personality. Since the 1950s, however, some new attempts appeared to understand his life in its wider political and historical context (Watt, 1963). When his religious confession accepted sincerity, means his thought and work entirely to non-religious factors should be not to reduce carefully. The Al Ghazali's conversion from the life of an orthodox doctor to Sufism may well be was not merely the outcome of his personal development but also a manifestation or transformation of a new stage in the understanding of faith in the historical development of Islam, from the traditional form of faith expressed in the effort to establish the kingdom of God on Earth through the Sharia to a faith expressed as direct communion with God in Sufi mystical experience. This may be a reflection of a development in which the former type of faith had lost its relevance and become a mere formality due to the political and social confusion of the community. During his life Al Ghazali has changed his experiences, and tried to revive the entire structure of the religious sciences on the basis of Sufism, while at the same time arguing for the official recognition of the latter and providing it with solid philosophical foundations.

3.2 Al Ghazali's Thought of Hermeneutics

In Islam Qur'anic text is central source and believed is the literal word of God as revealed to the prophet Muhammad and as foundation for all Islamic knowledge, theology, practice and Islamic law. The centrality then put the Muslims already dealing with hermeneutical situations. In this case, the hermeneutical situation has emerged in the early days of the establishment of the Islamic community, especially when the text of the Qur'an has to be explained, translated, and interpreted in order to understand.

One of the thinkers who contributed to the formulation of classical hermeneutics of the Qur'an is Al Ghazali. For Al Ghazali (n.d), Qur'an is the source of truth in many ways and should be viewed from all sides, because it has many dimensions and can be understood through various fields of knowledge. Therefore, Al Ghazali not satisfied with the existing method of interpretation. Most people ignore the artificial meaning of the verses and the sources obtained by *naql*. Their interpretation is out of control. On the other side, there are those who hold strongly on the artificial meaning and *naql,* hence the Qur'an appears as static and dogmatic precept. Legal and religious conflict between the two is sticking out, even to the extent of infidel each to another. These conditions led Al Ghazali to criticize the method of interpretation that developed in his time.

His concepts of the Qur'an based on Ash'ari theology and Gnostic Sufism. The first assumption departing from the Ash'arite's conception on Qur'anic text as the "nature" of the essence of god while the later looks the purpose of human existence on earth is to realize happiness in the afterlife. The both not solely formulate a conception of Al Ghazali on the Qur'an, but also describes his thinking project as seen in many of his works to "turn on" religious sciences.

According to Al Ghazali (n.d), Qur'an is a source of truth, from any side the Qur'an seen as the substantial truth. On the other hand, Al Ghazali also emphasizes the essence of the Qur'an as Allah's words (*Kalamullah*). As *Kalamullah*, the Qur'an contains the whole meaning of His word, and His Word means his knowledge. *Kalamullah* is singular; covers the entire meaning of Kalam, as well as His knowledge is singular covers all knowledge and un-separable from His slightest knowledge of what is in the heavens and on the earth.

Based on the messages and the purpose of the Qur'an, Al Ghazali classifies the sciences of the Qur'an into two categories; superficial science and essence science. To clarify this issue, according to Al Ghazali, language is a medium can reveal the outer of the text. The effectiveness of languages ranging from sounds level and ends at the plains semantics. Between them there are several other levels, all these levels forming and categorized as superficial sciences. These sciences that formed as letters and sounds obtained based on the phenomenon of al-Quran in the five branches of science. *Makharij al-huruf* (phonology); the science that deals with how to read the text, the linguistic of al Qur'an (philology), science that examines words from all its aspects. *I'rab al-Qur'an*, the science of *Qira'at* and the last, is the Esoteric Exegesis.

In classifying verses of the Qur'an and its resulted science, Al Ghazali uses metaphorical personification language when he talks superficial and essence sciences. In term of Qur'anic verses Al Ghazali uses *Tamtsil* (imagery) such *kibrit Ahmar* (red sulfur), *Yaqut, durar* (pearl), *zabarjud* (gemstone), *Anbar* (perfume), *'ud* (eaglewood), *tiryaq* (antidote), and *misk* (perfume). All these imageries and conceptions point directly to the essence of the Qur'an while the earthly physical cue is the representative of indirect allegoric and metaphoric.

Refer to Al Ghazali (n.d), the verses of the Qur'an are entitled to such designations than actual objects in nature. In this case, the norm being rests is that the spirit and true meaning of these words are applied to the verses of the Qur'an

254 and the science that produces. Here, Al Ghazali interacts with language as a symbol, not as a system of symbols. That is
255 as a set of words that has two dimensions; intrinsic dimension, and outer dimensions or symbol, the meaning of applied
256 language. In this concept, it's not about the nature of the text, because any text can symbolically interpret. Instead, the
257 words can be used refer to the meaning of *malakut* directly. This is what Al Ghazali did when classifying the verses of
258 Qur'an to the *Jawahir, Durar* and others.
259 　　　Al Ghazali departing his Hermeneutic formulations based on the view that ontologically there are two dimension of
260 the nature or structure of the Qur'an: physical and spiritual. Qur'anic text historically was born dimensional orally or in
261 writing in Arabic. Therefore, the essential meaning of the text lies not in the sense of *Harf* (words), but the inner
262 dimensions of meaning in the beginning. For Al Ghazali, understanding the Qur'an is the *ta'wil* which is in the Arabic
263 language means returning to the meaning in the beginning.
264 　　　The structure of hermeneutics in Al Ghazali's thinking described in his *Jawahir al-Qur'an* (Jewels of the Qur'an), is
265 derived from his scepticism, which, like the Cartesian doubt, leads to a rejection of previous knowledge and hence a
266 rejection of pre-given interpretations of the Qur'an (Kamal, 2004). In his interpretation concepts, the meaning of Qur'anic
267 text is assumed to be objective, which is located in a literal sense. The more literally our understanding of the text, the
268 more closer to the message or revelation of God's will. If we want to understand the meaning of the text out of its literal
269 (*harfiyah*) meaning, then there must be *qarinah* or linguistic signs to show it. For example, a shift in the meaning of the
270 *mansukh* to *nasikh*, from general to specific, or from *mujmal* to *mufassal* there must necessarily linguistic signs (*qarinah*)
271 that accompanies it. In this case, the interpreter can-not arbitrarily make a shift in understanding the meaning of the text
272 of the Qur'an without the *qarinah*.
273 　　　Another rule of Al Ghazali's hermeneutics is the literal meaning of the text is unseparated from the hidden
274 meaning. He says in *Jawahir al-Qur'an*:
275 　　　Then, know that the realities we hinted at have secrets and jewels; [but also] they have seashells, and the shell is
276 that which appears first. Some people who reach the seashells know [only] these, while others break the shells and
277 carefully examine the pearls [inside them].
278 　　　Al Ghazali (1983) also argues against those who rely on the external meanings of the Qur'anic verses. In related to
279 the science of reading is the science of the outward exegesis of the Qur'an. This is the reason why its resemblance with
280 the pearl has because strong so that some people imagine that it is the pearl [it-self] and that beyond it there is nothing
281 more valuable than it. It is with it that most people are content. How great are their deception and deprivation for they
282 have imagined that there is no rank beyond theirs! However, in relation to those who possess the knowledge of [other]
283 sciences of the shell, they are at a rank high and noble, since the science of exegesis is mighty when compared to other
284 sciences of the shell, because it is not meant for them while they are meant for it. In this sense Kamal (2004) has
285 summarized Al Ghazali's hermeneutic position as follows:
286 　　▪　In the beginning the commences with a presupposition should be frees from all pre-given structures, rules and
287 　　　　judgments for the understanding of the meaning of the Qur'an.
288 　　▪　It stresses the unity of literal "external" and hidden "internal" meaning of the revealed text.
289 　　▪　To understand the meaning of the text should be relies on mystical intuition. This issue is significant as
290 　　　　intuitive experience for obtaining knowledge and apprehending the meaning of the Qur'an, because nothing
291 　　　　stands between mind and its object in intuition.
292 　　▪　It encourages emotional atonement to the text.
293 　　　According to Al Ghazali (1983), the readers of Qur'an in the preliminary stage when reading it must isolate their
294 mind from all extraneous influences, and focus on the text directly and intuitively. This has four functions:
295 　　-　To free our mind or our understanding from the dogmas of theological schools and from pre-given rules,
296 　　　　interpretations and commentaries of the meaning of the Qur'an. Refer to an authority, this is because a
297 　　　　theological school might be correct in some place, but also it can be an obstacle to understanding the
298 　　　　meaning.
299 　　-　To reject all outward exegeses and literal meanings of the Qur'an.
300 　　-　To free our mind from worldly purposes which weaken spiritual strength and from the desire of materiality
301 　　　　benefits.
302 　　-　To free the soul from sin, because sin one of obstacles to understand the meaning of the Qur'an. This is one
303 　　　　of the fundamental characteristics of a divine text and its authorship.
304 　　　The hermeneutics methodology of Al Ghazali in the interpretation of the Qur'an is based on his understanding of
305 the purpose and intent of the Koran and a long journey in search for the ultimate truth. The method of interpretation is one
306 of the efforts of Al Ghazali in projecting the role and value of the Qur'an in the community in order to put the Qur'an as the
307 supreme source of knowledge and truth. Therefore, efforts need to be to involve in its various disciplines, as a

philosopher, theologian, jurist and Sufi.

Al Ghazali sought to draw on the various methods of evolving into a pattern interpretation. Although he gave the place and emphasize the rational interpretation methods (*bi al-ra'y*), he also emphasized the history of interpretation and attention (*bi al-ma'tsur*). Similarly, even though he was very forward inner side (*batin*) interpretation, he does not ignore the meaning of the exoteric term (*zahir*). Al Ghazali integrated various suppression methods in addition to the terms of the interpretation and the principle in attempt to open the dynamic interpretation of the prospective method, in addition to maintaining the authenticity of the value of the Qur'an.

4. Conclusion

The Qur'an is believed by Muslim to be a divinely revealed scripture over a period of twenty three years between 610 and 632. The scope of this essay is, however, limited to Al Ghazali's thinking. A serious study of the thought of Al Ghazali would lead to a conclusion that the ideas to turn on the religious sciences reveal significant reform in various aspects. To catch the aspects it, can be traced from the first position in the thinking of Al Ghazali to the methodology of Qur'an interpretation. In this case, Al Ghazali has contributed to discourse Qur'anic studies.

The Qur'an has a very broad dimensional interpretation, Al Ghazali then sought to draw on the various methods that evolved into the methodology of interpretation. The interpretation that can be done from the exoteric dimension (*zahir*) through *bi al-riwayah* approach (*ma'tsur*) and *bi al-ra'y* (rational) or from the esoteric dimension (*batin*) through *Irfani* approach, psychognosis approach and intuition (*kashf*). As such, Al Ghazali has combined the harmony of exoteric meaning and an esoteric meaning as well as rational interpretation (*bi al ra'y*) and notice of narration (*bi al-ma'tsur*). He also tried to understand the Quran from various dimensions according to the characteristics of the paragraphs and letters. Thus, it appears that Al Ghazali was an exegete in the creative synthesis. As the synthesis, Al Ghazali has using and gathering various methods of interpretation of the Qur'an that appear in his time. Al Ghazali's creativity appears in its ability to use and put these methods in proportion and places. However, since the knowledge and experience of Al Ghazali in the Sufism field, the pattern of Sufi (esoteric) is very prominent and became first choice in his methodology.

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Images that Speak: Delineating Nigeria's Modernity through the Graphic Configuration of Postage Stamps

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Abstract

Images possess great visual power, because they embody contents which references varying aspects of a person, community or nations existence and history. Ancient civilizations have been constructed by analysing the visual configuration of images to uncover the historic consciousness of the period they where created. Contemporary discourse on the power of images has thus, embraced and emphasised gravity of images as a unique form of communication and medium of research. Postage stamps constitute one of such images with great visual powers; because it's designs reflect specific country designations. This paper focused on addressing one research question; how can the visual configuration of stamps be interrogated as visual reference to delineate the modernity of a nation? Adopting visual analysis as methodology of enquiry, this paper examined Nigerian postage stamps from the 1850s to this contemporary age to delineate her transmogrification from primitivism to modernity. Findings from this study led to the conclusion that, through analysis of the changes in stamp designs which very often is impelled by social, cultural, religious or political forces, the entirety of a nations development can be reconstructed, as postage stamps offer insights into paradigm shifts because they constitute a form of visual documentation of a nation's historic transformation. Through postage stamps as adopted in this paper, Nigeria's transmogrification into a modernity (modern state) is vividly delineated with the changes in designs found to be influenced by colonialism, nationalist activism, decolonization politics and Pan-Africanism.

Keywords: *Modernity, Nigeria, Postage Stamps, Delineate, Visual Configuration, Images*

1. Introduction

The power of objects and images and their gravity in historiographical studies are detailed in fields such as anthropology and the humanities, showing that the entirety of past civilizations can be constructed through the interrogation of objects and images in the context of their creation. The efficiency of such historiographical enquiries has been premised on culture specific meaning making through the reading of composition of artifacts and archeological finds excavated from varying historic sites (Orser 1996: 1). This reference to the field of archeology, is to construct a context of a field entirely successful in employing and revealing the power of ancient images; this thus, galvanizes the hypothesis that images, artifacts and found objects possesses distinct qualities as embodiments of content from whence meaning extensions can be deduced. As Eugene Kleinbauer succinctly opined in '*Modern Perspectives in Western Art History*,' "works of art and images are symbolic and can become that which they symbolize" (kleinbauer 1971: 7). Images and art objects therefore exist as semiotics of events, circumstances, peoples and places at different historic and contemporary contexts. This symbolism of images and objects can only be deciphered through a detailed interrogation of the visual configuration contained in such images or art objects. Douglas Harper writing on the symbolic power of images '*Talking about Pictures: a Case of Photo Elicitation*' opined that, "images produces different kind of information, evokes feelings, and memories that are due to the photograph's or object's particular form of representation" (Harper 2002:24), likewise, Gunther Kress in '*The Grammar of Visual Design*' corroborates this view point that because images or artifacts depicts places and things combined "in visual statements, they foster greater complexities and extension of meaning" (Kress and Leeuwen 1996: 10). It is evident therefore, that, meanings are extended because of the evoking powers of images since they contain certain vital semiotic codes, which elicit varying culture/civilization-specific meanings. To understand why images can elicit extended meanings or evoke certain emotions and feelings or enable the reconstruction of past civilizations as has been demonstrated by fields such as archeology, it suffices to first elucidate the power of images to provide a base for the hypothesis put forward in this paper.

1.1   The Power of Images

An image is defined as a representation of the form of a person or thing in art, such as a painting or photograph. As a form of visual representation of something, images constitute broader categories as drawings, prints, stamps etc. Images possess varying visual powers, representational and even abstractly contemplative as forms of communication and visual connections. They constitute "a language in their own right, not simply a decorative adjunct to so-called true verbal-language…as the visual language of pictures can lead to meaning making" (Olshansky 2008: 16). In '*The power of pictures: Creating Pathways to Literacy through Art',* Beth Olshansky argued that images constitute a form of language on their own, capable of conveying meanings without text. This is because as the study of semiotics establishes, images and art forms (two or three-dimensional), constitute ideograms encoded with meaning as symbolism of things, people, places concepts or ideas. It is this codified form of documentation as eluded to by Olshansky, which accord images as reference objects, the power to communicate to not just a select culture but to even universal audiences.

While images form a coherent form of visual communication, they possess greater contextual powers beyond their role in visual semantics. The making of images, art forms etc., is elicited by varying inspirations (documentation, representation, symbolization, or externalization of abstract concepts) on this premise therefore, images constitute visual embodiments of events, circumstances, achievements, social concerns as well as religious aspirations. They exist as visual documentations of the historic context and consciousness when they are created, capturing the spirit of that age. According to Claire Harrison, it is unique in stressing that an image is not the result of a singular, isolated, creative activity, but is itself a social process. As such, its meaning is a negotiation between the producer and the viewer, reflecting their individual social/cultural/political beliefs, values, and attitudes (Harrison 2003: 57).

Harrison reckons images are products of social circumstances, and social processes, making them a reflection of the individual/people's social, political, cultural, religious, beliefs, values, attitudes and aspirations. It follows therefore that; they act as visual documentation of such aspects of a society or nation's existentialism. Images are capable of incorporating in both realistic, stylized and abstract expression, records of events and societal transformation for future reference for as Eugene Klieinbauer further opined, "works of art or images are immortal" because long after the civilizations that made them have left, such visual forms remain and through them the existence of long lost civilizations can be reconstructed. Another premier power of images is the ability to elicit responses from viewers. Because of the content of images (by content I refer to the visual configuration), they can stir up various responses, emotions, actions and thoughts amongst people. This power of eliciting varying levels of feelings and emotions in images is determined by "their themes, subject context and of their creation" (Freeberg 1991, Gregory 1994, Lomazzo 1584). On the impact of images in eliciting emotions and their ability to evoke even revolutionary consciousness, Halfmann and Young observed in '*War Pictures: The Grotesque as a Mobilizing Tactic',* that,

Grotesque images can produce strong emotions that may increase the resonance of activist movement frames and provide physiological "evidence" of immorality. Such images may also produce confusion and ambiguity that deeply engages readers or viewers and potentially breaks frames...(Halfmann and Young 2010: 1).

What this alludes to is the fact that, the visual configuration of images possesses powers capable of influencing not just people's emotions, but their thought processes and actions. The depicted theme and subject matter is largely responsible for this effect as well as the composition (by which I mean the expressionism: subversive, subtle, contra posture effects) on the images, which can draw viewers and force them into contemplation or connection with an event, occurrence etc. This ability to create connections or draw viewers into contemplative meanings making through themes and subject matter, encapsulate one of the greatest powers of images.

This brief survey of theories espousing the power of images, establishes the certitude that, beyond decorative and aesthetic appeal, images posses strong visual powers and acts as powerful representational forms that elicit various responses from viewers impelling on them plethora of memories, thoughts and actions. Most importantly too, it is evident that as images capture the essence of historical context and societal circumstances, they constitute visual documentations of the spirit, consciousness and aspirations of the context and civilizations when and where they were made; on this premise, images become visual references through which the cosmology, development and history of a people can be constructed hence the rationale for this paper.

As postage stamps are a typology of such powerful images, this paper will explore the visual configuration of postage stamps in Nigeria from its inception in the 1850s and from its content, attempt to alienate the chronology of Nigeria's modernization through the ages, using such postage stamps as references to historical events, development (social, cultural, political and religious). Firstly, in the following section, a brief definition of postage stamp will be provided, followed by an account of the origin and development of digital postage stamps. This will be followed by a discourse and visual analysis of Nigerian postage stamps as the crux of this paper, exploring the visual configuration of such stamps as

reference to delineate Nigeria's modernity; emphasis will be on the power of such images in constructing a coherent account of a nation's development as visual symbolism of modernity. Nigeria's transmogrification from primitivism to modernity, as well as cultural and nationalist political activism will be connected through the visuals on stamps. This paper will then conclude with a summary of findings attained from analyzing stamps as visual symbols and unique methodology of historiographical enquiry.

2. History of Postage Stamps and Context

A postage stamp is a small piece of paper that is purchased and displayed on an item of mail as evidence of payment postage (National Postage Museum n.d). Postage stamps come in rectangular shape although in the past, some have been issued in circular, triangular and pentagonal shapes. They are printed on special paper, show a national designation and a denomination value on the front and, have adhesive on the back. There are a plethora of stamps but the most commonly occurring stamps are definitive stamps (stamps used for everyday postage). The first postage stamps in use where the hand stamps made from wood or cork invented in the 1680s in London by William Dockwra and Robert Murray, founders of the London Penny Post (Lawrence 1995:1). Although many people such as Dr. John Gray, Samuel Forrester, Charles Whiting, Samuel Roberts, Francis Worrell Stevens, Ferdinand Egarter and Curry Gabriel Treffenberg etc., hold claims to the invention of stamps, but the inventor of modern postage paper stamps is Sir Rowland Hill whose ideas of 1937 led to the first adhesive postage stamp the penny black used in the United Kingdom in 1840. Sir Rowland Hill's invention sparked a worldwide adoption of postage stamps for instance, Switzerland 1843, Brazil 1843, United States 1845 etc., and by the 1860s stamps became commonplace.

To many people, postage stamps are just pieces of illustrated paper only worthy of it's function as official payment sign to enables the postage of letters from one place to the other. It is however proven that, the content of postage stamps hold far extensive meanings with regards to their visual configurations and themes in different countries the world over. In the '*Symbolism of Postage Stamps: A Source for the Historian'*, Donald Reid observed that postage stamps posses visual powers as coded forms of documentation and communication even adopted by governments; "postage stamps are excellent primary sources for the symbolic messages which governments seek to convey to their citizens and to the world" (Reid 1984: 223). Various studies corroborate this view point; Raento and Brunn in '*Visualizing Finland: Postage Stamps as Political Messenger'* argue that,

postage stamps are a very political, territorially grounded and yet overlooked part of visual culture…the mundane omnipresence of stamps gives them considerable nation-building power and…reading as political, socioculturally and territorially specific texts offers valuable insights into the evolution and outlook of the issuing state and the imagined community within its boundaries (Raento and Brunn 2005: 160)

Hugo Dobson in '*Japanese Postage Stamps'*, supports this argument, pointing out the power of postage stamps as visual semiotics adopted as "government instrumentalize tool of propaganda to promote their own political ends" (Dobson 2002: 22). This highlights the fact that postage stamps can not be dismissed as mere pieces of design paper with postage functionality alone because the visuals found on faces of stamps are defined by peculiar national designation with depicted subjects ranging from early portrayals of kings, queens and presidents to later depictions of historical events, comics, holiday themes, famous people and a wealth of other subjects; this is why historians and collectors have been drawn to philately (the study of stamps). Although stamp collecting and their study might be a hobby for some people, but it is a vital form of historical reference, as government-issued postage stamps and their mailing systems have always been involved with the history of nations. It is on this premise, interrogating images that speak by espousing the power contained in their (stamps) visual configurations that this paper is situated to unravel Nigeria's transmogrification from primitivism to contemporaneity through the visual documentations found on postage stamps from its inception in the 1850s.

3. Postage Stamps and Nigerian Modernity

In 1852 the postal service was established in Lagos by the British government to facilitate communication and the movement of documents and commodities to and fro the British colony, thus the first stamps to appear in the shores of Nigeria where issued in Lagos in 1852. From the 1850s upwards, stamps portraying Queen Victoria were issued until October 1902. In January 1904 a new design portraying King Edward VII was issued, and was later reissued with different watermarks in October 1905. From 1905 upwards, different kinds of designs began to appear on postage stamps with varying connotative imperatives and through which the historiography of the Nigeria can be reconstructed. The changes in incorporated visuals and design composition provide viable insights through which the political, cultural,

165 social, economic and religious consciousness of designated historical context can be interrogated. In the reading of these
166 postage stamps, a system of categorization into periods will be employed. This categorization is made based on the
167 changes in design and visual configuration and the historical consciousness perceived to be responsible for such design
168 alterations.
169
170 *3.1   1850-1910 Nigerian Postage Stamps (References Colonial Oppression and Subjugation of the Colonized)*
171
172 From 1852 – 1910, the visual configuration of stamps used in Nigeria, exhibits distinct characteristics, which captures the
173 conditions of colonialism, depicting the frosty relationship between Britain and the colony. During this period the graphic
174 configuration of postage stamps issued in both the Northern and Southern protectorates of Nigeria, was dominated by
175 portraits of the heads of the British imperial government (Heads of Queen Victoria, King Edward VII, etc.).
176   This incorporation of the portraits of the heads of the British government on postage stamps indicated clearly the
177 domination and to a large extent the subjugation of the colony by the imperial West; from this visuals one deciphers the
178 flaunting of imperial prowess over its subject and a demonstration of ownership of the colony by Britain. This visual
179 imposition through the design layouts of stamps, shows the strategy adopted to facilitate colonization in which the West
180 impose itself on the colonized as a superior power/civilization to whom the 'Other' must be submissive in order to gain a
181 leeway to development and civilization. The absence of indigenous Nigerians, or any paraphernalia of their cultural
182 existence on these stamps, demonstrates that during the late 1850s to the 1910s, the colony was under intense
183 oppression and subjugation by the imperial powers with all forms of indigenous culture and traditional structure
184 vehemently subverted. It also demonstrates Britain's early views about the peoples of Nigeria; their consideration of the
185 colonized as inferior subjects who must be oppressed using even military force in order to facilitate colonization and the
186 exploitation of the colony's human and material resources. King Edward VII, Queen Victoria, King George V etc., are
187 prominent features on these stamps. This visual imposition references the fact that during this period, Nigeria in every
188 respect, was totally under western colonial subjugation and that the West barely had humane consideration of the
189 colonized besides the veiled politically inclined missionary propaganda forced on them as a result of the abolition of slave
190 (see figure 1-2).
191

192
193
194 **Figure 1:** 1852-1910 stamps showing the dominant imposition of portraits of kings, queens and colonial officers,
195 (flaunting of imperial prowess to subjugate the colonized
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198
199
200 **Figure 2:** Close-up of 1852-1910 postage stamps in Nigeria (colonial domination)
201
202 The vital question is, what inspired and how influential was such visual imposition through these postage stamps? The
203 rationale for this visual imposition and flaunting of imperial prowess is simple; during the period 1850-1910, British
204 colonial administration faced fierce resistances from various ethnic groups and certain powerful Nigerian kings and such
205 resistances hampered their exploitation of the colonies resources which led to the imperial government wedging warfare
206 to dismantle such resistances (Colonial Reports 1901). They successfully overpowered and subverted various kingdoms
207 in the region through military force, which they justified by branding 'expeditions'. Notably amongst such display of military
208 prowess was, the Lagos bombardment of 1951, the Benin Expeditions of 1887, the Ijebu Expedition of 1889 and the Aro
209 Expedition of 1901. Thus, buoyed by their military successes at dismantling local resistance, the imposition of portraits of
210 kings and queens on Nigerian postage stamps became a visual assertion of their dominance and reminder to the
211 colonized of the prowess of the imperial military wherewithal. This explains the dominant imposition of the portraits of the
212 heads of imperial government on visual forms in Nigeria as seen on these postage stamps; as Shearer West points out in
213 'Portraiture' portraits possesses great influential powers hence they have been deployed for centuries as a form of
214 imposition of the powers of kings and queens and political tools to keep the governed in check as subjects to
215 administrations and rulers (West 2004: 27). This entails therefore that, circulation of portraits of imperial powers and
216 those in position of authority as was the case in the dominating appearance of queens and kings portraits the very heads
217 of the imperial government, was intended to assert Britain's ownership of the colony, visually enforce obedience from
218 subjects while celebrating the powers of those depicted in such images or visual forms. Nigerian postage stamps
219 between 1850s-1910s, thus, clearly references a period in her history, characterized by domination, discrimination,
220 imposition and subjugation of indigenous peoples by the West.
221
222 *3.2   1910-1955 Nigerian Postage Stamps (References Rise of Indigenous Political and Nationalist Consciousness)*
223
224 Between 1910-1955, stamps exhibited remarkable changes in design and their visual configuration, as well as varying
225 alterations to themes and subjects matter. Two major visual changes based on themes and subject matter surfaced and
226 from such changes, one can decipher the historical context and consciousness when there were distributed; firstly the
227 imposing portrait of the Queen reduced in proportion and in most cases only her crown was incorporated in design
228 compositions; secondly, these postage stamps began incorporating Nigerian cultural themes that is, it began showcasing
229 images of her topography, symbols of Nigerian culture and identity as well as captured in stylized symbolism the
230 consciousness of the period. Based on these transformations in the visual configuration of the postage stamps between
231 1910-1955 a unique phase in Nigeria's modernity can be traced.
232   By analyzing the graphic configuration of these postage stamps, it is apparent that, certain political, economic and
233 foreign cataclysmic forces etc. were responsible for the observed radical transformation in designs and themes. From
234 1900 the conglomeration of returnee Africans from Free Town, Brazil and other parts of Europe from their slavery sojourn
235 as a result of the abolition of slave trade, who had returned in the 1860s, as well as the rise of elite Nigerians trained in

236 colonial schools and the West, and the rise of influential elite business men, led to the formation of powerful pressure
237 groups in Lagos which began mounting varying levels of resistance to western oppression, and tailored discrimination of
238 Africans. Pressure groups such as the 'People's Union' headed by Dr J K Randal midwifed various resistance activism in
239 Nigeria for instance the Lagos strike, agitations against the exclusion of Africans in the Lagos Chamber of Commerce, the
240 domination of whites in the Legislative Council and the conscious exclusion of educated elites from the council by the
241 West. This rise of Nigerian elites, elicited within Nigerians the clamor for recognition on equal par with any other race as
242 oppose to been treated by colonial administrations as mere uncivilized subjects. These elites and pressure groups
243 mounted stiff opposition to what they considered oppressive and discriminating colonial policies and went further to send
244 delegations to London to champion the fight against colonial racism demanding from the imperial government the
245 recognition of Nigerians and better treatment of her peoples. During their activism in the west, leading Nigerian nationalist
246 came in contact with Pan-African movements, which preached pride in the African self and identity as mode of resistance
247 to inequality, which defined imperialism and colonialism.
248 A close interrogation of the visual configuration of theses stamps between 1900 –1950s indicates clearly that such
249 changes were influenced by indigenous agitations and the fact that such elite activism did lead to western renegotiation of
250 its treatment of the colonized peoples of African not just Nigeria alone. One can see from these visuals that such local
251 activism, as well as global Pan-Africanism, Nationalism and anti-slavery propaganda with strong influences from the Us
252 and Paris, influenced the imperial government in Nigeria who began adopting a more accommodative approach to the
253 governance of Nigeria, recognizing her land and peoples. These changes are captured in postage stamps as evinced by
254 the appearance and incorporation of Nigerian landmass, cultural heritage and paraphernalia, juxtaposed with a reduced
255 image of the Queens portrait or her crown (see figure 3). These postage stamps, therefore, captures and references this
256 historical context documenting in visual form the political consciousness and paradigm shift which forced the West during
257 this period to recognize the colonized and their land.
258 These postage stamps equally captured aspects Nigeria's modernity by which I mean the progression from the use
259 of traditional institutions to the adoption of universal modern institutions and structures. During these period as can be
260 read from these stamps, Nigeria experienced widespread transformations most significantly the boom in agricultural
261 production (large-scale production of cocoa, cotton, rubber, palm oil etc.,) as main export commodities for the nation's
262 growth development and stability. This was because, influenced by the Pan-African clamor for self-pride to facilitate
263 decolonization, Nigeria elites encouraged agricultural production, which was promoted by the colonial regime to enable
264 the sustenance of the nation as a self-reliant modern entity and these telling images effectively captured this matrix.
265 Nigeria experienced widespread modern infrastructural developments, which reflected the establishment of varying
266 modern strata of government, visually asserting the replacement of traditional structures of governance destroyed by
267 colonial agency with modern structures as a variant of modernity; furtherance to this, as a result of economic boom, the
268 Lagos railway established in 1898 with the Baro-Kano railway was amalgamated in 1912 and commuting made easy;
269 crude oil was discovered and the first early refineries established; Nigeria had emerged as a modern nation and this is
270 referenced in the symbolic images (graphic configurations) of these postage stamps (see figure 4 below).
271 Analyzing these postage stamps equally indicates a significant turn of events during this period; as a result of the
272 advocacies of Nigerian leaders and nationalist at global events, there was more global recognition of Nigeria as an
273 emerging modern state. Nigeria began engaging in global affairs making her voice heard; contributing to global issues as
274 clearly visualized in the graphic configuration of these postage stamps between 1910-1955. It is overtly clear therefore,
275 that these postage stamps hold in them key information of political activism which occasioned changes in the way Britain
276 related with Nigeria and records of Nigeria's economic and infrastructural development and her engagement in globalism
277 from this period; hence these stamps act as visual guide of the historiography of her modernism.

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291
292 **Figure 3:** 1910-1955 postage stamps showing reduction in the imposition of the portraits of heads of imperial government
293 on Nigeria and the incorporation of Nigerian cultural heritage and paraphernalia
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296
297 **Figure 4:** 1910-1955 close-up postage stamps indicating the celebration of Nigeria (advancement, identity, culture and
298 aspirations)

3.3   1955-1975 Nigerian Postage Stamps (References Political Resistance, Anti-colonialism, Rise of Nigerian Elites, Independence, Decolonization, and Globalism)

1955s onwards, witnessed another dramatic changes to the graphic configurations of postage stamps, most notably was the complete disappearance of the portraits of the queen of England and head of the imperial government from the design of these stamps not even the symbolic queen's crown visible in the stamps of 1940s. Firstly there is in these postage stamps great emphasis on the nation, showcasing varying visuals esoterically Nigerian in identity, a form of celebration of Nigeria as a Nation. Imagery and ideographs of cultural heritages, Nigerian topography, and modern advancement etc., take up spaces in these postage stamps; spaces formally dominated by portraits of the queen and kings of England. The portraits of kings and queens or paraphernalia of imperial ownership were replaced with the portraits of elite Nigerians, politicians, and nationalist. This emphasis on the promotion of Nigeria as an emergent modern state, and promotion of Nigerians as modern elites on par with any other in the world, indicated shifting paradigms of power with the assumption positions of authority and control of the land by indigenes. Also evident on postage stamps from 1955-1975, their visual configurations captured various landmark events that had taken place nationally and internationally. Civil, social, military etc., events that had direct or indirect links and influence on the emergent Nigerian state are visualized on these stamps. Overtly, as these new designs indicate, the emphasis was on Nigeria, her people, development, aspirations and association with the wider union of nations.

This leaves the question begging as to what occasioned or warranted such radical creative and visual revolutions in the design of stamps during this period. The answer of course lies and can be deduced from the visuals of such stamps, which on closer examination serves as a window into the historical consciousness and that context in Nigerian history. The 1950s was the crescendo of *Nationalism* and *Pan-Nigerian* political and cultural activism with intense anti-colonial, anti-European and decolonization advocacies spread across the country as Nigeria was on the verge of independence. Nationalism activism influenced by the doctrines of *Pan-Africanism* and *Negritude*, promulgated cultural revivalism and affirmation as modernist propaganda to facilitate resistance to the imposition of Western European culture and conventions on Nigeria (Africa) during the dark ages of colonization (Okeke-Agulu and Picton 2006: 26). In essence, promotion of indigenous culture (by culture I mean including its paraphernalia: identity, food, dresses, arts, dance, music, beliefs), was envisaged to subvert western oppression and subjugations in Africa as a whole; it was to serve as a visual statement of pride, of self-hood and a reminder that Africans had come of age and are and should be treated as equals with any other race in the world. It is apparent therefore, that the visual configurations of these stamps from 1955 in their incorporation and projection of Nigerian cultural forms, the Nigerian state, etc., resonate the political consciousness of the period in Africa's resolve to foster anti-Europeanism and anti-colonialism through the promotion of her culture and peoples. These stamps captured the political sensibilities of that historical context through their various incorporation of Nigerian cultural forms, they provide an aperture through which larger connections can be made of Nigeria's nationalist advocacies and as exhibited in this promotion of the doctrine and ideologies of *Negritude*, showcases Nigeria's connection with black consciousness movements throughout the world during that period.

The dominant incorporation of the portraits of African elites, intelligentsia and leading nationalist and most significantly their replacement of the portraits of Britain's Queens and Kings on these postage stamps, reveals a greater meaning when read in the context of the period; visually indicating a shift in power in colonial Nigeria during the 1950s. During this period especially towards late 1950s, Nigeria had worn the war against colonial oppression and subjugation through radical activism led by Nigerian nationalist who became the heroes of the nation and modernists championing the course of Nigeria's launch into postcolonial-selfhood. The portrayal of these elites in these postage stamps was a celebration of their victory against colonialism, against western domination and against cultural imposition in Nigeria. The visual configuration of these postage stamps therefore, showcases 1950s Nigeria's political consciousness, (celebration of indigenous nationalist victory in the fight for decolonization) and the role of the elites in the emerging modern state. These paradigm shift indicated in design changes reveals a remarkable shift in allegiances during that decade; as opposed to relying as subjects on Western imperial colonial powers, Nigerians began looking up to the nationalist and elites as leaders on which laid the responsibility of leading them upon the attainment of independence in 1960 into postcolonial self-hood. These postage stamps, capture clearly the overthrowing of the colonial regime in Nigeria and the fading of colonial grip with its subjugate policies on indigenous people and their country (see figures 5-9).

Figure 5: 1955-1975 Postage stamps celebrating of Nigerian identity, culture and modern development

Figure 6: 1955-1975 Postage stamps: celebration of Nigerian elites, Nationalists and success in facilitating decolonization

Figure 7: 1955-1975 Postage stamps: indication of Nigeria's involvement in global affairs beyond her shores, a variant of her modernity and record of Social events.

Figure 8: 1955-1975 Postage stamps: Recording social events – Capturing the dark ages of Nigerian civil war in the 1960s and exposing the adversities of the legacies of colonialism

Also, the stamps that appeared during this period, recorded national and international social issues relating to health, sports global concerns etc. These changes in design and the incorporation of themes beyond the shores of Nigeria clearly indicate that, from the 1960s onwards as Nigeria attained independence, she became part of a global community of nations and Nigeria was now concerned with social issues within and beyond her shores. This engagement in the affairs of the wider global world indicated a variant of modernity capturing Nigeria's modern civilization; the Tokyo 1964 Olympics, issues in the USA, space missions, and other global concerns etc., are captured in these postage stamps.

Most notable amongst issues visualized in these posters besides sports and health concerns, was the Nigerian civil war. The designs on the postage stamps during the 1960s provide references to the dark ages during that period; they capture the cruelty of war, destruction of lives and properties, and the suffering of the masses in Nigeria (see figure 9 above). These stamps paint poignant pictures of the divisibility; tribal allegiance, unrest, political skirmishes and more so the legacies of colonialism, which to a large extent was the cataclysmic, force that impelled the civil war. As aforementioned, reading into the visual configuration of these postage stamps of the 1960s, provide great insight into the unrest of the decade; clamor for authority, secession of part of the country as a result of national unrest, poor leadership at the center and also the fact that Nigeria's unity was already in danger, exposing the flaws of the system of governance imposed on Nigerians by fleeting imperial forces.

3.4   1975 - Contemporary Age

The conceptual premise for postage stamp design set in place from the 1970s, dominated the graphic configuration of stamps from that decade and became a template upon which design layouts of stamps till date is based. From the late 1970s, stamps became more of records of social events, contemporary issues, celebration of political leaders and on rare occasions, celebration of the Nigerian state. This trend indicates a complete transformation from what was obtainable in the 1850s when the first stamps were distributed in Lagos. This indicates that, through a careful interrogation of the graphic visuals in stamps, as has been the crux of this research, the modernity and civilization of a nation state can be unveiled as is the case with Nigeria because design changes are largely impelled by social, political, cultural and economic circumstances.

4.   Conclusion

Postage stamps as imagery contributes to the construction of national narratives, and such national narratives can only be constructed when stamps are "read as multilayered, identity-political texts in their time- and space-specific contexts" (Raento and Brunn 2008: 75). When this occurs, through postage stamps, the evolution of a state from primitivism to modernism, as well as the varying political and social relationships and activism/advocacies during a society's development can be reconstructed. This viewpoint is underpinned by the fact that, postage stamps constitute a vital art form symbolic as a medium of visual documentation of historical events/circumstances. Because of their national

405 orientation, postage stamps can therefore delineate national histories, development, activism and consciousness through
406 out the ages. In the context of the discourse on the power of images therefore, the interrogation of the graphic
407 configuration of postage stamps can contribute to art and cultural scholarship since they extend meaning and evoke
408 culture or nation-specific sentiments.
409   This paper explored the visual configuration of Nigerian postage stamps from the 1850s to the present age. The
410 focus was to examine the changes in designs on such stamps as visual references or guide for alienating the evolution of
411 Nigeria from her encounter with the West to this present age. This paper analysed the visual configuration of stamps in
412 periodic historical contexts to recount issues relating to colonialism, nationalism cultural agitation, the rise of the colonial
413 elites, Nigeria's emancipation and self-expression, which transpired during the nations' transmogrification from primitivism
414 to modernity. By interrogating the transformations in designs and contents of composition layouts, a historic account of
415 the development of Nigeria as a nation was constructed, with postage stamps acting as semiotic references.
416   This paper concludes that, in the discourse of the power of images, postage stamps constitute a great reference
417 for such line of enquires because of its power to evoke historiography and enable the reconstruction of a nation's
418 evolution through the ages, through the visual configurations of their designs. It is apparent from findings that, the designs
419 on the faces of postage stamps, are symbolic visual documentation of historic circumstances, consciousness and
420 development imbedded in representational, stylized or abstract forms to act as future visual references for a nations'
421 history. Beyond the construction of past histories as this study has demonstrated in delineating Nigerian modernity,
422 postage stamps can evoke varying responses and thought processes within the masses based on the themes and
423 subjects referencing culture-specific national events and circumstances. Thus, this study contributes significantly to
424 contemporary art discourse on interrogating images as a medium of research into history. Conclusively, this paper
425 asserts that through themes and subjects captured in postage stamps, the cultural, religious, political, infrastructural,
426 economic and social evolution of a nation can be delineated providing semiotic meanings extensions beyond other
427 means of documentation.

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The Representation of Emperor as God in Byzantine Mosaics and Frescos

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Abstract

The present paper focuses on the representation of Byzantine emperor as deity in the mosaics and frescos. Though there were many hesitations concerning the representation of divinity in visual images, it was considered that the figural art was able to express the sacred. Much interest was given to human body, which after the initial consideration as the locus of corruption, becomes gradually considered as the instrument reaching the divine dimension. The tangible piety gradually is regarded as a vehicle for the disclosure of the divine. As Byzantine emperor was considered to be a correspondent of divinity on earth, the artists who aim at representing a sacred dimension develop some techniques and elaborate some motifs that will reveal the emperor as holding and transmitting the transcendental.

Keywords: Byzantine mosaics and frescos, Christian figural art, Human as Divine, Divine Monarch.

1. Introduction

In most cultures, a work of art is appreciated by people primarily for its visual value, whereas its spiritual dimension is often disregarded. In the Byzantine art of painting, however, both the visual and spiritual dimensions are preserved. Especially the Byzantine style of mosaics and frescos can depict the invisible dimension of the spiritual. The Byzantine artists did not limit themselves to the representation of the visual aesthetics of their era, but they also tried to include into their works the philosophy and the essence of the imagination concerning their beliefs.

In a world in which stone, wood, metal and other palpable matters are visible to eye, it becomes quite difficult to represent the notion of invisible and untouchable on two-dimensional space by visual methods of perceiving. It becomes even more difficult to illustrate the spiritual dimension by using terrestrial elements.

In order to explain the terms "spiritual" and "divine" in relation to figural representation, it is first necessary to explore the origins and philosophy of the Byzantine art of painting.

2. The Origins and Philosophy of Representation of the Byzantine Emperor as Deity

It has always been fascinating to observe the way in which the emperor is conceived as God by the Eastern Orthodox Church and its subjects. Apparently, it might seem a paradox within the Christian religion, since it is based essentially on the doctrine of modesty and piety, and it becomes totally unexpected to see the visual representations of the mosaics and frescos on the walls of Christian churches presenting their emperor. The solemn figure and the awe-inspiring character of the emperor represented in his official patronage is impressive, but mostly remarkable is the depiction of the light of divinity which encircles the emperor's head.

However, this representation of the ruler as God does not originate in the Byzantine culture. Its roots trace back to Oriental cultures, as to mention just Egypt and Persia. The Egyptian pharaoh Amenhotep IV, the first ruler who proclaimed monotheism, viewed himself as a god, and the visual representations on the clay tablets as well as on the walls of the temple represent the figure of the pharaoh encompassed by the golden rays of the sun.

In Persia this idea of the divine monarch developed and continued. In the times preceding the prophet Zoroaster, the Persian ruler possessed *hvarena*, which was considered to be a kind of awe-inspiring glory received from the God of Light. In the visual representations this ruler is surrounded by a luminous *halo* of kingly glory. The radiant diadem around the king's head and the glimmering robes worn by the king emphasized the divine origin of the ruler.

The Persians believed that the microcosm signifies the man and is represented similarly to the four estates of the world, so that the head coincides with the estate of priests, the hands coincide with the estate of warriors, the belly corresponds to the estate of cultivators, and respectively the feet correspond to the estate of artisans. According to this

belief, God – the creator of mankind – has enforced a social order in which the head should rule all the limbs. The most fervently applied religious cult of the Persians, Zoroastrianism, is based on the dualism of good and evil god. The prophet Zoroaster taught his disciples "to uphold the cause of the god of light with ritual and moral behaviour, a head laid a messianic deliverance, the resurrection of the dead and life everlasting after judgment" (Krassel, 2009, p. 297). The kings of the Orient, thinking that the divinely wisdom was given to head, implemented the extreme dualism of Zoroastrian cosmology into the social and political order.

Since many of the notions of Persian and Egyptian culture were inherited by the Greek philosophy, it would not come as a surprise to discover that Aristotle considered that the ideal image of the king should be the earthly equal of Zeus. Following the Persian model, the Hellenistic monarchs assumed this perception of a divine king. In a surprising anthology of essays on kingship, dating back to the 6th century A.D., its author John Stobaeus gathered the ideas of some ancient philosophers belonging to a much earlier period. In this book we see that "'Archytas' declares that the king is animate law. 'Sthenidas' declares that the wise king is the imitation and the representative of God. 'Diotogenes' declares that as God is in the universe so the king is the state, and he adds that the state is an imitation of the order and the harmony into a god among men. Still mere significantly, 'Ecphatos' say that the *logos* of God, which sows the seeds of order and visits man to restore what has been lost by sin, is incarnate in the king.* Some time later Plutarch takes this up. He says that God has set up as His image in Heaven the sun and the moon, and in earthly polities a similar copy and radiance, the king, who should have as his guiding principle the *logos*" (Runciman, 1977, p. 21).

The same idea was adopted in the Roman Empire, mostly through cultural and political relations with the Oriental civilization. Due to these relations, there emerged completely new theories and perceptions of life, which led to the creation of new concepts, the most important ones being the concept of a conqueror-emperor and that of a divine monarch. Although the Roman emperors became Christian, they did not hesitate to impose on their subjects the idea that their emperor was a god. They have changed the ritual and the visual techniques of the preceding cultures to fit their new religion. Nevertheless, this ritual was used to represent primarily the emperor's sacred nature. The Christian cosmology's own dualistic tendencies proved extremely efficient when the emperor presented his deeds as divinely ordained, whereas the adversaries as demoniac.

The Byzantine culture represents the synthesis of all these earlier influences, but it will take its own course of development especially after the conversion of the emperor Constantine to Christianity and the transfer of the capital from Rome to the ancient city of Byzantium at the end of the Bosphorus, which was later renamed as Constantinopole (modern Istanbul). From now on the name of this city started to be associated with the art and civilization that has grown and refined under Christian and imperial patronage.

The Byzantine Empire, as a political continuation of the Roman Empire, preserved the governmental system within a theocratic Christian state. This historical, political and religious peculiarity gave rise to a new, unique art which was no longer Roman.

3. The Debates Around the Representation of the Divinity in the Byzantine Art

The Byzantine art is especially noteworthy for the mosaics and frescos which decorate the interiors of the churches. Most of the Byzantine churches had a special program of decoration. The mosaics were regularly formed on uneven surfaces, so that there would be an opportunity provided for the little pieces of shimmering gold or glass to be caught by the sunshine or the light of the candles, by which creating an almost celestial brilliance. The depiction of Christ as a judge giving his blessing with his right hand raised or pointing to the Gospel book is likewise impressive. The purple robes of Jesus, which signify his divine status, Christ holding a jewelled crown to Saint Vitale, as well as the lavish use of gold in the background give the impression of opulence and sumptuosity. This unexpected custom of adorning the interior walls of the churches aimed at overawing the spectator "by means of an inconceivable splendour which would, when combined with the impression produced by the chanting, the vestments, and the wealth of the relics, leave him spellbound and astounded" (Talbot, 1962, p. 79).

For the Byzantines, the religious services preserved something from the ancient Greek theatrical performance, namely its blend of beauty and ceremony. Therefore, the display of the rarest beauty in the church on such a grandiose scale by the Byzantine artists had both an artistic and a sacred function. In the Byzantine churches,

all the arts were made to collaborate: the monumental architecture, the mosaics and paintings on the walls and vaults, the pictures, the liturgical ornaments and vestments, the ritual and the chants, the words and the melodies – all were designed to give aesthetic delight, and thus raise the soul to God. Byzantine ritual was characterized by what has been called 'mystical materialism'. Material splendour was used to put across mystical ideas and to lead to God through aesthetic experiences. (Tatarkiewicz, 2005. p. 36)

110   This display of splendour produced both by the sacred ritual and the artists in the Byzantine churches was
111 interrupted by a fierce religious dispute, known as Iconoclastic Controversy. It was insisted upon the fact that the Bible
112 prohibits the representation of sacred images and that, in creating images, the artists make use of the creative act which
113 belongs to God alone.
114   This hostility towards art was caused mostly by fear of idolatry than by the figural art per se. Since Christianity
115 developed from within a cultural background in which temples and images were a commonplace, the Christian apologists
116 were much eager to condemn the idolatry. It was considered that the figural art represented the "soulless" and the "dead",
117 whereas the Cristian ritual of worship was admirable especially because it was spiritual (Finney, 1994, pp. 15-39).
118   In the Christian environment, the protest was directed against the pagans who worshiped images of their gods and
119 philosophers. The conflict increased with the dilemma centred on the human capacity of representing a spiritual reality
120 and also on the possibility of a dead matter to represent a living reality. The impasse pointed to the lack of necessity of
121 worshiping any images of gods and that the people willing to worship could look to heaven for it. In this respect, Arnobius
122 of Sicca (fl. Late third century), questioned whether gods would fail to see that they were being worshipped by people
123 without being represented on images. He insisted that none of the images produced by the artisans from earthly, thus vile
124 matter, would prove the capacity to represent the unearthly and the sacred. Therefore, Arnobius of Sicca asked whether
125 there is any meaning in making these images (Arnobius of Sicca, 1949, pp 460-67).
126   Hostile commentators raised multiple questions concerning the representation of the sacred in the visual art. The
127 most persistent theme of these comments consisted of the superiority of spirit over matter. Primarily, it was considered
128 that the material things, partially due to their matter and partially due to the fallibility of the craftsmen who make them, do
129 not represent suitable channels for expressing the sacred or a ritual of worship. Second, the pictures made by the
130 artisans were pointed to be indeterminate, since how was one supposed to make a corporeal image to an incorporeal
131 being. Moreover, in the context of this vague representation, the problem extended to the meaning which is produced by
132 the image and which would have an impact on devotion.
133   Although the circumstances for the emergence of the Christian figural art were unfavourable, the fascination with
134 the visual representation, already as early as the fourth and the fifth centuries, turned into a genuine flourishing of art in
135 various forms, such as sculpture, fresco, painting, mosaic, glass, and even metalwork. Gradually, in some private spaces,
136 various abstract symbolic representations of biblical scenes appeared. The Cristian artists strove to represent more and
137 more subjects from Scripture and even the figure of Christ Himself. After the proclamation of Christianity as a legal
138 religion, many patrons, accustomed to richly decorated spaces, were tempted to offer space and opportunity for artistic
139 talent, so that their elegant mansions became ornamented with paintings, mosaics and glass. Later, the rich mosaics,
140 frescos and paintings moved to decorate the interiors of the Christian church.
141   Various explanations have been provided for the created situation. Some scholars pointed to the combination of
142 the popular superstitions with the persistence of pagan rituals in an unholy compromise between the sacred and the
143 profane, or that the Christians adjusted some of the motifs and themes of the imperial art to their own use (Ladner, 1953,
144 pp. 1-34). A current view is based on the assumption that Christians grasped the art as a medium for "providing spiritual
145 readings of the Old Testament and, hence, for rendering spiritual exegesis accessible. (…) Pictures could render the
146 Jewish story intact and, at the same time, reveal its hidden significance" (Kessler, 1992, p. 54). In other words, Christians
147 tried to deliver the words of the Old Testament in pictures and images of their own making. This Christian art emerged
148 and proliferated rapidly, although it also appropriated much from the pagan tradition in terms of style, theme, motif, and
149 technique of production.
150   In this background of hostility towards the Cristian art, there was also a powerful tendency to defend this newly
151 emerging art. By the fourth and fifth centuries, the Christian figural art developed extensively. The sacred image
152 cultivated its own conception of divine presence. Among those who encouraged this form of art is St John of Damascus
153 who explains that "when we venerate images, it is not veneration offered to matter, but to those portrayed through matter
154 in the images. Any honour given to an icon is transferred to its prototype" (John of Damascus, 1980, p. 89). The aim of
155 image is to serve as a pathway which leads to the prototype. In a way, the prototype is accessible when it is present in an
156 image. Moreover, as St Simeon puts it, "When we see the invisible through the visible picture we honour Him as if He
157 were present" (Kitzinger, 1976, p. 153). In the same line, Pseudo-Denis explains that "we are led up, as far as possible,
158 through visible images to the contemplation of the divine" (Pseudo-Dionysius, 1987, 145). In a way, for many people, the
159 image grew into a point where anagogy met theophany. As heavenly grace and blessing was transmitted downward,
160 similarly the spiritual energy of the viewer was expected to be channelled upward. An image, therefore, became capable
161 to represent and even to mediate the contemplated thing to the observer. Certainly, the Neoplatonic thought contributed
162 greatly to the collapse of the barrier which detached the image from the represented thing.
163

4. Defining Divine Presence in the Byzantine Art

The concept of dualism of existence between the antagonistic forces of good and evil, inherited from the philosophy of the Orient, accommodates itself in the Cristian religion, developing into the dualism of matter and spirit. The dualist vision of human creates the antagonism between body and soul, represented as a fight between the matter and the spirit. In the Christian culture this antagonism has been resolved by the triumph of the spirit over the matter. The hostility towards the matter – seen as the locus of the evil – led to a diminution of value of the material forms and to a loss of interest in their development, a fact which had a great impact on the course of medieval art.

Nevertheless, the great fascination that the ancient Greek artists had had for the human body managed to pervade into the Byzantine culture, although in a considerably modified artistic representation. In the Christian culture, the human body is not appreciated for its evocation of beauty, which signified the completion of the idea of harmony in the matter. Instead, the human body was represented in the Byzantine art for its quality of evoking a new reality which is the spiritual dimension and which transcends the matter. Around the fourth century, the religious significance of the material world gradually became re-evaluated, so that the material world, especially the human body, was considered as an instrument of reaching the transcendental. The shift occurred from "sensory austerity" to a tangible, "palpable piety", as the sensible world started to be regarded as a vehicle for the disclosure of the divine (Harvey, 2006, p. 46, 58). As Harvey suggests, the human body "gained worth for Christians as a means for knowing God" (Harvey, 2006, p. 46).

This movement from the concept of human body as the locus of evil to the concept of human body and its sensorium as the locus for religious epistemology was slow and met many obstacles. On one hand, there was a positive attitude which insisted on the fact that body could function as "self" in the process of transfiguring the being towards its true status as image of God. On the other hand, the negative attitude revealed the impossibility of transfiguring the human being in the present, due to the embodiment *per se*, which is subject to decay, special limitation, and moral imperfection. In other words, corporeality was poised on the boundary line between the visible and invisible, intelligible and sensible.

The Neoplatonists, and especially Plotinus, contributed to the establishment of the new aesthetics which is based mostly on the idea of spiritual perception. Plotinus insisted that the divine could not be materialised in two-dimensional representations. Corporeal presence is opposite to the idea of incorporeality of the divine nature. Therefore, to him, the visual representation of the divine nature could be transposed in a picture by transferring its significance into an iconographic symbol.

The concept of image as a prototype representation entered into Byzantine theology and then art through Plotinus and the Christian Neoplatonists, and became a fundamental aspect of the Eastern Orthodox worldview. The essential part of this philosophical tradition correlates the definition of the symbol with the idea of non-conceptual information, carried by the image. St Dionysus the Areopagite, the one who promoted this idea in the Christian world, speaking of ontological hierarchy and the transfer of knowledge, claims that "those beings and those orders which are superior to us (…) are incorporeal and (…) their hierarchy belongs to the domain of the conceptual and is something out of this world" (Pseudo-Dionysus, 1987, p. 197). But the human hierarchy is suffused by a diversity of visible symbols which conduct us hierarchically, according to our capacity of unified deification, to "the oneness and deifying simplicity of the Father" (Pseudo-Dionysus, 1987, p. 145). Pertinently, superior beings comprehend as pure intellects, whereas the humans are conducted, as far as possible, to the contemplation of the divine only "by way of perceptible images" (Pseudo-Dionysus, 1987, p. 145). In this manner, it is suggested that the symbol cannot be grasped by human reason; however, the divine truth is incorporated in the symbolic form. As a consequence of the above mentioned aspects, the assertion that the image is a symbol confirms that the image is the most competent form in which the truth is revealed to man.

Given that a visual representation may contain divine presence, the Byzantine artists used paining as a means of reaching the divine. The artist was not preoccupied by the representation of certain aspects of human form, but mostly on its essence. The essence was identified with the idea, or eternal prototype. In the Byzantine art of painting, the temporal forms suggest a correspondence to the prototype. The purpose of the Byzantine theological art was to fix the mind of the beholder on the prototype, to direct his attention to the eternal and, consequently, to raise his mind to the contemplation of God. It was considered that art was only a means, not an end; its real purpose was to establish a contact with the divine, which was available through the contemplation.

5. The Representation of Human as Divine in the Byzantine Art

In its long history, the Byzantine art remained faithful to a number of stylistic principles which provided its unity and originality. The representation of the human being was a constant preoccupation in the Byzantine art, although its relation

218 to reality and the perception of the beholder endured profound modifications. In a way this art gave an artistic expression
219 to the correspondence of the image between man and God, since, as Eugene Kleinbauer claims, without ever quite
220 giving up the natural substratum of the human body, it manages negatively by dematerialization and positively by mood
221 and manner to express through bodily form the presence of the immaterial soul, and the whole realm of the spirit to which
222 it belongs. (Kleinbauer, 2001, p. 437)
223   The Byzantine type of the holy man corresponds to the image of the human being which is purified of matter and
224 placed at a great distance from the ordinary man. This aspect becomes visually suggested by the isolation of the holy
225 man into a supraterrestial space, indicated by the high line of the horizon and the nature which, by its irreal depiction, is
226 full of grandeur. This image of the holy being, in his harmonization with nature and with human being, predominates in the
227 Byzantine mosaics and paintings of Ravenna and Istanbul.
228   Another aspect in the depiction of the body image in the Byzantine art is connected with its resemblance of and
229 difference from reality. The resemblance of the image and reality, most frequently imagined, had the purpose to confer
230 the value of prototype to the upcoming representations so that the image had to be recognizable. The difference from
231 reality was necessary to convey the symbolic value of the image; the abstract representation could evoke better the
232 elevation of the spirit to divinity.
233   This ideological principle was transformed by the Byzantine artists into a stylistic principle, which ensured a
234 harmonious relationship between the abstract and reality. The artists of the Byzantine mosaics and paintings, in their
235 tendency toward abstraction, tried to dematerialise the body by flattening it, by covering it with elaborate drapery. In the
236 representation of the figure and the physiognomy, the shimmering diagrams suggest the radiance of the divine energy in
237 a God governed universe. The sacred dimension is also suggested by the grandiose corporeal proportions, the static
238 physiognomy and the splendour of the bright mosaic's glitter.
239   The religious character of the Byzantine art of mosaic and painting did not prevent the manifestation of the artistic
240 imagination and personality of the artist. The historical development of the Byzantine culture and empire led the artists of
241 the period to shape their imagination in the outstanding mosaics and paintings representing the emperor in the hypostasis
242 of God. In the centre of the mosaics representation stand the emperor and the empress in the splendour and luxury of the
243 imperial court, but in parallel to this, the widely open eyes, and the severity and the gravity of their features place these
244 immobile characters into a transcendental world.
245
246 **6. The Development of the Byzantine Art of Paining in Its Theological Context**
247
248 Whenever the evolution of the Byzantine art of painting is analysed in its theological context, this Byzantine art is
249 generally defined as an art of Christianity. When the Orthodox Christian religion expanded to territories such as Antioch,
250 Alexandria, Syria and Palestine, it created a great impact upon the nature and causes of the development of this
251 Christian art. The Orthodox tradition and dogmatic causality marked the change of aesthetic perspectives and they also
252 contributed to the flourishing of the Byzantine art.
253   The religious expression that characterized Byzantine art developed within a rigid tradition, connected to the cult of
254 emperor. In this respect, Steven Runciman mentions the following:
255
256   *The constitution of the Byzantine Empire was based on the conviction that it was the earthly copy of the Kingdom of*
257   *Heaven. Just as God ruled in Heaven, so the Emperor, made in His image, should rule on earth and carry out His*
258   *commandments. (Runciman, 1977, p. 202)*
259
260   The Byzantine emperor embodied something tangibly to the divine on earth. The Roman emperor, as well as
261 everything associated with *domus divina*, was believed to be sacred. The spreading of Christianity in the Roman Empire
262 did not alter much the emperor's sacred aura. The Byzantine Christian emperors insisted also on their divine quality, and
263 anything "utilized within their sacred aura became *sacer*, *sacratissimus*, or *divinus*. Their orders were composed on
264 *altaria* and referred to as *caeleste oraculum*, any disregard of which was *sacrilegium*" (Canepa, 2010, p. 100).
265   The position of the Byzantine emperor as a correspondent of divinity did not derive only from the cultures of the
266 Orient. It may have its origin also in the autocratic form of the Byzantine government. In this autocratic system of
267 government, the supreme power was concentrated solely in the hands of the emperor and his decisions were never
268 contested during his life.
269   In this context, the products of the Byzantine art of painting would be developed within a powerful autocratic
270 system of government. The emperor and the Christian Church became active patrons of the Byzantine art, and, at the
271 same time, the constant objects of Byzantine artistic representation. The art which portrays the emperor's sacredness,

272   together with the depicted ritual performed around the imperial figure, served as a complex and subtle message about the
273   identity of the emperor.
274   The artists of the period, highly fascinated with the status of the emperor, tried to depict their ruler not only in the
275   light of divinity, but also in a triumphant and sumptuous space. Apparently these visual representations aimed at the
276   illustration of the king's authority, but they led inevitably to the growth of the concept of the monarch as a divine power.
277   Dominated by the strong authority of the Byzantine emperor and, concomitantly, captivated by the possibility of a
278   complete sovereignty of a man, the Byzantine artists developed an unusual but uniform and impersonal kind of art that
279   did not change for centuries. This newly established art had also another characteristic, namely
280
281   *it was an imperial art. The reason for this resides in the very nature of the Byzantine monarchy; the emperor was an*
282   *Eastern sovereign, an incarnation of Divinity, and His representative on earth. Art was placed at the service of the*
283   *prince to glorify him. (Pall Mall Encyclopaedia of Art, 1971, vol. I, p. 301)*
284
285   The emperor made use of visual art of painting, mosaics and frescos in order to impose his royalty. Such markers
286   as diadem, nimbus, and red shoes became predominant visual motifs used by the Byzantine artists to symbolize the
287   sovereign's luminous royal power. It was Constantine who introduced the diadem as a compulsory attribute of royalty. He
288   also felt extreme delight in adorning his clothes with pearls and precious stones. The pomposity and the wealth of the
289   emperor's costume functioned as a visible symbol of his power. In the same manner, Justinian and Theodora would
290   always appear in the prominence of red leather, silk and pearls, an image which suggested the imperial superior position.
291   Since the Byzantine emperors were in a continuous competition with kings of the Orient, an enormous effort was put into
292   cultivating their superior image of royal identity, both in person and as artistic representation.
293   This attitude of the Byzantine emperors towards their own personalities determined the penetration of these
294   displayed images into the artistic realm. The ornamental motifs, such as the nimbus, diadem and textiles worn by the
295   members of imperial families and inscribed in the mosaics and frescos on the walls of the churches, are impressive. The
296   Byzantine artists carefully inserted these motifs of dominance and authority in the official representations of their
297   emperors. In these visual representations, the Byzantine artists portrayed their emperors as outstanding leaders holding
298   control in the world. In other words, the use and display of visual imagery representing royal power functioned as a strong
299   political symbol. The Byzantine artists, being materially sponsored almost exclusively by aristocrats or royalty, made their
300   art, in a way, subservient to the aristocratic ideology of the imperial court.
301   The Emperor learned quickly to explore and exploit completely his position within the empire and the Church, so
302   that
303
304   *"by the end of the fourth century the Emperor was the holy Emperor, living in the Sacred Palace surrounded by liturgical*
305   *ceremony, and, so long as he were worthy, revered as Viceroy of God; and the Emperor in his turn was devoting energy*
306   *and riches to the glory and welfare of the Christian Church" (Runciman, 1971, p. 17)*
307
308   Although religious in its essence, and true and noble in its expression, the Byzantine art of painting was submissive
309   to the grandiose interests of the imperial court.
310
311   **7.   The Representation of the Emperor as a Divine Monarch in the Byzantine Art of Mosaic and Fresco**
312
313   In the art of paining of the Byzantine period the power of the emperor was interpreted as the power of divinity. It was of
314   essential importance to reflect in the art of mosaics and frescos that the emperor ruled in the world under a divine
315   mandate. Starting with the third century A.D. and continuing through the fifth-and sixth centuries the imperial art
316   emphasized the parallels between the empire and the world, the emperor and the Christian God, and especially the
317   emperor as a God's endowment for the world's well-being.
318   In this respect, references to royal attributes and objects of clothing, which are represented on mosaics and
319   frescos, present a certain critical interest.
320   First and most relevant is the nimbus. There is a scarce account concerning the history of artistic representation of
321   this royal marker in the Mediterranean, Near East, and Central Asia. Most probably a part of Oriental cultural inheritance,
322   the nimbus became an attribute of the Roman sovereign around the last decades of the third century. The emperor
323   Constantine, who truly believed that the Christian emperors were doing divine work in saving the world from satanic
324   creatures, established the nimbus as an essential element of the representation of the Roman ruler. The disk of light
325   which surrounds the divine head, the nimbus, became gradually a predominant motif in the Cristian art and even entered
326   the imperial iconography. This motif was soon taken over and used by the imperial art, such as Constantine II's and

327 Theodosius' silver vessels, but its most impressive artistic representation is reified by Justinian's mosaics of San Vitale
328 from Ravenna and Constantine's mosaics of Hagia Sophia from Istanbul.
329   In the Byzantine world, Constantine and Justinian were considered as paradigms of kingly wisdom working for the
330 salvation of the soul and empire. Therefore, in mosaics, which served as a visual statement of religious and political
331 expression, this idea is strengthened not only by such royal markers as nimbus but also by the diadem.
332   The diadem, in the pagan world, was an important symbol of monarchical power and victory. It was introduced into
333 the Christian world by Constantine as a part of the visual and political experimentation with the imperial image.
334 Constantine explored various versions of diadem, adding pearl, gem appliques and many other ornaments, among which
335 the most important one being the cross. The artists of the period were careful in representing the imperial crown as a
336 symbol of sovereign's statements of global power and legitimacy.
337   Apart from the headgear, there were other more subtle elements of royal dress. Bejewelled footwear and the
338 expensively dyed silk robes, popular among Roman emperors, were adopted by the Byzantine imperial costume. In the
339 mosaics of San Vitale from Ravenna, Justinian is depicted in the prominence of red leather and pearls, whereas
340 Theodora's purple cloak, which is created from an extremely expensive dye, provides a metonymical link between the
341 person and the office of the emperor.
342   The art of mosaics and frescos depicts various sacred rituals. The emperor, who is the image of divinity, becomes
343 *par excellence* an essential part of these rituals. A very famous example, found on the walls of Hagia Sophia, is the
344 mosaic representing Virgin and the Child who receive the gift of the city from Constantine and the church Hagia Sophia
345 from Justinian. The emperors' philanthropic works interspersed with the miracle of Christ's birth. The artist skilfully
346 elaborates a daring functional equivalency between the works of Christ and the ones of the emperors in this mosaic.
347   Another example, found again in the mosaics of Hagia Sophia, represents the Savoir enthroned between
348 Constantine IX and Empress Zoe. Constantine donates a bag of gold and Zoe a scroll recording donations to the church.
349 The physical connection between the images implies a parallel between Christ's offerings to humankind and the
350 emperor's gifts to the church.
351   In the same manner, the small but impressive detail of the three Magi on the hem of Empress Theodora's *chlamys*,
352 depicted in the mosaics of San Vitale, reveals the significance of the empress's ritual activity. Theodora's offerings on the
353 altar create a semantic equivalence to the gifts of the three Magi offered to the true Sovereign (Tetneriatnikov, 1998, pp.
354 381-91).
355   As any visual image, the above mentioned mosaics, which include the motifs of royal markers and the ritual, are
356 endlessly polysemantic. In order to be effective and transmit the necessary message, this polysemy had to be shaped
357 and controlled. Therefore, the Byzantine artists who were under the patronage of the imperial court, had to shape the
358 message of their mosaics and frescos into a coherent narrative, which would imply that the Christ's earthly representative
359 is the Christian emperor. The emperor is the only one who practices the legitimate authority at least within his own
360 culture.

8. Conclusion

364 Although extremely controversial, the Byzantine figural art emerged and spread rapidly and widely in the Christian world.
365 Sometimes this art would be influenced by the theological debates such as "anthropomorphism". On the whole, the
366 Byzantine art promoted and expanded various issues and stimulated various arguments, as the following: art was
367 suitable for the instruction of the ignorant; art arouse emotions in ways that words at times failed to do; art reminded
368 people of sacred heroes; art conveyed in people deeper thoughts about higher things; and art was made of perishable
369 matter, but this was only circumstantial to the aim of art. Images evoked miracles, and, as the visual effect was more
370 powerful that the auditory one, it was more efficient to spread the meaning of miracles through visual representations.
371 The Byzantine art was definitively an imperial art which promoted the image of the emperor as a divine ruler. This image
372 of the Byzantine emperor in the divine representation was used to impose the superiority of the emperor in the world, and
373 the image representing the emperor strengthened the honour given to the emperor.

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The Wasatiyyah (Moderation) Concept: Its Implementation In Malaysia

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Abstract

This article discusses the concept of Wasatiyyah which had been announced by Dato' Sri Mohd Najib bin Tun Abdul Razak and explains several implementations by the government of Malaysia relating to this concept. The purpose of this article is also to to determine the true meaning of the Wasatiyyah concept which the Prime Minister wishes to convey. This paper generally adopts a qualitative study approach through examination of books, journals and internet materials. The outcome of this writing finds that the intended meaning of Wasatiyyah which the Prime Minister wishes to convey is not a deflection of or deviation from the Islamic meaning, instead it has its own interpretation suitable in the context of Malaysian society. In addition, there are some government bodies established to apply this Wasatiyyah concept in Malaysia, besides conferences and seminars to publicize this concept.

Keywords: Wasatiyyah; moderate; Malaysia;

1. Introduction

The purpose of this article is to examine the Wasatiyyah concept introduced by the fifth Prime Minister of Malaysia, Mohd Najib bin Tun Abdul Razak in the month of September 2010. In addition, its purpose is also to study the meaning of Wasatiyyah from the Islamic perpective. Wasatiyyah here refers to moderation, middle, balance or the middle path approach. Its purpose is to balance a matter, in terms of thinking or behaviour so as not to be excessive or extreme. Mohd Najib bin Tun Abdul Razak has made Wasatiyyah as the support for the 1Malaysia Concept which aims to unify the multiethnic people in Malaysia. In this paper, all perspectives relating to the Wasatiyyah concept are analysed. Thus, based on this context, a study of the Wasatiyyah concept should be understood more deeply so that it will not be misinterpreted by any party.

2. Wasatiyyah Concept According to Islam

Wasatiyyah in Islam has long existed since the birth of the Islamic faith in this world. However, the concept of Wasatiyyah was not widely known in Malaysia until the fifth Prime Minister introduced this concept in government administration. In attempting to know the true meaning which the Prime Minister intended, it should be seen from all aspects suitable with the current situation.

Wasatiyyah originates from the Arabic root word, Wasat. In language terms, Wasat means middle, and the derivative word means just or fair, the best, the chosen (in quality), the finest (as an art) and respectable. An example of its expression is such as: the most Wasat means something which is the best, the most just and the chosen (Kling, 2011, p.1).

According to Mohamed Baianonie, Wasat has three meanings, namely, to be moderate, to be in the middle, and to

57 be the best. Thus, when Allah s.w.t explains that the Muslims are a Wasat community, what is meant is moderation,
58 middle way and the best people. Moderation in Islam shows that a Muslim should stabilise as much as possible their
59 affairs and avoid extremist activities which cause disorder or chaos.

60   The essence of the Islamic Wasatiyyah concept is contained in many places in al-Quran such as Allah's statement
61 in Surah al-Baqarah, verse 143 which means: And thus We have made you a just community that you will be as
62 witnesses over the people and the Messenger will be a witness over you. And also in Surah al-Furqan, verse 67: And
63 [they are] those who, when they spend, do so not excessively and not sparingly, but are ever, between that, [justly]
64 moderate.

65   Surah al-Furqan, verse 67 also explains that moderation in religion as demanded by Allah s.w.t should be
66 practised in daily life. If moderation were to be practised by the Islamic community, there would not be severely disturbing
67 violence and extremism, a constraint to peace in the world today.

68   Actually, the term Wasatiyyah is taken and developed from the expression Ummatan Wasatan mentioned in al-
69 Quran, Surah al-Baqarah, verse 143 and it has a few meanings, namely, middle path (Abdulkarim Amrullah, 1982,
70 p.333), justice, middle (Qutb, 2000, pp.295-297; Sya'rawi, 2004, p.474), moderate (Omar Khalid, 2009, p.108), the best
71 position, most honourable, most perfect, (Ibn Kathir, 2003, pp.422-424; Hashem, 2006, p.1) and alternative (Basri, 2008,
72 p.156).

73   Ummatan Wasatan is also interpreted as the Islamic community who receives the Prophet Muhammad's shariah,
74 and the chosen and just community. Abdullah Basmeih (2001), states the meaning of Ummatan Wasatan with the
75 following explanation: Ummatan Wasatan means the chosen and just community, and also means the middle community,
76 that is, moderate in all ways or demeanour, not extreme and not obsessive in any religious belief, also in ethics and
77 practice, and everything is in a state of stability, jointly viewed, learnt and worked in efforts encompassing issues of the
78 world and the hereafter. Each person who stands in the middle while deeply and seriously considering matters around
79 him, then his judgment and knowledge on the pros and cons of a matter are just, true and valid. Therefore, he is qualified
80 to give an explanation or evidence to others whose circumstances are unlike his (M. Mazuki et al., 2013a; 2013b).

81   The meaning of the term Wasatiyyah is detailed by several other writers. For example, M. Quraish Shihab (1996)
82 who states that Wasatiyyah means everything good and suitable with its object, that is, something good is in the position
83 between two extremes. The extreme positions are then explained by Muhammad Haniff Hassan (2003) as being the
84 extreme in harshness and the extreme in leniency.

85   Apart from M. Quraish Shihab, there are others who state that Wasatiyyah or Tawassut means the Muslim
86 community must try their level best to be moderate in everything they do. According to N. S. S. Nik Salleh (2011),
87 moderate means a condition which is not more and not less, that is a normal and calm situation. She adds that
88 moderation also means to put something in its appropriate place or give something to the one entitled to it.It also means
89 with justice or being just. Khadijah M. Khambali@Hambali et al. (2010) also have the view that Wasatiyyah is being just
90 by putting something in its right place and hierarchy, balanced and in the middle between two different extremes.

91   In other words, Wasatiyyah means not having the attitude of Ghuluww and Tatarruf (excessive and obsessive) in
92 embracing faith. Likewise in ethics and practice, everything is in a state of moderation and balance (Basmeih, 2001,
93 p.55). In this matter, a person cannot be too obsessed with the world and neglect the hereafter or too fanatic about the
94 hereafter and forget the world. Likewise, one cannot be so obsessed solely with acquiring wealth and forget other
95 individuals who are less able.

96   Based on the explanation of the etymological meaning above, it is clear that the Muslim community may be
97 described as a society just and moderate in its position. According to Sayyid Qutb (2000), the Muslim community is just in
98 every meaning of justice whether in the meaning of goodness and advantage or the meaning of moderation or meaning
99 of physically in the middle. Actually, the Muslim community is in the middle position. Thus, the Muslim community should
100 not drift with materialism. The position of the Muslim community in the middle enables the Muslim community to balance
101 between the spiritual and physical or material aspects, including all attitudes and actions (Shihab, 1996, pp.328-329).

102   The Muslim community becomes weak when fanaticism and taksub (obsession) towards a particular approach
103 reaches an extreme level or liberalism becomes widespread (Tafrit dan Tasahul) undermining religious understanding
104 and practice. Both these tendencies are deviations from Islamic teachings which are just and moderate (al-'Adl wa al-
105 Wasat) (Abdul Majid, 2004). Thus, every matter in this world requires balance. When the element of balance is absent,
106 various problems will arise (Munawwir, 1986, p.177).

107   After examining the meanings submitted by some researhers, it can be stated that the Wasatiyyah concept should
108 be seen within a wider scope and more general meaning so that its use will suit various situations and not focus on only a
109 single situation.

110

3. The Concept of Wasatiyyah Introduced by The Prime Minister

Wasatiyyah in Islam has a very wide meaning as has been discussed above. Mohd Najib Tun Abdul Razak has used this concept in his own dimension to suit increasingly disturbing global issues. However, the principle thus used does not at all contradict the Islamic faith, instead there are some contents, direction and planning in the implementation of this concept which are consistent with the government's desire to realize a more harmonious unity among the multiracial, multireligious and multicultural society.

Mohd Najib Tun Abdul Razak states that the term Wasatiyyah simply means "non-extremist thinking" such as practised in government administration (Maslan, 2011). It may also be understood in a statement by Ahmad Maslan as follows: "Wasatiyyah is a movement pioneered by Dato' Sri Mohd Najib and is always mentioned by him not only within the country but also in his speeches overseas, the latest in Hawaii, United States of America. It has captured the attention of foreign leaders, but before it can be saleable abroad, it should be understood within this country by the leaders and people and in its connection with the 1Malaysia Concept." In addition, he also explained that understanding of Wasatiyyah is required because the term means moderation, middle and balance learning styles

The peak of Islamic manifestation based on the Wasatiyyah concept in Malaysia can be seen in the historical emergence and development of the glorious Islamic civilization including the implementation of an Islamic system in every aspect of life. Tolerance and the principle of social justice practiced in this country are consistent with Islamic principles and have succeeded in building a multiethnic society living in harmony and with mutual respect (M. Mazuki et al., 2014).

4. Wasatiyyah in 1Malaysia Concept

As the 1Malaysia concept is an idea or brainchild of the Prime Minister of Malaysia, Mohd Najib Tun Abdul Razak, then the definition needs prior reference to his explanation as follows: "We stand, we think and we act as a Malaysian race. And we take action based on the wishes of all ethnic groups in our country. This does not mean that we set aside affirmative policy, policy to help the Bumiputera as long as the policy is implemented in a fair way and gives consideration to Bumiputera who are eligible to be considered by the government. We depart from the earlier way of acting from within the ethnic walls that we have practised for so long" (National Policy Publications Division, 2010, p.3).

From Mohd Najib bin Tun Abdul Razak's explanation on this 1Malaysia concept, it can be concluded that this concept is about racial unification. Within it are contained three main thrusts, namely: principles of acceptance, of statehood and of social justice. The underlying principle of the Malaysia concept respects and upholds the principles of the Federal Constitution as well as the identity of each ethnic group in Malaysia. This means that the 1Malaysia concept is based on the Federal Constitution. The privileges of the Malays and Islamic faith will not be questioned, while the other races are free to practise their respective faiths and cultures. 1Malaysia means that the government will put people first and across all levels of society as well as ethnic groups in each corner of the homeland (Moner, 2010).

Based on an examination of the main principle contained in the 1Malaysia concept, 3 elements of Wasatiyyah are found to support it. Wasatiyyah elements are explained as follows:

4.1 Wasatiyyah in the acceptance principle

This principle means all Malaysians comprising of various ethnic groups are free to practise their respective faiths and ways of life. The Wasatiyyah concept is implemented in all aspects of life and one of them is the religious aspect. Faith or religion is exclusive in nature. Thus, this matter needs to be emphasized so as to avoid conflict in society and later correct it if necessary; and they like material which is of a more concrete, human, social or artistic nature.

In Malaysia, even though there are different religions and ways of life, there is mutual respect and acceptance of these differences. This principle of liberty in practicing a faith is Wasatiyyah. Although it is entrenched in the Federal Constitution that Islam is the official state religion, adherents of other faiths are not prevented from practising their respective faiths in peace and harmony.

Related to this matter, the 1Malaysia concept is seen to be in line with the historical formation of the Islamic state and civilization of Medina by the Prophet and Messenger of Allah p.b.u.h. The Charter of Medina agreed upon between the Prophet Muhammad p.b.u.h and the non-Muslim society highlights the spirit of tolerance for freedom of religion. The Prophet p.b.u.h gave freedom to the minority groups and to non-Muslims to practise their faith. This is consistent with a statement of Allah s.w.t in Surah al-Baqarah, verse 256 which means: "There is no compulsion in [acceptance of] the religion (Islam); The right course has become clear from the wrong So whoever disbelieves in Taghut and believes in

165 Allah has grasped the most trustworthy handhold with no break in it. And Allah is Hearing and Knowing."
166   The above verse clearly proves that there is no element of coercion in Islam. Man may not be forced to enter
167 Islam, but are invited to think. This is seen as parallel with the 1Malaysia Concept.The proof is in Article 3(1) of the
168 Federal Constitution which enshrines Islam as the official state religion.The position of Islam is higher compared to other
169 religions. Even though other religions are not stated in the Federal Constitution, they may be practised in peace and
170 harmony. However, freedom of religion is not absolute. Clause (4) of Article 11 of the Federal Constitution gives the
171 power to Parliament and other state legislative bodies to pass laws controlling propagation of other religions to Muslims
172 (M. Adil, 2010).
173
174 *4.2 Wasatiyyah in the principle of statehood*
175
176 In order to strengthen unity, a Malaysian identity should take priority. In this context, the Malaysian language is a
177 language which symbolises the Malaysian race comprising of various ethnicities. Even though the Malaysian language is
178 the national language, it does not mean that other languages cannot be used or are marginalised. Instead, the people are
179 encouraged to master foreign languages. This is proven in the case of national type vernacular (Chinese or Indian)
180 schools which are still maintained even though a vision (Wawasan) school type based on the concept of unity is already
181 established.
182   Unity as well as disparity are taken care of by following the Wasatiyyah concept which reflects balance, that is, not
183 being excessive nor diminished. Extremism will cause destruction.
184   Extremism also leads to pettiness and close-mindedness towards differences of opinion. Clearly, implementation
185 of the Wasatiyyah concept in the 1Malaysia concept is not, in the context of languages, favouring the identity of other
186 races. It means not favouring only one language. Instead, the Malaysian Language is the identity of the Malaysian race
187 which is the symbol and backbone of the nation that should be appreciated. People will find it difficult to accept this
188 identity if it is politicized (Mujani et al., 2014a).
189
190 *4.3 Wasatiyyah in the principle of social justice*
191
192 The Malay term adil (just) is itself from an Arabic word al-'Adalah which has a similar meaning to Qist dan Wasat which
193 means mid or middle. In Islam, social rights and public interest are much safeguarded besides individual rights. Social
194 justice is an important aspect to engender goodness or Wasatiyyah in society. The principle of moderation is the soul and
195 essence of the 1Malaysia concept which aims to foster unity among the people of different ethnicities. Wasatiyyah in the
196 principle of social justice can be seen in two main aspects. First, Wasatiyyah in the distribution of political power and
197 second, in the distribution of wealth. Both these aspects are explained below:
198
199 *4.3.1 Distribution of political power*
200
201 As a multiracial country, distribution of political power needs to represent all the ethnic groups. This is to avoid feelings of
202 dissatisfaction towards the government which may lead to chaos. Every ethnic group is given the space to form its own
203 political party. For example,   UMNO represents the Malays, MCA the Chinese and MIC the Indians, and so on. The
204 wisdom in distributing political power is clearly based on the Wasatiyyah concept.
205   In the Malayisan context, even though the Muslim-Malay form the majority, other groups such as the Chinese and
206 Indians are also in the national leadership. It is clear here that the distribution of political power is based on the
207 Wasatiyyah concept. Such a distribution of power helps to avoid excessive demands by a group for more power (Mujani
208 et al., 2014b).
209
210 *4.3.2 Distribution of wealth*
211
212 All on this earth and in the sky belong absolutely to Allah s.w.t. This is how it is stated in Surah Ali 'Imran verse 109: To
213 Allah belongs whatever is in the heavens and whatever is on the earth. And to Allah will [all] matters be returned. This
214 verse clarifies that wealth is not the absolute wealth of any individual or group, instead it belongs to Allah s.w.t. Mankind
215 is only holding wealth in trust as a consumer according to their needs in life.
216
217
218

5. Application of Wasatiyyah in State Administration

The concept of Wasatiyyah is not just for introduction, but it is to be applied, appreciated and practised. Various programs have been created by the Prime Minister of Malayisa in the process of giving life to this concept which was introduced through particular agencies such as institutes and foundations in efforts to widen society's understanding regarding the Wasatiyyah concept. This includes organising of conferences, discourses and seminars on this concept (Ismail, 2012, p.1), such as the following:

5.1 The Wasatiyyah Institute

The Wasatiyyah Institute was established at national level on 17th January 2012 under the Prime Minister's Department in Kuala Lumpur. This institute has the role of focusing on the moderation and balance aspects through respect for democracy, regulations and laws, education, personal dignity and self-esteem a well as social justice.

5.2 Global Movement of Moderates (GMM) Foundation

Global Movement of Moderates (GMM) Foundation functions as a centre which initiates unification and dissemination of information as well as campaign materials to all parties who wish to participate in efforts against extremism, including governmental bodies and non-governmental organizations. In addition, it upholds the role of GMM as a unification centre to efforts against violence and extremism whether that mobilized by governmental bodies or non-governmental organizations (NGO).

5.3 Discourse of Panel Thinkers on the Wasatiyyah Concept

Discourse of Panel Thinkers on the Wasatiyyah Concept was held on the 20th May 2011. In the summary session of this discourse, members of panel thinkers reached an agreement to determine certain contents, direction and planning in the implementation of the Wasatiyyah concept consistent with the government's desire to create a more harmonious unity among the multiracial, multireligious and multicultural society. Global Movement of Moderates (GMM) Foundation functions as a centre which initiates unification and dissemination of information as well as campaign materials to all parties who wish to participate in efforts against extremism, including governmental bodies and non-governmental organizations. In addition, it upholds the role of GMM as a unification centre to efforts against violence and extremism whether that mobilized by governmental bodies or non-governmental organizations (NGO) (Mujani et al., 2014a).

5.4 The National Seminar on Understanding Wasatiyyah and 1Malaysia

The National Seminar on Understanding Wasatiyyah and 1Malaysia was inaugurated by Mohd Najib Tun Abdul Razak on 26th November 2011. Deputy Minister at the Prime Minister's Department who is also Information Chief of UMNO, Datuk Ahmad Maslan, said that this seminar analyzed more in-depth the meaning of Wasatiyyah and the meaning of 1Malaysia concept inspired by Mohd Najib. This inaugural seminar held at Dewan Tun Dr Ismail, Putra World Trade Centre, uncovered the Wasatiyyah concept. Among the aspects discussed in this seminar was how the Wasatiyyah concept is implemented in administration of religious affairs and how organizations may benefit from the practice of moderation.

5.5 International Conference on Global Movement of Moderates (ICGMM)

International Conference on Global Movement of Moderates (ICGMM) on the 17th to 19th January 2012 at the Kuala Lumpur Convention Centre, organised by the Alumni Society of International Islamic University of Malaysia (IIUM) with the goal of leading the world towards moderation for universal interest, was participated by more than 350 delegations from more than 70 countries. Mohd Najib in his closing official address touched on various issues related to moderation, including handling extremism, violence and acts of extremist financiers which caused adverse effects and sufferings for many parties. Mohd Najib Tun Abdul Razak also announced steps to lead efforts in developing the moderation concept to the international level (Mujani et al., 2014b).

6. Concluding Remarks

Various methods have been put forward to make Malaysia peaceful and tranquil from all kinds of extremism which is increasingly disturbing to the world today. The concept of Wasatiyyah established by the Prime Minister of Malaysia is closely interconnected with efforts of the Malaysian government which desires that all Malaysians live in peace and harmony despite differences in race and faith. This is compatible with the history of any religion in this world which does not allow hostilities and fighting in living within a country. The concept of Wasatiyyah in the 1Malaysia Concept has given moderation and equality to every aspect, for example, the 1Malaysia Assistance Programme gives a chance to all eligible Malaysians to receive assistance. In conclusion, we actually have been entrusted to preserve this country and to avert from any undesirable adverse events.

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Cognitive Skills of Future Philologists:
Content, Structure and Promising Directions of the Development

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Abstract

The authors of the article specify the content of the cognitive skills of future philologists as one of the means of active obtaining and using knowledge in the context of today's information space. A structural-functional model of the phenomenon is developed. In particular, in its structure, three components – the motivational and volitional, the operational and procedural and the content and reflective ones – are singled out, and their microstructure is developed. Promising directions of the development of cognitive skills of future philologists are identified, and they are based on ideas concerning psychological mechanisms of the functioning of motivation, attention, memory, thinking and the decision-making theory, which determine the cognitive activity of the individual.

Keywords: *cognitive skills, information, future philologists, motivation, attention, memory, interference, thinking, cognitive dissonance.*

1. Introduction

The modern civilization entered a brand new stage of its development – the information (post-industrial) one. Rapid increase in the volume of information requires the creation of innovative technologies of its perception, processing, storage and use. These civilizational changes provide for adequate reorientation of teaching science to the search for efficient forms and methods of training future philologists with due regard to the requirements of the multilingual communication world space (Bakhov, 2013).

In recent decades, scientists directed their efforts to studying processes of mastering information in terms of the threefold structure "knowledge-skills-habits", what is quite controversial. In particular, there are several methodological positions concerning studying the subject of research, where this process is characterized by:

- consecutive transition of knowledge to skills, and then to habits ("knowledge → skill → habit");
- relatively independent systematicy of skills and habits, which are formed and developed according to their own psychological laws;
- consideration of skills as the sum of the accumulated knowledge and the system of habits;
- demonstration of certain identity of the notions "skill and habit" with the construction of the algorithm "skill → habit → complex skill", and so on.

Regardless of the existence of different methodological positions concerning studying the process of mastering information, scientists agree that habits as automated actions are characterized by certain stereotype and are difficult to change, whereas skills are characterized by flexibility and deliberateness. At that, skills and habits are always interconnected with knowledge, because their strength depends on reliance on theoretical knowledge (Ryzhykov, 2015). That is why, in this process, it may be appropriate to consider not only skills and habits, the quantity and the quality of knowledge of future philologists, but also the set of means of their active getting and using in the context of today's information space, which usually requires variability and creative approach to problem solving. The basis of this set consists of cognitive skills of future philologists.

2. Method

The basis of the methodology consists of theoretical methods of research (of analysis and synthesis, induction and deduction, extrapolation and modeling initial assumptions of psychology and pedagogy) aimed at determining the content, the structure and promising directions of the development of the cognitive skills of future philologists.

2.1 Studying the content of the cognitive skills of future philologists

The term "cognitive skills", coined by scientist I. Zabrodina, is quite uncommon in psychological and pedagogical literature, although a number of authors argue that such skill as the "ability to learn" is one of the leading individual skills. Scientists agree that the inability to learn leads to learning results that are lower than those that could be achieved based on real possibilities, or to attaining success at the cost of extremely hard work (Bakhov, 2014; Petrunova, 2009).

With regard to studying the definition of the concept "cognitive skills", their closeness to cognitional and gnostical skills is quite noticeable. It was N. Sholokhova who outlined the difference between these concepts most tellingly (Sholokhova, 2006). Agreeing with their partly synonymous properties, she notes that cognitional skills cover not only the components of the direct learning process, but also ensuring this process. Instead, the term "gnostical skills" characterizes the individual cognitive aspect of the learning process. According to the determination of E. Ganayeva (Ganayeva, 1999), cognitive skills represent the ability of an individual to acquire knowledge on his/her own. With cognitive skills, she includes the ability to:

- work with visualization and literary text;
- make observations and draw conclusions;
- model and form hypotheses on one's own;
- apply knowledge in practice;
- set up an experiment and, on its basis, to gain knowledge on one's own;
- explain phenomena and facts on the basis of existing theoretical knowledge;
- foresee the consequences of following theoretical instructions.

N. Sholokhova adheres to a similar position (Sholokhova, 2006). In her view, cognitive skills are universal in nature and are directly related to the acquisition by an individual of knowledge as a result of cognitive activity. However, she also proposes an alternative approach to considering cognitive skills that can be realized through determining the content of objects involved in cognitive activity. She identifies three separate "blocks" – the information one, the subject one and the block of interaction. The first block includes the content, the form, the medium and the type of information, the second - cognitive abilities (perceptual, mnemic, intellectual heuristic and intellectual logical ones), and the third block is characterized from several positions, including:

- cognitive processes that provide a mechanism for turning information into knowledge (attention, imagination, thought, memory, etc.);
- information handling actions (perception, understanding, processing, encoding, memorization and reproduction);
- ensuring all types of activities carried out by the personality with information (conditions, means, ways, methods, etc.).

D. Bernstein, L. Penner, A. Clarke-Stewart and E. Roy (Bernstein *et al.*, 2012) believe that cognitive skills are focused on the ability to perform higher mental processes such as reasoning, comprehension, problem solving and decision making. Instead, L. Bidenko (Bidenko, 2012), based on the etymology of the term "cognition" (learning theory), treats the content of cognitive skills in terms of the general learning process, i. e., the perception of information, its comprehension and assimilation, drawing inferences, making decisions, etc. Taking this into account, it is fairly expedient to consider cognitive complexity (multiplicity) as a feature of the cognitive sphere, which is embodied in the trend to represent phenomena due to the aggregate of independent constructs.

A number of scholars treats "cognitive complexity" as a psychological characteristic of the cognitive sphere of an individual, which reflects the degree of categorical differentiation of his/her consciousness, which, in turn, determines the specifics of classification and categorization of different life events. There is also an alternative definition of the phenomenon in question associated with the antagonism of the concepts of "cognitive complexity" and "cognitive simplicity". Accordingly, cognitive complexity involves the use of a large number of constructs (units of the system of worldview of an individual), and cognitive simplicity - the use of a small number of constructs that have limited connections between them (Vinokur, 1987; Petrunova, 2009).

It should be noted that cognitive complexity has two interrelated aspects: conceptual complexity and integrative complexity. The former is the degree of differentiation of constructs, and the latter - the ability to correlate different constructs as well as to create combinations, to synthesize and to integrate them. In psychological and pedagogical science, the thought about the interrelation of the cognitive complexity of future philologists with production of new, unusual ideas can be traced. In particular, the relative stability of the cognitive complexity of an individual is stressed, because the system of cognitive structures (i. e., knowledge storage systems and means of cognition) constantly evolves (Petrunova, 2009).

110   *2.2   Studying the structure of the cognitive skills of future philologists*
111

112   Analysis of psychological and pedagogical literature showed that the structure of cognitive skills has not become an
113   object of special scientific research yet. However, the need to clarify the structural components of the studied
114   phenomenon is explained by the need for finding effective directions of its development.
115

116   *2.2.1   The first component of the cognitive skills of future philologists*
117

118   According to H. Eichenbaum (Eichenbaum, 2008), S. Zanyuk (Zanyuk, 2002), E. Ilyin (Ilyin, 2004), S. Danylyuk (Daniliuk,
119   2013) and other researchers, one of the most important factors of influence on any activity is motivation, i. e., the set of
120   impelling factors, to which end, its activity to action is determined. The structure of motivation must include motives – the
121   impelling cause of actions and deeds of the individual. Their main role is to create momentum and orientation to the aim.
122   At that, motives are always in close interrelation with the aim (the internal impelling motive). On this occasion, M.
123   Ginsberg and R. Wlodkowski (Ginsberg and Wlodkowski, 2009) indicate that a clear sense of the aim plays crucial role in
124   carrying out any activities, including studying foreign languages. It helps to avoid unrealistic expectations and to efficiently
125   plan one's future activities, anticipating possible obstacles in advance and building a system of intermediate aims.
126   Agreeing with this, S. Zanyuk (Zanyuk, 2002) and E. Ilyin (Ilyin, 2004) emphasize that realization of intermediate aims is a
127   strong motivating factor.
128   It should be noted that motivation is not limited to the set of motives and the aim, as some influence is exerted by
129   personal and situational factors. That is exactly why the intensity of actual motivation depends not only on the strength of
130   the motive, but also from the effect of its situational determinants, including the complexity of the tasks.
131   The functioning of the cognitive skills of future philologists also depends on will, since the success of assimilation
132   and reproduction of information depends on such qualities of linguists as dedication, perseverance, organization, initiative
133   and so on. Instead, negative volitional qualities (impulsiveness, laziness, lack of organization, etc.) that are antagonistic
134   to the above-mentioned ones, impede the attainment of the aim. Manifestation of will is represented by mental processes,
135   among which there are perception, processing and reproduction of the necessary information as well as thinking and
136   imagination, which require the mobilization of the volitional efforts of an individual (Ilyin, 2004; Stolyarenko, 2000).
137   One should understand volitional efforts as the state of internal mental stress necessary for overcoming the
138   obstacles in the way of attaining the aim, while motivation - as not a mechanical connection of the aim with the motive,
139   but a product of reflected processes initiated by needs, desires and aspirations that are impelling factors of the activity of
140   subjects. Needs as the motivational source of volitional activity act as basal mental regulators of any activity. If in desires
141   as in conscious experiences of an internal need the aim is only outlined and is reflected in a problematic way, in
142   aspirations it (the aim) acquires a categorical nature. It is in aspirations that volitional efforts manifest themselves for the
143   first time, and they depend on the motivation level (Zanyuk, 2002).
144   Volitional efforts are divided into spontaneous and arbitrary. The former are innate and acquired, what can be
145   exemplified by defense and orientation responses. In contrast to the spontaneous ones, arbitrary volitional efforts are
146   closely related to thinking and to the implementation of the aim; moreover, they contain conscious motives. However, it
147   should be noted that spontaneous volitional efforts are connected with motives, too, but are not identical with them (Ilyin,
148   2004).
149   Summarizing all the information stated above, in the structure of the cognitive skills of future philologists, it is
150   advisable to single out the motivational and volitional component which consists of three interconnected micro-
151   components, namely of:
152   -   motives;
153   -   aims and intermediate aims;
154   -   volitional efforts.
155

156   *2.2.2   The second component of the cognitive skills of future philologists*
157

158   Through cognitive skills, memorization (perception, processing, storage) and application of information take place. This
159   implies the need to consider the perception process in more detail. L. Stolyarenko (Stolyarenko, 2000) notes that, unlike
160   sensations, the consequence of which is the appearance of basic feelings (of cold, heat, thirst, etc.), perception always
161   generates images.
162   The essence of the process of perception is the reflection of objects and phenomena in the totality of their
163   properties. With the defining characteristics of this process, one can include constancy, objectivity, integrity,

structuredness and generality. In particular, L. Vekker (Vekker, 1974) emphasizes that the interaction of memory, thinking and many other mental processes of an individual allow perceiving any object or phenomenon as integral, independent of the conditions, in the totality of their stable connections and relations.

According to the research by L. Stolyarenko (Stolyarenko, 2000), the process of building an image is of a reflex nature and occurs in three stages:

- receiving and selecting perceptible sensations of different modalities;
- assembling an integral image out of the sensations received;
- applying to the resulting image various techniques of mental processing.

Thus, the perception scheme looks as follows: stimulus → system of data processing → reaction; stimulus-2 → system of data processing-2 → reaction-2, etc. The result of a certain number of the above schemes is an updated image. It should be noted that, in our opinion, the structure of the image has to include constructs by which psychological and pedagogical science means something inaccessible to direct observation, obtained through logical deduction based on the properties that are observed (Cordwell, 2000).

Agreeing with the above scheme, L. Vekker (Vekker, 1974) adds that one of the major operations in the system of data processing is the collation of the constructs of an image. During this "reconstruction of the image", a number of contradictions appears, for example, between levels of differentiation and integration of sensor data, between perceptual and mnemonic images. In the elimination of these contradictions, J. Mestre and B. Ross (Mestre and Ross, 2011) perceive the prerequisites of the appearance of the processes of differentiation, integration and so forth.

A similar position on the stages of information processing can be found in N. Sholokhova (Sholokhova, 2006). According to her, these include:

- perception, evaluation and interpretation of information;
- construction of the initial design of the newly perceived information;
- screening minor constructs of the information;
- designing a model of the essential components of the information;
- construction of the content and the structure of the current information;
- determination of interfering factors that affect the design of the information;
- improving the process of designing the content of information through creative transformations;
- combining the content of the new information with the content of the previously acquired information.

S. Sokoryeva (Sokoryeva, 1984) also believes that, after the reception of information, an individual singles out its characteristics, dividing them into major and minor ones, formulates generalizations based on substantial characteristics, and finds elements that bind the newly perceived information with one acquired earlier.

Extrapolating all the information stated above on the structure of the cognitive skills of future linguists, we deem it appropriate to single out in it the operational and procedural component that imparts "efficiency" to the phenomenon studied. With the content of this component, one can include five constituents that create a sequential algorithm of thinking operations, namely:

- perception of a generalized image;
- differentiation of the constructs of the image;
- collation of the constructs of the image;
- combining the constructs;
- synthesis of the constructs.

2.2.3 The third component of the cognitive skills of future philologists

The need for the search for the next component is preconditioned by the need for the final approval of the new generalized image or for its rejection for correction in case of non-compliance with the aim pursued. In this aspect, special attention should be paid to the phenomenon of reflection, which should be understood as an individual's ability to single out, to analyze and to correlate his/her actions with a specific situation.

A proof of the correctness of an in-depth consideration of reflection can be found in the writings of J. Mestre and B. Ross (Mestre and Ross, 2011). In their opinion, the need for making changes in activities appears as a result of the fact that they do not lead to attaining the aim. It is worth noting that, in the process of the professional training of future philologists, only the ability to reproduce knowledge is usually subject to inspection and evaluation, while the ability to get it goes under the radar. Thus, all the attention is directed to the result of activities and not to the process.

Among the researchers of reflection, H. Schedrovitsky and his scientific work (Schedrovitsky, 1957) is worth attention. It was he who, within the framework of the "activity theory", developed a theoretical justification of the model of

reflection, which is considered, first, as the process and the structure of activity, and, secondly, as a mechanism of natural development of activity. In addition, he was the first to single out the stages of the process of reflection: studying the situation, identifying problems in the activity and ascertaining their reasons, criticizing the old standard and developing a new one. It should be noted that one of the prerequisites for realization of reflection is, according to the scholar, the reflexive going out, i. e., fixing the activity, what, in turn, will allow to objectively evaluate its effectiveness.

In turn, S. Daniliuk (Daniliuk, 2013) notes that reflection includes the analysis of the thinking or of the activities of future philologists, critical attitude toward them, what allows to make decisions on one's own. This implies the appropriateness of the use in terms of reflection of the assumptions of the theory of cognitive dissonance. Thus, according to L. Festinger (Festinger, 1989), it is the decision making process that allows to find a direct connection between motivation and activity, creating the effect of fixing. During this fixation, search for cognitive constructs with consonant relations and screening cognitive constructs with dissonant relations takes place. The condition for high performance of reception, storage and reproduction of information is constant striving of future philologists for reducing the strength of cognitive dissonance and for, at least, temporary achievement of consonance.

It should be noted that one of the causes of the appearance of cognitive dissonance between constructs of a new generalized image can be getting additional information (Chornei *et al.*, 2005). In particular, this cause is important for future philologists with a high level of cognitive complexity, as they are able not only to single out more properties of phenomena and processes, but also to see a situation thoroughly, what results in the need for searching for more information. Instead, individuals with a low level of cognitive complexity perceive information in a more stereotyped way. Confirmation of this view can be found in the works of O. Vynokur (Vynokur, 1987), who states that individuals with an undifferentiated style of representation much faster switch from information to conclusions (i. e., they are less sensitive to lack of facts).

Summarizing all the above, we can trace the relevance of singling out in the structure of the cognitive skills of future philologists the content and reflective component, and in its microstructure - the three constituents, namely:
- fixation of a new generalized image;
- collation of the new generalized image with the perceived one;
- approval or rejection of the new generalized image.

3. Results

Due to using theoretical research methods, including analysis, synthesis, induction and deduction, it was found that the cognitive skills of future philologists were not an innate, but an acquired universal system of conscious actions directed at memorization (perception, processing, storage) and application of information. They represent the psychological basis for the formation of all types of general skills of future professionals, since they are the "tool", by means of which the transformation of information into knowledge takes place.

By means of methods of extrapolation and of modeling the assumptions of psychological and pedagogical science, a ternary structure of the cognitive skills of future philologists, which includes the motivational and volitional, the operational and procedural and the content and reflective components, was developed. The microstructure of the motivational and volitional component consists of three interrelated constituents: motives; the aim and intermediate aims; volitional efforts. The operational and procedural component comprises five constituents that create a sequential algorithm of thinking operations, namely: perception of the generalized image; differentiation of the constructs of the image; collation of the constructs of the image; combining the constructs; synthesis of the constructs. The structure of the content and reflective component of the cognitive skills of future philologists consists of three constituents: fixation of a new generalized image; collation of the new generalized image with the perceived one; approval or rejection of the new generalized image.

4. Discussion

4.1 Promising directions of the development of the motivational and volitional component of the cognitive skills of future philologists

According to S. Zanyuk (Zanyuk, 2002), C. Cefai (Cefai, 2008), A. Wigfield (Wigfield, 2009) and other researchers, one should distinguish between resultative and procedural motivation. Thus, if the causative factor is represented not by the outcome, but by the activity process itself, which makes the person enjoy the activity, it is indicative of the presence of procedural motivation. Thus, A. Wigfield (Wigfield, 2009) notes that the above types of motivation closely interact,

272 although the reward, which relates to resultative motivation, may reduce the strength of internal (procedural) motivation.

273 Instead, resultative motivation is related to outlining the aim, as well as to accomplishing intermediate tasks on the
274 way to attaining it. That is exactly why resultative motivational mindset plays a decisive role in the determination of
275 motivation, especially in situations, where procedural motivation triggers negative emotions. In this case, aims and
276 intentions that determine final and intermediate tasks of the activity and thereby mobilize the energy potential of the
277 individual, become particularly important.

278 S. Zanyuk (Zanyuk, 2002) and E. Ilyin (Ilyin, 2004) pay special attention to the phenomenon of overmotivation
279 (excessive strength of motivation). In their opinion, it causes an increase in the level of activity and stress. It is
280 experimentally proved that, as a result of that, the quality of activity initially improves, however, after reaching the highest
281 showings, it begins to gradually decline. At that, the level of motivation, with which a person demonstrates the highest
282 performance of the activity, is optimal. However, it should be noted that this "optimum" is non-static: it will be different for
283 positive and negative motivation, in different types of approval (verbal, physical, symbolic) and so forth. This "optimum"
284 depends on the interaction of four key factors: on the personality of the individual; on the complexity of the tasks; on the
285 subjective assessment of the likelihood of success; on the attractiveness of the consequences of success.

286 One of the ways to avoid "overmotivation" or to increase the level of motivation to the desired level is motivational
287 strength correction that is carried out through absolute commitment of the individual to the process of activity. In this
288 case, the decisive role is played by the correlation between the received information and the conceived image of the
289 future result: too much disagreement between them has a destructive impact on the process of activity, while optimal
290 disagreement, on the contrary, arouses interest and stimulates the search activity of the personality. In terms of
291 procedural motivation, volitional components become particularly important, as the conceived image of the future result
292 starts having motivating force and becomes the aim, towards which the actions of the individual are directed (Ilyin, 2004;
293 Mestre and Ross, 2011; Zanyuk, 2002).

295 *4.2   Promising directions of the development of the operational and procedural component of the cognitive skills of*
296 *future philologists*

298 The efficiency of the functioning of the second component of the cognitive skills of a personality is most strongly affected
299 by attention, memory, thinking and other mental processes of the individual, what implies the need to examine them in
300 more detail. Works of many researchers in the field of psychology and pedagogy (Chiapas, 1987; Roda, 2011; Tsotsos,
301 2011) are dedicated to the study of the nature of attention and of its properties. In particular, according to J. Tsotsos
302 (Tsotsos, 2011), attention is to be understood as the sum of the mechanisms that help to set oneself up for controlling
303 search processes characteristic of perception and cognition. It follows that attention does not have its own product and
304 can only improve the outcome of the functioning of other mental processes.

305 The phenomenology of the concept of "attention" allows singling out a lot of its types. In particular, by the criterion
306 of regulation they distinguish spontaneous attention, which is not associated with the volitional efforts of the individual,
307 and arbitrary attention, which is consciously controlled and regulated. In addition, J. Tsotsos (Tsotsos, 2011) proposes to
308 single out post-arbitrary attention that follows arbitrary one and differs from it in that it is associated with the taken aim of
309 the activity, does not require volitional efforts and is not triggered by certain stimuli. Post-arbitrary attention appears
310 when, in the process of purposeful activity, not only the result of this activity, but also the process of its carrying out
311 becomes important for the individual. In our view, the emergence of post-arbitrary attention should be connected with the
312 appearance of procedural (internal) motivation.

313 Of great importance are also properties of attention, which include stability, concentration, distribution, range,
314 switching and fluctuations. Stability of attention is the duration of maintaining its intensity, concentration of attention is its
315 focus on a specific type of activity, which is accompanied by ignoring extraneous stimuli. By distribution of attention one
316 usually means its simultaneous deployment onto several objects or types of activity, which are all important for the
317 individual at the same time. The range of attention is the number of objects that are perceived by the personality
318 simultaneously. Switching of the attention is its rapid transition from one object/operation to another. Finally, fluctuations
319 are regular simultaneous involuntary changes in the degree of the intensity of attention. At that, only stability and
320 fluctuations as two opposite properties are not subject to the conscious regulation of the personality (Chiapas, 1987;
321 Roda, 2011).

322 The number and the composition of objects, at which the attention of the individual can be directed in the process
323 of activity, depend, primarily, on how many receptors are involved in the process of the perception of one or another
324 information: the more their number, the greater the number of objects that can be in the field of attention. It is therefore
325 important to determine by means of which sense organs a particular object should be controlled, because it can be

controlled in different ways. If, for carrying out some actions, distribution of attention among multiple objects is required, the degree of its concentration will change. Therefore, when creating an optimal pattern of attention distribution, one should take into account the significance of each object for the individual at a given moment of time as well as its dynamics.

An important role in the process of the development of cognitive skills is played by memory, which determines the speed and the reliability of knowledge digestion. According to the results of the research by R. Atkinson (Atkinson, 1980), I. Hoffman (Hoffmann, 1986), Rainer H. Kluwe, Gerd Lüer, Frank Rösler (Kluwe *et al.*, 2003) and other psychologists, the structure of memory consists of three components: sensory register, short-term memory and long-term memory.

Sensory register is a separate component of the memory of a personality, through which the perception of information from outside by visual, auditory or tactile receptors, its filtering and transferring to short-term memory take place. One of the features of sensory register is brevity of the maintenance of a clear image of newly perceived information that may be changed or even completely erased in this register through the perception of the next portion of information. At that, the selection of "valuable" information takes place due to managing the process of perception on the part of attention. Information that is less valuable for the individual goes under the radar and gets eliminated, while "valuable" one is transferred to short-term memory, and sometimes even the right to long-term one (Atkinson, 1980; Eichenbaum, 2008; Leser, 1979).

Due to the work of memory, correspondence between physical parameters of stimuli that affect in sensory register relevant receptors of the individual and the state of the central nervous system of the individual is established. Then the perceived stimuli get some meaning, and the information they carry is interpreted. It should be noted that the duration of the stay of information in sensory register (after the disappearance of the influence of the corresponding modality on a receptor) is 200-400 ms - during this period, random testing of this information or its rejection takes place (Hoffmann, 1986).

Short-term memory of an individual is a component of limited capacity, where a copy of the information created on outlet of sensory register and of long-term memory is formed. The main features of short-term memory include processing a reduced number of "new" images (only those that are "important" for the individual) by activating the corresponding traces in long-term memory as well as brevity of the retention of a clear image.

The main short-term memory management processes are:
- storage, search and activation of information in memory;
- repetition;
- encoding;
- figurative representation (Atkinson, 1980; Eichenbaum, 2008; Hoffmann, 1986; Leser, 1979).

The first process of management of short-term memory (storage, search and activation of information in memory) provides for collocation of received stimuli with semantic concepts, which are represented in the individual's long-term memory, their recognition and reproduction. At that, it is experimentally proved that, to maximize the efficiency of the realization of this process, the number of received stimuli should not exceed the number that can be successfully processed by the individual's short-term memory in terms of its range. Violation of this condition renders any correct repetition impossible (Atkinson, 1980).

Repetition is repeated reproduction of information (internal or external). Due to this, information stays in an individual's short memory for a longer time, what, together with favorable conditions for encoding, makes its fixation more effective. In addition, each new repetition delays the obliteration of a trace in short-term memory, renewing it. The number of stimuli that can reside in short-term memory during repetition depends on several conditions, including:
- the capacity of an individual's short-term memory;
- easiness of the recognition of stimuli;
- the ability of the individual to group stimuli;
- the speed of the processes of memorization.

It should be noted that most of the information is lost in the early stages of memorizing; therefore, according to F. Lyozer (Leser, 1979), it is necessary to repeat information immediately after its perception, and only then to increase intervals between repetitions.

E. Ganayeva (Ganayeva, 1999) also noted that repetition played an important role in the formation of skills. In her view, the formation of any skill is a complex process of analytical and synthetic activity of the cerebral cortex of the brain. In the course of this process, associations between a task, knowledge that is necessary for its accomplishment, and application of the knowledge in practice are created and imprinted. At that, repeated actions significantly reinforce the aforementioned associations.

The process of encoding can run both automatically and in controlled search mode. The first variant takes place in

380   case of a strong connection of stimuli with corresponding represented semantic concepts, and the second one involves
381   the use of randomly oriented attention of an individual (Hoffmann, 1986; Kluwe *et al.*, 2003).
382   Figurative representation, by means of which semantic concepts are represented, requires additional time for their
383   understanding. At that, the speed of the formation of figurative representations is determined by individual difference of
384   the sense of easiness of the visualization of semantic information (Hoffman, 1986).
385   An individual's long-term memory is a component of large capacity, in which, in the form of semantic concepts,
386   information is stored. These concepts can be represented to reproduce memorized information as well as to recognize
387   and to encode newly perceived information (Eichenbaum, 2008; Roda, 2011).
388   According to the way of memorizing, P. Zinchenko (Зінченко, 1961) singles out arbitrary and spontaneous
389   memory. At that, each of the above types of memory is characterized by its own specifics of assimilation of information.
390   Thus, arbitrary memory involves purposeful memorizing information through volitional efforts, and spontaneous one -
391   "automatic" memorizing information that takes place without assigning any mnemic tasks.
392   Particularly noteworthy are also the ideas of Zinchenko (Zinchenko, 1961) about dependence of the productivity of
393   memorizing information on the extent of formedness of active mental operations. Modeling them on the process of the
394   formation of cognitive skills, it should be noted that in the early stages of their formation the efficiency of spontaneous
395   memorizing information remains low, when their formedness is sufficient, it increases dramatically, and when a certain
396   degree of automation appears, it drops.
397   In terms of the functioning of memory we should also consider the phenomenon of interference, which is related to
398   the complexity of structuring information. According to F. Lyozer (Leser, 1979), the main causes of the appearance of
399   interference include a limited capacity of an individual's short-term memory and inability of an individual's memory to
400   perform necessary operations concerning processing corresponding information. At that, there is an opinion that
401   delimiting proactive interference (impact of new information on one that has already been assimilated) and retroactive
402   interference (impact of previous activities on new ones) is expedient. In this regard, H. Eichenbaum (Eichenbaum, 2008)
403   notes that, in case of the identity of information, retroactive interference turns into facilitation.
404   From the perspective of the operational and procedural component of the cognitive skills of an individual, an
405   important role is played by thinking, which has a number of distinguishing features, namely depth, range, flexibility,
406   speed, and ability to be critical. The depth of thinking is the easiness of identification of essential properties and relations
407   between objects and phenomena, and the range of thinking is the breadth of coverage of the maximum number of objects
408   with a clear awareness of the relations between them. By the flexibility of thinking, the plasticity of the stream of thought
409   of an individual is meant. The essence of this feature can be explained as the opposite of inalterability. The speed of
410   thinking is seen in psychological and pedagogical science as the pace of the stream of thought and is often associated
411   with the temperament of an individual. Thus, phlegmatic and melancholic persons, in whom inhibition processes prevail
412   over excitement ones, are often characterized by a low or moderate pace of thinking. Sanguine persons, whose
413   processes of excitation and inhibition are in certain equilibrium, are characterized by a relatively high pace of thinking.
414   Choleric persons, in whom excitation processes significantly outweigh inhibition ones, are able to demonstrate the
415   highest pace of thinking. Finally, the ability of thinking to be critical is the ability to control the stream of thought, what
416   helps it to evolve and to improve. In particular, P. Tittle (Tittle, 2011) emphasizes that critical thinking is a prerequisite for
417   finding appropriate means to achieve the goal.
418
419   *4.3   Promising directions of the development of the content and reflective component of the cognitive skills of future*
420   *philologists*
421
422   The basis of the above component is the theory of decision-making, because the fixation of a new generalized image is
423   the result of finding constructs that are in consonant relations with one another as well as of rejecting constructs with
424   dissonant interrelations. At that, the magnitude of cognitive dissonance between these constructs depends on the number
425   of "conflicting" constructs. Persons with high tolerance to "conflict" of constructs are usually satisfied with the existing
426   state of things, ignoring the search for alternatives to achieve consonance. Instead, persons with low tolerance to
427   "conflict" of constructs direct their mental efforts at overcoming the dissonance. It should be noted that, in the first type of
428   personality, lack of captiousness during the formation of a new generalized image can usually be seen, while in the
429   second type, inhibition of mental processes due to excessive strength of dissonance can occur (Ginsberg and
430   Wlodkowski, 2009; Vekker, 1974).
431   Removal of dissonance between constructs takes place due to conscious rejection of constructs with less positive
432   effects and their subsequent fixation. It should be noted that, immediately during activity, the above decisions do not
433   always lead to the appearance of complete consonance between the constructs of an image because conflicting relations

between the positive properties of a rejected image and the negative properties of a selected image on the one hand, and their imagined models - on the other hand usually occur. This happens even in case of decided advantage of the positive properties of the constructs of a selected image over the negative properties of the constructs of a rejected one (Festinger, 1989).

During the fixation of the constructs of a selected image, the strength of cognitive dissonance is in direct relationship to the significance of their properties for the individual. In addition, the positive properties of a rejected image leave in the mind of the individual "imprints" that represent at the same time a reflection of the negative properties of the selected image. In this case, the strength of cognitive dissonance is directly proportional to the degree of attractiveness of the properties of the rejected image. After making the decision about the fixation of an image, the possibility of the appearance and the strength of cognitive dissonance depend on how much the properties of the selected and the rejected images coincide. If the degree of their similarity is high, then the strength of cognitive dissonance will be low, and vice versa. If, however, the properties of the selected and the rejected images coincide completely, then the emergence of cognitive dissonance is inevitable (Ilyin, 2004).

It should be emphasized that if, during many attempts, the aspiration of future philologists to reduce the strength of cognitive dissonance and, at least partially, to achieve consonance is not satisfied, they have the desire to substitute the rejected image for the selected one, what usually leads only to an increase in the strength of cognitive dissonance. In contrast, if the reason for the increase of the strength of dissonance between cognitive elements is getting additional information, then the effect of changing the decisions made will be positive.

Thus, the main means of reducing dissonance and/or achieving consonance between cognitive constructs is search for positive (including hidden) properties of constructs in a selected image and increasing their attractiveness as well as search for negative (including hidden) properties of constructs in a rejected image and decreasing their attractiveness. In addition, reduction of the strength of cognitive dissonance is caused by an increase in the number of cognitive constructs with features of the selected and the rejected images. L. Festinger (Festinger, 1989) notes that an effective example of the above can be finding or imaginary creating constructs of the selected image, the properties of which are similar to positive properties of constructs of the rejected image.

5. Conclusions

Based on the assumptions of psychological and pedagogical science, one can single out a number of promising directions of the development of the cognitive skills of future philologists, including:
- creating optimum motivational force;
- activating procedural motivation;
- taking into consideration the properties of attention during the assimilation of information;
- using an optimum pattern of attention distribution;
- influencing the work of sensory register, short-term and long-term memory;
- using arbitrary and spontaneous memory;
- avoiding proactive and retroactive interference;
- taking into consideration the role of the features of thinking during the assimilation of information;
- reducing dissonance and/or achieving consonance between cognitive elements.

Expediency of using all the ideas listed above in order to develop the cognitive skills of future philologists requires careful experimental verification in variable conditions of activity, and, as a consequence, further working out the methodology of purposeful development of their cognitive skills. It should be noted that the proposed article does not cover all aspects of the explored problem. In particular, cognitive complexity as a feature of the cognitive sphere of future philologists and its interrelation with cognitive skills require an in-depth study.

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Local Dialect Radio Programmes, Rural Development and Social Integration: The Case of *Nsukka Alua*, Radio Nigeria, Enugu Programme

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Abstract

The present study focuses on the contribution of the 'Nsukka Alua' local dialect radio programmes to the social integration and rural development of the Nsukka people of Enugu State, Nigeria.. A combination of ethnographic qualitative research design was used. For the field study, the interview and focused group techniques were adopted to collect the data. A multi-stage sampling technique was used to select 5 communities for the study. Data were gathered on the role of Nsukka Alua as an integrative tool, for the promotion of Nsukka traditional culture and the communication of development information that will mobilize the people for development. The study established that Nsukka Alua radio Nigeria programme, has improve awareness and knowledge of solutions to community development problems ranging from social integration, rural development, education, agriculture to local governance. Since the study showed a positive role of the indigenous radio programme, Nsukka Alua in rural development and social integration among the Nsukka people, future intervention policies for development should package more radio programmes in local language of target group. These will enhance listenership, interest and positive change of desired development and integrative behavior.

Keywords: Local Dialect, Radio programmes, Rural Development, Social Integration, Nsukka Alua

1. Introduction

Studies, (Khan 2012; Walters et al, 2011; Isa 2005:76; Allimi 2005:23; Bashir 2005:89) show that a decisive role can be played by communication in promoting human development in today's new climate of social change and language is a major tool in the communication process. As the world moves towards greater democracy, decentralization and the market economy, conditions are becoming favorable for people to start steering their own course of change. But it is vital to stimulate their awareness, participation and capabilities. Communication skills are central to this task but at present are often under-utilized. Policies are needed that encourage effective planning and implementation of communication programmes and strategies.

The management of Nigeria's multi ethnic, religious and linguistic diversity to foster peace, unity and national integration has remained a critical challenge to development aspiration (Ayakoroma, 2011:12).Ayakoroma argues further that the reality of the country's ethno-cultural and religious composition presents an unfortunate situation, where sectional interest, and ethnic affiliation rather than loyalty to national development goals and aspirations. He concludes that the development of nations like Brazil, China, Japan, India, Malaysia, South Korea, and so on, have been largely shaped through arts, culture, and language. This is based on the realization that cultural values such as language, dressing, kingship system, marriage traditions, festivals, naming and funeral ceremonies, and other such core values, are veritable avenues for development (Ayakoroma, 2011:12).

As a cultural manifest, language could be used as a means for mobilizing ethnic groups for specific development purpose (Moemeka, 2012; Ayakoroma, 2011, Odoemelam, 2015). The assumption is that, people would respond more to

57 a local language with which they have a frame of reference (Odoemelam, 2015). Language, in the first place, is an
58 organized system of speech used by human beings as a means of communication among themselves. It is such
59 differentiated system of speech as used by a section of the human race, for example, the English language. It is also
60 describe as a system enriched by words and phrases used by persons having special knowledge. Languages are in a
61 constant process of change, in sound, in form, and in meaning, so long as they are spoken. The evolution of language is
62 generally from complex forms to simpler and more freely combinable elements (Ayakoroma, 2011, p.12).
63   Though the government is spending millions of Naira in the name of rural development, but still it is not getting the
64 desired results. There can be many reasons behind this. But the first and the foremost reason is the communication gap
65 between government devised policies and common masses. Though, the policies are extremely good, but common
66 masses remain ignorant regarding them. What should be done to bridge this gap? Studies have proposed a firm
67 communication policy. According to this policy, local dialect radio programmes should be promoted in order to enhance
68 community development and integration.
69   This study examines how this cultural phenomenon, language, could help in rural development and social
70 integration of the Nsukka people. The role of the radio Nigeria, Enugu programme *Nsukka Alua* local dialect programme
71 in harnessing resources for rural development and integration, will form the fulcrum of this investigation.
72   The Nsukka people are found in the South eastern part of Nigeria in Enugu State. They occupy the North
73 senatorial zone and speak the general Igbo language which is the major medium of expression among the south
74 easterners comprising Enugu, Abia, Anambra, Imo and Ebonyi States. However, the indigenous language of the Nsukka
75 people is called 'Ideke'. The 'Nsukka Alua'is a variation of the 'Ideke' Nsukka indigenous dialect specie. *Nsukka Alua*
76 *radio Nigeria programme,* is a thirty minutes chit-chat programme in Nsukka dialect. It features activities, cultures and
77 achievements of the people or organizations in Nsukka cultural zone. The programme is designed to unite all Nsukka
78 people in Nsukka cultural zone towards developmental goals that affect the zone.
79
80 1.1   *Statement of Problem*
81
82 In developing economies like Nigeria, majority of the citizens live in the rural areas where agrarian culture constitutes the
83 major micro economic activity. As a result, most development oriented agenda are focused on such areas. One of such
84 development agenda is the use of the radio and a local dialect medium to disseminate relevant information that will
85 improve life style and integrate the people for productive enterprise. Where such information gap exists it has led to
86 failure and non-realization of development objectives and lack of social integration which may culminate in increase in
87 social vices.
88   Unarguably, the mass media are tools for information dissemination and mass education of the people for social
89 transformation of the society because they have the power for promoting social cohesion and integration of the
90 component units of a nation. Therefore, they are critical to national cohesion and development aspirations especially
91 where language differences hold sway. Previous literature show that, in a decent and healthy democracy, mass media
92 are regarded as the purveyors of public messages to the heterogeneous and scattered audiences through the channels
93 of radio, television, newspapers, magazines, internet among others. Among the mass media genre, the radio is the most
94 acclaimed partner in progress where developing objectives are concerned. This is especially so due to radio's
95 pervasiveness and use of indigenous language in the dissemination of anticipated behaviour change messages. The
96 above notion about the radio has stimulated various scholarly debates addressing the role of radio in achieving
97 development but such efforts have largely ignored empirical examination of how local dialect programmes contribute to
98 rural development and social integration. This has resulted in the dearth of literature in Nigeria, on the role of local dialect
99 programme in rural development and social integration. Against this backdrop, this paper examines the influence of the
100 *Nsukka Alua* radio programme on rural development and social integration among the Nsukka people of Enugu State,
101 Nigeria.
102
103 1.1.1 *Objectives of Study*
104
105 The general purpose of this study is to examine the influence of the *Nsukka Alua* radio programme on rural development
106 and social integration. Specifically, the study will:
107 •   Determine the level to which local dialect programmes contribute to improved life style among the Nsukka
108   people.
109 •   Evaluate the extent to which 'Nsukka Alua' programme integrate the Nsukka people.
110 •   To ascertain if local dialect programmes have the capacity to mobilize the people for development.

1.1.2 Research Questions

The study will attempt to answer the following questions:

- To what extent do local dialect programmes contribute to improved life style among the Nsukka people?
- How has 'Nsukka Alua' programme contributed to the integration of the Nsukka people?
- What is the extent to which local dialect programmes mobilize people for development?

1.2 Significance of the Study

This study is significant and relevant to all strata of human society because it is aimed at helping people at all level to communicate and empower them to recognize important issues and find common grounds for action and build a sense of identity and participation in order to implement their decisions. It will also be significant because it will contribute to the literature on language and national development. Finally, the media industries will find it very relevant because it will show the importance of local dialect programmes in mobilizing for socially accepted goals.

1.3 Literature Review

While this study's interest is on rural development news, it is also in place to examine the generic concept of development and by extension, development news. From the macro point of view, development refers to the change from simple forms of organization and production to complex modern ones. Originally men and women lived in small, self-sufficient communities, dependent on things they found in their environment. if food, fuel, or materials ran out, they would simply move on. One of the first significant social and technological developments was the transition from this nomadic way of life to agricultural cultivation in settled communities, from which began societies as we know them today (Coldevin, 1988). So, this phenomenon will be termed as development, though in the materialistic sense. Rather, development is a wholesome process. Ngwu (2010) sees rural development as improving the living standards of the masses of the low income population residing in rural areas and making the process of their development, self-sustaining.

Development does not mean only economic growth but also the social, spiritual and moral enhancement of the entire society or nation. Economists defined development as the growth in terms of structural and technological advancement. Typically, in the early stages of development economies have most of their production and labor force in agriculture. Later, the manufacturing and service sectors became larger (Kahn, 2012).

Another key feature of development is to eradicate poverty. Entire economies can be poor, or they can grow but still leave large sections of their people in poverty. In the second half of the 20th century, development policy makers became acutely aware of the difficulties a large number of countries in the developing world facing as most of them were former colonies of the industrialized nations (George et al, 2013). Development economics became more or less synonymous with the study of how these countries could progress out of poverty. Now-a-days no one can deny the importance of media in fighting social evils, illiteracy as

well as poverty (Kahn, 2012).

- Development Indices:
  - Human Development (Education)
  - Economic Development (Skill and Craft Entrepreneurship)
  - Social and Cultural Development (Integration and knowledge of the people, Healthy living and unhealthy traditional practices)
  - Physical Development (mobilized to build self help projects like bore-holes community schools, feeder roads) (Barr, 2005; Coldevin, 1988; Odoemelam, 2012; Odoemelam, 2013).

There have been several cited cases (Khan, 2012; FAO, 2009; Manda, 2007) of failures in projects and programmes in development, due to misunderstanding between development communication providers and their audience either around cultural differences, policy explanation and concepts. Knowledge and information can only be useful when they are communicated clearly without misunderstanding and ambiguities. In rural development, for instance, it has been argued that sustainable development can succeed only when development issues are communicated in processes that will help rural people to exchange experiences, find common ground for collaboration and actively participate in and manage rural development activities. Language plays important role in determining the level of cooperation that would be accorded any mobilizing goal. That is why Anyaegbunam (2005) observe that "indigenous language programme encourage socio-cultural cohesion and unification. The conclusion is that a vigorous

164 promotion of these programmes and other identified unifying national symbols would engender the much needed national
165 integration and peaceful co-existence in Nigeria". In his analysis, Yusuf (2005) affirms that language is the chief by which
166 beings communicate with each other (Ejele, 1996; Fani-Kayode, 2005). No doubt, this is important for development
167 objectives.
168 Language as Ayakoroma, (2011) notes, is an organized system of speech used by human beings as a means of
169 communication among themselves. It is such differentiated system of speech as used by a section of the human race, for
170 example, the English language. It is also describe as a system enriched by words and phrases used by persons having
171 special knowledge. Languages are in a constant process of change, in sound, in form, and in meaning, so long as they
172 spoken. The evolution of language is generally from complex forms to simpler and more freely combinable elements.
173 Okunna (2004:18) sees development as a process of social change which has as its goal the improvement of the
174 quality of life of all or the majority of the people, without injuring he national and cultural environment in which they exist
175 and which seeks to involve the generality of the people as closely as possible in this enterprise. To Walter et al (2011),
176 development simply means the process by which societal conditions are improved. These societal or human conditions
177 include the social, physical and environmental conditions. Manda (2007) sees rural development as improving the living
178 standards of the masses of the low income population residing in rural areas and making the process of their
179 development, self-sustaining.

1.3.1 Local Language as Cultural Manifest

183 The Cultural Policy for Nigeria (1988) defines "culture" as: the totality of the way of life evolved by a people in their
184 attempts to meet the challenge of living in their environment, which gives order and meaning to their social, political,
185 economic, aesthetic and religious norms and modes of organization thus distinguishing a people from their neighbours
186 It is also pertinent to note that the policy states that culture comprises material, institutional, philosophical and
187 creative aspects. The material aspect refers to artifacts like tools, clothing, food, medicine, utensils, housing, etc; the
188 institutional deals with the political, social, legal and economic structures erected to help achieve material and spiritual
189 wellbeing of the people; the philosophical is concerned with ideas, beliefs and values; while the creative concerns a
190 people's literature (oral and written) as well as their visual and performing arts, which are normally molded by, as well as
191 help to mould other aspect of culture. Thus, culture encompasses arts and other ways of life of a people that give
192 meaning and order to the environment they live in (Yusuf, 2005).
193 According to Newhill and La Pagila (2006), culture has been called "a blueprint for living," in the sense that it is a
194 pattern of living that is expected of people. Every person is born into an existing culture, which must be learned and which
195 shaped his/her life. This explains why the social scientist sees culture as the entire way of life within a society. In other
196 words, the way a people think about problems of living the tools, houses and customs they have adopted as their own are
197 part of the culture of a people.
198 Man as a social being cannot live outside his society and the order governing the conduct of affairs. Cultures
199 emerge as shared historical experiences of a given society which, of course, is continuous and ever changing and
200 developing (Jimada 1). Culture is not merely am return to the customs of the past. It embodies the attitude of a people to
201 the future of their traditional values faced with the demands of modern technology which is an essential factor of
202 development and progress. Cultures do not exist in isolation as human groups relate to one another; hence there is
203 borrowing and fusion. For example, cultures evolve from that of others who are their immediate neighbours. This could be
204 deduced from the language, religious worship, festivities, and other cultural elements. Culture cuts across identities and
205 boundaries; this is because of the historical relations between groups in terms of trade, inter-tribal marriages, and
206 diplomacy, which lead to borrowing in terms of language, religion, arts, dresses, etc.
207 There are situations where we experience what we call "culture gaps" and "culture shock." According to the
208 Webster's Dictionary, the former is where there are radical differences in lifestyles between the advanced cultures and
209 developing/underdeveloped countries; while the latter is the traumatic effect of disorientation caused by a major change
210 in milieu experience by new inhabitants (235). Ayakoroma (2011) examines the phenomena in his analysis of Culture and
211 Globalisation thus:
212 Interconnection generally results from superimposition caused by migration or mobility…. Single cultural elements
213 can often be tracked back along their historical way to one of the original cultures. The number of cultures decreases
214 exponentially during the syntheses' processes.

1.3.2 Theoretical Perspective

1.3.2.1 Participatory Communication Model

The theory of participatory communication as espoused by Mefalopolous (2008) and Moemeka (2012) contains useful concepts that are relevant to a discourse on the influence of local dialect programme on rural development and social integration. The main tenet of participatory communication is the concept of inclusiveness. It argues that for development to occur there is need to enlist the support of those for whom the development objectives are designed. Development communication literatures (Odoemelam, 2013; Odoemelam, 2012; Mefalopolous, 2008; Moemeka, 2012) suggest a dialogic mode of communication. Dialogic communication envisages a process of commonness in the interaction continuum. Empirical literatures have shown that language (indigenous) achieves the objective of participatory communication (Yusuf, 2005; Fani-Kayode, 2005; Anyaegbunam, 2005).

Anyaegbunam (2005) argues that indigenous language programme encourage socio-cultural cohesion and unification. He concludes that a vigorous promotion of indigenous language programmes and other identified unifying national symbols would engender the much needed national integration and peaceful co-existence in Nigeria. In their analysis, (Yusuf, 2005; Ejele, 1996; Fani-Kayode, 2005) affirmed that language is the chief by which beings communicate with each other. No doubt, this is important for development objectives.

In this study, we argue that participatory communication can serve as a strategic tool to achieve pre-established programmatic goals (for example, participatory community development). However, participatory communication can also envisage a fundamentally new approach to development, one which sees communication as the very objective of development effort. Participatory communication can be construed as a channel of self-expression and self-management for self-development (Wimmer and Dominick, 2006). Including the voices of the marginalized and underprivileged, communication processes can become more inclusive and open-ended rather than goal-oriented, and may provide a venue to directly address structural problems. The consensus among contemporary development specialists is that participatory approaches have rendered the modernization paradigm obsolete, at least on the theoretical level. Participation has indeed been officially sanctioned as the preferred communication strategy by a number of international development organizations including UNICEF, UNDP, FAO, and the World Bank. This is axiomatic to this study because rural development and integration of the people would require the people's participation and to promote inclusiveness, indigenous language performs the role of mediation.

2. Methodology and Selection of Participants

The Ethnographic research design, which is qualitative and participatory in nature, was adopted for this study (Creswell 2002). Cresswell notes that this research design allows for the combination of a mixed method (p.565). This involved the broad techniques of interview and focused group discussion (Dagron, 2001). Justification for the use of these qualitative techniques was informed by the researcher's interest in knowing the attitudes and opinions of Nsukka residents on the influence of local dialect programmes like *Nsukka Alua* on rural development and community integration (Barr, 2005). It is important to note from the onset that the present study is merely exploratory; it avoids the use of hypotheses because knowledge in the area is marginal and lacks standardized substantive predictions (Wimmer and Dominick, 2011). Considering the participatory nature of the present study, the ethnographic techniques adopted (focused group discussion and interview techniques) were thought to be most suitable (Suter, 2000). There are numerous advantages associated with using these techniques one of which is that it allows participants to participate fully in the process of facts finding (Seidu et. al, 2011).

Indigenes of Nsukka constituted the population of this study. According to the 2006 census figures, obtained from the National Population Commission (NPC), the Nsukka senatorial zone has a population of 374,515. According to Ohaja (2003,p.75), "the population for a study refers to all those persons or things that fall under the umbrella of the topic or that can be examined to address the research problem or meet the research objectives".

The sample size was 45. This was made up of those assumed to be knowledgeable in the subject matters that constitute the variables of the study. Wimmer and Dominick (2006:13) and Ogbuoshi (2006:8) justify the need to select a manageable sample and notes, "it is not generally feasible to interview the entire population." Therefore the purposive method was adopted in the selection of the sample to be studied. A total of 40 participants were used for the focused group discussion (FGD), while 5 persons were selected for the interview technique. This gave a total of 45 participants in the study.

The Multi-sampling technique was adopted. This included the cluster sampling and the purposive sampling

techniques. For the cluster sampling, Nsukka was divided into 5 pre-existing clusters and the cluster yielded the following:

1. Obukpa
2. Nsukka
3. Alor Uno
4. Opi
5. Eha Alumona

The purposive method was used in selecting the participants for both the focused group discussion and interview session from the identified clusters. The purposive method was adopted because it was important to select the group that had the required characteristics as suggested by Ohaja (2003). It was decided that since the subject matter was on development, it was better to seek the views and opinion of the major stakeholders in the communities within each clusters. In a traditional system of governance, the chiefs and Igwes (Paramount Rulers) constitute the stakeholders who hold community development and governance in trust for the communities. This therefore informed the selection of these traditional rulers as the participants and the interviewees respectively. Thus, from each of these clusters, 8 chiefs (called 'Onyishis'.i.e the eldest males in each community), were purposively selected from the council of chiefs for the focused group discussions. That is, 8 participants from each of the clusters. This gave a total of 40 participants in the focused group discussion and a total of five (5) focused group discussion (5 FGDs).

For the interview method; since the clusters that make up Nsukka zone had been identified and they include: Obukpa, Nsukka, Alor Uno, Opi, Eha Alumona, the Igwes (Paramount rulers) of each of the five clusters were selected for the interview. This yielded 5 interviewees, each from a cluster.

The interview schedule and focused group discussion schedule were used as the instruments for data collection. For the focused group approach, the data collected for the study were both Expected Responses (ER) and Emergent Responses (ER). Expected responses (ER), refer to those likely qualitative data/answers collected in the field, which the researcher was looking out for from the participants, while the Emergent (ER) data, refers to quite unlikely data/answers upon which the researcher stumbles in the field.

To eliminate bias and ensure objective collection of data, the researcher made use of a tape recorder to gather the information from both the interview and the focused group discussion sessions. Thereafter, the content of the tape recorder was transcribed into a written form, with each participant's views clearly represented in their order of presentation.

This study used the qualitative research technique therefore, data was analysed qualitatively. This meant that the data was not quantified statistically (Wimmer and Dominick, 2011). This involved first, transcribing the recorded interviews and focused group discussions then, matching them against the questions raised in the schedules and trying to group them into Similar (S) or Near similar (NS) opinions or views. A representation of the different opinions as expressed by the respondents on the subject of inquiry was done objectively. This style of presentation gave a better view of the respondents' opinions on whether Nsukka Alua programme influences Nsukka people towards developmental goals.

The participants in each group were given tags (1-8) representing categories in each group (CED). Each alphabet: 1-2-3-4-5-6-7-8. represented the view of a particular participant in all the five (5) focused groups discussions (5 FGDs). Each of the categories were collated and presented as total categories in the groups (TCGs). A total of 8 participants made up a group in a cluster. Each cluster was tagged a group. For easier identification and analysis, each group was identified with an alphabet A-E. Thus, there were five (5) groups namely: Group A= Obukpa Cluster; Group B= Nsukka Cluster; Group C= Alor Uno Cluster; Group D= Opi Cluster; Group E= Eha Alumona Cluster.

3. Results and Discussion of Findings

This study revealed quite interesting things pertinent to the objectives of the study. The qualitative method was used as a method. Thus, the focused group segment, revealed certain emergent view points. This was not unexpected since studies (Suter, 2000; Osuala, 2005) have shown that focused group method and interview are very reliable for gathering data in studies where there is need to get in-depth insight and information on the opinion and views of the respondents. The paragraphs below will present and interpret the results and findings in this study.

3.1 Research Question 1: To what extent do local dialect programmes contribute to improved life style of the Nsukka people?

To answer this research question, the researcher raised 3 questions. The first question sought to know if the participants

326 listen to radio Nigeria, Enugu station. This was to ensure that the participants would have the locus standi to discuss the
327 subject matter.
328   Participants in all the groups answered in the affirmative. However participants in the Opi, Alor Uno, and Eha
329 Alumona Clusters, noted that even though they listen to radio Nigeria, most of the programmes are quite not relevant to
330 their tastes. In response to this, the researcher asked what they meant. They responded that most of the programmes do
331 not address issues that are relevant to their agricultural and economic development. This opinion was noted as Emergent
332 opinion (EO).
333   The second question asked the participants if they expose themselves to 'Nsukka Alua" programme. All group
334 participants listen to Nsukka Alua programme. Again this preliminary verification was important so as to make their
335 individual contributions to discussion valid.
336   The third question wanted to know what the participants think of development information on Nsukka Alua
337 programme (What do you think is the relationship between a local dialet programme and rural development).
338   There were divergent views by the discussants on this issue. Participants in Group one that is, Obukpa Cluster,
339 believe that most of the content on Nsukka Alua programme were issues pertaining to social integration of the people as
340 a cultural group. They noted that it gives them a sense of unity and belongingness. An emergent view that was opined by
341 one of the participants was that the programmme's discussions in this regard, was similar to a programme on Lion F.M (a
342 community radio located within the University of Nigeria Campus but that has a reach covering all the areas within the
343 clusters selected for this study) called 'Nsukka Deje'.
344   Findings to research question 1 show that:
345   i.   Participants listen to Nsukka radio
346   ii.   They eually listen to Nsukka Alua programme
347   iii. Nsukka Alua radio programme contribute to development by:
348   iv.   Fostering a spirit of belongingness
349   v.   Emphasizing self development opportunities by promoting the acqusistion of formal education.
350   vi.   Promoting entrepreneurial values
351   vii. By mobilizing the people for development initiatives
352   viii. Integrating the people through cultural activities
353   From the analysis above, it is obvious that the discussions by the focused group participants hinged on one aspect
354 of development strategy or the other, as applied by the Nsukka Alua local dialect programme. All five view points as
355 identified by the participants, are in consonance with the points raised in the literature review that focused on local dialect
356 radio programme contents and strategies that could foster development among a people (Moemeka, 2012). Thus,
357 Research question one, has been adequately answered by these responses. This could be deduced from the responses
358 by the participants in these clusters that pointed at the fact that because the contents of the programme were conveyed in
359 the Nsukka local dialect, it gave it more credibility and acceptability.
360
361 3.2   Research question 2. How has 'Nsukka Alua' programme contributed to the integration of the Nsukka people?
362
363 The findings show that Nsukka Alua has contributed to social integration in Nsukka by:
364   i.   Featuring enlightenment information
365   ii.   Promoting school enrollment and skill acquisition
366   iii. Featuring issues that teach diligence and ambition
367   iv.   Knowledge on self development
368   To adequately provide an answer to this question, interview was further conducted to see if the response will be
369 complementary or contrary.
370   Findings from the interview conducted showed that Nsukka Alua was:
371   i.   Serving as a unifying factor
372   ii.   Development of the human person
373   iii. Encouraging the people to see themselves as brothers sharing similar cultural and political aspirations.
374   Both responses complement each other thus the research question, how has 'Nsukka Alua' Programme
375 contributed to development in Nsukka, has been adequately answered by answers and discussions proffered by the
376 participants and interviewees wherein they noted that the Nsukka Alua radio programme has influenced different aspects
377 of their economic, social and physical life. These indices, are known to be parameters for judging development:
378   i.   Socialization and Cultural transmission
379   ii.   Community development projects such as, market roads, daily thrift, etc.

380   iii.   Scholarships and foundations for assisting indigent students.
381   These findings are in consonance with the works of Coldevin, (1988); Odoemelam (2013) and Dickson et. al.
382   (2013).
383
384   *3.3   Research Question 3: What is the extent to which local dialect programmes mobilize people for development?*
385
386   The interview finding showed the following:
387   i.   Local dialect programmes will make more impression on the audience than general language programmes
388   ii.   Local dialect programmes are seen as mobilizing agency by which the target rural audience could be
389   organized towards achieving development goals.
390   iii. Local dialect programmes, which are a disconnect from the target audience's frame of experience cannot
391   make much difference.
392   iv.   Local dialect programmes which are lacking in substance will not make any impact on the people. Therefore
393   producing programmes or behavior change communication for the rural people, should involve the people in a
394   two process.
395   An analysis of the views expressed in these discussions by the focused group participants and the interviewees, as
396   presented above, adequately answered the research question which sought to ascertain if Local Dialect Programs
397   Mobilize People for Development. From their responses it could be ascertained that *Nsukka alua* radio programme, has
398   influenced the respondents to take one developmental initiative or the other. Also it was observed that, not only the
399   participants who had been influenced but other listeners too. It is the contention of Mefaloplous (2008) that dialogic
400   communications, in this instance the use of indigenous language (dialect) creates affinity and could be used as a means
401   of mobilization for development aspirations.
402
403   **4. Summary and Conclusion**
404
405   The study set out to examine the influence of local dialect radio programmes on rural development and social integration
406   among the Nsukka, of Enugu State Nigeria. The case study was the *Nsukka Alua* radio programme of the Radio Nigeria,
407   Enugu. It looked at aspects of development relevant to a rural audience. Specifically, it ascertained if *Nsukka Alua* radio
408   programme was able to influence the people, it also considered the ability of the programme to mobilize the people
409   towards development objectives. These tasks were prompted by the notion of participatory communication. Finally, the
410   study compared the target audience's preference for local dialect radio programmes to other similar content programmes
411   which are not in local dialect.
412   The study concludes that radio plays a pivotal role in making the masses aware about their basic rights and duties.
413   Not only limited to solving problems which they face in their day-to-day lives. But specifically, local dialect radio
414   programmes provide a strong platform from where development ideas can freely be disseminated among the community
415   members in the best possible manner within the context of dialogic or participatory communication process. Thus, local
416   dialect programmes become one of the important instruments in strengthening development efforts and integrating the
417   people. Besides solving social problems as well as entertaining local people, this also acts as an intermediary between
418   the government policies and the local masses. This is the place from where local people can air their grievances to the
419   government as well as get the solutions to their problems too. In conclusion, local dialect radio programmes play a major
420   role in bridging the communication gap between the government and the local people and has proved to be one of the
421   effective mode of communication at the grass-root level. This is the main argument of the theory of participatory
422   communication.
423
424   *4.1   Limitations of the Study*
425
426   Even though the qualitative approach employed in the present study, has produced very enriching and valuable
427   knowledge with regard to the contributions of local dialect to rural development and social integration, it is difficult to rely
428   on these predictions because they are not based hypotheses derived from .extant predictions.
429   However, it is suggested that, because knowledge in this area is only emerging, future studies should use
430   quantitative methods and data for reliable predictions on the influence of local dialect on rural development and social
431   integration. Knowledge gained from the present study could serves as baseline data in that regard.
432
433

4.2 Recommendations

i. Since the study showed a positive role of the indigenous radio programme, *Nsukka Alua* in rural development and social integration among the Nsukka people, future intervention policies for development should package more radio programmes in local language of target group. These will enhance listenership, interest and positive change of behavior.

ii. Local dialect programmes which are lacking in substance will not make any impact on the people. Therefore producing programmes or behavior change communication for the rural people, should involve the people in a two way dialogic process. This is in consonant with the theory of participatory communication.

iii. It is recommended that local dialect radio programmes should be promoted among other radio stations programmes (public and private) in the various geopolitical zones of Nigeria in order to enhance community development, at least at grass root level.

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Values of Social Sufism in the Short Story Burung Kecil Bersarang di Pohon (A Little Bird Nesting on the Tree) by Kuntowijoyo

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Abstract

This research aims at decribing the values of social Sufism in the short story Burung Kecil Bersarang di Pohon (A Little Bird Nesting on the Tree) by Kuntowijoyo. To reach the objective, heuristic and hermeneutic readings were conducted. The results of the research are as follows. First, the values of social Sufism is presented through the character of the old man-child, and the market-mosque as the setting. Second, the values of social Sufism is actualized through the portrayal of the importance of the balance of worship and work. The prayers directed for the life hereafter must be balanced with the working directed for the daily life. Third, the teaching of social sufism emphasizes the importance of keeping the horizontal and vertical relations. Vertical relation is for human-God relation, and the horizontal one is for human to human relation, and to other creatures on earth.

Keywords: Sufism, prayers, awareness on faith, and awareness on humanity

1. Introduction

There are three inner restlessnesses within a writer encouraging the creation of literary works. The first is metaphysical anxiety or the human relationship with the Creator (God). Second, it is social anxiety, which reflects the relationship between humans in the social structure. The third is existential anxiety, which describes efforts to face and try to self-resolve the problem (Kleden, 2004: 106). In addition, there are three aspects that can be sources of creation of literary works, namely: (a) religion, (b) society, and (c) the individual. In other words, literature is always dealing with human problems in relations to God, in conjunction with other human or nature, and in conjunction with the self.

Metaphysical anxiety is associated with human's effort to get to know the Creator (God). This is the efforts to the re-recognition of the nature of God because, only by remembering the Lord, will humans remember themselves, and only by self-exploration can humans understand their God. Religious experiences related to the feeling and human spirituality, such as feelings of sin, fear to God, and the God's glory can be employed as material or object in the creation of literary works (Anwar, 2007: 12) .

Social anxiety is related to the presence of humans as social beings. Social reality related to social life, including social interaction between groups, social institution relations, social layer, power, authority and leadership, social change, and social conflict can be used as materials or objects in the creation of literary works. Moreover, problems faced by community such as poverty, crime, disorganized family, violation of norms can be the sources of the writing (Soekanto, 1997: xii).

Existential anxiety is closely related to human existence as an individual. Human problems that can be used as an individual substance or object in the creation of works are the issue of love, beauty, suffering, justice, responsibility, outlook on life, hope, and anxiety. Those individualized impulses enhance creative text motifs, such as the heroic novel, poem about independence and freedom, and works against all forms of oppression and tyranny.

As described above, one of the sources of inspiration for the creation of literary work is a metaphysical anxiety associated with awareness of divinity. In the development of literary works in Indonesia, Kuntowijoyo is well-known as one of the authors who creates many works using metaphysical anxiety. Kuntowijoyo through his works much lifts and actualizes religious themes in the context of people's lives (Wangsitalaja, 2001a). Kuntowijoyo focuses his literary works as a medium towards achieving transcendental aspects (divinity). To achieve this transcendental aspect, he mostly employs the social aspect (humanity).

Kuntowijoyo has his own characteristics in picking and expressing religious themes. In his work, he does not display the religious themes literally and doctrinal, but unites them in the framework of literary aesthetics (Anwar, 2005).

56 Thus, the literature does not get stuck on dogmatic and formalistic missionary activities. Literary work can serve as a
57 means to think for the audience and provide an alternative bid to make decisions when faced with a problem (Sayuti,
58 2005: 43). Literary works should be able to provide a balance between social and spiritual themes, between depth of
59 worship and involvement in humanitarian issues, and between the human activity and the religious experience
60 (eschatology) (Wangsitalaja, 2001b).
61   In the Islamic perspective, the concept of balance between the spiritual theme (divinity) and social themes
62 (humanity) is identical with concept of social Sufism. Social Sufism does not separate the world and the life hereafter. In
63 this case, the attitude of the ascetic (*zuhud* 'isolating from the affairs of the world') which is at the core of Sufism should
64 be interpreted according to the circumstances. Therefore, an individual's awareness of divinity must be accompanied by
65 an awareness of the social nature of humanity (Syukur, 2005: 14).
66   It is interesting to study the realization of the values of social Sufism in literary works written by Kuntowijoyo. This
67 paper discusses the issue by studying of his short story entitled *Burung Kecil Bersarang di Pohon* which was published
68 in a collection of short stories *Dilarang Mencintai Bunga-Bunga* (Kuntowijoyo, 1992: 181). Kuntowijoyo's efforts put his
69 works as the embodiment of actualization and contextualization of religion in human life significantly. Hilmy (2008:108)
70 calls these efforts "bringing God in the public sphere", which attempts to integrate spiritual and worldly affairs in various
71 dimensions of human lives.
72
73 **2.   Theoretical Framework**
74
75 Sufism as a phenomenon in the history of Islam begins with the dissatisfaction to the religious practices which tend to
76 follow formalism and legalism (Renard, 2005). In addition, Sufism is also a moral movement to criticize social, political,
77 and economic inequality carried out by Muslims. In this case, Sufism is understood as one of the solutions offered by the
78 Sufis to address the above issues. To deal with the formal tendencies and religious legalism, a transformation of physical
79 action toward inner action is foregrounded. Isolation from the bustle of the world is meant to cope with the behavior of
80 glorifying prosperity. The offer is then known as *zuhud* or ascetic behavior, the behavior putting humans away from the
81 world and hereafter oriented (Syukur, 2005: 13).
82   In essence, Sufism is part of Islam which is a manifestation of *ihsan* as one of the three other Islamic framework,
83 namely faith (*Iman*), Islam and Ikhsan. Therefore, the behavior of Sufism must remain within the framework of the Islamic
84 law. As a manifestation of *ihsan*, Sufism is the individuals' deep appreciation on their religion that allows them the spiritual
85 liberation. Through Sufism, humans can recognize themselves leading to end of knowing their God (Syukur, 2005: 12).
86   So far, ascetic behavior as the core of Sufism lies in the inner region (inner life). The question then, is it relevant to
87 associate ascetic behavior with the life in modern society? Is ascetic behavior appropriate if it is associated with the
88 position of man as an individual and as part of a community?
89   Those questions can be answered by giving a new meaning and understanding of the behavior of the ascetic in
90 Sufism (Raudvere & Stenberg, 2009). In Islam, human values can be understood when all outer and inner behaviors are
91 oriented to God. On the other hand, at the same time, such behavior can bring a concrete impact on efforts to improve
92 the human values. In short, human beings cannot be understood without their association to God and to other human
93 beings in social life.
94   In line with the above description, Syukur (2005: 13) puts forward the concept of social Sufism as one of the
95 contemporary understandings of the teachings of Sufism. Social Sufism does not split nature from law (fiqh) and keeps
96 engaged in life and earthly life, and does not separate the world and the hereafter. In this case, ascetic attitude as the
97 core of Sufism can be interpreted in accordance with the circumstances.
98   Ascetic attitude is essentially a form of Sufists' reaction against social inequality, economic and religious practices
99 at that time. Therefore, the formulation of the ascetic attitude may vary depending on the demands of the time. Sufism
100 has to react to circumstances that occurred at that time to find out best moral solutions and by self-isolating from the
101 material oriented (wealth) and power. Thus, it would seem that the actual values of Sufism is grounded and applicable to
102 the problems faced in its time (Howell, 2007).
103   Substantially, the values of Sufism has a social dimension, namely *futuwwah* and *al-itsar* (Syukur, 2005: 16). The
104 term *futuwwah,* referring to a knight, is from the word *fata* which means youth. At present, the meaning has developed
105 into ideal, noble and perfect men. *Futuwwah* can also be interpreted as a man who is friendly and generous, patient and
106 steadfast against temptation. A knight in Sufism is characterized by behaviors of unyielding; ease the difficulties of others,
107 sincere for Allah. A knight must always try to appear with anticipatory attitude towards the future in a responsible manner.
108   *Al-itsar* can be understood as a meaningful action or behavior that is more concerned on others than himself. The
109 explanation of the meaning of *al-itsar* refers to the Quran, Surat al-Hashr verse 9. The verse is about the residents of

Medina (*Anshor*) who provide aid to the settlers of the city of Mecca (*Muhajjirin*). *Anshor* puts more priority to the interests of the *Muhajirrin* (the immigrants who came from the city of Mecca) and would settle down in the city of Medina (Syukur, 2005:16).

Furthermore, the concept of *al-itsar* also refers to the Hadith of the Prophet Muhammad, which reads "At best man is useful for other human beings". As a social being, a Muslim is ordered to provide relief and assistance to others (Qardhawi, 2001).

In the perspective of psychology, *al-itsar* can be compared with the behavior of altruism, which is a voluntary action conducted by a person or group of people to help others without expecting anything in return. Altruistic behavior is only based on the desire to do good deeds for others (Mifune, 2009).

In the context of today's modern society, social Sufism is not a masking tape, but should be active in the middle of the development of the community and the nation. Social Sufism is no longer solitude (*uzlah*) or seclusion (exile '*khalwat*') from all forms of the crowds. In contrast, the behavior of Sufism is supposed to tell people to be active totally in the economic, social, and political life. Therefore, the role of the Sufis should be more empirical, pragmatic, and functional in looking at and responding to real life. Living the teachings of Islam through Sufism should not be reactive in nature, but active to give direction to people. The path of Sufism becomes one of the forms of social responsibility, the obligation to carry out tasks and respond to contemporary social problems (Syukur, 2005:21).

3. Method

The source of data in this study is a short story entitled *Burung Kecil Besarang di Pohon* which is written in a collection of short stories *Dilarang Mencintai Bunga-Bunga* by Kuntowijoyo (1992). The data were in the form of exposure to the language as a discourse or narrative text messages that cover social Sufism. The data collection was done by reading and recording. Data analysis involves two aspects: (1) structural aspects and (2) the genetic aspects of literary works. The first stage of analysis activities revealed the content of the values of social Sufism through the identification of structural elements of the story. This phase was to find the description of the values of social Sufism that are conveyed by Kuntowijoyo through means of (the structure of) literature. In the semiotic perspective, the first phase is referred to heuristic readings. The second stage of the analysis was related to the socio-cultural aspects surrounding the writer: aspects related to the socio-cultural reality in the community referenced by the author in writing the literature. The data analysis was enriched with the concept of Sufism in the Islamic perspective derived from the Quran and Hadith. In a semiotic perspective, this phase is referred to hermeneutic readings.

4. Discussion

4.1 The Synopsis

The important figures in the short story are an old man and a little boy. The old man is a Professor of Tauheed in a prestigious university. On that occasion, he was supposed to preach and became a priest of Friday prayers at a mosque. At the end, he could not perform the task as Khotib and Imam. He failed because he was busy helping the little boy to catch a bird. This made him late to the mosque. When he arrived at the mosque, the Friday prayers was completed.

The story begins on a Friday afternoon. The old man was wearing *kopiah* (a cap commonly worn by Moslems) and a white shirt and golden-style thread sarong with a rug on his shoulder. This appearance symbolizes cleanliness and purity as the requirement to perform a Friday prayer in the mosque. On his way to the mosque, he kept maintaining the cleanliness of clothing and equipment worn from dirt and uncleanliness. To save the time, he passed through the market as a short cut. In his every step, he felt that it was weird witnessing many traders who did not care about the Friday prayers. The market was full of merchants who were always rushing, greedy looking face, wild sight, and only money oriented. The old man assumed that they did not think about their relationship with the Almighty. He wanted to warn them to stop working for a while just to attend the Friday prayer which was mandatory for Muslims.

When passing through the market, the old man felt uneasy. He feelt doubt about his command to the people in the market. He thought what if he himself was a marketer. Could he do the activity in the market such as the merchants? As a professor whose life was relatively fulfilled, leaving an hour off office was not a matter. For the people in the market, that was the serious loss. He had to admit that it was easy for him but not for the people in the market. People could close the university and remain prosperous, but one could not close the market, workshop, and factory.

After passing through the market, the old man met a little boy who wanted to catch a small bird. The little boy eyes were clear and plain. He did not have any heart to let a small child crying and decided to help catch the bird.

164　　　　The old men seemed to be spellbound by the act of helping. He seemed to forgot his main task as the preacher in
165　a Friday prayer. The old man finally reached the mosque late, so he could not peform as a Friday preacher. Arriving at
166　the mosque, the prayer was over. A striking mind attacked this Professor of tauhid. The old man felt that he had made a
167　mistake by having more concern on helping the little boy than the liabilities to the preacher and Imams of the prayers.
168　　　　He also felt that there was a relief in his heart. He feels confident that the decision to help the little boy was not a
169　mistake. The act of helping the little boy had reminded the old man of the obligation to maintain relationships with fellow
170　human beings. As a man, the old man finally realized that the longing for God (awareness of transcendence) is in an
171　equal pleasure with longing for humans (human consciousness).
172
173　　4.2　　The Balance between Worshipping and Working
174
175　The principle of social Sufism is in line with the principle of unity of command to be faithful and to conduct pious deeds. In
176　Quran, a series of calls or orders instruct people to be faithful to God and to do good things to humans. In Quran, Surah
177　Al-Baqarah the second verse, it is mentioned that to become *Mutaqin*, men must have faith (*iman*), 'believe in the
178　Unseen', establish prayers (*sholat*), and pay alms (*zakat*). The verse confirms the existence of trilogy of basic values of
179　Islam, that is, faith (*Iman*) –prayer (*Sholat*) – alms (*Zakat*).
180　　　　Based on the basic values above, it can be concluded that in Islam there is the assertion that faith must be
181　culminated in charity, and in action. Aspect of faith (*tauhid*) must be actualized, so that the center of the Islamic faith is
182　God, but the end of the actualization is human (Kuntowijoyo, 1999: 167). Thus, Islam makes monotheism as the center
183　of value orientation, while at the same time sees humans as the purpose of the transformation of values.
184　　　　In accordance with the Islamic paradigm as a blessing to all the worlds, the expression which is in accordance with
185　the principles of Islam is an expression giving the real goodness of life, especially human. Therefore, the things disturbing
186　the good of human life, such as ignorance, poverty, and underdevelopment must be eliminated. Islam must liberate
187　humans from these things in order to create a civilized society.
188　　　　Social Sufism in essence is the realization of the Prophet's teachings about the importance of the balance betwen
189　hereafter affairs (worship) and world affairs (work). Social Sufism is a translation of one of the Hadiths related to human
190　activity. In a Hadith narrated by Turmudzi, Rosululloh States: *I'mal dunyaka kaannaka li li ta'ishu abadan wa'mal akhrotika*
191　*kaannaka tamutu ghodan*. Earn money (working) for your world as if you'll live forever and pray for the next life (worship)
192　as if you will die tomorrow. The Hadith emphasizes the importance of work activities to meet the needs of living in the
193　world. On the other hand, the activity of work that must be balanced with the activity of worship as one of the forms of
194　human consciousness that leads to the realm of immortality (hereafter) after death later (Izutsu, 2003).
195　　　　In the short story *Burung Kecil Bersarang di Pohon,* the conception of worship is shown by the symbolism of the
196　mosque, while the conception of working is through the symbolization of market. Mosque is a space for prayers or
197　prostrating. In this context, the mosque is synonymous with religious activities. Furthermore, the market becomes a place
198　in which the seller and the buyer conduct their transaction, a deal in the buying and selling activities. In this context, the
199　market is a symbol of economic interest (Kuntowijoyo, 2006:131).
200　　　　The balance between religious activities and working in the conception of Islam reflects the values that working is
201　not solely to accumulate wealth and riches, but as capital to perform perfectly pious charity. One of the pious charities is
202　the command to pay alms (*zakat*). The existence of an order to pay alms marks human importance to work, because by
203　working humans can have considerable property. Adequacy of ownership of property is the reasons of the command.
204　　　　The symbolic relation between religious activities and working activities was presented through the mosque and
205　market as the setting of the story. The old man passed the market in his way to the mosque. In the market that the old
206　man found that many people were busy with loads of transactions and forgot their obligation to attend the Friday prayer.
207　The following quote confirms this .
208　　　　He feels something weird whenever he passes through the market. If it is not to shorthen the way, he won't pass
209　the market. The traders are seen in infatuation. Can they forget their God? They are always in a hurry, greedy faces, wild
210　view: money. Don't they just take a minute to think about their relation to God? Only a minute, no more than an hour in
211　this Friday noon (Kuntowijoyo, 1992).
212　　　　The above quotation illustrates the importance of the balance of worship and work. In its terminology, religious
213　activities are geared to the interests of the life hereafter, while the work is directed to the interests of the life of the world.
214　In the Islamic view, both of these have the same important position and should be treated in a balanced manner. In this
215　context, human life should not be oriented only to the interests of the afterlife so that his whole life just filled with activities
216　of religious rituals. Instead, humans are also prohibited from using the whole time just to work and for the sake of the
217　needs of the world alone.

218   Al-Quran affirms the recommendation to perform rituals properly and immediately after worship we are encouraged
219 to work. Quran Surat Al-Jumu'ah verse 9 confirms the order to immediately perform worship (Friday prayers) if the time
220 has come and immediately leave the bustle of work, including the buying and selling activity in the market. Complete
221 verse 9 Quran Surat Al-Jumu'ah is as follows.
222   "O you who believe, when the call is made for prayer on Friday, then hasten to the remembrance of Allah and
223 leave off trading; That is better for you, if you know ".
224   Furthermore, the command to perform work activities following completion of worship (Friday prayer) is confirmed
225 in the Quran Surat Al-Jumuah verse 10. The complete Quran Surat Al-Jumu'ah verse 10 reads: "But when the prayer is
226 ended, then disperse abroad in the land and seek of Allah's grace, and remember Allah much, that you may be
227 succesfull". The verse reaffirms the importance of a balance between the activity of worship and work activity, between
228 the interests of the world and hereafter.
229   After the completion of worship, people are ordered to work and seek a living in accordance with the job and their
230 respective professions. In a broader perspective, the work activity can be interpreted as a form of worship in the presence
231 of God the Almighty. As stated in the Quran Surah Al-Insyiqoq, verse 6: "O man! Surely you must strive (to attain) to your
232 Lord, a hard striving until you meet Him".

4.3   The Balance of Awareness on Faith and on Humanity

236 The balance between awareness on faith and on humanity is basically one of the marks of the perfect creation of
237 humans. Humans who are created in the best shape, both physically and mentally, but they does not guarantee the
238 quality of their life. Only faith and good deeds that can keep all the quality of human life that has been bestowed by God.
239 Quran Surat At-Tin, verse 4-6, explains that God creates human in his best shape, but he will be returned to the lowly
240 place if he is not faithfull and conducts pious deeds.
241   "Certainly We (God) created man in the best make. Then we render him the lowest of the low. Except those who
242 believe and do good, so they shall have a reward never to be cut off (At-Tin: 4-6).
243   Humans who are at the beginning of creation have a degree of glory and virtue, by the end of life, can fall to the
244 lowest degree. It can be avoided if they can preserve the character of glory manifested in a strong faith in God (vertical-
245 spiritual aspect) and positive actions towards each other (horizontal-material aspects). Glory and virtue throughout the
246 real man is a provision to make the perfect life.
247   In this context, social Sufism principle is analogous to the execution of daily prayer (*sholat*). Worship prayer begins
248 with *takbiratul ihram* and ends with greetings (*al-sholatu almuftatahu takbiratul bi al-ihram, mukhtatamatu i wa al-taslim*).
249 *Takbiratul ihram* marks man's relationship with God with the utmost confidence that Allah is God the Exalted and the
250 Mighty.
251   Furthermore, the greeting at the end of the prayer indicates that after remembering Allah (supplications/*taqarroub*),
252 people are warned to remember the others, turn to the right and to the left.
253   Thus, the whole worship of God must be balanced with love, respect, love to our neighbors. Humans who are
254 fortunate are the good men and can make others do good, if they can purify others and educate others, and they can
255 make others succeed and if they are rich they can relieve the suffering of others. This is in accordance with the hadith of
256 the Prophet: *khairunn nassi anfa' uhum lil nassi* (the best man is the one who can be the most beneficial for another
257 man).
258   In the short story, social Sufism is about the importance of the balance between   awareness of divinity (worship)
259 and the consciousness of humanity (*muamalah*) presented by the relationship between the old man character and the
260 character of little boy. After passing through the market, the old man met a little boy who wanted to catch a small bird.
261 Under the tamarind tree, the little boy looked and pointed at bird's nest in a tree. The old man comforted him and
262 promised to take the bird's nest in the branches. With great difficulty, the old man went up to the tree and at that time he
263 did not care anymore about his clothes. The excerpt below provides an illustration of the above condition.
264   A cry made him stop. Who is crying? Under the tamarind tree, a boy looking at a height. When the man looked at
265 him, the boy is pointing upwards. The tree is tall and lush, causing coolness on this afternoon. The man rubbed the boy's
266 head. "What?" The boy points upwards, "Bird", he said. "Oh, yes. There are sound. It is a small bird, Grandchild
267 "(Kuntowijoyo, 1992).
268   When looking at the small child crying, the old man took a pity and sought to help. The old man wanted to help the
269 little boy to catch the bird nesting in the trees. At that moment, he felt a sort of happiness in him. The old man
270 remembered his childhood that he needed to steal time to be able to play around with their peers. One of the favored
271 games was catching birds by setting a trap. He could feel how happy the little boy was when he could catch the birds.

272   For a moment, the old man was in a doubt. He finally helped catch the birds that nested in the tree. He was aware
273 that his white shirt was possibly exposed to dirt. Moreover, the time was right before noon where the Friday prayer was
274 about to begin. He was supposed to be in hurry since he was the preacher in the prayer. Finally, he decided to help the
275 little boy catch birds nesting in trees. The following quotation confirms that situation.
276   When he thinks how he could best climb the tree, he is nervous. The white dress he puts on that day remids him to
277 something. But, the sudden happiness and hope on the birds erase it. He put off his sandals, throws away the rug, folds
278 the sarong. He is noe on the top of the tree (Kuntowijoyo, 1992).
279   The old man finally reached the mosque late, so he could not perform to be a preacher and priest at Friday prayer.
280 This professor has strange mind thinking perharps the little boy was the satan assigned to disrupt his prayers. However,
281 other thought arises immediately denying his own previous thought. The little boy was really the son of man, so that he
282 gets enlightenment of valuable experience in her life. The old man realizes that the activity of worship must be balanced
283 with social activities as a form of awareness of himself as a social being. It is reflected in the following quotation.
284   "He went to get *wudlu*. His face is beaming. People are still gathered outside, when he enteres into. The
285 experience that day must be designed by God. He does not hesitate. What a wonderful way of Your (God) show. The
286 little boy is the son of man. He misses all the children, birds and even the crowd of the market. Now, he misses Him
287 (God)"(Kuntowijoyo, 1992).
288   With special way, Kuntowijoyo meets two opposing worlds in a philosphical synthesis. At a glance, spiritual life is
289 different from socio-empirical life and it seems that they cannot be united (Nurhamsyah, 1994: 120). In his work,
290 Kuntowijoyo presents two opposing poles not to be opposed but to be dialectically presented so that it results in synthesis
291 (Anwar, 2007:67).
292   The essence of social Sufism embodies in the human position as creatures of God and at the same time as the
293 representative of God on earth. It asserts essential human relationships, and the relationship of man with God and fellow
294 human beings. Devotion to God is not solely determined by the intensity and quality of transcendental divine piety, but
295 also by the measure of the intensity and quality of the devotion in humanitarian services. The teachings of Islam is not
296 just about keeping a good relationship with God formally but also a harmonious relationship with servants and His (God)
297 other creations.
298   The man's decision to help the little boy catch the bird in the tree can be interpreted as a desire to be directly
299 involved in the problems of human life. The awareness as a social creature encourages people to do things for human
300 beings. Human life must be at the level of the balance between the vertical life (transcendence) and horizontal life
301 (social-empirical). Therefore, awareness of divinity through extreme Sufism, like solitude (exile) and celibate (not married)
302 is forbidden in Islam (Hanafi, 2007).
303
304 **5. Conclusion**
305
306 Based on the above discussion conclusions can be formulated as follows. First, the short story *Burung Kecil Bersarang di*
307 *Pohon* features social Sufism through dialectic structural elements used, namely (a) the character of the old men and the
308 little boy, and (b) the setting of the market and the mosque. Second, the social Sufism is actualized through the balance
309 of the importance of religious activities and work. The worship directed to the interests of the life hereafter must be
310 balanced with the work within the framework of the activities run in the life of the world. Third, the social Sufism
311 emphasizes the importance of maintaining a relationship that is both vertically and horizontally. Vertical relationship
312 serves as the embodiment of man's relationship with God. The horizontal relationship serves as the embodiment of
313 human relationships; relation by humans to other humans and with other creatures in this world.
314   Following this conclusion, the suggestions are as follows. First, in the middle of the pace of globalization,
315 literature featuring the theme of social Sufism is important to be actualized. Nasr (1994) explains that modern man has
316 lost the vision of divinity so a feeling of emptiness and alienation in his life easily attacks him. The literature that offers
317 social Sufism is expected to be a void filler soul and eliminate alienation experienced by humans (Hadi, 1999: 23).
318 Second, the literature that offers Sufism can be used as learning materials in schools in order to develop the character of
319 the students. Literary works can be used as an aesthetic reflection for students to rebuild their religious, transcendental,
320 and spiritual aspects within the individual, family, community, and nation (Nasr, 1987).
321
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Residents Coping Strategies with Water Scarcity in Makurdi Town, Nigeria

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Abstract

This paper examines the degree of water scarcity across Makurdi town as well as the strategies employed by residents to cope with the problem. Data was gathered via questionnaire administered to 228 respondents mainly household heads (both male and female) who were randomly selected. The results reveal that total household water demand in Makurdi town is estimated at 127,600 lpd more than the actual available supply of 40,520 lpd leading to shortfalls of about 87,080 lpd. This translates to about 68.2% of water demand not satisfied by supply. Findings also show that the major coping strategies employed by residents include: dredging dry hand-dug wells to get water (30.2%), storing water in big containers (26.3%) and walking long distances to get water (18.9%). The Fisher's Exact (F_{exact}) statistic was employed to test for association between some socio-demographic variables and the coping strategies adopted by residents. The results reveal no association between level of education and the strategies adopted by residents. The results however shows association between level of income, place of residence and the coping strategies adopted. The Likert scaling was used to investigate the causes of water scarcity in the study area. The failure of public water supply system is widely perceived as the major cause of water scarcity in Makurdi town. The paper recommends that residents should be encouraged to pool resources together to provide water supply projects for their common use.

Keywords: Coping Strategies, Spatial Variation, Water Scarcity, Water Supply, Water Demand.

1. Introduction

Water is one of life's necessities that have no substitute. It is the life blood of the biosphere (Falkenmark and Rockstrom,2004). Water is needed to support socio-economic activities such as agriculture, mining, food production and for maintaining healthy ecosystems.

Water scarcity is an imbalance between demand and availability (FAO,2010) and exists when the demand for water exceeds the supply(Molle and Molinga,2003). Water demand already exceeds supply in many parts of the world, and more areas are expected to experience this imbalance in the near future mostly due to population increase (Abaje et al,2009). It is projected that by 2025, 1.8 billion people will be living in countries or regions with absolute water scarcity, and two- thirds of the world's population could be living under water stressed conditions (UN-Water,2007). Another report projects that by 2030, water demand will exceed supply by 50% in most developing regions of the world (Negoianu and Goldfaid,2008).

In Nigeria, water scarcity is common virtually in all urban areas. The public water supply is unreliable, intermittent and in most cases inaccessible, thus giving rise to a high dependency on unsafe supplementary sources of water supply(Ocheri,2006) which are susceptible to water borne diseases, the most common being dysentery and typhoid fever. A survey conducted by the Federal Ministry of Water Resources in 2008 showed that about 80% of residents in Nigeria lacked access to improved drinking water (Ezenwaji et al,2014).With the number of surface water bodies and groundwater resources available to the country, water shortages should ideally not be a problem for the nation. The case is unfortunately different.

Benue State is faced with serious water scarcity problems. Reports show for example that Makurdi metropolis has

a mean household water demand and consumption of 260,404 (Lpd) and 122,698 (Lpd) respectively. This translates to 47% of the water requirements satisfied by supply (Ocheri,2006). This clearly indicates that there is domestic water scarcity in Makurdi.

To address the problem of water scarcity, the Benue State government established the Benue State Water Board, Benue State Water Supply and Sanitation Agency, Ministry of Water Resources and Environment. These agencies are responsible for providing water and alleviating water supply problems in the state. The government in 2008 also completed and commissioned the Greater Makurdi Water Works, with an estimated water supply capacity of about 100,000 cubic meters per day. Yet, all these efforts have yielded little results. Hence the problem of water scarcity still persists in Makurdi.

Previous studies have mainly assessed water supply situation in different parts of the State. Agbehi(2007), assessed domestic water supply in Ugbokolo Community;Ifan(2002) looked at the problem of water supply in Mbatiav district in Gboko LGA, Aper and Agbehi(2011) examined the determining factors of rural water supply pattern in Ugbokolo Community. Ocheri(2006) analysed water consumption patterns in Makurdi. The common finding among these studies is that water scarcity is prevalent in Benue State. Despite this, little or no attempt has been made in the literature to extensively study the way residents cope with the problem of water scarcity in Makurdi town, and this is where this study derives its relevance. The study therefore has the following objectives:

(a) To determine the degree and spatial variation of water scarcity across Makurdi town.
(b) To investigate residents' perception of the causes of water scarcity in the study area.
(c) To determine the strategies residents adopt to cope with water scarcity in Makurdi town.
(d) To investigate the association between socio-demographic characteristics of respondents   and the strategies they adopt to cope with water scarcity.

The findings of this study should help policy makers and intervention agencies understand the various dimensions to the water scarcity problem. This should help in the formulation of policies geared towards sustainable water supply so as to reduce the sufferings of the people.

2. Literature Review

Water is a natural resource of fundamental importance. It is a basic need that has become the dominant development priority for most countries especially in the developed parts of the world. Water supports all forms of life and creates jobs and wealth in the water sector, tourism, recreation and fisheries (Ntengwe,2005 cited in Abaje et al,2009). Unfortunately, most countries do not have sufficient   water resources to meet reasonable per capital water needs for their rapidly expanding population. It is documented that less than ten countries have about 60% of globally accessible water (Swaminathan,2001), suggesting inequitable distribution of water globally and nationally, indicating the scarcity of the resource. Water scarcity is the lack of access to adequate quantities of water for human and environmental uses, and it is increasingly being recognised in many countries as a serious and growing concern (White,2012). The scarcity of water affects all social and economic sectors and threatens the sustainability of the natural resource base (UN Water,2007). More importantly, the scarcity of water is capable of affecting the dignity and well- being of a people. The International Water Management Institute (IWMI) has classified water scarcity on the basis of two contexts. These include: physical water scarcity and economic water scarcity.

Physical water scarcity occurs when water availability is limited by natural availability (Molle and Molinga,2003). It can be referred to as a situation where there is not enough water to meet all the demands of the population. Economic water scarcity refers to a situation where there is not enough human, institutional, and financial capital to facilitate access to water even though the water is naturally available to meet human demands. It is largely caused by lack of investment in managing water resources or insufficient human capacity to satisfy the demands of water.

Most developing countries, particularly those in Africa suffer from economic water scarcity. There is very little investment in water projects leading to gross shortfalls in water supply. Where these projects exist, water supply is erratic and inconsistent. Shortage of water supply has largely contributed to water scarcity in most parts of Africa. Evidence from the literature show that only a small percentage of the population have access to portable water supplies (Ndabula and Jidauna,2010; John-Dewole,2012;Galadima et al,2011). Drought occasioned by low rainfall is also a cause of water scarcity. Musemwa (2008), cited in Mukuhlani and Mandlenkosi(2014), reports that the recurring droughts experienced in the past two decades in Balawayo (a city in Zimbabwe) has negatively affected its water resources, leading to shortfalls in water supply. Ndabula and Jidauna (2010) have also attributed the water scarcity problem in most parts of the Sudano-Sahelian region of Nigeria to recurring drought.

Population growth also causes water scarcity. Rockstrom (2001) argued that population growth is directly or

112 indirectly expected to shift about 55% of the World's population towards severe water scarcity over the next generation.
113 Increase in population is expected to put pressure on available water resources. White (1976) cited in Eja et al(2011),
114 observed that in cities of the developing countries, the state of water provision and expansion of water projects does not
115 match the scale and rate of population and urban growth. A study conducted by Uzima (1990) in Enugu town in eastern
116 Nigeria supports this claim. Findings showed that the water supply development of the town is not commensurate with its
117 population growth. The city has therefore been characterised by recurrent water scarcity.
118   The water available for human use is also shrinking because pollution from agriculture, industry, and other human
119 activities is degrading the water quality in many rivers, lakes, streams and even groundwater sources which most people
120 depend on (Galadima et al,2011;Ocheri et al,2012). In developing countries, 90-95% of sewage and 70% of industrial
121 waste are dumped into surface water where they pollute the water to be supplied(UNFPA,2001 cited in Kholisa,2006).
122 This often overwhelms the municipal treatment capacity. A study conducted by Kimani and Ngindu(2007) in Kenya,
123 reveals that the severe contamination of water is largely due to the close distance between pit latrines and wells. As more
124 water sources become polluted, people are likely to face serious water scarcity problems. Other studies have attributed
125 water scarcity to Increased temperatures and Rising levels of water consumption.
126   Coping with water scarcity means living in harmony with the environmental conditions specific to and dictated by
127 limited available water resources (Pereira et al, 2009).It involves employing diverse measures or techniques to meet the
128 water needs of the people. The major challenge in addressing water scarcity in Nigeria is the lack of investment in water
129 provision. Water scarcity is deeply rooted in the inadequacy of water supply which is driven mainly by the central
130 government. The supply of water hardly meets people's demand for it. To this end, Ishaku et al (2011), advocates the
131 need for a paradigm shift from public monopoly of water supply to innovative approaches such as rainwater harvesting.
132 Shipek (2007) suggest that people should be educated on how to use technology and to shape landscape to harvest
133 water .This is largely because of the merits associated with this method of water supply. Community participation in water
134 provision has also been advocated as a way out of the water scarcity problem (Kholisa,2006). This involves people
135 pooling resources together to provide water projects. These approaches and many more may not be the panacea for
136 water scarcity, but they offer proof that people can take practical steps today to cope with water scarcity.

137
138 **3. Materials and Methods**
139
140 *3.1 Description of the study area*
141
142 Makurdi lies between latitudes 7⁰37' and 7⁰47' North and longitude 8⁰27' and 8⁰40' East (see figure 1 below). Makurdi is
143 drained by the River Benue which bisects the town into two parts-north and south banks. . Other minor rivers that drain
144 the town, and in turn empty their waters in the River Benue includes: Rivers Idye, Genebe, Urudu, Kpege and Kereke.
145 These rivers are highly seasonal and dry up in the dry season with some stagnant pools in their channels in the dry
146 season. Due to the general low relief of Makurdi, sizeable portions of the area is waterlogged and flooded during heavy
147 rainstorm.
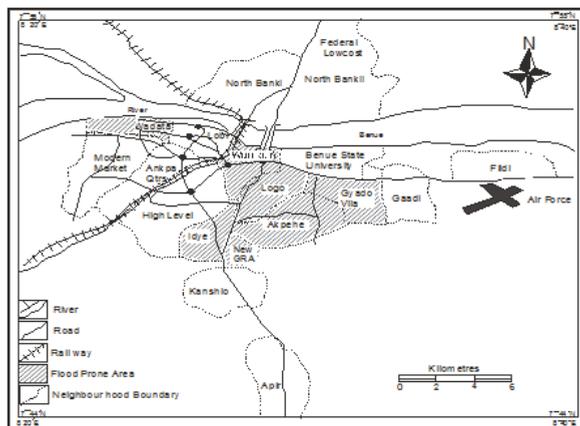
148
149
150 **Figure 1.** Map Showing Areas in Makurdi Town
151 **Source:** Benue State Ministry of Lands and Survey

152 The climate is hot and humid which corresponds with Koppen's 'Aw' climate classification . Temperatures are generally
153 high throughout the year due to the constancy of insolation with the maximum of 33^0 C and a mean minimum of 22.5^0C
154 with annual range of 10.5^0C. Temperatures may occasionally climb to 37^0C in some days in March and April
155 (Iorkua,2006).Humidity is high all year round. The rainfall of the area is highly seasonal, coming in form of intense,
156 violent, convectional showers of short duration. The geology of Makurdi town is of cretaceous and consists of fluvio-
157 deltaic sediments with well-bedded sandstones which are of hydrogeological significance in terms of groundwater yield
158 and exploitation (Kogbo et al, 1978).

159
160 *3.2   Data collection and analysis*
161
162 The study utilised both primary and secondary data. Secondary data was sourced from the literature, while primary data
163 was sourced using a structured questionnaire which was administered to 228 household heads (both male and female),
164 who were randomly selected. The questionnaire was designed to elicit information on socio-demographic characteristics
165 of respondents, sources of water available to households, distance covered to get water and their perception of the
166 causes of water scarcity. Respondents were also asked to estimate the quantity of water actually consumed (supply) and
167 water needed (demand) in paint bucket (20 litres of liquid content). This is because the paint bucket is a common
168 container used by residents to fetch water in Makurdi town. The number of buckets used was then converted to litres. The
169 estimated difference between water actually consumed and water needed was regarded as the shortages. The
170 instrument was also used to get information on the strategies respondents adopt to cope with water scarcity. The Fisher's
171 Exact statistics (using Monte Carlo method with 10,000 samples) was used to determine the association between socio-
172 demographic characteristics of respondents and the strategies they adopt to cope with water scarcity. The Fisher's Exact
173 statistic was adopted because some of the expected count in the contingency table are less than 5 (Agresti,1992). Other
174 results were presented using descriptive statistics and a Likert scale of Strongly Agree, Agree, Disagree and Strongly
175 Disagree.

176
177 **4.   Results and Discussion**
178
179 *4.1   Socio-demographic Characteristics of Respondents*
180
181 Table 1 below shows the vital statistics of the respondents involved in the study. Findings reveal that about 35.5% of the
182 households have between 2-4 residents,53.5% have between 5-10 residents, 7% have between 11-15 residents, while
183 3.9% have more than 16 residents. For gender, 62.7% are male while 37.3% are female. Results show that 39% are
184 below 30 years, 34.6% are between the ages of 31-40, 14.9% are between the ages of 41-50, 8.3% are between the
185 ages of 51-60, while 3.1% age over 60 years. Results also show that 1.8% have no formal education, 3.9% have primary
186 education, 25.4% have secondary education, while 68.9% have tertiary education. For occupation, 39.5% are civil
187 servants, 4.4% are farmers, 5.7% are artisans, 21.9% are traders, 28.1% are unemployed, while 4.0% have retired. The
188 findings finally reveal that 43.0% earn less than 20,000 naira monthly,25.9% earn between 21,000-50,000 naira
189 monthly,19.3% earn between 51,000-100,000 naira monthly, while 11.8% earn more 100,000 naira monthly.

190
191 **Table 1:** Socio- demographic characteristics of respondents.
192

Gender	F	%	Marital Status	F	%
Male	143	62.7	Single	103	45.2
Female	85	37.3	Married	125	54.8
Total	228	100	Total	228	100
Age	F	%	**Education**	F	%
< 30	89	39.0	No formal	4	1.8
31 – 40	79	34.6	Primary	9	3.9
41 – 50	34	14.9	Secondary	58	25.4
51 – 60	19	8.3	Tertiary	157	68.9
Above 60	7	3.1			
Total	228	100	Total	228	100
Income	F	%	**Family Size**	F	%
> 20000	98	43.0	2 – 4	81	35.5
21000 - 50000	59	25.9	5 – 10	122	53.5
51000 - 100000	44	19.3	11 – 15	16	7.0
Above 100000	27	11.8	16 +	9	3.9
Total	228	100	Total	228	100

4.2   *Sources of Water Supply in Makurdi Town*

The water sources available to households in Makurdi town include public taps, boreholes, rainwater, hand-dug wells, rivers/streams, water vendors and from neighbours. From table 2 below, findings show that about 11% and 7% of households get water from public taps in the rainy and dry season respectively. Boreholes contribute 9.2% and 12.3% of water supply to households in the rainy and dry season respectively. Responses also show that 42.5% and 43% obtain water from hand-dug wells in the rainy and dry season respectively. This indicates that majority of the respondents depend on hand dug wells for water. It was observed that most of these wells were neatly covered and protected. Rainwater contributes about 31.1% in the rainy season, while this source contributes nothing in the dry season, primarily because of the absence of rainfall. Rivers/streams contribute only about 1.3% and 3.5% of water supply to households in the rainy and dry season respectively. Also, 1.3% and 2.2% of respondents get water from neighbours in the rainy and dry season respectively. Responses also show that about 3.5% and 32% get water from vendors in the rainy and dry season respectively.

Table 2: Water supply sources available to households in the dry and rainy seasons.

Source	Rainy season	Dry season
Rain water	71 (31.1%)	0 (0%)
Public tap	25 (11.0%)	16 (7.0%)
Borehole	21 (9.2%)	28 (12.3%)
Hand dug well	97 (42.5%)	98 (43.0%)
River/stream	3 (1.3%)	8 (3.5%)
From neighbour	3 (1.3%)	5 (2.2%)
Water vendors	8 (3.5%)	73 (32.0%)
Total	228 (100%)	228 (100%)

Source: Authors Fieldwork, 2015

4.3   *Causes of Water Scarcity in Makurdi Town*

To find out residents perception of the causes of water scarcity in Makurdi, respondents were initially asked if they experienced water scarcity in their households. From table 3 below, the results show that 72.8% responded to the affirmative, while 27.2% said they don't experience water scarcity. This indicates that there is water scarcity in Makurdi.

Table 3: Do you experience water scarcity or not?

Response	F	%
Yes	166	72.8
No	62	27.2
Total	228	100%

Source: Authors Fieldwork, 2015

Generally, water scarcity is known to be caused by factors such as climate change, population increase, water pollution, among others. Table 4 below summaries the results obtained of the causes of water scarcity in Makurdi. The findings show that 78.5% of the respondents strongly agreed and 7.8% agreed that failure of public water supply system is the causes of water scarcity in Makurdi. However, 3.5% and 10.1% disagree and strongly disagree respectively. These respondents are likely to be from Lobi Quarters and High Level, areas which periodical get water supply from the Water Board. Population increase/ growth is also noted to be responsible for water scarcity in Makurdi as indicated by 10.5% and 17.1% of the respondents who strongly agreed and agreed respectively. However, 14.5% and 57.9% of the respondents disagreed and strongly disagreed respectively. It is observed that apart from the Failure of Public Water Supply System, a greater percentage of the respondents disagreed and strongly disagreed that the other factors were responsible for water scarcity in Makurdi. This indicates that the failure of the public water supply system is the major cause of water scarcity in Makurdi. Samantha(2011) also reports that poor management of water supply and water

234 resources in general is the major cause of the water crises in Kenya. In Benue State, successive governments have not
235 done enough to meet the water needs of the people. There has been an increased need for funding, improved
236 management and development of water resources to meet up with the growing population. The old Makurdi water works
237 presently used does not have the capacity to meet this need. Unfortunately, even the newly constructed 'Greater Makurdi'
238 water works commissioned over four years ago is not yet fully operational.
239
240 **Table 4:** Perception of the causes of water scarcity in Makurdi town.
241

Causes	Strongly agree	Agree	Disagree	Strongly disagree
Population increase	24 (10.5%)	39 (17.1%)	33 (14.5%)	132 (57.9%)
Failure of public water supply system	179 (78.5%)	18 (7.9%)	8 (3.5%)	23 (10.1%)
Water pollution	12 (5.3%)	32 (14.0%)	40 (17.5%)	144 (63.2%)
Poor water usage	11 (4.8%)	19 (8.3%)	47 (20.6%)	151 (66.2%)
Decreased groundwater levels	19 (8.3%)	31 (13.6%)	30 (13.2%)	148 (64.9%)
Decreased rainfall	16 (7.0%)	30 (13.4%)	35 (15.4%)	147 (64.5%)
Increased water consumption	27 (11.8%)	31 (13.6%)	28 (12.3%)	142 (62.3%)
Total	228 (100%)	228 (100%)	228 (100%)	228 (100%)

242 **Source:** Authors Fieldwork, 2015
243
244 *4.4   Spatial Variation in Water Scarcity in Makurdi Town*
245
246 To determine the spatial variation in water scarcity across Makurdi, the study estimated what quantity of water was
247 needed (demand) and what quantity was actually consumed (supply). The difference was therefore regarded as the
248 deficiency. Table 5 below summarises the information. The findings show that the sampled households across Makurdi
249 have a total water demand and consumption of 127,600 lpd and 40,520 lpd respectively. This follows that there is a
250 shortfall of about 87,080 litres, representing about 68.2% of water demand not meet by supply. Drawing from the water
251 deficiency situation, the findings further reveal that none of the areas have been able to meet up to 40% of their water
252 needs. However, households in Lobi quarters and Gyado villa areas of the town are able to meet 39.5% and 36.2% of
253 their water needs respectively. The former is connected to the public water supply. This could explain why residents have
254 been able to relatively meet their water needs. Another reason could be the fact that residents are top civil servants and
255 businessmen and have money to drill boreholes and also engage the services of vendors. In the latter, almost all
256 households were observed to have hand- dug wells. This likely explains why residents here are also able to relatively
257 meet their needs.
258   The water shortage situation in North Bank area appears to be the worst. Households are able to meet only about
259 22.3% of their water needs. This area has never been connected to the public water supply, boreholes are hard to come
260 by and even hand- dug wells are relatively few.
261
262 **Table 5:** Estimate of water supply and demand across Makurdi town.
263

Place of Residence	No. of households sampled	Mean water supply(litres)	Total water supply (litres)	Mean water demand (litres)	Total water demand (litres)	Shortfall	%Water Demand Satisfied by Supply
Gyado villa	18	154.4	2780	427.7	7700	4920	36.2
Kanshio	25	172.8	4320	620.8	15520	11200	27.2
Logo	22	169.1	3720	515.4	11340	7620	32.8
Nyiman	25	85.6	2140	333.6	8340	6200	26.6
New GRA	20	191	3820	668	13360	9540	28.6
AnkpaQrts	22	243.6	5360	790	17380	12020	30.8
Idye	24	201.6	4840	599.1	14380	9540	33.7
LobiQrts	23	286.1	6580	724.3	16660	10080	39.5
High level	25	204.8	5120	587.2	14680	9560	34.9
North bank	24	76.7	1840	343.3	8240	6400	22.3
Total	**228**		**40,520**		**127,600**	**87,080**	

264 **Source:** Authors Fieldwork, 2015
265

4.5   Water Scarcity Coping Strategies

Water scarcity is not unique to Nigeria but exist in most African and Asian countries. Hence people device strategies to cope with the situation. Table 6 below is a summary of the strategies employed by households to cope with water scarcity in Makurdi town. The results reveal that 30.2% of the respondents usually dredge dry hand-dug wells to get water. This strategy is used mainly in the dry season. Ocheri et al(2010) observed that shallow wells in Makurdi town are full to the brim during the rainy season and could be fetched without the use of ropes and buckets. These wells however dry up as the dry season sets in, forcing people to dig further to get water that will serve them for a while. The findings also show that 26.3% of the respondents store water in big containers to cope with scarcity. This strategy is adopted both in dry and rainy season. The water is supplied mainly by Tankers and Vendors (Mai ruwa). This invariably affects the income of most household heads. According to Mr. Daniel Aja, a civil servant who resides in the North Bank area of the town, he spends between 5% and 10% of his salary monthly on water depending on the season.

Table 6: Strategies employed by residents to cope with water scarcity.

Strategies						Total
	Rain water harvesting	Walking long distances to get water	Dredging dry hand-dug wells to get water	Minimizing water use	Storing water in big containers	
F	30	43	69	26	60	228
%	13.2	18.9	30.2	11.4	26.3	100%

Source: Authors Fieldwork, 2015

Also as a coping strategy, the findings reveal that 18.9% of the respondents either drive or walk long distances to get water. Table 7 below is a summary of the various distances residents walk to go and get water. The people who walk long distances to fetch water are mainly women and children. Gbolahan and Coster (2012) argue that this can lead to drudgery and consequently impact on the health of these people. In some cases the education of children suffers as they are forced to spend several hours looking for water instead of going to school (Mukuhlani and Mandlenkosi,2014; Uzzia,2010). Rain water harvesting is another strategy employed by some residents to cope with scarcity as indicated by 13.2% of the respondents. This is the most convenient coping strategy. Water is collected from roof tops and stored in containers for use during the lean periods. This eliminates financial cost and drudgery of water collection. Unfortunately, this strategy is limited to the rainy season. Again 11.4% of the respondents indicated that they minimise their use of water as a way of coping with scarcity. It is observed that majority of the households combine a number of coping strategies, yet the measures have proved inadequate in addressing their water scarcity problems.

Table 7: Distance covered by residents to get water.

Distance						
	1-200m	201-400m	401-1km	2-4km	Above 4km	Total
F	158	36	22	8	4	228
%	69.3	15.8	9.6	3.5	1.8	100

Source: Authors Fieldwork, 2015

4.5.1 Association between Socio-Demographic Characteristics of Respondents and Strategies Adopted to Cope with Water Scarcity.

Evidence of association between some socio-demographic variables (Level of income, Level of education and Place of residence) and strategies employed to cope with water scarcity was explored by contingency tables and tested using the Fisher's Exact statistic at 1% level of significance. Table 8 below summarises the results. The result reveals no association (F_{exact}=5.536, df=12,P- value=0.961) between respondents level of education and the strategies employed to cope with water scarcity. However, the results shows an association (F_{exact}=22.110, df=12, P-value=.030) between respondents level of income and the coping strategies employed. This is consistent with Oloukoi et al(2013). This implies that respondent's income will determine the strategies they adopt to cope with water scarcity. The results reveal for

instance that for respondents who earn less than 20,000NGN monthly, 35.7% walk long distances to get water while 8.2% store water in big containers as a strategy to cope with scarcity. Since most of the water stored in big containers is bought from vendors, these respondents do not have enough money to buy hence they resort to walking long distances to get water. Conversely, for respondents who earn more than 100,000NGN monthly, 37.1% store water in big containers while only 7.4% employ walking long distances to get water as a coping strategy.

The association between the respondents place of residence and the strategies they adopt to cope with water scarcity was found to be significant (F_{exact}=90.231, df=36, P-value=.000).In Gyado villa for instance, it was observed that most houses have hand dug wells. This explains why majority (88%) of the respondents would rather adopt dredging dry wells to get water as a coping strategy rather than walking long distances to get water (4%). In Lobi quarters, there are less hand-dug wells so there is no need to adopt dredging dry wells to get water as a coping strategy. Lobi quarters is one of the few areas in the town that is connected to public water supply. But since water supply is erratic and inconsistent, residents store water in big containers to use in periods of water shortages.

Table 8: Association between socio-demographic characteristics of respondents and the strategies adopted to cope with water scarcity.

Variable	Coping Strategy Adopted					Total	Statistic
	Rain water harvesting	Walking long distance to get water	Dredging dry hand dug wells to get water	Minimising water use	Saving water in big containers		
Education							
No formal education	1 (25.0%)	1 (25.0%)	2 (50.0%)	0 (0.0%)	0 (0.0%)	4 (100%)	F_{exact}= 5.536 df = 12 P (0.961)
Primary education	1 (11.1%)	2 (22.2%)	2 (22.2%)	1(11.1%)	3 (33.3%)	9 (100%)	
Secondary	8 (13.8%)	13 (22.4%)	14 (24.1%)	5 (8.6%)	18 (31.0%)	58 (100%)	
Tertiary	20 (12.7%)	27 (17.2%)	46 (29.3%)	20 (12.7%)	44 (28.0%)	157 (100%)	
Total	30 (13.2%)	43 (18.9%)	64 (28.1%)	26 (11.4%)	65 (28.5%)	228 (100%)	
Monthly Income							
< N20,000	15(15.3%)	35 (35.7%)	25 (25.8%)	15 (15.3%)	8 (8.2%)	98 (100%)	F_{exact}= 22.110 df = 12 P (0.030)
N21,000 – N50,000	8 (13.6%)	7 (11.9%)	20 (33.9%)	8 (13.6%)	16 ((27.1%)	59 (100%)	
N51,000 – 100,000	4 (9.1%)	9 (20.5%)	8 (18.2%)	2 (4.5%)	21 (47.7%)	44 (100%)	
> N100,000	6 (22.2%)	2 (7.4%)	3 (11.1%)	6 (22.2%)	10 (37.1%)	27 (100%)	
Total	30 (13.2%)	43 (18.9%)	64 (28.1%)	26(11.4%)	65 (28.5%)	228 (100%)	
Place of Residence							
Gyado villa	0 (0.0%)	1 (4.0%)	22 (88.0%)	0 (0.0%)	2 (8.0%)	25 (100%)	F_{exact}= 90.231 df = 36 P (.000)
Kanshio	2 (11.1%)	3 (16.7%)	6 (33.3%)	3 (16.7%)	4 (22.2%)	18 (100%)	
Logo	2 (9.1%)	9 (40.9%)	5 (22.7%)	2 (9.1%)	4 (18.2%)	22 (100%)	
Nyiman	6 (26.1%)	7 (30.4%)	7 (30.4%)	1 (4.3%)	2 (8.7%)	23 (100%)	
New GRA	6 (30.0%)	4 (20.0%)	3 (15.0%)	1 (5.0%)	6 (30.0%)	20 (100%)	
Ankpa quarters	7 (31.8%)	2 (9.1%)	4 (18.0%)	1 (4.5%)	8 (36.4%)	22 (100%)	
Idye	3 (12.5%)	5 (20.8%)	6 (25.0%)	3 (12.5%)	7 (29.2%)	24 (100%)	
Lobi quarters	0 (0.0%)	4 (16.0%)	2 (8.0%)	4 (16.0%)	15 (60.0%)	25 (100%)	
High level	1 (4.2%)	3 (12.5%)	6 (25.0%)	4 (16.7%)	10 (41.7)	24 (100%)	
North bank	3 (12.0%)	5 (20.0%)	3 (12.0%)	7 (28.0%)	7 (28.0)	25 (100%)	
Total	30 (13.2)	43 (18.9)	64 (28.1)	26 (11.4)	65 (28.5)	228 (100%)	

Source: Authors Fieldwork, 2015

5. Conclusion

The paper concludes that there is a serious water scarcity problem in Makurdi town; hence residents have devised strategies to cope with the situation. Their efforts however have not sufficiently helped to solve the scarcity problem. The consensus among majority of the residents is that water scarcity is caused mainly by the failure of the public water supply system.

It is recommended that Government should invest more resources into water supply projects; water storage tanks should be constructed and positioned strategically in all areas of the town to ensure people have unhindered access to portable water. Residents are also encouraged to engage in self- help water supply projects by pooling resources together to either sink boreholes or dig wells for their common use. Community involvement in the water management process should also be encouraged. This will help residents to have a sense of responsibility and thus curb the occurrence of vandalism of water equipment.

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Negotiating Styles in Situation of Limited Resources and Ambiguity: "Short" and "Long" Communications

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Abstract

Success of our cooperation with other people may depend on various factors: whether we have experience in negotiations or not, personal traits of negotiating parties, knowledge and skills in the most effective tactics and strategies of negotiation, ability to understand "body language" of opponents at various levels and in various situations: from game to reality. This article gives test results of business game, which aim was to study balance between verbal and nonverbal communications and styles of negotiations, and how these styles influence the efficiency of negotiation process and results. The results of this research may indicate that observation of verbal and nonverbal channels deepens the negotiation process. In general, it was noticed that in situations of stress and lack of understanding participants mostly preferred "short" communications.

Keywords: negotiations, negotiating styles, "short" and "long" communications, verbal and nonverbal means of communication.

1. Introduction

1.1 Introduce the Problem

Imagine: you have decided to travel around the world. You may perform this in different ways: on feet or by car; by sea liner or by aircraft. Each of you selects your own method and way to achieve your goal. And you certainly do this in your own manner, as you have your own mental coordinate system, based on various values, settings, interests, life experience and knowledge. And in this example we cannot exclude the fact that selection is to be made between comfort and stress, cooperation and solitude. The successful result depends on positive attitude, readiness to get new experience and knowledge on one's way to success, and overcoming various situations of ambiguity, as well as situations of limited material and mental resources. However, the real experience shows that some people can manage this and achieve success, and the others fail. The solution lays in ability to learn, gain new experience and in self-development. Still we can state that, despite of selected method and level of training, it is necessary to set the desired goal, think of how it could be achieved, develop plan of its implementation, and be ready to encounter possible hurdles on the way towards it. To a certain extent, negotiating process resembles travelling (moving) towards the desired goal, where active and positive attitude towards life plays the important role.

Good negotiating skills are considered to be criteria of success in any sphere of our life. And it seems to be reasonable, as negotiations is one of the earliest types of human activity directed to success and prosperity in case of achievement of favorable terms, or to survival in case of conflict management. Negotiation skills are required in all spheres of social cooperation between people: at work place, at home, on vacations, in shop etc (Spangle M.L. & Isenhart M.W., 2003). And sometimes in all these situations we need to come to an agreement in order to achieve our goals and materialize our interests.

Modern society is a powerful and large-scale flow of information exchange between people. Communication interferes in every sphere of our life, work and recreation. F. Lyutens (1999) suggests for defining main categories of "communication" concept to consider continuum, on one pole of which there is the most complex modern technology of communication, and on the other pole – nonverbal communications.

It could be noted that any change of activity of negotiating parties may be related to increase or decrease of use of nonverbal communications. The use of verbal and nonverbal communications in business games was specially studied by Hauser (Hauser M. et al,. 2002) . He stated that language (verbal and nonverbal) performs function of information

encapsulation. In conditions of limited resources, lack of information and high degree of ambiguity of the situation the players used extremely limited, but intelligible and laconic language of words and gestures. Ambiguity, according to R. Ulmer and M. Kramer, in this case means inability to estimate the present and forecast the future. The reason for this inability lays in shortage of information, level of its complexity or doubts about its quality (Ulmer R.R. et al., 2011, p. 34-35; Kramer M.W., 2004, p. 8-9).

On the other words, if negotiating parties prefer collaboration and seek cooperation, does it mean that they will mostly use positive verbal settings, open nonverbal gestures and postures, and support them with positive verbal communications, 'bulging trust' (Solomon R.C. & Flores F., 2001)? Or, in case they prefer severe competition as negotiating style, will they mostly use negative verbal settings, closed nonverbal postures and gestures, supported by escape from contact and decrease of verbal communications (Coser L.A., 1957; Davis A.M., 1991)?

There are no simple and decisive answers to the above mentioned questions. Still for studying verbal and nonverbal communications method of business games can be successfully used. This method is widely practiced in social and psychological researches, as well as in assessment-centers. Business game simulates the situation which resembles real life situation, in this case – negotiations, and it enables participants of the experiment to forget about observers, who record every their movement and word, and behave naturally. Observing and recording of verbal and nonverbal behavior is the main method of data collection in our research that is supplemented by content analysis and after-experiment survey.

This article gives conditional separation of verbal and nonverbal means of communication to "short" and "long". Using this classification for analysis of negotiating parties' behavior, it is possible to cast a new look at negotiations as a way of information exchange. Additionally, the structure of suggested classification of verbal and nonverbal means of communication is flexible and sensitive to such peculiarities of situation of negotiations as limited resources, stress, and ambiguity. Value of its practical use lays in more precise determination and, possibly, forecast of negotiating style, preferred by participants of business game.

1.2 Explore Importance of the Problem

When exploring verbal and nonverbal communications in negotiations, it is required to thoroughly analyze important predictors of their efficiency. We have set a question if there is the most effective style of negotiations, the universal model of successful behavior? The following questions also lay in sphere of research interest: Which criteria can be used to define effective style? Could it be forecast which negotiating style will be selected? Which verbal and nonverbal means of communication are used in the effective negotiating style? The latter question was considered not less important in context of negotiating process, as verbal and nonverbal communications are available for direct studies of interpersonal relations (Allan & Barbara Pease, 2004, p. 2-30). We should mention that study of modern technologies and universal behavior styles is a point of increased focus of many researchers in various spheres of science (Deaux K., 1987).

1.3 Describe Relevant Scholarship

Review of literature enables to state that main attention researchers pay to studies of peculiarities of use of verbal (oral) and nonverbal (non-voice) communications in one or another context. Verbal means of contact are monologues (story, report, lecture etc.) and dialogues (open dialogue and conversation) (Ilyin E.P., 2011, p. 46-60). Nonverbal means of contact are gestures, facial expressions, actions, objects, as well as codes and symbols.

The main focus of this article is a task to reveal and study "short" and "long" communications in various negotiating styles. The target of research is to study their balance in use of these styles in various situations of negotiating process. Length and content of communications is the subject of research interest, as well as negotiating styles of responders who were the object of this research. During the last century nonverbal communications have been mostly studied, for example, by P. Andersen, M. Argail, K. Floyd, P. Ekman, K. Deaux. On the basis of approach to the study of nonverbal reactions by A. Pease, the authors of this article have developed classification of the most common used in negotiating practice universal nonverbal reactions (Table 1):

111 **Table 1.** Nonverbal universal reactions
112

Nonverbal universal reactions			
Voluntary		Involuntary	
Conscious	Unconscious	Conscious	Unconscious
Postures, movements, gestures, smile, look, position in space	Nail-biting, pencil (pen) nibling, leg(s) shaking or swinging, shuffling of small objects with fingers, copying posture of the opponent and others, unconscious at the moment	Blushing, high pulse rate, break of breathing, nervous trembling, teeth clenching, teeth grinding, excessive sweating etc.	Pupils dilation in reaction to visual irritating stimulus

113

114 According to Albert Mehrabian and Ray Birdwhistell, more than 65% of information is transferred by means of nonverbal
115 communication. Communicative unconscious gestures allow "reading" and comprehending state of a person and his
116 attitude to what's happened, which he maybe tried to hide: gestures of incomprehension, ignorance, distrust, perplexity,
117 astonishment, concentration, irony, disgust, suffering, approval, joy, excitement etc.
118 We have set a question: "Is it possible to forecast and determine negotiating style, used by negotiating parties, by
119 length and content of communication?" In search for the answer to this question we have used the following classification
120 of verbal and nonverbal communications (Table 2):

121
122 **Table 2.** Types of communications used in negotiations
123

Short communications		Long communications	
Verbal	Nonverbal	Verbal	Nonverbal
- *short phrases* (1-3 words), such as: "No", "Yes", "Well, no", "We don't know", "Well, well", "It serves you right", "We'll see" etc.; - *exclamations, interjections* ("Ah!, Well? Uh huh!") - *imperative verbs* ("Let's start!", "Go", "Keep silence!", "Finish it!", "Don't ask" etc.).	- *quick impulsive gestures* (not more than 3 seconds): "thumbs up", "finger put on lips", "come on" hand gesture, "finger by a temple" etc. - *short-term changes in pantomimics and proxemics* (not more than 2-3 seconds): short glance, harsh body bending, body twist, springing from seat, back turn, crossing of hands and legs, moving away and towards etc.	- presentation (detailed introduction of oneself, his team, mission, values, targets etc.) - monologue (prolonged and extended in time story, description intended to persuade or prove something) - open dialogue (discussion or information exchange, equally distributed in time between participants)	- steady postures (more than 5 seconds): closed or open postures - steady and unchangeable face expression (more than 5 seconds): relaxed, intense etc. - objects shuffling (more than 5 seconds); - long-term involuntary gestures (more than 5 seconds): covering mouth with palm, head scratching etc.

124
125 In the above mentioned classification of communication verbal (linguistic) means of communications had been analyzed,
126 as they having set of clichés and hackneyed phrases, implement strategic and tactic system of negotiations (Lyashenko
127 M.A. & Maryshova M.A., 2012).
128 Special attention was paid to gestures, as they are very informative. Ekman and Friesen (Ekman P. & Friesen
129 W.V., 1969) and David Lewis (2006) define the following types of gestures: adaptive gestures related to cultural
130 specialties of body adaptation to the environment (e.g., shifting in chair during negotiations), symbolic gestures actively
131 used to confirm what was said ("OK" symbol that means that everything is "all right"), illustrative gestures used to clear
132 what was said (confirming nods or negative headshakes) and regulatory gestures (handshake, business cards
133 exchange).
134
135 *1.4   State Hypotheses and Their Correspondence to Research Design*
136
137 The above suggested division of verbal and nonverbal communication into "short" and "long" may serve as a precise tool
138 for observation and careful analysis of negotiation process content. Besides, this classification allows making a set of
139 assumptions, such as:
140   1) at high rate of stress within a team and between the teams verbal and nonverbal communications may be
141   significantly shortened in time with increase of their frequency. On the other words, in situations of
142   incomprehension and stress negotiating parties may prefer to use "short" communications in order to reduce
143   stress and increase mutual understanding by using maximum informative means of contact.
144   2) "short" verbal communications may be predominantly used in situations of stress when time for making

145 decision is strictly limited and in situations of frustration when negotiating parties fail to come to mutual
146 agreement.
147 3) "Long" verbal communications may be primarily used by parties when they have possibility to share their
148 opinion, to describe advantages of their strategy. By using "long" verbal communications negotiating parties
149 demonstrate their interest, try to obtain additional clarifying information, to clear up position of the other party.
150 In order to check the above mentioned hypotheses in our research we have matched generalized data from
151 supervisors' observing forms, where all demonstrations of verbal and nonverbal communications, divided into "short" and
152 "long" ones, were recorded, and negotiating style, selected by participants of business game (recorded in special forms
153 and implemented in course of the experiment).
154 It was supposed, that negotiating style may depend on such personal traits, as level of propensity to conflict,
155 aggressiveness, resistance to stress, propensity for manipulations. Manipulations in this case mean "type of
156 psychological impact, subtle performance of which inwardly agitates intentions in other person that do not coincide with
157 his actual wishes" (Dotsenko E.L., 1997, p. 58-59). The above mentioned personal traits of participants of the research
158 were determined by after-experiment questionnaires: "Personal aggression and propensity to conflict" methodology by E.
159 P. Ilyin and P. A. Kovalev, and "Machiavellianism" Scale (Bratchenko S.L., 1997).

2. Method

163 The research was performed in the form of business game, which was supposed to include random distribution of
164 participants between teams, performance of determined challenge, achievement of set goal, assessment of the result and
165 feedback from participants of the game. Besides after the game participants were asked to fill in several tests and
166 questionnaires intended to reveal some of their personal traits.

2.1 Participant Characteristics

170 The sampling consisted of 30 students of Saint Petersburg State University who have not yet graduated. Their average
171 age was 20.38 years (δ = 1.15). Gender composition: women – 62.5%, men – 37.5% correspondingly. It was supposed
172 that rare students have sheer experience in conducting business negotiations and are professionals in changing
173 negotiating style depending on situation. That is why we invited everyone who desired to practice their negotiating skills.

2.2 Sampling Procedures

177 The research involved on voluntary basis everyone who was interested among students of Saint Petersburg State
178 University. Each participant, after reading and signing the informed consent for participation, gained opportunity to learn
179 the goal, tasks and procedure of the research, and to withdraw from the experiment at any time. The business game was
180 conducted on the base of Psychology Department of Saint Petersburg State University. As the form of business game
181 assumed division of participants of the experiment into teams, we found it reasonable to form teams of 5 to 10 people,
182 and provide 1 or 2 supervisors for each team.

2.3 Measures

186 Use of verbal and nonverbal means of contact was recorded by the supervisors in the observing form, and further, during
187 content analysis of after-experiment questionnaires, was matched with selected negotiating style (Fisher R. et al., 2013,
188 p. 19-33).
189 Participants of the research were divided into three teams, and each team received box with jigsaw puzzle and the
190 form to put selected strategy and tactics in. The jigsaw puzzles represented both mind challenge to be solved by the
191 participants and quantitative index of successful accomplishment of group challenge.
192 In order to ease cooperation between participants each team also received money equivalent to the puzzle pieces
193 in form of game coins that could be exchanged to the puzzle pieces and back.
194 After termination of the business game each participant was asked to fill in the following forms: 1) "Behavior
195 description test by K. Thomas" in order to determine mostly preferable negotiating style (competing, collaborating,
196 compromising, avoiding, accommodating); 2) a questionnaire, developed by authors of the article, that is based on
197 classification of approaches to negotiations suggested by R. Fisher and W. Ury (hard, soft and principled approaches); 3)
198 "Machiavellianism" Scale for determination of propensity to manipulate.

Supervisors, engaged in arrangement of the business game, received preliminary information about "short" and "long" communications model, developed by authors of the research, and were instructed on how to fill the observing forms in.

2.4 Instruction

Prior to the game start the teams were instructed on the following: "Your main challenge is to collect as much puzzle pieces for your picture as possible, still saving as much money as possible. You may use game coins to perform recourses exchange operations. Within teams analyze the current situation and currently available problems, then think of strategy of your actions and develop tactics that may be used on the basis of the selected strategy".

"Berlin" and "Barcelona" teams followed "Win-Win" strategy (Covey S., 2013), and "Havana" team selected "Win-Lose" as their strategy. In the course of the game members of the teams, acting in accordance with challenge of the business game, used different negotiating tactics, such as: manipulations, threats, retreat, separation principle, gradual increase of complexity of the discussed questions etc.

2.5 Procedure

Authors of the research have tested «Buzzle-Puzzle» (original author's name) business game (Gurieva S.D. & Udavikhina U.A., 2014a). Its main task, conceived during the research, is the following: which behavior traits of a person, social and psychology factors influence preference of the strategies and tactics for negotiations and may influence success of the activity (in this case - activity in team). To perform the task participants of the research were divided into three teams, conditionally named as "Berlin", "Barcelona" and "Havana".

Each team was asked to assemble a jigsaw puzzle out of pieces in the box. So, one team assembled "Barcelona"picture, the other team – "Berlin" picture, and the third team – "Havana" picture. The challenge was complicated by mixing of all puzzle pieces from three boxes and uneven distribution between the teams. It was made in order to approximate game conditions to real circumstances of business environment: a) resources are distributed between groups (participants, organizations, countries) unevenly, which may appear to be potential for conflict communication between participants of the game; b) the teams were interdependent as each team possessed the excessive resource, which was required by other teams (puzzle pieces that matched other pictures); c) each team was to start with determination of what resource they need, find the missing resource among resources of the other team and agree on conditions of acquisition of this missing resource (puzzle pieces). The game format also implied roles division within the team. The following roles were assigned by random selection: "negotiator" (priority right and obligation to conduct negotiations with other teams), "cash keeper" (accounting of team's income and expenditures), "collector" (use of resource by means of its transformation) and "observer" (observe the participants and record their behavior in observing form).

The business game had 4 stages, during which the experiment conductor and observers recorded verbal and nonverbal communications of participants of the research. Each stage was strictly limited in time.

Main stages of the game:
1) Preparatory stage. The basic task for the teams: preparation of presentation of the team, selection of strategy and tactics, instruction, materials handout, distribution of roles;
2) Information exchange. The basic task: operation in team to perform the challenge, data exchange, development of actions program;
3) Achievement of agreement. The basic task: resources exchange, concessions, intermediate summary;
4) Final stage. The basic task: analysis of negotiation results, summary of the game, feedback.

3. Results

In the course of research according to observation forms the following specialties of verbal and nonverbal communications between participants were revealed (see Table 3):

253 **Table 3.** Communications during negotiations at different stages
254

Stage of negotiations	Communications			
	Short		Long	
	Verbal	Nonverbal	Verbal	Nonverbal
1.Preparatory stage -Instruction -Materials handout -Distribution of roles -Selection of strategy	Questions on instruction ("What does this mean?"), exclamations, commands ("You will be the collector!", "Does everyone understand?", "Who has questions?")	Quick exchange of looks between participants within team, hand rise to ask a question	Discussion of received materials, distribution of roles, selection of strategy, specification of details and conditions of the game.	Detached look out of window, leg swinging, CP and OP[1], running fingers through elements of clothing and hair.
2. Information exchange - Operation in team - Data exchange - Development of actions program	Indignant exclamations, attacks ("Stay away!", "Hide it", "Don't show them", "We have no idea", "Don't talk to them", "Maybe", "We'll see")	Sway of arm intended to repel a participant out of the table, head shakes that mean disagreement or refusal, quick change of look without answering to the interlocutor, glance exchanges and eyewinking between members of one team	Discussion of course of the game, questions and requests to the experiment conductor, free dialog between teams' negotiators ("Let's discuss our and your suggestions", "Could you be so kind to explain why?", "If we agree…, then you will agree…" etc.).	OP, CP are predominant, active hands gestures, postures of interest and (body bending forward)
3. Achievement of agreement - Operation in team - Resources exchange - Concessions - Intermediate summary	Exclamations ("I got it!", "How come?"), laugh, commands ("Check number of puzzle pieces")	Head nods, scratching of face and head, amazed face expression	Dialogues between members of teams, monologues of negotiators in the course of negotiations	Active gestures, OP and CP, covering mouth with palm when speaking, pencil shuffling in hand
4. Final stage - Analysis of negotiations results - Summary of the game - Feedback	Exclamations, short phrases ("We're winners!", "It's not fair")	Expression of astonishment, joy, grief (depending on outcome of the team game)	Monologues of participants, dialogue with experiment conductor, discussion of the game results	CP and OP, posture of critical assessment, tapping fingers on the table, legs shaking

255
256 The observers defined level of activity of participants of the research both within the teams and in cooperation with other
257 teams. In order to perform this, the special observing sheets were developed, where it was recorded the following: a)
258 activity within the team – by quantitative index of performance of group challenge (number of points for the assembled
259 elements of the jigsaw puzzle), b) activity between the teams – by number of conducted negotiations and contacts
260 between representatives of different commands.
261 In addition, content analysis of game materials together with observations allowed determining selection of the
262 negotiating strategy and approach to negotiations used by participants in the course of experiment.
263
264 *3.1 Results analysis*
265
266 The above mentioned results of measurements and observations are given in Table 4.
267
268 **Table 4.** Results of measurements in the course of the research
269

The observed characteristic	"Berlin"	"Barcelona"	"Havana"
Level of activity within the team	Medium	Medium	High
Level of activity between the teams	High	Medium	High
Negotiating strategy	Win-Win, Lose-Lose	Win-Win	Win-Lose
Preferable approach to negotiations	Principled	Principled	Principled
Actually used approach to negotiations	Hard	Principled	Hard
Negotiating style (according to K. Thomas)	Compromising (mean value 6.75), avoiding (mean value 6.75)	Compromising (mean value 7.00)	Compromising (mean value 8.43)
Use of manipulation and propensity to it	Was observed; propensity 62%	Was not observed; propensity 56%	Was observed; propensity 54%
Intermediate summary of the game	39 points	35 points	21 points
Final summary of the game	94 points	131 points	150 points

270
271 So, the result appeared to be quite unexpected: "Berlin" team, which was a strong leader in gained points in intermediate
272 summary, lost the game with huge gap in points with other teams! To understand what factors influenced such outcome
273 of the game we have analyzed specialties of each team.
274 *"Berlin" team*
275 1) its members showed medium degree of activity within the team (i.e. each member of the team was involved in

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* CP and OP (hereinafter) – closed posture, open posture.

performance of group challenge both individually (by sorting and matching puzzle pieces) and in cooperation with other members of the team);

2) members of the team were involved in active contact with other teams: took initiative during negotiations, eagerly started dialogs with members of other teams;

3) has initially selected "Win-Win" strategy (as it was indicated in special form prior to the game start); according to indicators of "Behavior description" test by K. Thomas, the preferable negotiating styles were compromising and avoiding; and intention to stick to the principled approach was openly declared. Still, according to MACH-scale, members of the team showed propensity to consider it possible to use manipulations, and used them in the course of the game;

4) in the end of the game members of the team confessed that, being under high pressure of "Havana" team, they tried everything possible to prevent winning of this team: used pressure, deceit, manipulations and threats (that is the mark of hard approach to negotiations). On the other words, they have changed preliminary selected "Win-Win" strategy to the "Lose-Lose" one.

"Barcelona" team

1) similar to "Berlin" team, its members showed medium degree of activity within the team (i.e. each member of the team was involved in performance of group challenge both individually (by sorting and matching puzzle pieces) and in cooperation with other members of the team);

2) showed medium activity in contact with other teams (i.e. members of the team were involved in cooperation with other teams only on the basis of necessity and rarely took initiative in the course of the game);

3) has initially selected "Win-Win" strategy; the preferable negotiating style was compromising; and intention to stick to the principled approach was openly declared. The team followed this principle in the course of the game, and did not use manipulations (though its members had propensity to manipulations almost equal to other teams).

"Havana" team

1) its members showed high degree of activity within the team (there was clear distribution of roles within the team, members of the team coordinated their actions internally and regularly asked for advice from the team leader);

2) members of the team were involved in active cooperation with other teams: took initiative during negotiations, eagerly started dialogs with members of other teams;

3) has initially selected "Win-Lose" strategy and in the course of the game showed hard approach with use of pressure, threats, "runarounds", retreat, making steep demands, manipulations and other tactics, typical to this approach.

4. Discussion

In the course of experiment closed postures were revealed to prevail during negotiations between teams. Verbal and nonverbal demonstrations of agitation and discontent (exclamations, closed postures, tapping fingers on the table, legs shaking) were predominantly shown by "Berlin" team, which was under pressure of the leader of "Havana" team, who used energetic gestures, moved around table of the opponents, changed voice tone, and used swear words. Generally it was noticed that in conditions of high index of stress both within a team and between the teams, verbal and nonverbal communications were significantly shortened in time, and frequency of their use increased.   On the other words, in situation of incomprehension and stress the participants predominantly used "short" communications that may be explained by tendency to reduce stress and increase mutual understanding by using maximum informative means of contact.

It is interesting to note the fact that in summary of the business game "Havana" team scored the most points by sticking to "Win-Lose" strategy, while the former leader - "Berlin" team, which has changed "Win-Win" strategy to "Win-Lose" strategy under pressure from "Havana" team, scored the least points.

Obviously, this does not mean that "Win-Win" strategy, which is postulated in literature as the most effective for negotiating process, is actually unsuccessful. The purpose of our research was different: We aimed to search those specialties of verbal and nonverbal communication, which may signal of preference of one or the other negotiating style and approach prior to start negotiating process. On our opinion, we have managed to trace them by matching characteristics of situation of negotiations and specialties of verbal and nonverbal communications of participants in the course of the game.

5. General Discussion

It is worth to mention that "short" verbal communications were mainly used in stress situations when time for performing the challenge was strictly limited, and in situations of frustration, when participants failed to come to mutual agreement, or when they some way disturbed each other during performance of challenge. Short brisk phrases were predominantly used in the situations when teams did not intend to meet halfway and, on the opposite, boosted confrontation and increased stress. In these short verbal communications it was possible to "read" reluctance to open cooperation and demonstrations of suspiciousness and isolation (Gurieva S.D. & Udavikhina U.A., 2014b). It was especially evident when verbal phrases were accompanied by nonverbal closed gestures, which emphasized what was said and cleared up dominating emotions of participants of the experiment.

"Long" verbal communications were mainly used by participants in the cases when they had possibility to share their opinion, speak out arguments in favor of their strategy. With "long" verbal communications the participants demonstrated their interest, tried to receive additional clarifying information and to clear up position of the other party. In case they were not interested in what was happening in the course of business game, they tried to explain why it is so. It is important to mention that openness for contact, intention to find mutual interests and positions is considered as a key to successful business contact (Vetrenko I.A., 2009).

Short and long verbal communications may be regarded as special communicative contact codes, which in one situation may demonstrate confrontation, stress, friction and non-acceptance, and in the other mean willingness, eagerness, intention for cooperation and constructive dialog. It is worth mention that they are most vividly demonstrated at the stage of information exchange, in situation when ambiguity, lack of time and unevenness of distribution of resources were evident.

Besides, on the basis of the proposed communication model it is possible to perform the research of gender differences in use of verbal and nonverbal communications. It was noted that women tell lies more often when providing information, which causes dissonance in content of verbal and demonstration of nonverbal components and may lead to more extended in time long communicative reactions. Men may prefer to keep silence and take meaningful pause in discussion, showing prompt and informative signals. Still the above mentioned notes and comments are specific to the situation, although they were recorded by all observers and supervisors.

Among the other, the test results of «Buzzle-Puzzle» business game may witness that selection of different strategies and tactics may lead to different outcomes in conflict resolution.

5.1 Limitation, future research, and implications

An analysis of the literature on negotiations included the verbal and nonverbal communication was made in this paper. Based on this, firstly, a new classification of types of communications in the negotiations was introduced. Secondly, it was found obviously in the experimental conditions that in situations of tension and uncertainty of the participants, who preferred aggressive and active style of Win-Lose or aggressive-passive style Lose-Lose, demonstrated a significant reduction in time both as verbal as non-verbal communications. Thirdly, the "long-term" verbal communication in a situation of limited time and the uncertainty managed to relate to the constructive behavior of decision of the talks that we would think that it is the key to finding the more successful negotiation style.

Study of verbal and nonverbal communications in the course of negotiations contribute both search of the most effective behavior model in negotiating practice and definition of social and psychological conditions that influence achievement of mutually beneficial results, quality of operation and terms of fulfillment of the set challenge. Researches in the field of social psychology and management psychology allow expanding horizons of scientific investigations related to negotiating process. In this study we have first time developed and tested the business game, which conditions were highly approximated to the real conditions of negotiations and could significantly influence the outcome of negotiating process and result. It is worth to mention that use of business game for studying many aspects of negotiating process is believed to be a perspective direction for scientific researches in the field of psychology. In prospect we plan to identify the procedure of agreement achievement in negotiations.

As in study, the methods used produced some possible limitations, as well several interesting directions for future research. The current study utilized a new classification of communications used in negotiations based on a hypothetical time division. This strategy allowed for the control of a number of extraneous variables, including the unconscious behavior not involved in negotiation process, and many more that may have founded by tests. Nevertheless, business game is a hypothetical scenario that may not adequately reflect all the realities of actual negotiating. At the same time, focusing on the results of studies using this method, we expect that the present results will likely open a new way to

explore negotiation. Although, as in all laboratory experiments, our method triggers some questions of generality and potential boundary conditions. Nevertheless, future research is necessary to explore how study of verbal and nonverbal communications in the course of negotiations contribute both search of the most effective behavior model in negotiating practice. Moreover, though the verbal-nonverbal communication literature has not systematically studied in negotiation context by researches, our results strongly suggest that it should.

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Indian Women in the Workplace

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Abstract

Indian working women have treaded difficult paths to make a place of their own in their workplaces. Today, there are women achievers in each field. The social reformers of the past had played an important role in spreading education to empower women. The Constitution of India has provided positive discriminations for women. The Indian State has passed several laws and implemented policies to improve their condition. But, still, Indian women today face visible and invisible discriminations in their path. Working women even today have problems regarding inadequate and unclean toilets, sexual harassment in the workplace, unsafe roads, etc. This paper tries to paint a picture about the steps taken to improve the condition of women in the pre-independence period, international situation, role of the Indian State and the judiciary and the recommendations which may ease some of the problems faced by working women. Affirmative measures have attempted to narrow the gap between the two genders in the workplace, but much needs to be done. The paper is based on secondary sources.

Keywords: Indian Women, discrimination, Constitution, State, Rights

1. Introduction

India is the largest democracy in the world which believes in the principle of social justice. It is a welfare State, which tries to provide the best services to the maximum population. India is a country of paradox. On the one side, in India, worshipping of goddesses is common; on the other hand, crime against women has spiraled up. The lower status of women is evident both in the public and private spaces. Indian women can be called the largest subaltern in the Indian society. They are the largest minority in the society. Barring few exceptions, Indian women vis-à-vis Indian men are discriminated against in the workplace or in the homes. Disparity in the private space is reflected in the public space also. Population of Indian women, according to the 2011 census is 586.5 million. The sex ratio is 940 females to 1000 males, which is a matter of concern.

According to Gender Gap Index 2013, share of women in non-agricultural sector is 18 percent of total non-agricultural employment. Share of women on boards of listed companies 7 percent and firms with female participation in ownership is 9 percent of firms.[1]According to the report of the International Labour Organization's Global Employment Trends, 2013, India's labour force participation rate for women was 29 in 2009-2010. Out of 131 countries with available data, India ranks 11th from the bottom in female labour force participation.(Begum 2013) The number of women in India's workforce fell from 28.7 per cent in 2004-05 to 22.8 per cent in 2009-10, and even further to 21.9 per cent in 2011-12, according to the latest report from National Sample Survey Office (NSSO) (Bhattacharya 2013)Gender discrimination, glass ceiling, sexual harassment in the workplace, lop-sided gender parity etc have become hurdles in the path of working women in several places.

Traditionally, in India, women have been identified with the private space and the public space was the hunting ground of men. In exceptional situations, ordinary Indian women treaded into the public space. The public/private space has always been influenced by patriarchal socialization and domination. (Chari 2009) Though Indian history provides innumerable situations, where women have played significant role in turning the wheels of history, but, still, Indian women had to prove time and again their own mettle. They have been pushed to being second-class citizens even in their homes, regarding availability of food, access to education, decision-making rights etc

Scenario has slowly improved in India with the rising level of education and increasing awareness about the need to have a just society. Women are better placed today, in the workplace compared to their position in the earlier centuries. But, even today, the monopoly of positions in government and private sectors are manned by men. There may be some exceptional women in the top levels, but they are still exceptions today. Although more women are working, they

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[1]http://reports.weforum.org/global-gender-gap-report-2013/#section=country-profiles-india(March 2015)

55 are often still worse paid than men, in part-time jobs or in the huge informal employment sector with little protection and
56 few rights. The situation is not much different from the global scenario, where, even Sheryl Sandberg of Facebook had to
57 comment that women are not making it to the top of any profession in the world. Women who are in powerful positions
58 often find they face a daily barrage of sexist behaviour from men. (Gaag 2014) Gender gap exists in workplaces. In Asia
59 and elsewhere, the economic crisis has brought women towards greater difficulties. Women in informal sector suffered
60 more regarding employment and wages.[2]In India, also, successful women have to prove themselves doubly to remove
61 the obstacles in their path. The initiative by individual has been supported by attempts undertaken by the Indian judiciary
62 and the Parliament to create a harassment-free environment in the workplace.
63   The objectives of the study are to understand the prevailing position of Indian women in general; to study the role
64 of the Indian State in empowering women, in general and in the workplace and to analyze the areas of concern
65 confronted by working women.
66   The paper is based on secondary sources, like books, journal articles, newspaper articles etc. This paper provides
67 a commentary on the position of Indian women in workplace. It tries to provide a critical and analytical picture of the
68 position of Indian women in the workplace.

2. India in the Past

72 Indian social reformers, like Raja Rammohan Roy and Ishwar Chandra Vidyasagar, have always supported rights of
73 women who have been the most vulnerable group in British India. Reform movements had started in the early 19th
74 century. It was universally recognised that the proper sphere of a woman's activities was the home and she was not
75 required to take any interest in public or national affairs, which were exclusively the concern of men. But, even during the
76 colonial rule, women's education was gaining support from the social reformers of the age. An educated mother can be a
77 better guide to her children as her awareness level will be high. It will help the future generations to advance. The
78 Calcutta Congress of 1917 presided over by Mrs. Besant supported votes for women. Special session of the Indian
79 National Congress in 1918 passed by three-fourths majority passed a resolution in favour of women's suffrage. The
80 Muslim League also followed suit by a resolution in favour of franchise for Indian women. So, the two major parties
81 supported the voting rights of women. (Khera 1942) Slowly, education of girls was becoming a priority for a section of the
82 educated class. It was realized even by radical reformers, like JyotibaPhule, that education of a woman was the need of
83 the hour to fulfil the duties of a supportive wife and a doling mother who can positively shape the child's life. It was the
84 middle class and the upper-middle class who started getting their children educated. During the freedom struggle against
85 the British, Gandhiji legitimised the strength of the 'feminine' qualities in his fight against violence. Women became visible
86 in the mass movement against the colonial rule. The contribution of women in the struggle for freedom played a
87 constructive role in strengthening the position of Indian women in the public space. Women got assurance and an array
88 of democractic rights through the Indian Constitution. (Chari 2009)

3. International Situation

92 Equality of rights for women is a basic principle of the United Nations. At Philadelphia, in 1944, the International Labor
93 Conference adopted a Declaration. It proclaimed that "all human beings, irrespective of race, creed or sex, have the right
94 to pursue both their material well-being and their spiritual development in conditions of freedom and dignity, of economic
95 security and equal opportunity". Women workers' rights constitute an integral part of the values, principles and objectives
96 that are at the core of the International Labor Organization's mandate to promote social justice and decent work, which is
97 fairly paid, productive work carried out in conditions of freedom, equity, security and dignity.[3] Two important Instruments
98 of the International Labor Organization are Resolution on Gender Equality, Pay Equity and Maternity Protection, adopted
99 in 2004 and a decision of the ILO's Governing Body in March 2005. It has made gender mainstreaming obligatory in all
100 the ILO's technical cooperation activities. It has been reinforced in the 2006 International Labor Conference Resolution.
101   The United Nations Convention on the Elimination of All Forms of Discrimination against Women (CEDAW) was

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[2]*Women in Asia: Underpaid, undervalued and underemployed.(1999) World Of Work: Magazine of the ILO – No. 32, 6 http://www.ilo. org/wcmsp5/groups/public/---dgreports/-dcomm/documents/publication/dwcms_080623.pdf(February 2015)*
[3]*ABC of Women Workers' Rights And Gender Equality (2007)(2nd ed.)Geneva: International Labour Organization http://www.ilo.org/ wcmsp5/groups/public/---dgreports/---gender/documents/publication/wcms_087314.pdf (March 2015)*

adopted in 1979 by the UN General Assembly. It came into force in 1981. The State Parties' have specific obligations to eliminate discrimination and remove obstacles in the path of women's enjoyment of their rights in law and in practice.[4] It has often been referred as the 'international Bill of Rights' for women. It provides the key principles of equality between men and women, prohibits discrimination against women on any ground, and covers many aspects of women's rights including political participation, health, education, employment, marriage, family relations and equality before the law. The Commission on the Status of Women has played an important role in promoting women's rights. It has prepared recommendations relating to urgent problems in the field of women's rights with the object of implementing the principle that men and women should have equal rights, and the development of proposals to give effect to such recommendations.[5] Conventions on Equal Remuneration between Women and Men, 1951, Discrimination (Employment and Occupation) Convention, 1958; Workers with Family Responsibilities Convention, 1981; elimination of the worst forms of child labour, 1999 , part-time workers, 1994 and home workers, 1996, 2000, Maternity Protection Convention, termination of employment, 1982, and employment policy, 1964 are instruments for protecting rights of women.[6] All these instruments have helped women in emopowering them. Women are also entering the labor force in record numbers. Kelly 1980)

4. Role of the Indian State

Indian State has been playing a role of 'benevolent father'. India had got independence from colonial rule with lot of support from the women-folk. The Indian Constitution has not discriminated against women. Certain affirmative discrimination has been ennumerated in the Indian Constitution in support of women. In the Eighth Five Year Plan, a shift has been seen from 'development' to 'empowerment'of women. Part III of the Indian Constitution deals with the Fundamental Rights. Rights have been provided to Indian girls and women to bloom fully and sharpen their personality. The Constitution-Makers had tried their utmost to provide the maximum enforceable rights for the Indians. The Supreme Court and the High Courts have incrreased the limits of these rights. Part IV of the Indian Constitution provides non-justiciable rights called the Directive Principles of State Policy. These are mostly socio-economic rights. Article 14 guarantees equality before law and equal protection of the laws. Arts 15(1) and (3), 16(4), 32, 226, 39(a) and (d), 42, 46, 47, 243 D (3), 243 D (4), 243 T (3), 243 T (4) are some of the provisons which have supported the rights of women workers. The writs of Habeas Corpus, Mandamus, Certiorari, Prohibition and Quo Warranto have been quite effective. Article 39 of Constitution envisages that the State shall direct its policy, among other things, towards securing that there is equal pay for equal work for both men and women.

The Government of India has enacted several laws like Special Marriage Act, 1954; Hindu Marriage Act, 1955; Hindu Succession Act, 1956; Hindu Minority and Guardianship Act, 1956; Hindu Adoption and Maintenance Act, 1956; Immortal Traffic Prevention Act, 1956; Dowry Prohibition Act, 1961 and 1984; Maternity Benefit Act, 1961 ; Medical Termination of Pregnancy Act, 1971 ; Child Marriage Restraint (Amendment) Act, 1978; Family Court Act, 1984; Indecent Representation ofWomen (Prohibition) Act, 1986; Commission of Sati (Prevention) Act, 1987 etc, in order to improve the overall condition of the Indian women. The publication of Towards Equality Report in 1974 has been a watershade for focussing on the needs of the women in India. The National Plan of Action for Women, 1976; National Perspective Plan for Women, 1988; Shramashakti, 1988; National Commission for Women, 1990; Support to Training and Employment Programme for Women, 1987; RashtriyaMahilaKosh; MahilaSamridhiYojana; Indira AwaasYojana;

JawaharRozgarYojana; Streeshakti Mission; Development of Women and Children in Rural Areas; Training Rural Youth for Self Employment; National Rural Health Mission; National Rural Employment Guarantee-Scheme; the 73rd and 74th Constitutional Amendment Acts of 1993 and the support services launched and effectualized by the Government of India prove the emerging desire and preparedness of the State of India to facilitate empowerment of women in India. (Misra 2006) Maternity Benefits Act, 1961 has helped many. The object of maternity leave and benefit is to protect the dignity of motherhood by providing for the full and healthy maintenance of women and her child when she is not working. With the advent of modern age, as the number of women employees are growing, the maternity leave and other facilities

[4]*Equality And Women's Economic, Social And Cultural Rights: A Guide to Implementation and Monitoring Under the International Covenant on Economic, Social and Cultural Rights,(2004)University of Minnesota Minneapolis: International Women's Rights Action Watch, http://www1.umn.edu/humanrts/iwraw/CESCRMANUAL.pdf (March 2015)*

[5]*Short History of CEDAW Convention United Nations, United Nations Entity for Gender Equality and the Empowerment of Women Department of Public Information http://www.un.org/womenwatch/daw/cedaw/history.htm(February 2015)*

[6]*ABC of Women Workers' Rights And Gender Equality (2007)(2nd ed.)Geneva: International Labour Organization http://www.ilo.org/ wcmsp5/groups/public/---dgreports/---gender/documents/publication/wcms_087314.pdf (March 2015)*

148 have become important.[7] The judiciary through its interpretation has increased the scope of the rights. In Municipal
149 Corporation of Delhi vs. Female Workers (2000) case, the judiciary held that the maternity leave to women workers is in
150 consonance with the Directive Principles of State Policy contained in Arts 19, 42 and 43 of the Constitution of India. It
151 entitles maternity leave even to women engaged on casual basis or on muster roll basis on daily wages and not only
152 those in regular employments. This happened after union of female workers who were not on regular rolls, but were
153 treated as temporary workers and employed on Muster roll, claimed that they should also get maternity benefit like
154 regular workers.

155   Equal Remuneration Act, 1976 has opened the doors to many Indian women which implemented Article 39 of the
156 Indian Constitution. Prior to the Act the President of India promulgated on the 26th September, 1975, the Equal
157 Remuneration Ordinance, 1975. 1975 was celebrated as the International Women's Year.Equal Remuneration Act, 1976
158 supports payment of remuneration at equal rates to men and women workers and other matters. It is the duty of the
159 employer to pay equal remuneration to men and women workers for same work or work of similar nature. No
160 discrimination should be made while recruiting men and women workers. [8]The law states that no discrimination is
161 permissible in recruitment and service conditions except where employment of women is prohibited or restricted by the
162 law. [9]In India, the implementation of the Equal Remuneration Act, 1976 is done at two levels. In the Central sphere, the
163 enforcement is entrusted to the Chief Labour Commissioner who heads the Central Industrial Relations Machinery. The
164 Central Government has appointed Labour Enforcement Officers as Inspectors for the purpose of making investigation of
165 implementation of the provisions of the Equal Remuneration Act, 1976 by the employers. In case of employments
166 provided by the State Government, the enforcement is done by the officials of the State Labour Department. The Central
167 Government also monitors the implementation of the provisions of the Equal Remuneration Act, 1976 by the State
168 Governments.[10] According to many critics, Equal Remuneration Act in India seeks to determine wages on the basis of a
169 politically motivating or social justice related factor, in this case, gender. Implementation of the law is difficult as the law
170 enforcement agencies are either inactive, or corrupt.[11]

171   The Employees State Insurance Act, 1948 has brought in provisons of Employees' State Insurance Corporation
172 and medical benefits. In spite of stability and uniformity in the medical treatment given to the insured persons, a great
173 leeway requires to be made so far as facilities for hospitalisation, adequate facilities for specialist services and proper
174 treatment to T.B. patients are concerned. (Mehta 1961) Welfare of women workers has been supported by The Factories
175 Act, 1948, The Mines Act, 1952, The Plantation Labour Act, 1951, The Beedi and Cigar Workers (Conditions of
176 Employment) Act, 1966, The Contract Labour (Regulation and Abolition) Act, 1970, The Inter-state Migrant Workmen
177 (Regulation of Employment and Conditions of Service) Act, 1979, Building and Other Construction Workers' (Regulation
178 of Employment and Conditions of Service) Act, 1996, Minimum Wages Act, 1948, Payment of Wages Act, 1936, The
179 Employees' State Insurance Act, 1948, The Workmen Compensation Act, 1923, The Employees Provident Funds and
180 Miscellaneous Provisions Act, 1952 and Payment of Gratuity Act, 1972.[12]

181   The Government of India has also set up Women Labour Cell. It is a separate Cell for women labour which was set
182 up in 1975, is functioning in the Ministry to pay special attention to the problems of women labour. Ministry of Women and
183 Child Development is the nodal department on ccordinating aspects regarding women labour. It works in conjunction with
184 Ministry of Women and Child Development. It implements Equal Remuneration Act. It sets up Advisory Committee for
185 promotion of employment of women under the Equal Remuneration Act, 1976 and providing secretariat assistance to the
186 Committee. It also follows up action on the Supreme Court Judgement in the matter of prevention of sexual harassment
187 of women at their work place and periodical reviews of the initiatives taken in the matter in consultation with related
188 agencies like National Commission for Women, Ministry of Women and Child Development, National Labour Institute, etc.
189 The Cell is also administering a grants-in-aid Scheme for providing financial assistance to voluntary and non-government
190 organizations for taking up action programmes/projects for the benefit of women labour. The Ministry is also running a
191 Grant-in-aid Scheme for the welfare of women labour since Sixth Five Year Plan (1981-82). It is administered through
192 voluntary organizations by giving grant-in-aid to them for oganizing working women and educating them about their

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[7]*Maternity Benefits Act, 1961 (53 of 1961)[12th December, 1961http://www.medindia.net/indian_health_act/maternity-benefit-act-1961-introduction.htm (January 2015)*

[8]*http://pblabour.gov.in/pdf/acts_rules/equal_remuneration_act_1976.pdf (March 2015)*

[9] *Subramanian, L. V. 'Working Women Labour Laws' http://indianlabour.org/index.php/labour-laws-institutes/labour-laws/working-women-laws/ (February 2015)*

[10]*http://labour.gov.in/content/division/equal-remuneration.php (March 2015)*

[11]*Kavarana, Aditi, Equal Remuneration Act. Centre for Civil Society,http://ccs.in/equal-remuneration-act(March 2015)*

[12] *'Women's Rights And Labour Statutes', http://shodhganga.inflibnet.ac.in/bitstream/10603/12832/13/14_chapter%205.pdf(February 2015)*

193 rights/duties, legal aid to working women and organizing seminars, workshops, etc. aiming at raising the general
194 consciousness of the society about the problems of women labour.[13]

195 Indian women workers had been facing sexual harassment at workplace, but they got the legal support initially by
196 Vishakha Guidelines of the Supreme Court and later by the Sexual Harassment of Women at Workplace (Prevention,
197 Prohibition and Redressal) Act, 2013. Employers are liable to pay a fine of Rs 50,000 for failing to implement the
198 provisions of the Sexual Harassment of Women at Workplace (Prevention, Prohibition and Redressal) Act.[14] Sexual
199 harassment at workplace is slowly been recognized as serious crime. Complaints are increasing in the workplace. There
200 were 700 complaints which were registered in the Karnataka Labour Commssioner's office. (Sarpotdar 2013) A safe
201 environment in the workplace is a right of every working woman.

202 The Judiciary in India has played an important role through pronounced judgements and activism in protecting
203 rights of Indian women. The Supreme Court and the High Courts have increased the arena of overall rights for women in
204 India. This judicial legislation filled in the gap in the existing legal scenario. The Supreme Court provided equal rights of
205 Hindu girls and woman on property along with other male relatives for any partition made in intestate succession after
206 September 2005. The Court added "According to the new Section 6, the daughter of a coparcener becomes a coparcener
207 by birth in her own rights and liabilities in the same manner as the son. The declaration in Section 6 that the daughter of
208 the coparcener shall have same rights and liabilities in the coparcenary property as she would have been a son is
209 unambiguous and unequivocal".[15] The Supreme Court in 2014 removed the discrimination against women make-up
210 artists in the film industry in India. The Court stated that it would not allow the "constitutionally impermissible
211 discrimination"[16] existing in the film industry.

212 In India, the private sector is also making extra effort to improve the working condition of women. For example, the
213 tech companies are making an all-out effort to retain women in their workplace. They have initiated the work-from-home,
214 flexi-timing options, special cabs for would-be-homes, creche facilities etc. The companies have recognized that flexi time
215 or work-from-home as options can be options to include employee productivity and retention. Initiative has been taken
216 where employees can donate their unused vacation time to their colleagues who are in need of additional paid leave to
217 attend to critical medical or personal matters. (Phadnis& John 2003)

218 In 2013, the Ministry of Women and Child Development passed a resolution to "provide and promote crèche and
219 day care facilities for children of working mothers, mothers belonging to poor families, ailing mothers and single
220 parents."[17] Rajiv Gandhi National Crèche Scheme for Children of Working Mothers currently covers tribal, rural and urban
221 children across 449 districts and has benefitted many working mother. An onsite childcare facility is an incentive for
222 working women because women get to work full time and take care of the child because the mother can see the child a
223 few times in the day. Child care centres can be a support-base for working mothers who can both successful personal
224 and professional lives. The guilt factor of the working mother can be decreased many times with better child care
225 facilities.[18]

226 Though the number of women in Indian workplace is increasing, the toilet facilities are not keeping pace. The
227 presence of women in higher levels has improved the number of toilets in some places compared to the earlier years.
228 Many working women in India have faced inadequate, badly designed, poorly maintained and sometimes completely non-
229 existent toilet facilities. The situation is improving slowly with the Government of India taking on sanitation as an important
230 issue. The state government of Maharashtra has ordered that all commercial establishments need to provide separate
231 toilets for women staff, or face penalties and even criminal action. (Doctor 2014) Adequate restrooms and washrooms
232 where women do not need to queue up for long stretches of time need to be maintained.[19] These are basic necessities

[13]http://mau.nic.in/Departments/labour/LWPGuideline.pdf(March 2015)
[14]'Rs 50,000 fine for violation of sexual harassment law: Maneka Gandhi' March19, 2015http://indianexpress.com/article/india/india-others/rs-50000-fine-for-violation-of-sexual-harassment-law-maneka/(February 2015)
[15] Hindu woman entitled to equal property rights: Supreme Court(2011) http://www.thehindu.com/news/national/hindu-woman-entitled-to-equal-property-rights-supreme-court/article2534751.ece (March 2015)
[16]Anand, Utkarsh, Supreme Court says Women can be Make-Up Artists.(2014) http://indianexpress.com/article/india/india-others/sc-says-women-can-be-make-up-artists/(February 2015)
[17] How Creches At Indian Offices Can Empower More Women To Work.http://www.womensweb.in/2014/07/more-creches-at-indian-offices/ (March 2015)
[18]'She wants to change the way women work in India'
http://www.rediff.com/getahead/report/career-she-wants-to-change-the-way-women-work-in-india/20141010.htm(February 2015)
[19]'Women and the Perfect Workplace',http://www.accenture.com/Microsites/vaahini/slice-of-life/Pages/women-and-the-perfect-workplace.aspx(February 2015)

233 which were non-existent. Indian women felt ashamed even to voice their sanitation needs earlier due to social norms.
234 But, now working women are not hesitating in demanding their basic rights.
235   Another issue among working women in India is lack of safety on the roads. The lurking fear of crime decreases
236 the efficiency of the worker. Women do feel vulnerable after repeated incidents of crime against women in India on the
237 roads. It has also created fears in the minds of family members. (Dutta 2012) Many parents have tried to persuade their
238 daughters to leave jobs which have irregular working hours. The government machinery has increased its steps to thwart
239 crimes against women, but the fear of returning home from workplace for Indian women has affected their output.

5. Recommendations

243 Initiative to improve the working condition of women workers in India has been taken at various levels, by both the State
244 and private agencies. Federation of Indian Chambers of Commerce and Industry (FICCI) and FICCI Ladies Organization
245 has provided some recommendations for improvement of safety of women at workplace. Some of them are installation of
246 electronic doors allowing access to the work area only to authorized employees, security guard or a colleague to
247 accompany the driver in the cab, if a woman staff working in a night shift is either the first to be picked up or last to be
248 dropped, Global Positioning System based monitoring of transport vehicles with panic buttons, mobile applications to be
249 installed on employee phones for increased tracking and safety measures, well-lit work areas, staircases and parking lots
250 till the last woman employee leaves the site, separate and secure toilets for women close to their work station, strict
251 surveillance of visitors, security staff and drivers to be employed only after police verification, 24x7 transport helpdesk for
252 drivers & staff /family members with dedicated emergency cab on standby for exigencies, to have a code of conduct
253 agreement in place to be affirmed annually by employees and vendors with clear defining behavioural norms especially
254 for males with female employees, setting up of a sexual harassment committee reporting to the managing director or a
255 senior member of the management and headed by a woman etc[20]

256   Just like women in the private companies, the Government of India has also provided safeguards and
257 recommendations to make women employees comfortable in their workplace. For example, special incentives have been
258 given to women to join the para-military forces. Some of them are-
259 'Creches' and 'Day Care Centres' have been provided to women employees.
260   a. Separate accommodation for women personnel with basic amenities.
261   b. Toilet facilities are made available for the use of women employees by pitching of proper tents with commode
262   in areas where appropriate locations are not available.
263   c. Vehicles fitted with mobile toilets for women personnel during movement from one place to another and during
264   picketing duties.
265   d. Facilities already available under the Central Government like Maternity Leave, Child Care Leave, are also
266   applicable to para-military women personnel.
267   e. Medical facilities with special care to the pregnant women
268   f. Lady Doctors are available to provide medical coverage.
269   g. Education facilities to their children in KendriyaVidyalaya have been provided wherever available.
270   h. Facilities have been provided to women personnel at par with their male counter parts at work place without
271   any gender bias.
272   i. In case of married women, generally husband and wife are posted in same station as far as possible.
273   j. Women personnel are given equal opportunity in their career progression i.e. promotion/seniority at par with
274   male counter parts.
275   k. Women personnel are encouraged to be self-dependent by imparting proper training and talks during various
276   courses.[21]

6. Conclusion

280 Affirmative action measures and skills development initiatives will enhance the socio-economic position of a sizeable

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[20]*SafetyOf Women At The Workplace: Recommendations for Businesses, Recommendations by FICCI & FLO Industry Task Force On Safety Of Women At Work Place http://www.ficci.com/SEdocument/20249/Safety-of-women-at-workplaces-Recommendations-for-Businesses.pdf (February 2015)*
[21] *'Percentage Of Women In Paramilitary Forces,'(2013) RajyaSabhaUnstarred Question No.992, Ministry Of Home Affairs, New Delhi: Government Of India, http://mha1.nic.in/par2013/par2013-pdfs/rs-140813/992.pdf(February 2015)*

portion of women in the coming years, in order to narrow the gap between formal equality and substantive equality. (Grant 2005) Rights of Indian women in the workplace are connected to the overall condition of women in the Indian society. Assertion of rights is also necessary from the end of the Indian women in the workplace. Gender mainstreaming has varied benefits which the world has recognized. Men and women are not identical, but the concept of equity should be given importance in addressing the differences between the genders. Women should have a decent working condition so that they can voice their problems. The Indian State has introduced many reforms aiming at social justice. It is the society which needs to amend its attitude towards working women. Successful working women in the country have proved to be role models to others through their achievements. But, it depends on the individual girl or woman to change each hurdle in ones life into victory towers. The suggested steps will also pep up the happiness index of India.

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Managing Terrorism and Insurgency through African Traditional Institutions: The Role of Kano Emirate Council –Nigeria

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Abstract

Although Nigeria, like most developing countries is facing various security challenges, recent media reports suggest that activities of Boko Haram insurgent group appears to be the most visible source of security threat to the country. Beginning 2009, the group launched violent attack on the Nigerian state, killing thousands of people and destroying public and private properties in different parts of the country. Globally, the group is now labeled as one of the most deadly insurgent/terrorist groups in the world. Like most insurgent or terrorist groups, it seems to defy several counter terrorism measures introduced by the Nigerian government. Arising from this background, many Nigerians are calling for the involvement of traditional institutions in the fight against the insurgent or terrorist groups. This article attempts to examine the role which African traditional institutions can play in managing the menace of such groups. Methodologically, in-depth interview was adopted for the study using Kano Emirate Council as case study. Thus, among the findings of the study is that traditional institutions occupy a strategic position in Nigerian setting which make them relevant in the fight against insurgents. In this article we argue that considering the closeness of the institutions to the communities, lack of modern security monitoring equipment and comprehensive data on the population for security agencies to keep abreast with the happenings in the society, the Nigerian government should create a framework to synergize between the institutions and the contemporary security agencies.

Keywords: Boko Haram, Insurgency, Security, Terrorism, Traditional Institutions.

1. Introduction

Global media reports indicate that Nigeria is presently embroil in serious security challenges particularly those arising from the activities of Boko Haram[1] insurgent group. The group which came to public limelight in 2009 has over the period terrorized the country's entire Northern region including the centrally located Federal Capital Territory Abuja. The only place which the group has not attacked for now is the Southern and Eastern parts of Nigeria comprising states such as Lagos, Akwa Ibom, Rivers, Anambra, Imo, and other states. Apart from destruction of public and private properties worth millions of naira, killing thousands of people, the group has also resorted to kidnapping mass number of people (women, school girls, young boys, men) in several communities of the affected states.

Among the most prominent attacks undertaken by Boko Haram is the abduction of over 200 female students of Government Girls Secondary School Chibok in Borno State on the night of April 14-15, 2014. The violent activities of Boko have affected the existing fragile social relations among Nigeria's multi-ethnic and religious groups. Furthermore, the political and economic sectors are also affected since commercial banks and telecommunication installations continue to be attacked by the insurgents. To date the group has managed to control 16 local government territories out of the 774 local governments in Nigeria. Thus, they have transformed themselves into a mini-state.

Like any other insurgent group in the world, Boko Haram appears to defy all known conventional security measures adopted by the Nigerian government. For example, one of the first measures taken by the Nigerian authorities

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[1] *Boko Haram is a Hausa word which means the forbidden of Western education.*

56 against the group following its emergence in 2002 at Maiduguri the capital of Borno state was the use of excessive force.
57 The actions of the security forces resulted in high number of casualties on the side of Boko Haram including the killing of
58 their then factional leader Mohammed Ali. Furthermore, when the surviving members of the group reorganized and
59 launched another attack in 2009, similar measure was employed by the government. This was the operation that resulted
60 in the controversial death of the group's leader Mohammed Yusuf in the hands of the police, having been captured alive
61 by the military. To reduce the raising attacks by Boko Haram, the government also declared state of emergency in some
62 states following the violent response of Boko Haram to avenge the death of their leader Mohammed Yusuf. As the
63 situation began to degenerate, the government introduced 'Terrorism and Prevention Act (TPA) 2011'; and 'Money
64 Laundering (Prohibition) Act (MLPA) 2011', on June 3, 2011.

65 However, relevant literature suggests that instead of eliminating the group, these approaches have ended up as
66 the main catalysts for transforming Boko Haram into its present status of being classified as one of the most dangerous
67 terrorist group in the world, alongside with the Islamic State of Iraq and Syria (ISIS) and al-Qaeda. Several reasons have
68 been advanced for the seeming failure or ineffective use of force by the government in fighting Boko Haram insurgents.
69 But the most prominent is the issue of corruption in the security sector where trillions of *naira*[2] has been spent in the last
70 6 years. For example, some military personnel involved in the fight against the insurgents were recently reported to have
71 been court martial for refusing to participate in the exercise due to nonpayment of their allowances and lack of good
72 weapons. Furthermore, there are allegations that some members of the security agents are playing double standard in
73 the fight against the insurgent group. These unfortunate developments have resulted in the continuous dwindling of public
74 trust on the contemporary security institutions saddled with the responsibilities of ensuring security of the Nigerian
75 citizens.

76 Thus, among the various implications of this the above scenario is the uncooperative attitudes of the public in
77 giving intelligent or useful information relating to the activities of the suspected members of Boko Haram to the security
78 agents. This is because a friendly relationship between security agents and the public is a key factor in fighting
79 insurgencies as it helps the security agents to obtain information which can lead to nipping pending attacks by the
80 insurgents in the bud. It is therefore in line with the above reasons, that some members of the security experts and the
81 general public have pressed the Nigerian government to again engage traditional institutions in security management.
82 The calls for reengaging traditional institutions in Nigeria's security management are also predicated on several reasons.
83 Firstly, members of traditional institutions occupy strategic positions within their various communities which make them to
84 be closer to the grass root citizens. Secondly, traditional institutions have an established administrative structure within
85 the various communities which can be used for intelligence gathering.

86 Thirdly, the institutions as custodians of traditional norms and culture enjoy a high degree of respect and loyalty
87 from members of their respective communities irrespective of one's social status. Fourthly, conflict resolution
88 mechanisms employed by traditional institutions in resolving intra and inter communal disputes and conflicts have over
89 the years proven to be effective. Furthermore, there is an argument that insurgents are not spirits but human beings who
90 live within the communities which can be effectively policed by members of the traditional institutions. Against the
91 aforementioned background, a study on the role which traditional institutions such as Kano Emirate Council of Kano
92 State, Nigeria can play in counterterrorism management becomes imperative. In addition, the paper also addresses the
93 issue of how to achieve a synergy between the institutions and the contemporary security agencies.

2. Methodology

97 This study was conducted based on qualitative research method using two types of data (primary and secondary)
98 obtained through in-depth interview and review of related publications. The in-depth interview was conducted on semi
99 structure basis with purposively selected respondents from security agencies, Kano traditional Emirate Council,
100 professional associations[3] and the general public within the study area. Thus, while the respondents from security
101 agencies were selected from the army, police, immigration, customs, civil defense corps, and state security service, those
102 from Kano traditional Emirate Council were selected across the administrative hierarchy of the council (Emir or the
103 Islamic ruler, district[4], village[5], and ward heads[6]). Other respondents were selected from members of the academia,

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[2] *Naira is the official name for Nigeria's currency*

[3] *Umbrella or body for professional people such as lawyers, Journalists, etc.*

[4] *Divisional representative of the Emir*

[5] *Rural representative of the emir*

[6] *Administrative representative of the emir within the city divisions or settlements*

general public and key professional associations comprising Nigeria Union of Journalists, Bar Association, and business groups (market association). On the whole, a total of 17 respondents were selected and interviewed to obtain qualitative data for the study. On the other hand, secondary data for the study was obtained from the review of relevant publications such as books, academic journals, previous studies, and documents from government/ traditional institutions to compliment the primary data. The choice of this methodology was due to its ability to address the objectives of the study. Firstly, qualitative research according to Creswell (2007:40) helps in facilitating understanding "the context or settings in which participants in a study address a problem or issue". And secondly, interview method also has the advantage of providing an active means for interaction between two or more people leading to a negotiated, contextually based result (Silverman, 1993).

3. Security issues in Nigeria

Following the withdrawal of military from governance in 1999, Nigeria's security situation began to degenerate as a result of violent activities of oil rich Niger Delta militias in the Southern part of the country and Boko Haram insurgent group in the North. However, while there appears to be some relative calm in the Niger Delta region following the introduction of amnesty programme, on the contrary, Boko Haram insurgents have intensified its attacks on the Nigerian state in the last 6 years. Presently the group has constituted itself into a mini state with separate territories. Available literature indicates that the group which derived its name 'Boko Haram' (western education is forbidden) from one of Nigeria's dominant ethnic language Hausa operates as an Islamic religious sect. Hence it operates under the slogan   'Jama'atu Ahlis Sunnah Lidda'awati Wal –Jihad' which is Arabic word for "people who are committed to the propagation of the teachings of Prophet Mohammad (Peace and Blessing of Allah be upon him) and Jihad". The term is specifically employed to describe the basic contention of the group which is that a western civilization as represented by its secular education is a sin and therefore forbidden to adherents of Islamic religion. Although, Boko Haram started as a peaceful religious sect, its attempt to establish an Islamic Sharia code through violent means transformed the group to a typical insurgent organization.

O'Neil (990: 13) defines insurgency as 'a struggle between non-ruling group and the ruling authorities in which the non-ruling group consciously uses political resources (e.g., organizational expertise, propaganda, and demonstrations) and violence to destroy, reformulate, or sustain the basis of one or more aspects of politics'. Shedding more light on the concept of insurgency, Gompert and Gordon (2008) contends there are different types of insurgencies but they can be understood by looking at their goal, tactics, size, region, duration, international significance as well as the type of regime which they seek to change. Thus, philosophically while classical insurgent groups were concerned with how to expel invaders away from their defined territory with the ultimate aim of taking over the reign of political power, on the other hand contemporary insurgencies like the Boko Haram group are aimed at replacing the existing social order (Kilcullen 2006). However, the similarities in the operational tactics of Boko Haram insurgents and other Al-Qaeda inspired terrorist groups, has lead to the labeling of the group as a terrorist organization.

4. Backgrounds of Nigeria and Kano Emirate Council

4.1 Nigeria

With a population of over 160 million, Nigeria geographically situated in the gulf of Guinea in West Africa is the most populous country in Africa and seventh in the world (UN Report, 2012). It shares borders with four other African countries including Benin and Cameroun Republics in the East and West, as well as with Republics of Chad and Niger in the North East and North West respectively. The history of the country can be traced to the amalgamation of various ancient kingdoms, caliphates and emirates with over 250 different ethnic languages by the British colonialist in 1914 who subsequently ruled the country until independence on 1st October, 1960 (Mohammed 2007). Although, the country has a large number of ethnic groups, the dominant ones are the Hausa/Fulani in the North, Yoruba in the south west and Igbo in the south east regions respectively. While majority of these ethnic nationalities practices Islam and Christianity as religion, others are inclined towards native religion.

Over the years, Nigeria has been ruled by the military but since 1999 it has been under a democratic rule operating American model of presidential system of governance. The country has three tiers of administrative structures comprising federal, 36 states and 774 local governments. Despite the existence of these modern structures, recent study reveals that there are quite a number of unconstitutional pre-colonial traditional institutions operating besides them with significant supports from the population. In addition, available literature indicates that traditional institutions of governance such as

158 the Kano Emirate Council have over the years been active in facilitating peace and stability in the country despite their
159 non-constitutional recognition.
160
161 *4.2   Kano Traditional Emirate Council*
162
163 The history of Kano Emirate Council is reported to be over one millennium in spite of the fact that greater part of its
164 history before sixth century was based on myths as opined by Hogben and Kirk-Greene, (1966). Located in the North
165 Western Nigerian commercial city of Kano, the Emirate in its current structure with an estimated population of 10 Million
166 spread across the forty four local governments of Kano State, was established during the period of Habe rulers which
167 was terminated by the Fulani Jihadists under the headship of Usman Danfodio in 1805 (Blench et al, 2006). Although the
168 Hausa ruling dynasty was conquered and replaced in1807 by the Fulani Jihadists, in 1903, the Fulbe rulers were also
169 conquered by the British paving ways for further restructuring of the Emirate. However, prior to the 1805-1807, and 1903
170 developments, Muhammadu Rumfa (1463-1499) one of the Hausa kings who ruled the kingdom attempted to reorganize
171 the administrative structure of the Emirate in the middle of fifteenth century by introducing the concept of Islamic
172 constitution as preached by Shehu Maghili[7]
173   Thus, when the Fulani Jihadists took over it was it the same constitution they adopted as the basis of maintaining
174 their leadership. Consequently, the emirate was according to Blench et al 2006 was organized along the following
175 structure:
176   "The Emirate was divided into districts and each district was further split into villages, while each village was made
177 into wards. At the apex of the system was Sarkin Kano, (the Emir) who was assisted by the Hakimai (district heads).
178 Below the village heads were the ward heads who controlled the local people. These Emirate functionaries represented
179 Sarkin Kano in their respective territories" (Blench 2006:33).
180   It was therefore through the above structure that law and order were maintained during the pre-colonial era within
181 the various communities so as to achieve internal security of the society (Tamuno 1993).
182   However, during the colonial era, following the introduction of in-direct rule system by the British colonialist the
183 structure of the Emirate was divided into two parts comprising security, and administration which was merged with
184 finance. Composition of the division was as follows: Family Head; Ward Head; Village Head; and District Head. On the
185 other hand, the security division was structured in the following manner: Emir's personal Body Guards (Dogarai[8]); Native
186 Authority Police; and Prisons. On the whole, security within the society was achieved through the above structures in the
187 following manner: First and foremost the district head is the closest authority to the *emir* as such he is regarded as the
188 emir's representative. He oversees the functions of village heads and represents the emir on functions which he cannot
189 attend. By virtue of his position and location within the local government headquarters, the district head is un-
190 constitutionally co-opted into the local government security committee. But his first loyalty is normally given to the emir
191 before any person. Thus, whatever information, he receives from the village heads or other community leaders; he
192 passes it to the emir directly before informing other relevant security agencies. As for the village, he is the link between
193 the ward and the district heads function as the intermediary figure by collecting and passing information from the two
194 sides whenever the need arises. Like the ward head, he is also assisted by the community leaders such as Sarkin
195 pawa[9], Sarkin kasuwa[10], Imams[11] and others. The major difference him and the ward head is that he co-ordinates the
196 activities of several wards and pass them to the district head.
197   Similarly, the Ward head as the closest form of traditional authority's representative in the emirate is responsible
198 for collecting information at the grassroots level as a result of his constant interactions with the community. His grassroots
199 position enables him to obtain vital security information at ease and pass it to the village head or relevant security agency
200 within the community as compared to contemporary security agents who are often viewed with suspicion by the majority
201 of the people. The ward head is assisted in this task by other appointed community leaders who control various aspects
202 of the community daily activities such as meat sellers over seen by Sarkin pawa, market traders also overseen by Sarkin
203 kasuwa and of course the spiritual functions headed by the Imams, (Albasu 2007). The above structure indicates that the
204 Emirate is firmly rooted in the grass root population of the community which makes it easy for it to monitor the activities of

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[7] A Middle Eastern Scholar who wrote a famous treatise on governing called "The Obligation of the Princes" to advise Emir Rumfa on the
proper conduct of a king.
[8] Emir's body guards were drawn from traditional slaves
[9] Literally means the King of Butchers
[10] Literally means the King of Market
[11] Islamic Scholar appointed to lead people in congregational prayers

205 the people within its jurisdiction.
206   In as much as these two structures were interwoven with the political, economic and security issues, Mohammed
207 (2007) contend that they were able to function harmoniously. For instance, under the political structure (administration),
208 intelligence information regarding the activities of the community members and visitors were collected by the ward head
209 and passed to the emir along the hierarchical order. Every family head of the community was according to the rule
210 mandated to inform the ward head about the arrival of new visitor to his house along with the visitor (s) personal bio-data
211 and reason of the visit. Thus, through this mechanism, the emirates were able to track peoples' movement thereby
212 ensuring community safety. Although, the Emirate Council like any other traditional institutions in Africa has under gone
213 several political changes over the years, its administrative structure has to date remained the same.

5. Global Perspectives on Terrorism and Insurgency Management

217 As old as the history of insurgency and terrorism is so also is the history of attempts by legally constituted authorities to
218 contain it. However, the expanding rate of occurrences accompanied by the use of advanced technologies in the
219 beginning of 21st century has led to attempts to introduce corresponding mechanisms for managing it. Thus, introduction
220 of the prefix counter to the words insurgency and terrorism by scholars as a way of indicating that something has to be
221 done in an opposite direction so as to lessen the effects of these two concepts. Therefore, if insurgency as earlier defined
222 is the organized use of subversion and violence to seize, nullify, or challenge political control of a region,
223 counterinsurgency on the other hand is a comprehensive civilian and military effort designed to simultaneously defeat and
224 contain insurgency and address its root cause, (US Joint Publication 3-24, 3013: 1-2).
225   Similarly, if terrorism which like the concept of security still remains a subjective term is associated with "the use, or
226 threat of use of violence by an individual or a group, whether acting for or in opposition to establish authority, when such
227 action is designed to create extreme anxiety and, or fear including effects in a target group larger than immediate victims
228 with the purpose of coercing that group into according to the political demands of the perpetrator," (Wardlaw, 1982: 3);
229 then counterterrorism which was previously defined in 2006 by the U.S. Army Field Manual (2006:4) as "operations that
230 include the offensive measures taken to prevent, deter, preempt, and respond to terrorism", has now been narrowed by
231 another U.S. Joint Publication on counterterrorism (2014:iii) as the "actions and activities to neutralize terrorists, their
232 organizations, and networks; removes countering root causes and desired regional end States from the definition".
233   However, the two concepts do not mean the same thing. Whereas counterinsurgency is an all encompassing
234 approach to countering irregular insurgent warfare which can provide a clear framework for success if the situation is ripe
235 for this type of warfare, on the other hand, counterterrorism provides a less clear framework for success but is equally
236 complex, (Rineheart, 2010). But interestingly, counterterrorism and counterinsurgency are susceptible to change
237 depending on the type of the terrorism or insurgency. This is why different countries have different approaches to
238 counterterrorism and counterinsurgency. Notwithstanding the differences employed by governments to fifth terrorism and
239 insurgency, Cameroun I. Crouch (2010) in his contribution "Managing Terrorism and Insurgency: Regeneration,
240 recruitment and attrition", argues that the issue of terrorism and insurgency revolves around three issues which include
241 their abilities to regenerate, undertake further recruitment of new members and how to minimize casualties from
242 confrontations with government forces. Furthermore, Crouch contends that globally the fight against terrorist/insurgent
243 groups have often been carried along the following approaches. (1) Amelioration of grievances; (2) Selective government
244 repression; (3) Discrediting the insurgent/terrorist actors ideologies; (4) Improving intelligence collection; and (5) The
245 restriction of civil liberties, (Crouch, 2010: 17-26).

5.1 Amelioration of Grievances

249 The amelioration of grievances as an approach for counterterrorism and counterinsurgency is predicated on fact that,
250 grievances are usually the main reasons for emergence of insurgent/terrorist groups. For instance, grievances are the
251 causal factors that trigger an individual's sensitivity towards insurgent/terrorist flattery and enticement for action in order
252 to change the status quo, (Rojahn, 1998). Explaining the importance of using grievance amelioration approach, the
253 former Australian Foreign Minister, Gareth Evans (1998) stated that:

255   *"Where poverty and joblessness do become relevant is in creating a larger class of young men, and increasingly*
256   *women, insecure to the point of hopelessness about their own futures, who become that much more vulnerable to*
257   *recruitment- by those who play upon that insecurity, fire up the sense of political grievance endemic throughout the*
258   *Arab-Islamic world, and, critically, offer a religious justification for jihad: making holy war" (Evans 1998:7).*

Stubbs (2004) argues that amelioration of grievances approach was employed by the British and Malayan Administration under the concept of "hearts and minds" (prevalent introduction of developmental projects, elections, and adequate security) to stop the Malayan Races' Liberation Army (MRLA) from exploiting the rural Chinese-Malayans for recruits and supplies. Similarly, Ross and Gurr (1989) contend that the emergence and demise of New Left and Quebec terrorism in America and Canada was due to efforts made in addressing the problems which gave birth to the rise of terrorism in the first place. In addition, Turkey which has a long history of combating terrorism and insurgency has equally employed diplomacy and measures to address the root causes of the act (Ozeren and Cinoglu, 2006).

5.2   Selective Government Repression

Developed in 1960 by Nathan Leites and Charles Wolf, scholars of a nonprofit global think tank, Research And Development (RAND), selective government repression counterterrorism and counterinsurgency strategy is a cost-benefit approach which is aimed at using systems analysis and econometric skills in order to win the fight against the insurgent/terrorist groups (Stubbs, 2004). The use of this approach is associated with some contradictions in terms of effects. For instance, Nevin (2003) argues that 'violent retaliation' is a counterproductive method of combating terrorism, since it 'adds to the overall sum of human misery for innocent civilians, who happened to be in the way of a retaliatory attack, thereby creating potential recruits to the terrorists 'cause,. In the same vein, Rosendorff and Sandler (2004) opined that 'government operations which bomb alleged terrorist assets, hold suspects without charging them, assassinate suspected terrorists, curb civil freedoms, or imposed retribution on alleged sponsors may have a downside by creating more grievances in reaction to heavy-handed tactics or unintended collateral damage' –grievances that may promote recruitment to the terrorist network.

The case of Frente Farabundo Mari para la Liberation Nacional of El Savador insurgents which lasted for the period of 12 years resulting in the death of an estimated 75, 000 people, is a typical example of how the use of repression can bolster an insurgent group's recruitment instead of reducing it, (Beckett, 2001). On the contrary, Gillespie (1995) contends that the use of selective government repression can suppress the insurgent/terrorist groups from spreading. For instance, the Movimiento Peronista Montonero insurgent group was curtailed by the Argentinean military in 1977 using the repression approach. In addition, the current use of drones against the global terrorist interests by the Obama administration is also in line with the selective repression counterterrorism approach.

5.3   Discrediting the Insurgent/Terrorist Actors Ideologies

The basic principle of this counterinsurgency/counterterrorism approach according to Crouch (2010: 23) is that, people are motivated to join an insurgent actor less because of material inducements and/ or physical compulsion, and more because of their acceptance of the insurgent actor's world view about what needs to be done and the necessity of violence. Therefore, it is important for government to disabuse the minds of the population from the views of the insurgent actor so as to prevent people from joining the group. In his contribution on how to succeed in the fight against terror groups in the Southeast Asia, Ramakrishna (2005: 351) argues that:

> "…[E]nduring success in the war on terror in the region [Southeast Asia] will not be achieved until and unless the ideological basis of the likes of Jemaah Islamiah (JI) is effectively undercut. In other words, only when the global jihadi capacity to regenerate by attracting recruits and sympathizers to its cause is severely weakened, and more crucially, its cause is regarded by the Southeast Asian Muslim communities as discredited, can one begin to seriously talk about success" (Ramakrishna, 2005: 351).

Ideology can be viewed as a set of ideas by which insurgent actors 'posit, explain, and justify' their goals and methods for 'organized social action', (Mullins 1972, and Seliger 1976).

5.4   Improving Intelligence Collection

Despite the fact that there are divergent views regarding the most appropriate counterterrorism and counterinsurgency approach, there seem to be general agreement on the need for improving government intelligence gathering mechanisms. This is because the ability of a government to cause more damage on the insurgent/terrorist groups depends on how it is able to collect, analyze, and disseminate information on the activities of the insurgents and the terrorists. Thompson (1966) highlights the importance of intelligence in counterterrorism and counterinsurgency

campaigns as follows:

> "Good intelligence leads to more frequent and more rapid contacts. More contacts lead to more kills. These in turn lead to greater confidence in the population, resulting in better intelligence and still more contacts and kills. That, General, is why you should first worry about intelligence" (Thompson, 1966).

Likewise, Paget (1967) asserts that 'Good intelligence is undoubtedly one of the greatest battle-winning factors in counterinsurgency warfare'. Short (1975) further stressed the role of good intelligence in counterinsurgency by contending that the 'most important reason' why the British and Malayan security forces were able to inflict an increasing rate of casualties on the Malayan Race Liberation Army (MRLA) was due to the quality of intelligence information coming from the public'. Similarly, the French Army was able to apprehend and kill many members of the Front de liberation nationale in Algeria as a result of improved intelligence gathering sources, (Horne, 1977; Aexander and Keiger (2002); Martin, 2005).

Presently, the British intelligence and law enforcement agencies involved in counterterrorism have shifted their attention from the conventional reactive investigation to proactive intelligence gathering. Thus, according to Cuthbertson (2006) in London and other large cities within the UK, the eyes of law enforcement agencies are continuously overseeing many public areas. Aided by the information technology devices such as surveillance cameras which are strategically planted, the law enforcement agencies are able to monitor public activities in shopping malls, sports arenas, entertainment avenues, neighborhoods, major traffic and pedestrian arteries, motorways and service areas, etc. In addition, apart from the well known British intelligence service (M15), new intelligence units such as Joint Terrorism Analysis Centre (JTAC) and National Criminal Intelligence Service (NCIS) have also been created to strengthen the government intelligence gathering capabilities. Similarly, the US government has restructured its national intelligence organization by introducing Department of Homeland Security under a new Director of National Intelligence with the responsibility of coordinating the operations of 16 intelligence agencies that are expected to provide information to the counterterrorism center, (Shelley, 2006).

5.5   The Restriction of Civil Liberties

The post 9/11 reactions across the globe indicate that many countries have introduced counterterrorism and counterinsurgency laws aimed at restricting the freedom of civil liberties. Restriction of civil liberties is the enactment and enforcement of legislation, specifically designed to combat insurgency or terrorism, (Crouch, 2010). For example, Malaysia's Internal Security Act 1960 empowered the government to arrest suspected terrorist without undergoing due process of law (Kamarulnizam Abdullah 2015). In Australia, Security Legislation Amendment (Terrorism) Act 2002, Australian Security Intelligence Organization Legislation Amendment (Terrorism) Act 2003, and Anti-Terrorism Act (No. 2) 2005 have among others empowered the Attorney General to: (i) outlaw specific organizations on the basis that s/he believes they pose a threat to national security; (ii) authorized the Australian Security Intelligence Organization to detain people for up to seven days for questioning, even if they are not suspected of, or charged with any crime; and (iii) introduced 'preventative detention' and 'control' orders that allow the Australian Federal Police (AFP) to detain or severely restrict the freedom of individuals who are suspected of possible involvement in future 'terrorist' offence. Similarly, immediately after the 9/11 attack, the UK government revised its anti-terrorism law to enable law enforcement agencies to detain and without trial non British terror suspects, (Parker, 2004).

In United States of America, the introduction of National Security Agency domestic surveillance program by the Bush administration empowers the agency to monitor some telephone calls without securing the permission to do so as provided under the Foreign Intelligence Surveillance Act (FISA). Likewise in developing countries within Asia and Africa several anti-terrorism laws have either been established or about to be established. For instance, the Kenyan government recently signed into law a new anti-terrorism Act which is being contested in the court by members of civil liberty organizations. The major highlights of the Kenyan anti-terrorism law stipulate that police can hold terror suspects from the existing 90 days period to nearly a year. In addition, the security agencies can monitor telephone conversations, and the courts have the authority to increase jail term for acts of terrorism. The law also provides that journalists can be imprisoned for three years on account of publication that undermine investigation or security operations relating to terrorism, or publication of images of terror victims without police consent, (www.aljazeera.com/news/africa/2014/).

Although globally civil society and human right groups have complained against the anti-terrorism laws, the government has insisted that "the very mechanisms that protect the individual from state power… also hamper the state's ability to respond to the [terrorist] threat" (Donohue, 2005). Debunking the government claim on the importance of

restricting civil liberties is study conducted by Christopher Hewitt which reveals that violence perpetrated by insurgents/terrorists was not reduced despite the implementation of the law in Cyprus, Italy, Spain, the United Kingdom, and Uruguay. On the contrary, Freeman (2003) contends that, such laws 'can be effective (in terms of reducing the number and lethality of terrorist attacks), but their effectiveness is dependent on both the 'size of the active terrorist group in relation to its level of support, and speed with which the security forces capture suspected terrorists'.

Furthermore, Orttung (2006) explained that despite the public objections to new anti-terror laws, they have largely come to terms with them. For instance, the result of Guardian opinion poll reveals that three quarters of UK people are willing to surrender their civil liberties so as to ensure the safety of Great Britain, (Freedland, 2005). However, notwithstanding the public acceptance, striking a balance between constitutional rights and the war against terrorism and insurgency is a serious dilemma especially for liberal democratic governments.

6. African Traditional Institutions and Security Management

Traditional institutions in Africa are pre-colonial agencies established through kinship and entrusted with the responsibility of ensuring the actualization of peoples political and socio-economic needs base on their cultural norms and values. Hence they are often referred to as custodians of traditional norms, practices and values (Nweke 2012, Orji and Olali 2010, Mohammed 2007, and Crook 2005). Also known as traditional authorities, traditional leadership or indigenous institutions varies according to cultural norms and values. Prominent among them are traditional rulers or chiefs, the lineage, extended and nuclear family systems, age grade, professional guilds, administration of justice and court historians, court jesters and praise singers (Mohammed 2007). Two basic reasons have been advanced why the heads of these institutions are referred to as traditional rulers. The first reason is that, their emergence is based on cultural norms and values and secondly, the term is used to distinguish between them and modern system of governance as represented by the Westphalia state system.

Over the years African traditional institutions of leadership have under gone several changes arising from the colonialization and de-colonialization of the continent. As a result of this, the concept of traditional institutions now convey different thing to different people. For instance, to people like Badejo and Ogunyemi (1989), the institution is a historical relic which should be confined to antiquity. Thus, the argument being put forward by the political elites is that, with democratic system of governance the institutions have become irrelevant. More importantly, is the point that a strong traditional institution is capable of undermining the democratic governance as the two cannot exist together harmoniously. However, recent developments across the continent suggest that, despite the attempt to render this institution irrelevant, it has continue to survive and even exerting more influence that the contemporary state institutions of governance.

For example, one of the findings of Carolyn Logan's research conducted in 19 African countries including Nigeria reveals that greater number of the population still favors the existence of the institution. While 50 percent of the respondents indicate that the institution still has some relevance within their communities, 58 percent of the respondents support the idea of government increasing the roles of the institutions (Logan 2013: 362-364). In addition to Logan's findings, McIntosh, 1990; Abacha, 1994; 1999; Englebert, 2002; Agbese, 2004; and Mefor, 2012 contend that, traditional institutions of leadership play important roles within the African communities as such it cannot be easily discarded. Furthermore, they argue that, owing to the inabilities of the contemporary institutions of governance to address the problems of majority of the population in many African states, the people are left with no choice than to relay on their traditional leaders.

Likewise, Olaniran and Arigu (2013: 125) opined that "traditional rulers are the closest to the people, and the custodians of the tradition of the people, downplaying their roles in governance of any society will amount to chaos. This is evident in the recent state of poverty, frequent electoral and post-electoral strife, and most especially persistence of widespread ethnic and civil conflicts experienced in Nigeria". Emphasizing the need for traditional institutions to be reintegrated into the modern system of governance in Africa particularly in the quest for security, Mohammed (2007) asserts that:

> "Today's largely heterogeneous communities in Nigeria have made the concept of internal security difficult to realize. The traditional rulers should be encouraged to monitor activities in their immediate domains. In most communities, traditional rulers still have a lot say in the security management of such areas" (Mohammed 2007:12).

Supporting the position of Mohammed (2007), Vaughan (2003) contends that 'Given the resilience of the indigenous political structures and the colossal failure of the Nigerian state, it is essential to re-open the discussion on the role of chieftaincy in colonial and post colonial Nigerian politics', (2003:3). Thus, when it comes to issue of security, this

structure can be used for intelligence gathering purpose as observed by Mefor, (2012) that:

> "Containing the scourge of the security challenges requires intelligence gathering at the grassroots, and this is where nobody in Nigeria is better positioned to track locals who do crime than the traditional ruler. We need to reverse the pattern of security from top – bottom to bottom –up approach, where intelligence gathering, peace and amity building starts from the grassroots where the traditional rulers and traditions will play a critical role" (Mefor, 2012:2).

Similarly, in his research on how metropolitan Kano is policed, Hils, (2011) states that:

> "The Nigeria Police Force (NPF) is able to draw on information from the Emirate system based on resilient Islamic institutions and monitoring by hereditary ward and district heads; ward heads, for example, report disturbances and the presence of strangers to the 44 district heads responsible for Kano's territory and administrative departments" (Hills, 2011: 57-58).

Hence, it can be argued that traditional institution of leadership such as Kano Emirate Council have a significant role in managing terrorism and insurgency. Given the closeness of traditional institutions in the society, the role of traditional institution in maintaining law and order cannot be overlooked. As an officer from one of the Nigerian security agencies, who refused to be identified, argued that:

> "Custodians of tradition and customs traditional institutions enjoy respect and loyalty from members of their communities. This is why they have always been called upon to intervene in resolving conflicts that can lead to serious security problems in the community" (Interview Respondent, 1).

Furthermore, a Nigerian officer from the State Security Service (SSS), who was also refused to be identified due to security reasons, explained that, traditional institutions such as Kano Emirate Council can be effectively used for intelligence gathering provided the present administrative structure is reorganized. According to him:

> "At the moment, the administrative structure of Kano Emirate Council is rigid in terms of security purpose. The structure should be reorganized to make it possible for ward heads to boycott the existing protocol of hierarchal reporting and communicate intelligence information directly to the relevant security agency. A situation where the ward head will have to pass security information to the village head, who will in turn communicate to the district head, and the district head to the emir before it gets to the security agencies means that the information can be compromised along the way" (Interview Respondent, 2).

On the role of Kano Emirate Council towards managing terrorism and insurgency in the state, a senior military commander currently engaged in the fight against Boko Haram insurgents contends that:

> "At the moment the Emirate Council is collaborating with contemporary security agencies in the area of intelligence gathering. However, to achieve a synergy between the two institutions, members of the traditional institution need to be empowered and motivated especially the ward heads who perform the roles of watch dogs to the communities. Once this is done, all the problems of insurgency would be drastically reduced. This is because most of the Improvised Explosive Devices (IEDS) being used by the Boko Haram insurgents are prepared within the communities. This means that some of the Boko Haram members are living within the communities" (Interview Respondent, 3).

Apart from using the administrative structure of Kano Emirate Council intelligence gathering, another finding of the study indicates that, the institution can also be useful for managing terrorism and insurgency through discrediting their ideological foundations. For example, the strong opposition demonstrated against the Boko Haram insurgent group which claims to be fighting for the establishment of Islamic Sharia laws in Northern Nigeria by the Kano Emirate through the religious leaders within the communities whose first loyalty and respect goes to the Emirate Council, has helped in discrediting their ideological believes in the minds of the people. A respondent from the Emirate Council summarized the role of the institution when Boko Haram insurgents attacked Kano in 2012 as follows:

> "It is on record that the late Emir Alhaji Ado Bayero was attacked by the insurgents and almost lost his life because of his open opposition to the group's activities. First by directing all the ward heads under the emirate council across the state to ensure that, identities of new comers into their communities are properly ascertained before they are allowed to settle. In this regards, all local and registered property agents as well as individuals were directed to scrutinize the identities of immigrants especially refuges from the neighboring states before accommodating them. This helped in preventing the settlement of Boko Haram insurgents coming from Borno state among the communities" (Respondent,

4).

The hard-line position taken by the Emir was viewed by the insurgents as an attempt to deny them shelter hence they decreed that members of the Emirate Council should be killed. Thus, recently, when the new Emir, Muhammad Sanusi II directed that people should defend themselves against the insurgents, a similar attack targeting him was launched in the central mosque of the Emirate Council during Friday prayers killing hundreds of worshipers. Underscoring the implication of Boko Haram's attacks on the late emir Ado Bayero and the present emir Muhammad Sanusi II, a respondent explained that, Boko Haram insurgent group understands that people have more regards on the emir's instructions than that of government officials hence the emirs are being attacked.

7. Conclusion

This article argues that the African traditional institutions like Kano Emirate Council of Nigeria have a significant role to play in societal security. For example, the role of the Kano Emirate Council in the current fight by Nigeria's security forces against Boko Haram insurgents has been acknowledged by members of the security agencies and the general public. Thus, it is now abundantly clear that the fight on terrorism and insurgency which requires collective approach will be better managed if key institutions like the African traditional leadership are carried along. This is because experience has shown that even United States of America with all its military might had to involve community or tribal leaders in Iraq, Afghanistan, Pakistan, Libya, and now Syria in the fight against terrorism and insurgency. Furthermore, the need to involve traditional institutions in managing terrorism and insurgency within the African societal settings is necessitated lack of adequate modern surveillance technologies such as close circuit cameras as obtained in many developed countries such as the Britain that can help in monitoring the activities of the people in the communities.

Consequently, it is the position of the article that, the difficulties faced by security agencies in overcoming Boko Haram insurgents and other security challenges in Nigeria, makes it imperative to re-examine the idea of the formal reintegration of traditional institutions with the contemporary security agencies. Doing so will enable the two institutions achieve a synergy that will facilitate effective management of security problems especially those relating to terrorism and insurgency. In this regard, creating a modality such as the restructuring of the traditional institutions administrative to allow the ward heads communicate intelligence information to contemporary security agencies directly without adhering to the rigid hierarchal procedure will help.

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Polemics of the Islamic Caliphate: A View From Ali Abd. Al-Raziq

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Abstract

While many Muslim sects are in agreement of the necessity of the Islamic Caliphate or Khilafah, modelled upon the ideal caliphate of the Prophet and the four rightly-guided caliphs, its necessity is sometimes completely denied. A very controversial view is that advanced by the Egyptian, Ali Abd. al-Raziq (1888-1966) in his treatise al-Islam wa Usul al-Hukm (Islam and the Principles of Government) published in 1925. This paper reviews the argument forwarded by Ali Abd. al-Raziq on the necessity of the Islamic Caliphate using a secondary data analysis and published materials written by scholars on this issue. It is found that the nature and some fundamental principles of the khilafah arose very early in Islam and has continued to provoke discussion into the modern world. Amongst Ali Abd. al-Raziq's views were the claim that caliphate has no basis, whether in the Qur'an, the traditions or the consensus (ijmac) and the assertion of separation between religion and political power. His view, which remarks violent controversy in the modern Muslim world, is discussed throughout this paper.

Keywords: *Islamic caliphate; Ali Abd. al-Raziq; Sunni; Shi'i; Islamic civilization.*

1. Introduction

The issue of the caliphate has become one of the major problems in Islam since the death of the Prophet and later during the reigns of Umayyad, Abbasid, Ottoman and the abolition of the Ottoman dynasty. Ever since that time, Muslim and non-Muslim western scholars have analysed the concept of the caliphate and the consequences of its abolition. According to some historical sources, the caliphate issue affected the Muslim community in terms of Islamic faith, the institution of Islamic State and the formation of religious and political authority. The existence of various Muslim sects is a result of the different views on this matter (Adam, 2014).

During the reign of the first four rightly-guided caliphs (11/632-40/661), however, appointment of the caliphate had been solved by referring to the three main sources, which are the Qur'an, *hadith* and consensus (*ijma'*). Subsequently, this matter became complicated during the Umayyad dynasty where the Shi'ite and other opposition sides also fought for the post. This situation was prolonged until the caliphate system was totally abolished during the Ottoman reign in Turkey. Since then, the caliphate system has ceased to exist in all Muslim countries. In support of this state of affairs, some Muslim modernists question the validity of the Islamic system of the caliphate after the death of the Prophet.

The most controversial view was held by the Egyptian, Ali Abd. al-Raziq. He took advantage of the abolition of the Ottoman caliphate in Turkey to launch a forceful attack on the entire traditional school of Islamic political thought. He contested the views of not only the orthodox *'ulama*, but also modernists like Rashid Rida. However, his writing, unlike some other scholars, did not incorporate much western thought.

The modernist Sunni attitude toward the question of the imamate has fluctuated. The need for an imamate according to religious teaching was sometimes completely denied, for example by Ali Abd. al-Raziq in his treatise "*al-Islam wa usul al-Hukm*". At the same time, others have advocated the restoration of a universal imamate modelled upon the ideal caliphate of the four rightly guided caliphs (Madelung, 1971).

2. Literature Review

2.1 The Necessity of the Caliphate in Muslim Civilization

The discussion on the issue of the caliphate among Muslims is twofold: some are in agreement of its necessity whereas some are in deep-seated differences of opinion regarding the need for a caliph. Although its necessity has been unanimously accepted, there has been a debate about the possibility of having more than one caliph. According to the history of Islamic caliphate, its importance has been proved by the establishment of the Prophet's caliphate, the four rightly-guided caliphs, the Umayyads, the Abbasids and the Ottomans. However, the office of the caliphate does not own an absolute authority but acts as representative of the people (Ab. Majid, 2002).

Looking back to the day after the death of the Prophet, the election of a leader was seen essential in order to preserve the religion and administer the affairs of the Muslim community. Although that particular moment was regarded as the turning point for Muslim disunity and sectarian, the Sunni and the Shi'ite who were considered two main sects of Muslim community insisted that it is necessary to have a leader or *khalifah* for the earlier mentioned purpose. The former believed that the maintenance of the caliphate, as widely accepted by al-Mawardi (364/974-450/1058), al-Ghazali (450/1058-505/1111), Ibn Taymiyyah (661/1263-728-1328) and Ibn Khaldun (732/1332), is a social task and permanently obligatory on the community as established by the *shari'ah* (revelation) (Sachedina, 1995). Further emphasis of the importance to have a caliph as a means of avoiding sedition in society was supported by Imam Ahmad b. Hanbal (d. 241/855) (Ahmed, 1973). The right of the caliph was unanimously accepted to be given to Abu Bakar and succeeded by Umar and Uthman before the appointment of Ali as the fourth caliph.

The latter, on the hands, asserted its necessity by divine decree in order to maintain social justice and order (Al-Tusi, 1974). Moreover, the Shi'is differently presented their political doctrine which is based on the recognition of Ali as the legitimate imam after the death of the Prophet. This doctrine is believed to establish a hereditary right among the descendants of Ali (Abd al-Nazir, 1983). Thus it is resulted from this disagreement that later Muslim scholars including Ali Abd al-Raziq, form their understanding and principle of the necessity of the caliphate in the modern Muslim society.

3. Materials and Method

The writing of this article, which highlighted the view of Ali Abd Raziq on the necessity of caliphate system in the Muslim worlds, is based on content analysis of documents and materials mostly derived from secondary sources, published articles and books related to the subject. In this approach, in-depth analysis on the necessity of the caliphate from several Muslim sects and scholars are brought forward. Then the analysis on this issue discusses some important differences and argument controversially forwarded by Ali Abd al-Raziq.

4. Results and Discussions

4.1 Ali Abd al-Raziq: A Brief Biography

Ali Abd. al-Raziq (1988-1966), who came from a member of a famous and farmowning family, was born in Upper Egypt.

112 His father Hassan Abdel Raziq was among the founders of the Umma Party in 1907. His brother Mustafa Abdul Raziq
113 was a well known philosopher and studied at Al-Azhar University under the famous reformer Muhammmad Abduh. Ali
114 Abd. al-Raziq was an Egyptian shari'ah (divine law) judge and an early modernist with controversial thoughts (Boucek,
115 2012). He obtained degree from al-Azhar and Oxford universities. *Al-Islam wa Usul al-Hukm Bath fi al-Khilafah wa al-*
116 *Hukumah fi al-Islam* (Islam and the Bases of Political Authority: A Study of the Caliphate and Government in Islam) and
117 Introduction to the History of Islamic Philosophy are considered his major works. The former, which was published in
118 Cairo in 1925 presented a challenge to legitimacy of Islam and generated violent controversy throughout the Muslim
119 world. He was later expelled from his position as a shari'ah judge by the Egyptian Higher Council of 'Ulama following the
120 popular debate around his book.
121   Abd al-Raziq's work concurrently published with two main historical occurences in the world namely the abolition of
122 the caliphate by the Turkish government of Mustafa Kemal Ataturk in 1924 and the World War I. In terms of his political
123 affilliation, Abd al-Raziq was closely associated with the Liberal Constitutional Party which succeeded the People's Party.
124 He was regarded as the intellectual father of secularism with the assertion of the separation between state and religion
125 (Black, 2001).
126
127 *4.2   Caliphate from the View of Ali Abd. al-Raziq*
128
129 Ali Abd al-Raziq is mainly concerned with the role and nature of the caliphate in Muslim society. The central argument of
130 his view is that the caliphate had no basis either in the Qur'an or the Traditions or the consensus (*ijma'*). To prove this
131 argument, he dealt in detail with the major pieces of evidence, which are normally drawn from these three sources to
132 establish the obligatory of the caliphate. He argued that the Qur'an nowhere makes any mention of the caliphate in the
133 specific sense of the political institution known in history (Abd al-Raziq, 1983). Therefore, anything that is not specified in
134 the Qur'an should not be accepted, and this must be applied to the caliphate. In support of this state of affairs, Abd al-
135 Raziq quoted one Qur'anic verse:
136
137   *"We have neglected nothing in the Book" (6:38)*
138
139   Furthermore, he argued that all the verses, which are commonly supposed to sanction the caliphate, in fact, do
140 nothing of the sort, but they act to enjoin the Muslim to obey God, the Prophet and the Holders of authority (Enayat,
141 1982).
142   Moreover, he denies the relevant *hadith* which the Sunni claim to be the evidence of the obligatoriness of the
143 caliphate, such as the *hadith*: "*The imams (should be) from the Quraysh*" or "*He who dies and has no obligation of*
144 *allegiance (to the imam) dies the death of ignorance*". He argues that although these *hadiths* are assumed authentic, they
145 do not stand as proof that the caliphate is a religious doctrine. In other words, even if the *hadith* is really referring to the
146 caliph when it talks of 'the *imam*', this does not imply that there must always be a caliph (Hourani, 1983).
147   In addition, he also rejected consensus (*ijma'*) as the proof of the caliphate. Except for those first four rightly-guided
148 caliphs, others were not established on the basis of consensus, but rather by force and had always been maintained by
149 oppression (Abd. Al-Raziq, 1966). He also argued that the consensus had never been used in installing the caliphs
150 except in the case of the first four. If there was any consensus serving as the legitimiser of the caliphate in history, it has
151 been of the kind that the Muslim jurists refer to as 'the consensus of silence' (*ijma' sukuti*) (Enayat, 1982). The principles
152 of caliphate in the Muslim society must be based on the election (appointment) of *ahl al-hill wa al-'iqd* (the learned and
153 learned people) but according to Abd al-Raziq's theory, the Islamic caliphate was not based on this foundation except by
154 the method of force. In order to prove this argument, he referred to the caliphate of Abu Bakr, which according to his
155 analysis was formed on the basis of force and achieved by the use of sword. Furthermore, he regarded the caliphate of
156 Abu Bakr as the beginning of the kingship system in the Islamic government.
157   The theory of Ali Abd al-Raziq caused a sensation in traditional Muslim circles because it laid down a doctrinal
158 basis for the separation of the temporal and the spiritual, and suggested that the government of the Prophet of Medina
159 was not dependent on the prophetic mission (Sourdel, 1978). The Prophetic mission was based on the religious mission,
160 which was achieved through the prophetic mission, not through other ways. Once the Prophet died, it meant the end of
161 the caliphate and no individual existed that could replace his role as the religious leader, as there would not be anyone
162 who could replace his prophecy.
163
164
165

5. Conclusion

The discussion of the modern perceptions relating to the concept of caliphate, which concerns the formation and establishment of an Islamic state, has produced several interesting conclusions. Firstly and perhaps the most fundamental principle is the necessity to establish the office of the caliphate in the community. This principle is accepted by the majority of Muslim sects. Nevertheless, Ali Abd al-Raziq has interpreted in a very controversial argument as discussed in this paper. Secondly, the obligation of the Islamic caliphate has been endorsed by several sources such as the Islamic law, divine decree and the hadiths of the Prophet. According to Muslim belief, these sources constitute the strongest guarantee of the continuation and propagation of the Islamic caliphate. Finally, the spirit of Islamic revivalism and reformation, and the awareness of the reinstitution of the caliphate based on the *shari'ah* prove that Muslims have never abandoned or forgotten this essential idea. Despite all the misunderstanding and argument associated with the concept, as laid down by Ali Abd al-Raziq, it is a fundamental requirement of Islamic teaching that every Muslim community should maintain a form of caliphate. The matter of the caliphate will probably remain an inexhaustible source of discussion, argument and even controversy.

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Ethical Principles of Journalism:
Content Analysis of the Covers of Most Read Daily Newspaper in Croatia

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Abstract

The subject of this research is the ethical dimension of the print media. In an effort to attract as many readers, editors of daily newspapers often use any means available. We are witnessing the phenomenon of sensationalism, distortion, manipulation. Such deviations in journalism distort perception and leave no space for critical and independent judgment of the surrounding society. The main aim of the research is to determine the ethical controversies on the front pages of the most read daily newspapers – Večernji list, Jutarnji list and 24sata. 1053 headlines from the mentioned newspapers were analyzed using both qualitative and quantitative analysis. The survey included the following categories: false reporting, unbalanced reporting, unbiased reporting, absence of social responsibility of the media, manipulation of the readers, news selection, violation of rights to privacy, violation of the criteria of decency, obscenity and bad taste. The research results confirmed that the analyzed newspaper covers violate ethical and professional principles of journalism. Slightly more than 5% of the headlines published on the front pages of all these newspapers contained information whose truthfulness was questionable. Most biased headlines were published by 24sata. The same newspaper published most irrelevant and useless information. Bad news prevailed in more than 50% headlines of the analyzed newspapers. Most headlines which violate the right to privacy, as well as the headlines that do not comply with the criteria of good taste and decency were published by 24sata. The survey shows that there are significant differences in the quantity, type and severity of ethical controversy between Jutarnji list, Večernji list and 24 sata.

Keywords: *ethics of journalism, ethical controversies, daily newspapers, headlines*

1. Introduction

The time we live in is marked by the widespread lack of ethics which has unfortunately infected the media, and the press. Ethical dimension of the print media is the subject of this study. In an effort to attract as many readers, editors of daily newspapers often use any means. So the headlines of the daily newspapers are often full of sensationalism, trivial news, scandals, crime, obscenity, etc. In this way, editors, attracting readers, disregard professional and ethical principles of journalism. These contents of front pages are indicator of negative trends in journalism, which significantly affects the decline of the credibility of newspaper as a medium, and thus causes long-term damage to the company. The main role of newspaper as a medium, to inform in an objective and balanced manner is neglected.

The media owners, editors and market laws affect the credibility of the media and incite the increasing violation of professional and ethical standards of journalism. We are witnessing the phenomenon of sensationalism, intentional or accidental distortion, excessive thematization of crime, tabloidization and manipulating the readers. These deviations in journalism distort perception and leave no space for an independent, critical and free judgment of society and he world around us.

Truthfulness, fairness, accuracy, balance and neutrality are professional standards without which there is no quality journalism, and without ethics there is no quality or professional journalism. An indispensable concept in discussions on the ethics of journalism is social responsibility of journalists, which implies that a journalist needs to serve responsibly to the individual and to society as a whole. In addition to the responsibility of journalists, discussions on responsibility of the recipient of media content are more frequently. Are the recipients just passive "victims" or should they through their own engagement contribute to better journalism. How can the relations and rules in journalistic profession be regulated more effectively? One possible way is quality legislation, but despite the laws, regulations and codes of

ethics, which by their rules seek to regulate the ethical dimension of journalism, we are witnessing a violation of professional rules and ethical principles. As the best way of regulating the profession, media theorists frequently point out self-regulation.

The main goal of this research is, based on the analysis of the covers of the most read daily newspapers in Croatia, to prove that the content of covers deviates from ethics and professional standards of journalism. The aim is to indicate ethical controversy on the front pages of the most read daily newspapers. Our goals were to point out the fact that the editors of covers do not care about the standards of truthful, fair, impartially and balanced reporting; to point out the fact that, while selecting the content of covers, the editors neglect the importance of information and usefulness for the society; to point out the fact that the front page is dominated by bad content, which means that, for editors, bad news is good news for editors; and to point out the fact that the content of covers violate the criteria of decency, good taste and privacy.

To simplify, in this research we want to synthesize historically current, but also more recent theoretical premises of Croatian and other international media experts who write on media ethics and to conduct the analysis(qualitative and quantitative analysis of headlines- in which we found some of the ethical controversies) of national newspaper covers in Croatia. The unit of analysis is the individual headline in most read daily newspapers in Croatia – *Večernji list*, *Jutarnji list* and *24sata*, on a sample of three months. By "headline" we mean headline, banner headline, sub-headline and accompanying photo. Based on the results obtained in this research we can recognize the current (lack of) ethics which dominate Croatian media scene. The contribution of this research can generally be useful to the scientific community that deals with media research and to numerous employees of media companies in review of their own professionalism.

1.1 The role of headlines

Newspaper, as the oldest mass medium, survived the appearance of radio, television and interactive media, and other media which still largely influence the attitudes and beliefs of readers. McLuhan (according to Zgrabljić-Rotar, 2007:78) says that people do not read newspapers but rather that they immerse themselves in them as in the hot bath. Front pages of print media really invite people to "dive into that hot bath". To encourage the reading, headlines should be provocative, says Silić (according to Petriševac, 2009: 37) and writes that therefore "the words used in headlines are strong and convincing, they are paraphrases of proverbs and sayings, the proverbs and sayings themselves (close and understandable to the readers' experience), irony, contrast, paradox and similar figures, dialectal or local words and phrases, jargon, different puns – everything which impacts the feelings and therefore induces the interest of the reader."

Creators of media content and thus of the headlines, are great connoisseurs of man, the anthropological and psychological tendencies of mankind; they know how to formulate the headlines to attract readers. By this we mean first of all the well-known tendency of man to be destructive, as well as the fact that sensationalism and trivia preoccupy human perception stronger than positive content or content whose understanding requires certain intellectual effort.

Ivas (2004: 25) argues that "a bad text with a good headline is more likely to be read than a good text with a bad headline". If we agree with Ivas's statement that "a bad text with a good headline is more likely to be read then a good text with a bad headline" we can conclude two things. First of all, it is very easy to work on attracting human attention, i.e. inducing emotions. Secondly, the content or quality is less important to the readers. We can conclude that "emotional moment" is beyond the rational. Therefore, in shaping the headlines and in effort to sell their newspapers, the creators of the front pages should bear in the professional and ethic principles of journalism, which are based on reason rather than on emotions.

1.2 Professional standards of journalistic reporting

Every human activity, if it wants to be in the service of common good, must be based on professional and ethical standards. These standards are so important that they are often prescribed by legislation, because in their desire for a speedy material gain, people tend to ignore the ethical and professional rules of their profession. Journalism, which influences the broad masses of people (affects their views, opinions, perceptions, emotions, etc.) should be an activity whose imperative is the concern for the common good, through professional principles.

In 1954*, The International Federation of Journalists* adopted a declaration which prescribes the rules of professional decency:

Respecting the truth and the public right to the truth is the first obligation of journalists. A journalist, in recognition of this commitment, defends the principles of freedom and the right to comment and critique, while finding and reproducing the news properly. A journalist reports only the facts obtained from a trustworthy source, he does not suppress important

111 information and he does not falsify material. He only uses fair methods to find information, photos and other materials. In
112 case he accidentally publishes news which later prove to be wrong, he will correct it (according to Kunzik, Zipfel, 1998:
113 83-84).

114   Although it has been more than sixty years since the Declaration was adopted, these published rules are still
115 universal and actual. Why is the principle of truthfulness important? To answer this question we can start from the
116 personal level, the journalists themselves. If a journalist, in his work, violates the principle of truthfulness consciously, he
117 endangers his own internal journalistic freedom, and therefore his journalistic creativity, two important preconditions of
118 being a good journalist. In addition, by disrespecting the principle of truthfulness, in long term the journalist harms the
119 press company he works for, despite the current material welfare achieved by such journalism. However, most of all, he
120 harms the readers, because the journalism which intentionally violates the principle of truthfulness can cause negative
121 emotions, form false attitudes, create harmful social divisions, ideological blindness and distrust towards the media in
122 general. In this way, a journalist may harm his colleagues too, because people tend to create stereotypes, so we can
123 often hear that "the newspapers lie".

124   Elisabeth Noelle-Neumann and Winifred Schultz (according to Kunzik, Zipfel, 1998:85) include the awareness of
125 responsibilities, the protection of internal and external independence, commitment to human rights, tolerance towards the
126 other and different, respect for the truth, keeping professional secrets, respect for privacy, avoiding discriminatory
127 criticism, violence and immorality, and the level of education of journalist that corresponds to the level of his
128 responsibility, in the basic professional standards of journalism, Integrity is also one of the important professional
129 standards. Integrity is a category introduced in journalism by Bennet (according to Malović, 1997: 158-159). For Bennet,
130 the notion of integrity means that a journalist should collect as much information as possible, trying to show all sides
131 equally, with their commentaries and interpretations, while integrity points more to the good intentions of a journalist
132 rather than to the objectivity.

133   The time we live in can be characterized as a time of pluralism of opinions, ideas, points of view, political and
134 ideological divisions, as well as a time of democracy and personal freedom, which is why it is especially important to
135 respect the principles of journalistic integrity. In the multitude of conflicted opinions, it is necessary to give everyone a
136 chance to express their own views, so the readers, viewers and listeners could have the possibility to rationally evaluate
137 the media content. It is quite understandable that in their private lives journalists can be ideologically and politically
138 allocated, and that they can have their own points of view, but it certainly should not be seen in their professional work.
139 By expressing preference or taking sides, the reporter could suggestively affect the audience, leaving no space for
140 freedom, necessary for forming their own views, opinions, beliefs and orientations. For those who are able to recognize
141 when a journalist is bias, it can cause negative emotions and distrust towards journalists and journalism as such, because
142 the task of a journalist is not to impose their own opinions, but to present an impartial journalistic piece of work.
143 Therefore, we can equate the disrespect for the principle of impartiality with the disrespect for readers. In this way, in the
144 end everyone loses: a journalist and the company which he works for both lose their credibility, and the audience loses
145 the right to impartial information, which is a precondition for freedom to form own beliefs. Explaining media partiality,
146 Street (2003:16) in his book *Mass media, politics and democracy* highlights the image distortion and the corruption of the
147 world democratic process as a fundamental problem of media partiality: "If the media promote some interests
148 systematically and inform citizens incorrectly, the democratic process will not work effectively. When faced with
149 favoritism, media critics express their fear that a misrepresentation or preference of one side has important
150 consequences for the way people think about themselves, the way others think of us, the outcome of the political process
151 and the democratic practice."

152   We are witnessing a phenomenon where journalists, guided by ideological preference, often unwisely, but often
153 also intentionally, confuse opinions with comments and facts. Although we must admit that it is difficult to be completely
154 objective and impartial, journalists in their own journalistic work are not allowed to express outburst of emotions or
155 ideological, political or any other preference.

156   "Mass media have the power of persuasion, and they are able to expand their own interpretations of reality" claim
157 Kunzik and Zipfel (1998: 53, 57) and conclude that "it is only when an individual receives sufficient information on the
158 decisive questions and decisions, that he or she is able to participate responsibly in the creation of public will."

159   We live in a time of fierce competition between press companies.

160   In a struggle for survival on the market, the editors often violate the basic principles of professional journalism,
161 giving priority to the news with the highest public interest. Therefore, more and more attention is given to sensationalism,
162 disasters, gossip, scandals, crimes, etc. The important question is whether it is even possible for press companies to
163 have balanced journalistic reporting and to survive on the market.

164

165 **1.3 Ethics in Journalism**

167 Any human activity requires certain rules of behaving and acting. Journalism is not an exception. If we start from the
168 assumption that a man is inclined to violate the rules and regulations in all areas of his activity and to misuse his own
169 freedom, it should be said that the human action through the media is not an exception to such occurrences. The media
170 create our reality and have the possibility to strongly influence on people. Therefore, the ethical principles should be at
171 the top of the priority list of the journalistic profession.

172 According to Hanson[1]: «Media ethics draw on a range of philosophical principles, including basic Judeo-Christian
173 values, Aristotle's ideas about virtue and balanced behaviors (the golden mean), Kant's categorical imperative, Mill's
174 principle of utility, Rawls's veil of ignorance, and the Hutchins Commission's social-responsibility ethics».

175 Frankena (1998: 3, 34, 35) defines ethics as a "philosophical reflection on morality, moral problems and moral
176 judgment" and talks about the two main principles of morality. These principles include the principle of welfare or utility
177 and the principle of justice. These two principles tell us how to increase the total amount of good in the world and how to
178 determine what is right in certain circumstances, as opposed to what is wrong. Pope Wojtyla (1998: 19-20) in *The*
179 *Foundations of Ethics*, writes that ethics as a discipline approaches the moral life in a normative manner. This means that
180 ethics determines the norms, judges what is evil and what is good, and explains and demonstrates why it is so. The
181 definitions of ethics includes always the notion of morality and moral principles. Bertrand (2007:26) says that the morality
182 is the intimate ethics of each individual, their sense of duty, based on personal point of view and life experience.

183 The notion of ethics is also connected with the notion of responsibility. The ethics of responsibility, as Max Weber
184 writes (according to Vilović, 2004: 10) "dictates of a man to be aware of the consequences of their moral views and acts."
185 Kunzik and Zipfel (1998: 79) believe that journalists follow the ethics of persuasion, and that they refuse to take
186 responsibility for the consequences of their own actions, but the writers point out that, at the same time, it remains
187 unclear what it means to take responsibility.

188 Aristotle (according to Frankena, 1998: 56) believes that the individual is responsible for his act only if "the cause
189 of the act is internal, i.e. if the act is not forced by somebody or something external upon the individual, and if his action is
190 not the result of ignorance which is not a consequence of his earlier choices."

191 According to Bertrand (2007:10) the ethics of the media does not belong to the domain of law, or the domain of
192 morality in the narrow sense, but it is this that media should perform an important social function. Explaining the ethics of
193 journalism, Patterson and Wilkins (according to Vilović, 2004: 15) introduce the concept of ethical discernment. Elements
194 of ethical discernment are: respect of the dignity of person we write about, treating others the way you would like others
195 to treat you, prediction of adequate data on important subjects, accuracy, resistance to arrive equally to all sources,
196 fairness towards all sources and reporting appropriate and fair about all segments of society. Unfortunately, although the
197 issue of media ethics at the formal level has been settled in laws, rules and codes, the implementation is absent in
198 practice. One may wonder why is this so? Despite all possible pressures on journalists by editors, owners, political and
199 ideological groups, etc., it should be noted that the causes of the lack of ethics should be sought on a personal level of
200 journalist. Above all, we think of problematic, i.e. conformist attitude of journalists towards the truth, justice and human in
201 general.

202 According to Stephen J.A. Ward[2] the aims of journalism ethics are: «understanding - deepen our understanding of
203 journalism's ethical functions and its principles; ethical reasoning- improve the ethical reasoning of journalists, reforming -
204 re-define existing standards and construct new ones; promoting - promote ethical behavior and decision-making in news
205 media and discussion - promote public discussion of journalism ethics.

207 **1.4 Social responsibility**

209 The media have become one of the most important factors of socialization. The authors which call the media "the fourth
210 estate" or "the fourth power" speak about the power of media. Because of its important social role and because of its
211 large influence on public opinion and social processes, social responsibility of the media is one of the key concepts in the
212 discussion on ethics of journalism.

213 Declaration of UNESCO *International Principles of Professional Ethics in Journalism* (according to Malović, 2007:

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[1] *Hanson, E. Ralph., (2014), Chapter 14. Media Ethics: Thruthfulness; Fairness, and Standards of Decency. [Online] Available: http://www.cqpress.com/docs/college/Hanson%204e%20Mass%20Com%20CH%2014.pdf (May 10, 2015)*

[2] *Ward, Stephen, J.A., (2015), Global media Ethics. University of Wisconsin: Center for Journalism Ethics. [Online] Available: https://ethics.journalism.wisc.edu/resources/global-media-ethics/(May 10, 2015)*

214 77) specify the social responsibility of media: "In journalism, information is understood as a social good, and not as a
215 commodity, which means that the journalist has a responsibility for the transmitted information, and therefore he is
216 responsible not only towards those who control media, but finally, towards broad public, including various social interests.
217 Journalist's social responsibility requires that he acts, under all circumstances, in accordance with his personal
218 conscience.
219   Besides the social responsibility of the media and journalists, in recent times we can listen frequently about social
220 responsibility of the recipient of media content. Are the readers, viewers and listeners (and can they be) responsible for
221 the negative trends in contemporary journalism? Should they be considered only as "victims" of the media or as active
222 participants in media communication process? When talking about the responsibility of the recipients of media content, it
223 should be noted that it is not possible to consider all the recipients as responsible. Because of the lack of experience,
224 education and cognitive abilities, a large number of recipients is not able to recognize the lack of professionalism in the
225 media. Therefore, they are justified of responsibility because of ignorance. On the other hand, those who can be held
226 responsible (educated, politically and social engaged, academic and religious communities, civil organizations) should
227 contribute to better journalism by their engagement, constructive criticism, appeals and warnings.
228   Journalism is a specific activity, so there is a question can it be regulated like other professions? If we try to answer
229 this question, we can say that, although the media is regulated by laws, codes and recently, by self-regulation, there is
230 always a tendency of journalist, editors and owners to look for ways to trick or bypassed all of the above to achieve their
231 own objectives, material or ideological. Because of this tendency, the care about the respect of the laws and ethical
232 principles in journalism should be a constant concern of legislative, executive and juridical authority as well as the general
233 public.
234   On the website[3] of Wisconsin University's Center for Yournalism Ethics, Stephen J.A. Ward speaks about the
235 notion of global media ethics. Author cites two reasons for introduction of global media ethics: « practical – a non-global
236 ethic is no longer able to adequately address the new problems that face global journalism, and ethical – new global
237 responsibilities come with global impact and reach.»
238
239 *1.5   Ethical controversies in contemporary journalism*
240
241 Media content are frequently such that it can be said that there is degenerate humanity devoid of all moral, esthetic and
242 other positive human qualities, behind them. The impact of such content on a man is very difficult to consider critically,
243 especially the impact on the psychological component, because of the human nature which is a mystery despite
244 enormous human knowledge in this field. Realizing the right to information requires should always be in due time,
245 accurately and impartially, and in respect for the moral and positive laws, and in the end, in respect for the human dignity
246 in finding news as well as in their spread. Anyone who takes a critical look back on the front pages of the daily newspaper
247 that "scream" by sensation, evil, bizarre and trivialities, will know that the contemporary media are far away from these
248 principles. To inform, to entertain, to educate – these would first come to mind when one would be asked to name the
249 three basic functions of the media. However, the content of contemporary media lately serves only to entertain, to shock,
250 to entice – and the basic functions seem to have reduced to this. We are witnessing a drastic decline of the credibility of
251 media. Regardless of all difficulties that journalists experience every day in their work, there should not be justification for
252 unethical journalism, because of its crucial importance for the society as a whole. If journalism as such does not
253 contribute to the common good, that is to a human, it is a bad journalism that needs to be recognized and sanctioned. It is
254 important to not proclaim journalists as "evil" persons, but to talk about their work critically, for their own good, for the
255 good of their profession and the society.
256
257 *1.6   The market: imperative and risk*
258
259 When we talk about the mass media, especially the print media, we can't and must not ignore the commercial side which
260 enables the existence to the people in the journalistic profession. It is quite clear that the newspapers are printed to be
261 sold. Like most other products, the newspapers have become the product exposed to the merciless market battle, which
262 marks the era we live in. However, it must be wondered whether the newspaper is the commodity like any other? Should
263 the media market set different criteria, criteria which would include ethical dimension? Commercialization is the constant

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[3] *Ward, Stephen, J.A., (2015), Nature of Journalism Ethics.//Research ethics/. Center for Journalism Ethics School of Journalism & Mass Communication: University of Wisconsin – Madison. [Online] Available:http://www.journalismethics.info/research_ethics/nature_of_ journalism_ethics.htm (May 10, 2015)*

264   threat to journalism. To survive on the market, the journalism must harmonize the market value and the service to the
265   common good. Unfortunately, we are witnessing the fact that in a bid to survive on the market there is no ethical
266   dimension, and thereby, the fundamental task of the media – truthful, accurate, impartial and balanced informing – is
267   threatened.
268   Bauer (2007: 117) warns that market mechanisms are changing journalism from a system of social cooperation
269   into routine of production the artifacts to saturate the market needs. König, the president of European Federation of
270   Journalists (according to Vilović, 2011: 82), claims that the crisis of journalism is a crisis of profit, because the media
271   owners want profits. Bertrand (2007: 8) also blames media entrepreneurs and says that, to them, the information is
272   material by which they exploit consumers, and try to maintain the established order which is profitable to them.
273   The process of globalization has brought different trends in a small country like ours, and one of these trends is
274   tabloidization. We can say that the tabloidization process has found the fertile ground in Croatia. The transition from the
275   one-party system, in which the media were controlled by the government, to the multi-party system, in which the freedom
276   of media is almost absolute, had negative impacts on contemporary journalism. Vilović (2004:35) sees the tabloidization
277   in Croatia as a result of poverty and low level of education. While this is partly true, we would not be able to completely
278   agree with this statement. If the two mentioned conditions are preconditions for appearance of tabloidization, then the
279   Western countries, whose level of education is much higher than ours and material wealth is incomparable whit ours,
280   would be excluded from this phenomenon. We are witnessing that the tabloidization has appeared on the West, where it
281   is much developed than in our society. Perhaps we should search for the causes in the fact that our society is obsessed
282   with Western culture and in the fact that our society has an aspiration to be the West. Also, we can search for causes in
283   public fascination for powerful, rich, famous and successful people. Besides tabloidization, we can mention the media
284   manipulation as the other negative phenomenon in contemporary journalism. Although the media manipulation has a long
285   history, today it is brought to the perfection and this is the greatest danger. As in all social relationships which may cause
286   the damage for the individual as well as for the society, in the relationship between the media and the recipients of media
287   content, there is often a distortion of reality, or hiding the truth consciously or unconsciously. Noelle-Neumann
288   emphasizes (according to Labaš, Grmuša, 2011: 98-99) that "manipulation exist when trying to influence people without
289   their knowledge, with studied knowledge about how to control their will. If this succeed to induce the acceptance of the
290   attitudes and actions which would not be accepted by their own will, recipients becomes unfree object of manipulation.
291   In their strategies of manipulation, the media misuse human weaknesses and imperfections or the man's tendency
292   to accept media content "for granted", without criticism and without the use of the rational component. In doing so, the
293   media want to provoke an emotional response, both positive and negative. If they succeed to attract man's emotional
294   level, they get him for "their own thing", since it is known in the psychology that the emotions initiate the action and distort
295   the perception. The media manipulation is not an innocent phenomenon. It is not only harmful for an individual, but it is
296   capable to cause serious consequences for the whole society.

297

298   *1.7   Most read daily newspapers in Croatia*

299

300   According to the Croatian Chamber of Economy, the most read daily newspapers in Croatia are: *24sata*, *Jutarnji list* and
301   *Večernji list*.

302

303   **Table 1.** Edition of the most read daily newspapers in Croatia (source: Croatian Chamber of Economy)

304

Publisher	Publication	Edition in 2011	Edition in 2012	Edition in 2013
EPH Media ltd.	JUTARNJI LIST	63.901	58.348	50.582
Večernji list ltd.	VEČERNJI LIST	71.658	62.494	52.627
24sata ltd.	24 SATA	145.440	125.194	108.354

305

306   Most read daily newspaper, *24sata*, is published by 24sata Ltd., a company which is wholly-owned by Austrian Styria.
307   The first edition was printed in 2005.
308   *Večernji list* is almost wholly owned by Austrian Styria. This newspaper was first published in 1959.
309   *Jutarnji list* exist since 1998, and it is owned by Europe Press Holding and German's WAZ (*Westdeutsche*
310   *Allgemeine Zeitung*).

311

312

313

2. Methods and Research Objectives

The subject of this research is to analyze the ethical controversy on daily newspapers' front pages. We will explore the number, types and trends of ethical contradictions in headlines. In the study, we will use the method of content analysis. We will analyze the content on front pages of must read daily newspapers in Croatia: *Večernji list*, *24sata* and *Jutarnji list*. In the selection of the daily newspapers, the only criterion was the edition. The fact that these newspapers are the most read indicates that they have the greatest impact on an individual and on the society. The unit of analysis is the individual headline. Under the notion of headline, we mean headline, banner headline, sub-headline and accompanying photo of above mentioned daily newspapers. We will analyze the front pages on a sample of three months, which are March, April and May 2014. It means that the research includes a sample of 259 editions (85 of *Večernji list*, 89 of *Jutarnji list*, and 85 of *24sata*).

The objectives of this paper are:
- to point out the fact that the editors of front pages do not take care about the standard of truthful, fair, impartial and balanced reporting;
- to point out the fact that the editors of front pages, while selecting the content of front pages, neglect the criterion of importance and usefulness of information for the society;
- to point out the fact that the bad content prevail on the front pages – a bad news is a good news for the editors
- to point out the fact that the contents of the front pages violate the criteria of decency, good taste and privacy.

3. The Results of Research and Discussion

For the purposes of this research we analyzed 1053 headlines (424 from *Jutarnji list*, 467 from *Večernji list* and 162 from *24sata*). Considering to the first mentioned objective of the research, we focused on the following categories: false reporting, unbalanced reporting, impartial reporting and unfair reporting. By the analysis of front pages we find out that 60 headlines (of 1053 analyzed in total) could be considered controversial from the aspect of truth. The most controversial headlines according to this criterion are published by *Večernji list*, 26 in a total, *Jutarnji list* published 25 of those, and *24sata* 9.

Table 1. Ethical controversial headlines from the aspect of truth in particular daily newspapers

Daily newspaper	Jutarnji list	Večernji list	24sata
Total number of headlines	424	467	162
Ethical controversial headlines	25	26	9
SHARE	5,9 %	5,57 %	5,56 %

Although the obtained percentages of ethical controversial headlines are relatively low, they are certainly not negligible, primarily because of the fact that the principle of truthfulness is fundamental precondition of professionalism in journalism. The headline is a form which is memorable and suggestive, and therefore has a great impact on the recipients of the message. If the headline is untrue or partially true, it can influence on the recipient in such a way that he creates the wrong attitudes, beliefs and opinions based on the false information.

Next category we explored is unbalanced reporting. According to the previously mentioned concept of "balanced programming" from the American journalistic practice, which means that all topics in the media should get equal attention, regardless of their popularity or unpopularity, in this category we explored the prevalence of specific topics on the front pages. According to the perceived frequency of topics, we determined twelve categories: domestic politics, foreign policy, economy, judiciary, education, culture, health, religion, sports, show business and crime. All the other topics which are also recorded on the front pages, but in a negligible number, we classified under the category of "other". In analysis of front pages we received the following information: in the must read daily newspapers, the most frequent headlines are related to: issues of domestic policy at 28, 87%, crime at 9,69%, foreign policy at 9,21%, show business at 7,79%, sports at 7,31%, economy at 7,22%, judiciary at 4,08%, health at 3,89%, culture at 3,80%, religion at 3,42% and education at 2,18%. Topics classified in the category of "other" are represented with a share of 12,54% of headlines.

364   **Table 2.** Number of headlines according to the topics
365

Headline topic	Total number of headlines in all newspapers	Share
Domestic policy	304	28,87 %
Other	132	12,54 %
Crime	102	9,69 %
Foreign policy	97	9,21 %
Show business	82	7,79 %
Sports	77	7,31 %
Economy	76	7,22 %
Judiciary	43	4,08 %
Health	41	3,89 %
Culture	40	3,80 %
Religion	36	3,42 %
Education	23	2,18 %
Total	1 053	100 %

366
367   If we look at the proportion of headline according to the presence of topics in a daily newspapers, first thing we notice is
368   that crime section and show business prevail on the headlines of *24sata*, which indicates the characteristics of tabloid
369   newspapers, but we must ask the question, whether the crime section in general should take place on the front pages of
370   any daily newspaper, including the tabloids? Also, the troubling fact is that in *Večernji list* and *Jutarnji list* nearly all topics,
371   except the political ones, are represented with the proportion of less than 10%.
372   When analyzing the balance on newspaper front pages we didn't limit ourselves only to recount the representation
373   of certain topics, but also to the way in which these subjects are "offered" to readers. Headlines with political and crime
374   topics occupy the central position of the front pages and they are incomparably larger, more prominent and richer in
375   content than other headlines.
376   The following criteria we investigated is the criteria of impartiality. Impartiality means that the journalist may not
377   take sides, that is necessary in media reporting to clearly separate opinions from facts, and that the reporting should be
378   cool-headed, not emotional. By analyzing the headlines, it was quite difficult to determine headlines that violate the
379   principle of impartiality, primarily because it was necessary to approach the analysis of texts for more complete analysis
380   of impartiality. The headlines, because of their form do not provide a complete insight into the possible violation of the
381   above criteria, which does not mean that in the analysis we cannot come to some conclusions that point to a violation of
382   the principle of impartiality. Thus, from a total of 1053 analyzed headlines we have selected 227, or 21.56% of headlines
383   that we could define as biased. In these headlines, facts are not separate from opinions, headlines are emotionally
384   "colored", and people who are called in these headlines are not accessed in an impartial manner. *Večernji list* published a
385   smallest number of these headlines, 19 of them or 4.07%. *Jutarnji list* published 52 biased headlines which is 12.26%,
386   while the daily *24 sata* published 56 of such headlines or 34.57%.

387
388   **Table 3.** Headlines according to the criteria of impartiality
389

Daily newspapers	Jutarnji list	Večernji list	24sata
Total number of headlines	424	467	162
Biased headlines	52	19	56
Share	12,26 %	4,07 %	34,57 %

390
391   The concept of integrity is used in journalism instead of the concept of objectivity. When we speak of the principle of
392   integrity, we can say that it involves a true, balanced and unbiased reporting. So, journalistic reporting that is untrue,
393   unbalanced and impartial cannot be considered as a fair reporting. As we already handled mentioned categories in the
394   previous part of the research, in the following, we will focus on the credibility and objectivity. One of the ways in which we
395   can determine whether some newspapers are objective and credible is the source. Although insisting for specifying
396   sources on the front pages might seem like an exaggeration, we can say that the headline without mentioning the source
397   can cause completely different connotations. *Večernji List* has the most published sources of information on the front
398   pages. *Večernji List* published sources of information in 36.18% of headlines, percentage of publishing sources of
399   information in *Jutarnji list* is 29.95%, and the smallest number of sources of information was published by the newspaper
400   *24sata*, only 8.64%.

Table 4. Specifying sources

Daily newspapers	Jutarnji list	Večernji list	24sata
Total number of headlines	424	467	162
Share of headlines with sources	29,95 %	36,18 %	8,64 %

Although with the analysis of texts we would receive more reliable information on the labeling of sources of information, it should be noted that the data presented in Table are relatively satisfying (with the exception *24sata*) considering that we analyzed headlines. The headlines are not the most appropriate criterion for confirmation of the authenticity of some information. Also, not quoting sources in the headline does not mean that in the text to which the headline refers to, the source is not mentioned. However, the headline without stating the source can raise doubts of the readers, and those who do not read the text or read it only superficially may be misleaded.

Based on the so far presented results we can make a conclusion that the editors of front pages violate standards of truthful, impartial, balanced and fair reporting.

Second aim of the study is related to the compliance with the criteria of importance and usefulness of the information, and with the social responsibility of the media. Within this objective, we have defined two criteria: criteria of importance of the information and the criteria of social responsibility. Before we present the results of this research, it is important to emphasize that it was difficult to be completely objective in assessing the extent of the importance and usefulness of the information, because there are always information important to someone. However, regardless to that, we tried to be as objective as possible. The front page analysis with the criteria of usefulness of the information has shown that *Jutarnji list* published 134 headlines (31,60%) related to completely insignificant news or information, *Večernji list* published 148 headlines of such sort (31,69%), and *24 sata* 142 of them, respectively 87,65%. Front pages of *Jutarnji list* published 290 headlines informing on useful doings (68,40%), front pages of *Večernji list* published 319 of them (68,30%) and *24 sata* only 20 headlines of such sort (12,35%).

Table 5. Headlines based on the criteria of usefulness of information

Daily newspaper	Jutarnji list	Večernji list	24sata
Total of headlines	424	467	162
Useless information	134	148	142
SHARE	31,69 %	31,69 %	87,65 %

Fourth aim of the research is related to the selection of news. We are the witnesses of worrying phenomenon in contemporary journalism where more media space is being occupied by bad news. Such journalism contributes to the growth of social apathy because people get impression that there is no more goodness, truth, justice, love, etc. If we set a question on why media thematise mostly "black" news, on the first place we should put the desire for circulation, or earnings. In order to answer the third research question, we researched following categories: good news, bad news and neutral news. We analysed 1053 headlines of which 555 (53%) relate to the bad news, 100 headlines (9%) good news and 398 (38%) relate to the news that were not categorised as good or bad, which means they were neutral. If we analyse the headlines of each daily newspaper, the results are as follows: most headlines with bad news were published by *24sata* (55,56%), followed by *Večernji list* with 53,32% and *Jutarnji list* with 50,94%. Therefore, in these three daily newspapers more than 50% of bad news was published. If we take a look at the share of good news, the results are as follows: *Večernji list* published 12,63% of such headlines, *Jutarnji list* 8,02%, and *24 sata* only 4,32%.

Table 6. Headlines based on the criteria of good news – bad news

Daily newspapers	Jutarnji list	Večernji list	24sata
Total of headlines	424	467	162
Share of bad news	50,94 %	53,32 %	55,56 %

Besides from reporting on the principle that "bad news is good news" where we get the impression that everything is "black", this sort of reporting tries to manipulate the readers. The reason for such a reporting is the omnipresent hopelessness and fear in society. Each day, the readers are "bombarded" with the headlines of bad news, they get the impression that the bad prevails in the society, which can result in creation of irrational fears, especially with the

445　emotionally immature readers, first of all with the children.

446　　　　When proving the last aim of the research, we took in consideration the criteria of politeness, good taste and
447　protection of privacy. We determined two criteria for the research: bad taste including obscenity and violation of privacy.
448　424 analysed headlines from *Jutarnji list*(5,66%) can be characterised as headlines containing the elements of bad taste
449　and obscenity. *Večernji list* published 1,71% of them, *24 sata* alarming 50,61%. Violation of privacy was found at 28
450　headlines (7%) in *Jutarnji list*, 20 headlines (4%) in *Večernji list* and 37 (24%) in *24 sata.*

451
452　**Table 7.** Headlines based on the criteria of bad taste and obscenity
453

Daily newspapers	Jutarnji list	Večernji list	24sata
Total of headlines	424	467	162
Share of headlines containing elements of bad taste or obscenity	5,66	1,71 %	50,61 %

454
455　**Table 8.** Headlines based on the criteria of violation of privacy
456

Daily newspapers	Jutarnji list	Večernji list	24sata
Total of headlines	424	467	162
Share of headlines violating the privacy	7,00 %	4,00 %	24,00 %

457
458　**4.　Conclusion**
459

460　Headlines are the beginning of the communication between the newspapers and the reader. Based on the headline, we
461　often bring the decision whether we are going to buy newspapers and reach for the content. Although the headline is
462　often in discordance with the content, headlines affect our perception of content, especially if we have in mind that text is
463　often being treated superficially. We should not forget that there are disinterested and superficial readers which read only
464　headlines and form their beliefs and attitudes exclusively based on it. We can notice the tendency of headlines to be
465　longer and become real small texts. However, the most concerning is the lack of ethics and entitlement.
466　　　　Research on violation of ethic and professional standards of journalism at the example of analysis of three most
467　read daily newspapers in Croatia has confirmed that front page editors neglect the criteria of truthfulness, fairness,
468　impartiality and balance. The question is how is it possible? Who is responsible for such a paradox situation in
469　journalism? It would be wrong to blame only journalists, editor and the owners and to neglect the responsibility of readers.
470　On the one hand, editors "tail" headlines the readers are looking for, and on the other hand, readers get what is in
471　conformity with their expectations. This is how it creates a vicious circle of unethical journalism from which the exit is not
472　easy at all. Is the fact that "this is what people are looking for" and "it sells newspapers" sufficient to neglect ethic
473　principles and professional standards of journalism? It is evident that editors and journalist, regardless to the legal
474　regulations and ethical codes, do not realise the importance of respecting the ethical principles for the survival and
475　positive role of journalism in building and preserving social values. Sometimes, the problems are legal regulations which
476　are incomplete. In example, Article 7 of *Media law* regulating questions of privacy protection says that "the person who
477　attracts the attention of the public by with its statements, behaviour and other acts related to its personal and family life,
478　cannot demand the same level of protection as other citizens." Does this mean that such a person can be "stretched" in
479　media indefinitely, even when it can result in serious consequences? What happens with emotionally misbalanced
480　person? What about children? Legal provisions regulating the issue of media freedom should surely be more clear and
481　precise. However, both public and media are very sensitive when it comes to the freedom of media. Regardless to it,
482　some limitations must be set. Media freedom must not be absolute. The interest of public or the public good should be the
483　measure for this freedom. The need to improve legal provisions or stricter application of existing provisions appears here,
484　as well as the need for professional journalist regulation through the foundation of media councils. Self-regulation of
485　journalism should start with the awareness of journalist or editor. The readers should act the same way and they should
486　be raised for the media. In this respect, it would be necessary to undertake a broad social campaign which would include
487　schools, associations of civils, scholars and media themselves.
488　　　　If we try to give a reasonable response to the question how to be ethical journalist, we should say that an important
489　role is to be attributed to the legal regulations, self-regulations and ethical codes, but it is not enough. These elements
490　can be called the elements of external compulsion which should keep journalists within the frames of ethics. Meanwhile,
491　we consider that the journalists must enter to sort of interaction with himself and to reassess his attitude to his job, which
492　means his relation to man and society in general. It is very important not to forget the question: am I a good journalist?

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The Phenomenon of Arab Spring in the Middle East

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Abstract

The term Arab Spring or its Arabic term, al-Rabi' al-'Arabi is the revolution of demonstrations and protests of the people against the ruling Government. It was claimed to begin on December 18, 2010 in Sidi Bouzid, Tunisia. However, this outbreak also spreads to several other Western Asian countries such as Egypt, Libya, Yemen and Syria. As such, this article aims to analyze the phenomenon of Arab Spring happening in those countries. This article also aims to explore how the outbreak of the unrest occurred and identify the factors that led to the protests of the people as well as to review the role of mass media in the revolution of the people. This study uses a qualitative method which is a document analysis approach to synthesize information from authoritative resources to ensure the validity of the information obtained. The study found that the wave of revolution was the people's protests against the current ruling Government. Several factors such as political, economic, and social factors are the main cause leading to the phenomenon of Arab Spring. Although this may be attributed to issues or problems that vary for each country, the goal of the rise of the people remains the same, i.e. protesting against unfair Government and demanding that people's rights be reinstated.

Keywords: Arab spring; revolution; upheavals; Middle East;

1. Introduction

The rise of the people that broke out in the Arab world due to political conflict has attracted the attention of the public. This issue is no longer alien in countries that previously ignored and isolated themselves from the political development of the world. The people's uprise which began in Tunisia in December 2010 that triggered people's revolt then spread to Egypt and Libya and protracted to other Arab countries. However, this event has started around two years earlier, in Yemen in 2009 and Bahrain in 2010. Nonetheless, both uprises seemed ignored and overlooked as the protests only occurred on a small scale. Most of the events have one similar purpose, to demand for a fair and equitable ruling. Thus, indirectly, this is one of the factors leading to the uprise and the people sought for a transformation that would take place in their country. In addition, the mass media is also seen to be the most effective medium not only to disseminate information, but also as a medium of communication to uplift the spirit of the people to rise against the leading of the reign (Haas, 2013).

2. The term 'Arab Spring'

The wave of revolution, or more popularly known as the Arab Spring, refers to rebellion that occurs among people. This uprise is the voice of the people demanding their rights to be reinstated from the current ruling Government. Arab Spring or in Arabic term al-'Arabi al-Rabi' is the people's protests against the injustice of the ruling system and demand for a more democratic new government. The people seemed to just realize that all this while they had been oppressed and their rights had been denied, thus, they oppose the current existing leaders. When people are not allowed to speak, street demonstrations are the only alternative. The government regime treated this similarly as to what happened in Palestine as the people who fought against the Zionist were considered terrorists and against peace. The turmoil of the Arab world has impacted the rest of the world (Gordon, 2010).
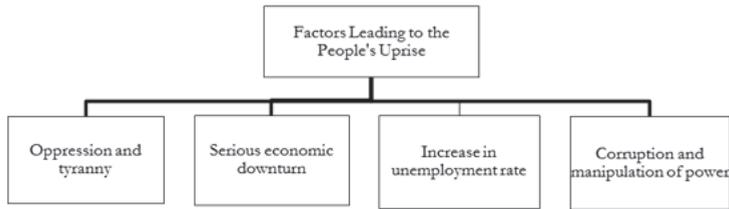
Figure 1. Factors Leading to the People's Uprise

Figure 1 shows factors leading to the rise of the people in Arab countries. People showed their protest against the Government's tyranny which had been occurring for a long time. Suppression by inhumane Government regime led people to rise to claim their long-ignored freedom rights. Serious economic downturn and the increase of unemployment rate were also among factors leading to the people's uprise in the Arab world. Corruption and manipulation of power were among the issues that gained attention and stirred up the people's discontent. These issues that triggered the anger of the people were old news. This is because the Government's promise to seriously wipe out corruption was not fulfilled, therefore increasing the hatred of the people. This is exacerbated by the fact that corruption was practised by the people's own leader. These factors have been identified as the main causes of the people's uprise and the Government is certainly forced to fix the damage. Among the countries witnessing the rise of the people are Tunisia, Egypt, Libya, Yemen and Syria (Rachman, 2014).

3. Tunis

The rise of the people in the Arab world was said to begin in Sidi Bouzid, Tunisia, December 2010. The Tunisian revolution, also known as Jasmin Revolution, began with the event of a young 26-year-old Abu Bouazizi who burned himself as a sign of protest against a government official who insulted him and seized his business goods. Bouazizi was a local university graduate and due to the economic downturn and the serious unemployment problem which hit Tunisia at that time, Bouazizi was forced to sell fruits and vegetables to support his family.

As a result of such event, it eventually led to the revolution of the people to protest against oppression and injustice ruling over the years. Nonetheless, the death of Bouazizi was not the main cause the uprise of the Tunisians, but the truth is the people's protest was against the economic turmoil that has been continuing for a long time. Besides that, the increase of unemployment rate especially among youths causing people to live in hardship was also among factors of rebellion. Finally, a grudge that had been suppressed over the years incited people's anger and further led to the wave of revolution protesting injustice and expressing discontent against corruption and manipulation of power (Middlebrooke et al., 2011).

The consequence of the event had brought great changes in the political, economic and social sectors in Tunisia. The increase in food inflation rate caused people to live in poverty and starvation due of the increased cost of living. The turmoil had resulted in the loss of thousands of lives and this was largely an act of government regime and the security forces that attacked the rebelling citizens. However, the unity of the people of Tunisia managed to overthrow the Government and eventually led to the resignation of the President of Tunisia, Zine El Abidine Ben Ali, on 14 January 2011. Ben Ali, who had ruled Tunisia for 23 years, toppled for failing to give a good life to Tunisian citizens, especially from political, economic, and social aspects (Middlebrooke et al., 2011).

4. Egypt

Egypt is a country in North Africa that borders with Libya in the West, Sudan in the South, Gaza Strip and Israel, the Mediterranean Sea in the North and the Red Sea in the East. Statistically in 2007, the Egyptian population is 73 million where 94 percent are Muslim and another 3 percent are people of other nationalities.

Armed with the spirit of the Tunisian uprising which had successfully overthrew the dictator Ben Ali, the Egyptian people wanted to prove that they are also able to overthrow the leader dubbed 'Pharaoh in the modern era'. The rise of the Tunisian people had led the people of Egypt to oppose tyranny and cruelty of the ruling regime. For 30 years citizens were pressured under the reign of Egyptian President Hosni Mubarak. The wave of Egypt revolution, starting on 25 January 2011, took place over 18 days (Zalkapli, 2012).

Among the main factors identified as to cause of the rise of the people is economic downturn. Combined with lack of employment opportunities, the unemployment problem also increased. In addition, the price hike of goods and the rising cost of living certainly pushed the people to rebel. The Egyptian people no longer wanted to live under the reign of Hosni Mubarak and finally rose up to reclaim their rights. This uprise was a protest against the attitude of the Government leaders who misused people's money but at the same time leaving the people in poverty and their needs ignored. Even so, the citizens' insistence for the Government to fix the problem was ignored as the Government turned over a deaf ear over the people's request.

To strengthen the position of Hosni Mubarak in Egypt, he manipulated national institutions such as the police force and homeland security to suppress and oppress people who attempted to rebel and demand that democracy is upheld. This is because the integrity of the election process was questioned and its validity fell under suspicion. Through elections held in November and December 2010, Hosni Mubarak had won with more than 80 percent of the vote as a result of Egyptian voters support. For Egyptian people, this was a decision that could not be trusted and they considered the election process as an unsuitable medium to appoint the ruling Government. Therefore, the only choice left for the Egyptians was street demonstrations to represent the voice and needs of the people who were long since neglected by the Government. The event in Egypt was the people's protest to bring down Hosni Mubarak who was being unjust to the people (Aburwen, 2013).

Despite various efforts by Hosni Mubarak to win the hearts of the people, they proved to be unsuccessful as the people's revolution continued. It was a consequence attributed to various parties including the people of Egypt themselves and finally on 11 February 2011 Hosni Mubarak resigned and handed his powers to the Supreme Council of Armed Forces. After two days of handover of power to the Supreme Council of Armed Forces, the military government under the leadership of Mohamed Hussein Tantawy announced the suspension of the national constitution, dissolution of Parliament, and that the military would govern for six months until elections can be held again. However, the revolution still continued until the end of 2011 due to people's concern with the seemingly ineffective role of the Supreme Council in bringing a new change. The effect of turmoil in Egypt had brought deficiencies in the political sector, further threatening the country's development. The battle had caused the people to suffer due to destruction to property and loss of home (Aburwen, 2013).

5. Libya

After four days of Hosni Mubarak's downfall in Egypt, the Arab Land revolution began to spread to Libya. Anti-government protests began in Libya on 15 February 2011. Seen from the naked eye, it seemed like the people's uprise was to demand for Muammar Gaddafi to claim responsibility on killing 14 protestors in 2006. In fact, the rise of the Libyan people was to protest against the tyranny of the ruling (Haas & Lesch, 2013).

For a 42-year reign, it was somewhat difficult for Muammar Gaddafi to resign and he even continued to defend his reign, threatening the people that the country would face a civil war should people's revolution continued. Despite various threats and actions by Gaddafi, the Libyans' revolution continued and had already dominated most of the country. This includes Libya's largest city, Benghazi. As a result of the revolution, support for Gaddafi started to decrease as some of the government regime's diplomats, military officers, and security officers chose the people's side. This support managed to uplift the spirit of the Libyan people to rise against the existing Government.

Tyranny and cruelty of leaders were seen as the main cause of the people's uprise in Libya. The people were fed up and tired with the government's ruling which had always oppressed and disregarded the interests of the people. The people sought for political and social freedom which was long since denied. The rise of the people was among people's protests against the Government, reclaiming the rights they should be given but denied. In addition, the people's anger also stemmed from internal factors as the government established relations with big powers that only made the ruling regime as a puppet to protect their interests in Arab countries. In return, the Arab leaders were bribed with money and a wide range of assistance, including military.

To ensure that his reign remained, Gaddafi had used a variety of tactics and tricks to maintain his powers in Libya. Among his efforts was using mercenaries from Africa to attack protestors demonstrating in the heart of Tripoli. Gaddafi's insistence to maintain his ruling had made it difficult for the people's uprise. This had led to thousands of deaths not only of the Libyan citizens, but military army as well. The national turmoil also caused destruction of property and homes. However, after 42 years and after more than eight months of people's revolution, the Gaddafi ruling ultimately toppled on 20 October 2011. During the revolution, Gaddafi died after suffering serious injuries due to bomb attacks from NATO fighter jets and he was the first ruler who was killed in the series of people's uprising in Arab countries.

6. Yemen

In the heat of people's revolution issue in a number of Arab countries followed by the success of bringing down the ruling government, revolution continued to spread to Yemen. Anti-government protests appeared in the districts of North and South Yemen in mid-January 2011. About over 20 000 people flooded the main roads in the city of Sanaa' and held rally protests against the government. This rally was named as 'The Rage Day'. The anti-government protester in Yemen had already assembled in great numbers since the outbreak of the uprising in Tunisia and this was further driven by the people's unity to rise up and reclaim their rights (Nevens, 2011).

The people who were hungry for change had assembled outside the University of Sana'a as a sign of protest against the government. Looking the wave of revolution, Yemen president Ali Abdullah felt threatened and announced that he would step down once his mandate ends in two years time. He also promised that his descendants would not take over and fill the ruling position. Even so, people were skeptical with Ali Abdullah's promise as he had ruled Yemen for 32 years. This is due to the fact that Ali Abdullah had made the same promise in 2006 but failed to deliver when he still contested for a seat in the elections. People's efforts to bring President Ali down continued when, on June 3rd, his office building was destroyed by explosions resulting in injury. On 23 September, Ali Abdullah was forced to sign an agreement on the transfer of power. Finally, he withdrew and gave power to his successor.

The people who had been living in misery were no longer willing to live under the rule of dictator leaders who ignored the interests of the people. People sought for a change in the ruling government, someone who would care for their interests and welfare. It was observed that Yemen is the poorest country in the Arab world. Almost half of the Yemeni population lived below the poverty line, earning RM6 (USD 2) a day. Similarly, children in Yemen, due to high poverty rate, were not able to go to school as they were forced to work at such a young age. The turmoil in Yemen had led to an increase in death toll. Its people lived in torture due to the loss of family members and homes. Their distress and suffering were not only ignored, but a number of people had died due to starvation (Abney, 2013).

7. Syria

As the issue of the revolution of the people was hotly mentioned in several other regional Arab countries, the wave continued to spread to the country of Syria. Syria is a country of constant turmoil since the reign of Hafez al-Assad, who ruled for 32 years, followed by his son Basyar al-Assad. Hafez al-Assad pledged as a Shi'a Nusairiyah who opposes and holds grudges towards the Sunni. The Syrian Government is strongly supported by Iran and Hizbullah in Lebanon and they further supported Hafez al-Assad in killing his own people.

As observed, every country witnessing the uprise of its people has their own issues, and so does Syria. The 1982 bloody conflict in Mites had occurred for 27 days, sacrificing almost 46,000 thousand residents. This event had caused the people of Syria to steer away from politics. However, after quite a while they rose again to protest the government's tyranny and this had spread to other towns such as Dar'aa, Hauran, Halab, even to 157 regions in Syria. Nevertheless, the rise of Syrian people in March 2011 started from a number of boys who scribbled the school walls with "As-Shaab Yurid Iskaat el Nizam! (People want to bring down the regime)". This Slogan was shouted in revolting countries such as Egypt, Libya, Yemen and several other Arab countries.

Following the event, the Syrian security force arrested the children. They were jailed, ill-treated, and even tortured by yanking out their nails as well as sodomized. As a result, one of the boys died and his family demanded for his body. They also appealed to the security force to release other children who were still in custody. However, the government agreed to release the children under one condition: exchange the children with Syrian women to wed. This sparked up anger among the Syrians as it was an act of insult. Thus, they revolted and lifted their weapons to defend themselves and this eventually led to the rise of the people in Syria.

The truth is, this chain of events regarding people's revolution was due to some main issues that had long since suppressed: the continuing oppression and cruelty of the ruling regime for 40 years. Corruption and manipulation of power by government officials and leaders were some of the issues that gained attention and stirred up discontent among Syrian people. The rise of the people demanded for resignation of the Syrian and a change in the ruling regime conquered by the al-Assad family. The people no longer wanted to live under the autocratic reign and they claimed for people's liberation. The rise of citizens continued and strengthened. More and more soldiers stood along the people to protect citizens who joined rallies as they refused to allow the Basyar al-Assad regime to cruelly kill its own people on a whim. Since the turmoil, many were killed while the injured were untreated and left to die.

The Arab organizations (Arab League) had taken steps pertaining to the events in Syria where they prohibited Syrian officials from entering their regions. This included two countries of Iraq and Lebanon as Syrian leaders were Shi'a

212 supporters and they always asked for assistance from Iraq, a Shi'a country. In Syria, the rise of the people who were
213 desperate for change in the Government led by President Bashar al-Assad, had now become a nightmare when it
214 erupted into a civil war that had now dragged on for more than two years, killed more than 70, 000 lives, and forced more
215 than 1.4 million residents of Syria to become refugees. In Syria, the slogan of government 'change' not only claimed
216 many lives, but witnessed the destruction of the country in front of their own people.

8. The Role of Mass Media

220 Behind the rise of the people in the Middle East, the role of the mass media was highlighted, driven by youths to show
221 courage in speech and actions expressing their rights in their respective countries. Whenever youths were mentioned, it
222 would definitely be associated with the influence of the mass media in the lives of youth (Abdul Malik, 2012).
223 The revolution outbreak was due to the function of the mass media: the Internet. It turned out that the role of the
224 digital virtual world via short messaging system (SMS), social networks like Facebook and Twitter played a major role in
225 urging the demonstrations to overthrow Hosni Mubarak. The influence of Facebook is undeniable because it has been
226 proven that even small news can spread to the rest of the world in a blink of an eye. A similar case took place after Wael
227 Ghonim created the Facebook page "We Are All Khaled Sa'id" that called for Egyptians to protest in street rallies. The
228 opening of the page was dedicated to a 28 year old Egyptian youth named Khaled Sa'id, who was cruelly killed by two
229 Egyptian policemen.
230 On 6 June 2010, Egypt was shocked by the death of a young man named Khalid Sa'id who was cruelly beaten and
231 tortured by the police in public. Khalid was hunted and killed for his act of uploading a video clip on Youtube, where it
232 recorded corrupt police activities with a drug smuggling syndicate. This sparked the fury of the police and he was
233 eventually detained by two policemen from the Sidi Jabir station, an area in the province of Alexandria. The two officers
234 were Mahmud Solah and 'Iwadh Ismail, and Khalid demanded for a reason why he was detained and with evidence. The
235 policemen, furious with the question, beat Khalid to death. Witnesses saw how Khaled was taken by the two policemen,
236 his head smashed to the wall and stairs of a building until he died. As the people feared for their lives, they were not able
237 to defend Khalid despite knowing Khalid was innocent. His body was left on the roadside, and following a post-mortem,
238 police issued a statement saying Khalid died due to drug overdose (Chokoshvili, 2011).
239 Khalid's family members demanded for both officers to be brought to court and sentenced to death (qisas against
240 them). Finally, on 26 October 2011, the Alexandria criminal court sentenced them to prison for seven years and above.
241 Nevertheless, some human rights organizations consider this sentence too light as Khalid was cruelly killed. The opening
242 of the Facebook page "We Are All Khaled Sa'id" managed to attract one million Egyptian citizens of various religions and
243 the United Nations, who voiced out against the reign of Hosni Mubarak. Undeniably, some attacks or obstructions were
244 made by the ruling party in efforts to prevent the rise of the people. The government's mass media played an important
245 role in efforts to curb the rise of voice of the people. To prevent the ability of activism protesters who organized street
246 rallies, the government of Egypt had increased its efforts by limiting national access to the Internet for three days. From
247 28 January 2011, internet communication and mobile phone services including SMS delivery were blocked and
248 terminated. This limitation was withdrawn as the restrictions caused more people to flood Tahrir Square to voice out their
249 desire (Abdul Malik, 2012).
250 The government-owned newspaper, Al-Jumhuriah also reported "Mubarak's popularity built on people's poverty
251 became weak and eventually collapsed. The new President must be transparent," in the middle of the report it claimed
252 Mubarak and members of his family had reaped a huge wealth during his reign. Many television stations broadcasted
253 false news as if nothing happened. The truth was, at that time, hundreds of people had died and the Tahrir Square was
254 flooded by people revolting. However, what was shown on television was only dozens of people. Egyptian television
255 stations, controlled by the military government, allegedly lied to people and the world when they posted false videos of
256 the Tahrir Square filled with millions of opponents of Morsi. Television station al-Jazeera also allegedly broadcasted the
257 same video with the Egyptian television (Sulaiman, 2014). As the issue of the revolution of the people was hotly
258 mentioned in several other regional

9. Concluding Remarks

262 Looking at the outbreak of people's revolution in the Arab Lands, it shows that the reign of an iron fist that oppresses the
263 people will not be able to survive despite having close relationship with other large powers and possessing military
264 dominance. The event of 'Arab Spring' is a phenomenon that has changed the land territory of the world, initially leading
265 to political changes in the Western Asian regions and in turn led to the downfall of the ruling regime. The demise of

autocratic systems in several countries in the Middle East and North Africa brings new hope to the people in their respective countries who are also experiencing this phenomenon. Political changes bring a huge impact on the region of the Arab world. Oppression and the tyranny of the Government eventually triggered wave of people's revolution. The climax of people's rage is reached after witnessing the ruling party misusing national wealth, reaping it, and robbing it for the sake of personal interests and their cronies. The rise of the people is to demand for freedom from the unjust ruling system which has been gripping their lives for, in some cases, nearly half a century. This is proven by observing the political situation that began with the rise of the people in Tunisia, which triggers a revolution to bring down the Government, then spreading to Egypt and Libya and protracted to other Arab countries. Most have a similar purpose, namely, to demand for a leadership that is fair and equitable.

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Analysis of News Item Texts of Kazakhstani Mass Media

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Abstract

This article focuses on the contemporary issues of mass media in Kazakhstan at present. 8248 media (active 2513 media), 212 electronic media, 2392 media of foreign countries are registered in Kazakhstan, and over 9,000 domain names in the domain KZ are registered. 85% make non-governmental media. Currently television channel KazakhTV broadcasts in three languages: Kazakh, Russian and English languages 24 hours. It provides relevant and objective information about Kazakhstan and the events occurring in the world. The channel broadcasts the main local and international news as well as information about major political, economic and sports events. Analyzing translation of KazakhTV news texts it is possible to use different methods of comparative analysis for the theoretical study of news texts identifying linguistically this phenomenon.

Keywords: mass media, news item texts, media texts, translation studies, mass media, text structure, culture marked words, semantic center, news fragment, grammar transformations, TV news texts.

1. Introduction

Mass media, or media, is a relatively new social institution, whose function is to produce and disseminate knowledge (Chernyh, 2007).

Media is considered to be a conglomerate structure of private businesses, and is a special kind of social activity; the main task of media is to carry out some kind of representation of various points of view, opinions and attitudes, media is the product of the relevant legal regulations, including regulations with respect to their economic activities. It is a social institution that performs important social problems as well as a means of advertising (Briggs & Cobley, 2002).

John Carron confirm that: " The influence of the media has been immense: on institutions, the conduct of affairs, and the way in which people think and act politically. The mass media and mass politics have inspired, reflected, and shaped each other more than has commonly been realized…." (Curran & Seaton, 1991**).**

Mass communication is the practice and product of providing information and leisure entertainment to an unknown audience by means of corporately financed, industrially produced, state-regulated, high technology, privately consumed commodities in the modern print, screen, audio and broadcast media **(**O'Sullivan et al., 1994**).**

Mass communication refers to the process by which a complex organization with the aid of one or more machines produces and transmits public messages that are directed at large, heterogeneous and scattered audiences **(**Dominick, 1993**).**

Mass media is a generic term of all forms of communication aimed at a mass audience. These traditionally include newspapers, magazines, movies, radio, television, popular literature and music, and in the last couple of decades it has been completed with the new electronic media, including the Internet (Fourie, 2008).

Since gaining its independence and sovereignty, the Republic of Kazakhstan has started to make radical reforms in the media, and paid special attention to the legislative support of the rights and freedoms of citizens. First of all, this is due to understanding the fact that the availability of advanced, organizationally strong and free media is one of the key indicators of a democratic society. Thus, under the Kazakhstani law, any interference to media world is prohibited and Constitution prohibits censorship. Describing the development of the information market of Kazakhstan since the moment of its independence, several conventional development stages have been identified.

The first stage – the post-Soviet period, the advantage of the state monopoly on mass media (until 1992), there was practically no independent mass media that period.

The second stage – the stage of formation and growth (1992 – 1996 years), state dominance in the information space and the rapid development of non-governmental media (private, corporate, etc.), reducing the overall share of state-run media.

The third stage – liberal, which is characterized by qualitative and quantitative changes in the market of mass media, mass privatization of former state-owned media, printing companies, the transition from public funding and subsidies for the media from the government order to conduct public information policy. This development stage of domestic information space began in 1996 – 1997.

Today we can affirm that the information market in Kazakhstan has entered the stage of stable growth.

Existing number of quite strong and powerful media, information media holdings is one of the undoubted achievements of the socio-economic and democratic reforms of the country.

In Kazakhstan, the country's constitution guarantees freedom of speech and creativity, it bans censorship, but it enshrines everyone's right to obtain and disseminate information. However, there are restrictions adopted in international practice. According to Paragraph 3 of Article 20 of the Constitution of the Republic of Kazakhstan, propaganda or agitation of violent change of constitutional order, violation of the Republic integrity, disruption of state security, war, social, racial, ethnic, religious, class and clannish superiority as well as the cult of cruelty and violence is not allowed. The aforementioned freedoms, rights and restrictions are given in the Law on "Mass media", Article 2 ("*Law of the Republic of Kazakhstan*", 1999).

2. Method

Media texts studied today in terms of a variety of disciplines - linguistics, sociology, psychology, style, culture, politics, intercultural communication. Integration of different methods for analyzing media texts within Medialinguistics provides a complex representation of the real properties of speech, it's style, especially the effect on the individual and the mass consciousness, the methods of verbal interaction and media levels of ideological modality, the role of culturally significant components.

Analyzing translation of media texts it is possible to use different methods of comparative analysis for the theoretical study of media texts to identify this phenomenon in linguistic terms. There are numerous methods of studying media texts: the method of linguistic analysis, the method of content analysis, or analysis of the content, method of critical linguistics (or rhetorical criticism), the method of linguistic and cultural analysis based on identifying culturally significant components of the text. Every time the translator creates his work performing the act of speech, but also makes the identification of speech to create segments of original text. The translator analyzes two languages, comparing equivalents. It is difficult to imagine the successful development of modern translation studies without a comprehensive study of this experiment and its results, without revealing the mechanism of linguistic cross-language communication and translation accounting facts of our investigation.

There are numerous methods of studying media texts (Nazarov, 2003)**:**
- Methods of linguistic analysis that reveal the basic properties and characteristics of texts in different levels: lexical, semantic, syntagmatic, stylistic and others.
- The method of content analysis, or analysis of the content, based on a statistical calculation of specially selected text units.
- The method of critical linguistics (or rhetorical criticism), allowing to identify the hidden political and ideological component of media texts.
- The method of linguistic and cultural analysis based on identifying culturally significant components of text.

The task of comprehensive comparative analysis of political news blocks, composed in different languages, with emphasis on the structural and substantial aspect of this comparison. The purpose of this analysis is to identify commonalities and differences between two language versions of news fragment in terms of volume, structure and nature of the recipient of the transmitted content. In our researchment we use comparative analysis of English and Russian versions of news fragment of KazakhTV.

3. Results and Discussion

Mass media is one of the main instruments for implementing the rights and freedoms of citizens to information. Over the recent years Kazakhstani mass media has undergone dramatic changes. There has been denationalization of the media sector, which resulted in the fact that today more than 80% of the media are private. Liberalization and market reforms have led to the quantitative and qualitative growth of mass media. Today Kazakhstan is ahead of most countries in

111 Central Asia and Transcaucasia in terms of mass media. Leadership for the development of media infrastructure in
112 Kazakhstan is proved by the fact that the annual Eurasian Media Forum is held in Kazakhstan.
113 8248 media (active 2513 media), 212 electronic media, 2392 media of foreign countries are registered in Kazakhstan, as
114 well as over 9,000 domain names in the domain KZ. 85% make the non-governmental media (Abramov, 2010).
115 Newspapers and magazines, television and radio programs are media texts, which published and broadcasted in 11
116 languages of nations and nationalities living in the country. In addition to the major Kazakh and Russian languages, the
117 media is published and broadcasted in Ukrainian, Polish, German, Korean, Uyghur, Turkish, Dungan, and other
118 languages. Media of ethnic minorities receive financial support from the government.
119 Internet and cable TV is dynamically developing in Kazakhstan. Modern information technologies are widely used
120 in the information market. National TV and radio stations broadcast via the national satellite system. Satellite channel
121 CaspioNet (operator Eutelsat) was created in 2002. Cable and satellite channels broadcast programs BBC, CNN,
122 Deutsche Welle, Radio "Liberty", a Polish channel Polonia, Russian and other television and radio channels on the whole
123 territory of the Republic of Kazakhstan.
124 The Ministry of Foreign Affairs of the Republic of Kazakhstan accredited more than 150 representatives of foreign
125 media from 20 countries, including most major news agencies like BBC, Associated Press, Interfax, France Press,
126 Reuters, ITAR-TASS. Variety of topics, publications and languages contributes to the rapid development of mass media
127 ("Message from the President", 2013)..
128 Associations for the protection of journalists' rights, Congress of Journalists of Kazakhstan, Union of Journalists of
129 Kazakhstan, Association of Broadcasters of Kazakhstan, representatives of international organizations: the OSCE, the
130 International Bureau for Human Rights, Internews network, «Adil Soz", and others are successfully operating the country.
131 60 national publications, news agency "Kazinform", channels "Kazakhstan", "Khabar", "Channel 31", "TV Age ",
132 "Rakhat TV" are involved in coverage of human rights in Kazakhstan. These printed media and channels fulfill the state
133 order for state information policy. The following topics have been covered in formulating the state order:
134   - Legal advocacy;
135   - Coverage of the legal advocacy;
136   - Coverage of progress and positive outcomes of the Strategy "Kazakhstan – 2030".
137 The total volume of these thematic areas made 1110 hours on the channel "Khabar" and "Kazakhstan", 720 hours
138 on the Kazakh Radio, 830 hours on the line "Caspionet".
139 Objective and focused coverage of the situation of human rights is highlighted in national newspapers and non-
140 public media like "Egemen Kazakhstan", "Kazakhstanskaya Pravda", "Aykyn", "Liter", "Express K", "Zan gazeti", "Legal
141 Gazette", "Moscow Komsomolets in Kazakhstan" and others under special headings like "Government ", "Legal reform",
142 "People and the law", "Parliament", "Urgent", "Situation", "Live", "Law and Order", "Human rights", "Need to know",
143 "Attention" and etc.
144 This subject is also widely highlighted in information and analytical, interactive programs of the leading republican
145 TV channels which are carrying out the state order. In this regard, it we would like to emphasize programs "Zheti kun",
146 "Betpe bet" on TV channels "Khabar" and "Aina-Apta", program "Nazar" on national channel "Kazakhstan", "Private
147 opinion", "Spotlight" on "Channel 31", "Week Panorama" on "Rakhat TV", "Big Ratings" on the channel "Astana TV".
148 In addition, at present time, for the purpose of developing optimal model of mass media activity on the basis of
149 freedom of speech and independence principles, the government is carrying out purposeful work on interaction with
150 public organizations, associations, international organizations, institutes of mass research on developing mass media.
151 Kazakhstan applies legally approved methods to support mass media, which are aimed at creating favorable
152 economic conditions so that the media is able to fulfill its public mission, and provide freedom of speech and mass
153 information.
154 Among the first laws of sovereign Kazakhstan was the Law "On Press and Other Mass Media" in 1991, innovation
155 and democratic norms that have served as a powerful factor in the rapid development of the Kazakhstani press, as well
156 as the Law "On Mass Media" in 1999. Representatives of international organizations, media, and non-governmental
157 organizations participated in designing these laws. The aforementioned laws prohibit censorship and interference in the
158 activities of media organizations from government officials, and are aimed at protecting the rights of journalists ("*Law of
159 the Republic of Kazakhstan", 1999*).
160 Kazakhstan holds the opinion that ensuring the rights and freedoms of citizens in obtaining and disseminating
161 information is a prerequisite for building a democratic state. Today we can state that Kazakhstan has formed the major
162 and essential elements of the information market. These include the emergence of a *dominant segment of the*
163 *independent media*, a significant differentiation of thematic fields of information, establishment and operation of a
164 sufficiently large media companies. The owners of the 218 publications are voluntary associations, among which 17

165 belong to religious organizations. Predominant share of the owners of non-state media (48%) makes Public limited
166 companies ("*Rating of Kazakh mass media"*, 2000).
167   In the framework of this concept, it is supposed to pay special attention to the development of information and
168 telecommunications infrastructure (creation of own satellite, modern transceiver stations, etc.). Kazakhstan is starting to
169 introduce digital television, is actively working on the development of national segment of Internet.
170   Thus, during the years of independence, Kazakhstan has established political, economic and legal conditions for
171 the functioning of independent media.
172   According to some experts, the information market of Kazakhstan among the Central Asian region is dynamically
173 developing. Mechanisms to ensure the real independence of media, especially from the owner, are being implemented.
174 Kazakhstan is addressing the issue of developing mechanisms to ensure freedom and balance of mass media and their
175 responsibilities to the society. The matter as to strengthen the levers of democratic control of mass media activities is
176 being examined as well.
177   By the initiative of President of Kazakhstan Nursultan Nazarbayev has introduced a program of "The Trinity of
178 languages in the Republic of Kazakhstan" (Kazakh, Russian and English). The idea of multilingual education was first
179 expressed by the President in October 2006, the Assembly of Peoples of Kazakhstan, in February 2007 in Message
180 "New Kazakhstan in the new world" was proposed the implementation of the cultural project "Trinity of languages in the
181 Republic of Kazakhstan", which was adopted at the state level in July 2007 ("Strategy 2050", 2014).
182   Currently television channel Caspionet broadcasts in three languages. Caspionet is the first national satellite
183 television channel of the Republic of Kazakhstan. The channel broadcasts in Kazakh, Russian and English languages 24
184 hours. The purpose of channel is to provide foreign audience with the most complete picture of Kazakhstan.
185   Kazakh TV is the first national satellite television channel of the Khabar Agency, one of the largest media
186 companies in the Republic of Kazakhstan. The channel's first programme was broadcasted on 25th October 2002 as
187 Caspionet ("Information about KazakhTV", 2015).
188   Kazakh TV broadcasts informative and educational programmes 24 hours a day in Kazakh, Russian, and English.
189 Via the major satellite operators Eutelsat, Globe Cast and RRsat the channel broadcasts in over 117 countries throughout
190 North and Central America, Western and Eastern Europe, North Africa, the Middle East, Asia, Transcaucasia, Australia
191 and Oceania. It has a potential audience of 5,1 billion people.
192   It provides relevant and objective information about Kazakhstan and the events occurring in the world. The channel
193 broadcasts the main local and international news as well as information about major political, economic and sports
194 events. The schedules are completed by documentaries, classical and contemporary feature films, children films,
195 programmes of historical and ethnographic interest, and also views of the most interesting events in the cultural life of the
196 country. These may include theatre performances and various exhibitions. Linguistics also have an interest to media texts
197 and it is reflected in "media linguistics" : " Media linguistics brought together a range of papers in the fast developing field
198 of re5earch on media language .. there is now a wide literature in this area, often of highly interdisciplinary nature. Some
199 of this work has focused upon specific genres, such as news discourse, documentary genres and advertising.
200 Increasingly, there is a recognition that language does not stand alone in any type of mass communication , but interacts
201 with other semiotic modes, especially the visual**"** (Dobrosklonskaya, 2010**)**.
202   Alan Bell in his book said: "Definitions of media texts have moved far away from the traditional view of text as
203 words printed in ink on pieces of paper to take on a far broader definition to include speech, music and sound effects,
204 image and so on.. Media texts, then, reflect the technology that is available for producing them...." **(**Bell and Garrett,
205 (eds.), 1998**)**.
206   "TV news reporting follows a square format, when the information level stays about the same throughout the whole
207 broadcast" **(**Dominick, 1993**)**.
208   Analyzing news releases of KazakhTV can be noted that news are broadcasted each hour. At first we analyze
209 television news item texts. TV news texts are media texts, which have several levels: audio and video and the main
210 function is informing about events in chronological order.
211   The concept of media texts is a limited number of verbal and media units. In contrast to the linear interpretation of
212 the text as a unified common sense sequence of verbal signs, text in mass communication has volume and layering
213 features. It does this by combining the verbal portion of the text with media properties of any media product. Thus, in
214 press the verbal portion of the text combined with graphics and illustration. On the radio a verbal component gets an
215 additional expressiveness with audio facilities - voice quality and music.TV further expands the boundaries of the text,
216 connecting the verbal portion with video and sound together.
217   It is important to note that the verbal text and media components are closely interlinked and can be combined with
218 each other, basing on various principles: complement, enhance, illustrate, highlight, contrast and so on, forming a kind

219 of wholeness, an indivisible unity, which constitutes essence of the concept of "media texts".

220 The concept of media texts as the volume of multi-level phenomenon is complemented by a constant system of
221 parameters, which allows a very accurate description of media text in terms of the features of its production, distribution
222 channel and linguistic properties. This system includes such important parameters as (Dobrosklonskaya, 2010):

223 • method of production;
224 • form of production;
225 • shape of production;
226 • distribution channel (internet, radio, press, TV);
227 • functional type (news, advertising, features);
228 • the theme of media texts (topics);

229 Kazakh TV news texts are broadcasted the same text and the same video in three languages Kazakh, Russian
230 and English. The common quantity of sentences of each topic are about 10-12.

231 For example Brandon Hennessey writes: "News generally has the qualities of conflict, human interest, importance,
232 prominence, proximity, timeliness and unusualness" (Hennessey, 1989).

233 Classification of American scientist Dominick J. give us the right to share the newsletter content, which are based
234 on two dichotomous categories «Hard news- soft news», «Local news- foreign news», as well as the allocation of content
235 topics such as politics, business, sports education, culture, etc. (Dominick, 1993).

236 Kazakh TV news texts have different topics such as Kazakhstan, World, Business, Culture, Sport, Health, Hi-Tech
237 and Cinema. News item texts have a neutral style without any emotive moments.

238 The purpose of channel is to provide foreign audience with the most complete picture of Kazakhstan. KazakhTV
239 has its own broadcasting policy. The chronometry of Kazakhstan topic is longer than the other topics. It is pragmatically
240 oriented to give the full picture to foreign audience about Kazakhstan.

241 The analysis of Kazakhstan topic shows that there are a large number of cultural-marked words denoting objects
242 and phenomena that are specific to a given social culture community. It should be noted that translators should orient to
243 international level, they should add an explanation which would be understandable for foreign audience. For example: *the*
244 *Majilis*, which translates sounds Kazakh MPs. Kazakh MPs - members of Parliament, in abbreviated form Kazakh MPs.
245 Cultural-marked word *oralmans*, literally translated from the Kazakh language as *"returnee"*. There no english equivalent.
246 In English version of KazakhTV news fragment it is used the following translation of «refugee of repatriate». English-
247 Russian Dictionary «Lingvo Universal» gives us the following definition of "refugee". The law of the Republic of
248 Kazakhstan "On Migration" from December 13, 1997 gives the following definition of "oralman." "Oralmans - foreigners or
249 stateless persons of Kazakh nationality, permanent residence at the time of acquisition of the sovereignty of the Republic
250 of Kazakhstan abroad and arrived in Kazakhstan for permanent residence." In our opinion it is selected an incorrect
251 equivalent, we suggest the following translation solution on base of a descriptive translation: *oralman*, *Kazakh*
252 *representatives returned to historical Motherland* (Tyutebayeva, 2014).

253 English authors headline word-combination and collocation: " In English as in other . there many fixed, identifiable,
254 non-idiomatic phrases and constructions, or collocation." (Benson, 1986).

255 Often Kazakh TV news texts have such lexical connections : *local authorities, agricultural services, new*
256 *agreement, new monetary system, appropriate moment, friendly reference, temporary arrangement, common agricultural*
257 *policy, strong support, agricultural services, new agreement, president of the Republic of Kazakhstan, governor of region*
258 *and etc.*

259 Also we faced with" news from the place of event" in news release of KazakhTV fragments, for example, American
260 writer Tuchman said that: "The definition of "news from the scene", describe the circumstances, where information
261 gathered" (Tuchman, 1978).

262 Then you can mark messages that contain a hidden link to the source of information. Hidden because the source is
263 not directly stated, however its existence is implied by the use of certain phrases. We are talking about passive
264 constructions with verbs: *to inform, to report, to know, to say the type to be reported, to be said, to be known.*

265 In World topic of KazakhTV news fragment we are faced with international constant words and abbreviations such
266 as *UN- United Nations, EU- European Union, OSCE- Organization for Security and Co-operation in Europe, CIS-*
267 *Common wealth of Independent States and UNESCO- United Nations Educational, Scientific and Cultural Organization*
268 *and etc.*

269
270
271

4. Conclusion

Informational TV news texts of KazakhTV are neutral, without no emotive expressions, no live broadcast and translation is adequate.

Expecting all material of informational television news texts, firstly the informational range is framing on parallel on several levels, the level of video, language level and the level of sound. Text, image and sound are equal to the amount of information and the need to combine these series so as to achieve the same effect, which gives us a script. Combine these series translator helps synchronize video. When translating texts on television news has to ensure that the text matches the visuals, and if necessary, apply compression or additions.

The professional competence of the translator is largely determined by how freely he decodes the style of television news and determines stylistic dominant. In other words, the aggregate amount of the researching of speech of mass media needs in comparing , which made it possible to define a new direction – mediatranslation or translation of mediatexts.

Thus, the main feature of TV news texts carried out in a certain levels: a video level, which give the picture of each event and of course, sound registration, with what we can listen the information, and actually characterized at the level of language.

The most important property of television news texts is an objective form of presentation of information (impartiality), reflecting a commitment to neutrality, depersonalization. This fact is explained by the absence of authorship news text, the method of creating a collegial, distributed on behalf of a group of people: the editorial board, television, news agency.

Thus, we can conclude that as the basic unit of language, media text is a complex, multilevel and multidimensional phenomenon.

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Effectiveness of Rehabilitation Programmes in the Nigerian Prisons: A Study of Perception of Inmates in Enugu Prison

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Abstract

The objective of the study was to find out the prison inmates' perception of the effectiveness of rehabilitation programmes in the Nigerian prisons service with reference to Enugu prison. The study adopted the cross-sectional survey design. A total of one hundred and forty five (145) inmates comprised the target of the study. Questionnaire was the instrument used for data collection. The Statistical Package for Social Sciences (SPSS), frequency tables and percentages (%) were employed in the data analysis. The result showed that rehabilitation programmes in the prisons have not achieved much. It was also discovered that the duration of service for the inmates does not make the inmates to be actively involved in rehabilitation programmes. Majority of the respondents agreed that lack of fund/inadequate funding was the major hindrance to the programmes. It is recommended that social workers, philanthropists should contribute in ensuring that adequate facilities are provided to enhance the effectiveness of the rehabilitation programmes.

Keywords: Effectiveness, perception, prison inmates, rehabilitation, rehabilitation programmes.

1. Introduction

The aim of imprisonment according to section 2(4) of the Nigerian Prison Act (1972) is to endeavour to identify the reason for anti- social behaviour of the offenders; to train, rehabilitate and reform them to be good and useful citizens. It is therefore expected that the recidivism will decrease if the objective of imprisonment is achieved by planning and providing proper rehabilitation of prisoners. This will enable them to be law abiding citizens of the society and engage in productive

activities for their daily living on release from prison.

Colonial prisons in Nigeria were not designed for reformation or rehabilitation rather prisons were intended to be punitive. Hence, prisoners were used mainly for public works and other jobs for the colonial administrators as a form of punishment (Investigating Human Right, n:d; 176-184). At the end of the Second World War (1939-1945), there was a remarkable shift in penal philosophy, particularly in colonial territories. The emphasis was no longer primarily on the punishment of criminals but there was also concern for their reformation and rehabilitation (Igbo, 2007). Officially, it is claimed that the role of the Nigerian prison services is tripartite in nature. Firstly, the service is responsible for the safe custody of persons legally interned. Secondly, it provides treatment to them, and thirdly, it seeks to rehabilitate them. The philosophy of the Nigerian prison service is that treatment and rehabilitation of offenders can be achieved through carefully designed and well-articulated administrative, reformative and rehabilitative programmes aimed at inculcating discipline, respect for the law and order and regard for the dignity of honest labour (Nigerian Prison Services, 2009).

A prisoner without adequate rehabilitation opportunity through skills training and capacity building usually returns to the society which has incarcerated him or her as a hardened enemy of that society. Such an ex-convict is often full of desire for vengeance because he or she sees himself or herself as victimized rather than corrected. In addition, such an ex-convict is likely to do more harm than good to a society invariably perceived as an oppressive system. This condition explains to a very great extent why many Nigerian ex-prisoners end up as recidivists (Ugwuoke, 1994).

The rehabilitation of prison inmates should begin from the very day they are admitted into the prison to the day they are discharged (Igbo, 2007). This is to ensure that they utilize the skills they acquired in the course of rehabilitation to live a law abiding life in the society. There are a number of programmes in place meant to divert offenders from crime to useful pursuits that make crime unattractive or condemnable such as moral or religious institutions, education, vocational training etc. Based on the fact that efforts of the prisons in equipping the inmates with vocational skills are faced with various problems, questions as to whether the prisons are actually rehabilitating convicts, the effectiveness of these rehabilitation programmes or whether there is an existing conflict between the punitive ideas of imprisonment inherited from the colonialism and the need for rehabilitation are issues of concern. The above necessitated the interest of this study of Enugu prison; and examined the inmates' perception of the effectiveness of rehabilitation programmes.

2. Statement of the Problem

Despite the noble objectives of reformation, rehabilitation and reintegration which the Nigerian prison system embarks on to ensure that criminals become changed persons, the realization of this objective has been obstructed by certain factors. (Ayodele, 1993) asserted that the rate at which ex-convicts are returning to jail is alarming. Reformation of prisoners has not been effective as every year criminals who become more hardened and deadly are released as against changed individuals expected by the society. Ayodele further stated that prisons have in modern times become training ground and school for a new category of criminals and patterns of crime unknown to the society. In addition, (Civil Liberty Organization, 1993) reported that the prison is just where one learns one or two mistakes that led to one being arrested, so that inmates get smarter by sharing experience with more learned colleagues. In line with this, (Adelaja, 2009) noted that prisoners left unoccupied with constructive and positive activities are likely to perfect their criminal activities through the learning of new tricks from other inmates.

The claim that Nigerian prisons are engaged in carefully designed and well articulated reformative and rehabilitative programmes aimed at inculcating discipline and respect among convicts (Nigerian Prison Services, 2009) is not supported by the rule of retributive punishment which prison administrators have continued to enforce. Adjustment of discharged prisoners in Nigeria has become a huge problem because the society has come to view such discharged prisoners as social misfits who are not amenable to corrections. Such discharged prisoners are therefore, stigmatized and treated as social pariahs. This rejection by the society sometimes forces them back to crime. In addition, (Latessa & Allen, 1999) expressed the view that the inmate who has served a longer amount of time in prison has had his tendencies toward criminality strengthened and is therefore more likely to recidivate than the inmate who has served a lesser amount time. They argued that prisons are like schools of crime where one learns more crime from the peers (inmates).

(Ugwuoke, 2000) observed that the Nigerian penal institutions are saddled with the function of performing contradictory roles. On the one hand, the prisons are expected to reform and rehabilitate inmates; while on the other hand, they are equally expected to perform the retributive function of ensuring that the inmates are adequately punished for their crimes. Despite the fact that the Nigerian prisons service today, is assigned the onerous responsibility of ensuring the safe custody of offenders as well as their reformation and rehabilitation (Nigerian prisons services, 2009), huge part of the prisons' activities favour retribution. In reaction to this, (Ugwuoke, 2000) affirmed that the Nigerian prisons service is in a dilemma because rehabilitation and retribution practices are not compatible. It is to this effect that

one wonders whether the prisons are actually rehabilitating convicts or are still depending on punitive practices. To this end, Nigerian prisons find it difficult to perform their statutory functions which include the custody of offenders as well as their reformation and rehabilitation (NPS, Annual Report, 2000).

In developed countries like America, the inmates are engaged in vocations such as shoe making, carpentry, weaving and tailoring among others. There are institutional programmes which include a variety of activities, all of which can have an impact either directly or indirectly on the rehabilitation of offenders and their successful reintegration into the community after release. These programmes include among others recreational services(these have medical, humanitarian, social-psychological motives; they are structured to ease the pressure of confinement, making inmates more receptive to rehabilitation and less depressed, hostile and asocial), religious services(religious counseling and worship services), work services(related to the successful economic functioning of the institution and rehabilitative of offenders), academic and vocational services(this attempts to provide inmates with the skills necessary for adequate employment after release) and medical services(hospitals, full time physician or nurse, provision of drugs, the medical unit is also responsible for monitoring sanitary conditions and inmates dietary needs) (Inciardi, 2009).

In Nigeria, the welfare of prisoners and prison officials is nothing to write home about. The prevailing poor conditions (poor feeding, toilets, beddings among others) which the prison officials and inmates are subjected to have provided a fertile ground for revolt. Indeed, most of the incidents of jailbreak that have been recorded in the country were occasioned by the unbearable inhuman situation in our prisons (Udutchay, 2010). Some prison officials sometimes incite inmates to involve themselves in jailbreak because of the prevailing conditions.

Prison inmates that embrace rehabilitation during their period of incarceration acquire skills that provide them with services, opportunities and employment on discharge. The prison authorities with the efforts of the government have provided various rehabilitation programmes in various prisons. These programmes range from adult literacy, tailoring, welding, carpentry, and farming among others. The study therefore was an effort to ascertain inmates' perception of effectiveness of rehabilitation programmes in Enugu prison.

3. Objectives of the Study

The general objective of this study was to examine the inmates' perception of the effectiveness of rehabilitation programmes in the Nigerian prisons with reference to Enugu prison.

The specific objectives are as follows:
1. To identify rehabilitation programmes provided for the prison inmates.
2. To examine the duration of rehabilitation programmes in the prison.
3. To identify the problems with rehabilitation of prisoners.
4. To determine the relevance of the rehabilitation programmes for prison inmates.

4. Theoretical Orientation

The rehabilitation theory was adopted as the basis for the theoretical framework of this study. According to Packer as cited in Dambazau (2007), rehabilitation theory posits that offender should be treated as an individual whose special needs and problems must be known in order to enable prison officials deal effectively with him. They also argued that one cannot inflict a severe punishment or inhuman treatment to inmates in the prison and expect them to be reformed and reintegrate themselves into the society upon release. Although it is important to inflict punishment on those persons who breech the law, so as to maintain social order, the importance of rehabilitation is also given priority as it is the only assured way of ensuring that offenders do not return to crime particularly since they have acquired skills that will help them engage in productive activities upon release (Wikipedia, 2009). The theory of rehabilitation therefore, seeks to reduce recidivism because it believes that through retraining programmes for offenders, a more purposeful life would be guaranteed to ex-convicts.

Rehabilitation theory is the most valuable ideological justification for punishment. It promotes the humanizing belief in the notion that offenders can be saved and not simply punished. It recognizes the reality of social inequity. To say that some offenders need help to be rehabilitated is to accept the idea that circumstances can constrain, if not compel and lead to criminality; it admits that we can help persons who have been overcome by their circumstances. It rejects the idea that individuals, regardless of their position in the social order, exercise equal freedom in deciding whether to commit crime, and should be punished equally according to their offence irrespective of their social background (Tan, 2008).

Furthermore, this theory is relevant to the study as it tries to establish the justification or rationale behind the treatment of the convict by changing the attitude and behaviour of criminals so that they will be able to choose lawful

166　means, in satisfying their needs (Dinitz & Dine, 1989). This theory emphasizes the need to retrain the convict so that he
167　can live a lawful and independent life which upon release. It advocates that vocational training be designed to transform
168　convicts' life styles through the vigorous application of discipline, education, work and other relevant programmes.
169
170　5.　Materials and Methods
171
172　5.1　Study area
173
174　Enugu State was created in 1991. Enugu State has a population of 3,257,298 with 17 Local Government Areas (NPC,
175　2006). Enugu State has a total of 4 prisons with the maximum prison at Enugu the State capital. These include Enugu
176　Prison; Ibite Olo prison (farm centre); Nsukka prison and Oji River prison. The study was carried out in Enugu prison.
177　　　　The purposive sampling technique was adopted in the study. The convicted inmates of the prison under study were
178　purposively sampled for the study because they were the only prison inmates involved in rehabilitation programmes. All
179　the convicted male and female inmates of the prison were used in the study. The Awaiting Trial Mails (ATMs) were
180　however, excluded from the study because they do not have access to rehabilitation programmes in the Nigerian prisons.
181　Data was collected from the respondents using questionnaire, which was other administered using two trained research
182　assistants. The questionnaires were administered during the inmates' "open out" recreation exercise. The first part of the
183　questionnaire contains demographic characteristics of the respondents, while the second part deals with the specific
184　issues of the study.
185
186　5.2　Sample
187
188　A sample of one hundred and forty five (145) prison inmates was drawn from Enugu prison. The rationale behind the use
189　of this number is because rehabilitation programmes are meant for the convicted mail only and these happen to be the
190　number undergoing rehabilitation programmes as at the time of the study. The demographic characteristics of the
191　population show that there are 129 males (89%) and 16 females (11.0%). The mean age of the respondents was 21
192　years. Most of them were married (50.0%). 7.6% of the respondents do not have any formal education, 4.1% have
193　Koranic education, 29.0% have primary education, 37.2% have either SSSC or GCE, 16.6% have B.Sc and above, while
194　5.6% specified that they have NCE/Diploma and RSA. The respondents are predominantly Christians (81.4%). Less than
195　half were students (35.2%) before conviction, 24.1% were Civil servants, 14.5% were traders, (10.3%) were unemployed,
196　while 8.3% were farmers.
197
198　5.3　Measures
199
200　To understand inmates' perception of the effectiveness of rehabilitation progrmmes, the following questions were asked:
201　　　　1.　Does rehabilitation progrmmes exist in the prison?
202　　　　2.　What type of rehabilitation programmes exist for the inmates?
203　　　　3.　How long does rehabilitation programmes last?
204　　　　4.　How would you assess the rehabilitation programmes in the prison?
205　　　　5.　What hinders rehabilitation programmes?
206　　　　6.　What impact has rehabilitation programmes made in your life?
207
208　5.4　Results
209
210　Results from the study show that all the respondents agreed that rehabilitation programmes exist in the prison (100.0%),
211　that rehabilitation progrmmes cover adult literacy and carpentry (26.0%) respectively, tailoring (18.0%), arts/crafts and
212　welding (15.0%) respectively, and that the progrmmes last as long as one is in prison (93.1%). However, majority of the
213　respondents (62.8%) and (31.0%) perceived the programmes as fairly successful and not successful respectively.
214　Moreover, the major hindrance to habilitation programmes was lack of fund/inadequate funding (35.2%). However,
215　majority of the respondents (85.5%) were of the view that rehabilitation programmes have made positive impact in their
216　lives.
217　　　　The first question sought to find out the existence of rehabilitation programmes in the prison. All the respondents
218　under study maintained that rehabilitation programmes exist in the prison. These include adult literacy, arts/crafts,
219　carpentry, tailoring and welding.

The second question focused on the types of rehabilitation programmes inmates were involved in. This is presented in Figure 1.
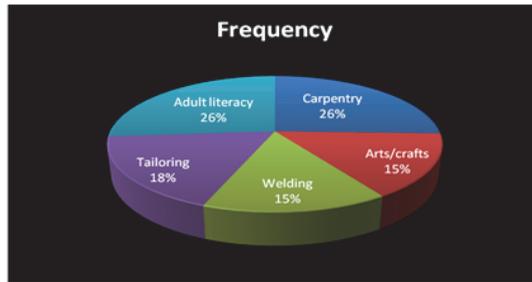
Figure 1: Types of rehabilitation programmes inmates were involved in.
Source: Field work, 2012/2013

Fig. 1 shows the types of rehabilitation programmes inmates participated in. Out of 145 prison inmates used for the study, 26.0% were involved in adult literacy and carpentry respectively, 18.0% were involved in tailoring, and 15.0% were involved in welding and arts/crafts respectively.

The third question was concerned with the duration of rehabilitation programmes in the prison. This also is shown in table 1

Table 1: Duration of rehabilitation programmes in Enugu prison

Duration of rehabilitation programmes	Frequency	Percentage (%)
6 months	2	1.4
12 months	8	5.5
As long as one is in prison	135	93.1
Total	**145**	**100.0**

Source: Field work, 2012/2013

Table 1 shows that 93.1 percent of the respondents said that rehabilitation programmes last as long as one is in prison, 5.5% indicated that it last for 12 months, while the remaining 1.4% said that they last for 6 months.

The fourth question focused on the inmates' assessment of rehabilitation programmes. Table 2 below shows their responses.

Table 2: Respondents' assessment of rehabilitation programmes in the prison.

Responses	Frequency	Percentage
Successful	9	6.2
Fairly successful	91	62.8
Not successful	45	31.0
Total	**145**	**100**

Source: Field work, 2012/2013

Table 2 shows that majority of the respondents (62.8%) perceived the programmes as fairly successful, 31% perceived the programmes as not successful, while the remaining 6.2% perceived it as successful. This implies that majority of Enugu prison inmates perceived rehabilitation programmes as fairly successful.

Question number five sought to know the obstacles in implementing rehabilitation programmes. This is presented in table 3

Table 3: Obstacles to rehabilitation

Responses	Frequency	Percentage (%)
Lack of fund/inadequate funding	51	35.2
Lack of physical infrastructures	27	18.6
Poor management/Administration	26	17.9
Prison staff	1	0.7
Breakdown of equipments	40	27.6
Total	**145**	**100**

Source: Field work, 2012/2013

Table 3 shows that 35.2% of respondents identified lack of fund/inadequate funding as an obstacle to rehabilitation, 27.6% respondents indicated breakdown of equipment, 18.6% said it was lack of physical infrastructures, 17.9% said it was poor management/administration, while the remaining 0.7% indicated that prison staff do not care to rehabilitate them.

The sixth question focused on the impact of rehabilitation programmes to prison inmates. This is shown in table 4.

Table 4: The impact of the rehabilitation programmes on prison inmates

Responses	Frequency	Percentage (%)
Positive Impact	124	85.5
Negative Impact	1	0.7
No Impact	20	13.8
Total	**145**	**100**

Source: Field work, 2012/2013

Table 4 shows that 85.5% of the respondents said that rehabilitation programmes have impacted on them positively, 13.8% of the respondents had no impact of the rehabilitation programmes, while 0.7% had negative impact of the programmes.

6. Discussion

The study investigated the inmates' perception of the effectiveness of rehabilitation programmes in the Nigerian prisons with reference to Enugu prison. One hundred and forty five (145) respondents were used. In the analysis, the findings showed that rehabilitation programmes exist in prison and they include carpentry, adult literacy, arts/crafts, tailoring and welding. These findings are in agreement with the observation of Inciardi (2009) that prison programmes include a variety of activities, all of which can have an impact either directly or indirectly on the rehabilitation of offenders and their successful reintegration into the community after release.

The study also showed that as long as an inmate is in the prison, he/she undergoes rehabilitation. However, the study revealed that the rehabilitation programmes have been fairly successful. The major obstacle to rehabilitation was identified as lack of fund/inadequate funding. The finding is in agreement with Prison Annual Report (2001/ 2002) which indicated that inadequate funding was a major constraint which hampers both rehabilitation and after care of prisoners. Furthermore, more than half of the respondents accepted that rehabilitation progrmmes have impacted positively in their lives by teaching them skills which they will utilize on release.

7. Recommendations

Based on the findings, the following recommendations were made:

- The prison authorities should provide earning schemes to inmates to enhance their effective reintegration and rehabilitation into the society.
- The prison should be adequately funded to acquire state of the arts equipments to enhance effective rehabilitation of inmates.
- Social workers should create awareness on the need for every convicted mail to be involved in one

rehabilitation programme or the other.

- Rehabilitation programmes should not be left in the hands of prison officials alone. Social workers, NGOs and FBOs among others should be fully involved in rehabilitation of inmates.
- Further studies can be carried out on assessment of the non-governmental organisations in rehabilitation of prison inmates.

8. Conclusion

The study examined the effectiveness of rehabilitation programmes in the prisons. It was discovered that the rehabilitation programmes were not very successful due to lack of fund, inadequacy of rehabilitation equipment, lack of trained personnel, lack of manpower and poor management of rehabilitation programmes among others. The findings show that prisons have not successfully achieved their objective according to the Nigerian Prison Act of 200) which is to reform and rehabilitate offenders to be good and useful citizens. Therefore, rehabilitation programmes in the prisons are not very effective.

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Comparison of Early Maladaptive Schemas in Patients with Obsessive-Compulsive Disorder, Patients with Obsessive-Compulsive Personality Disorder with Healthy Individuals

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Abstract

Objective: Early maladaptive schemas (EMSs) fundamental beliefs that underpin stable and trait-like psychological disorders are chronic and relapsing. In our research, active schemas in Obssessive-Compulsive patients with Obssessive Compulsive Pesrsonality patients have been compared with healthy individuals.The purpose of this study was to compare early maladaptive schemas Young (2003, 1990) in OCD patients with OCPD patients and healthy subjects. Method: For this study, 38 patients with Obssessive Compulsive disorder and 44 patients with Obssessive Compulsive Personality disorder during the year who referred to medical centers and clinics in Kermanshah city were selected through structured interviews and the Yele Braown Obssessive Compulsive Scale (Y-BOCS), and 63 patients from diagnosis for mild problems who referred to the clinic were considered as controls. 15 early maladaptive schemas through Young Schema Questionnaire-Short Form (YSQ-SF) were measured. Results: Analysis of variance showed that maladaptive schemas are different in the three groups. All maladaptive schemas except Self-sacrifice, and insufficient self-control in both group of patients were significantly higher than in healthy individuals. The results indicate that differences between individuals with obssessive-compulsive disorder and healthy control in schemas of emotional deprivation, mistrust, social isolation, Failure to achieve, Dependence, Vulnerability to harm, Subjugation, Emotional inhibition, and Unrelenting standards were statistically significant. The obssessive compulsive personality disorder group significantly obtained higher scores than the obssessive compulsive disorder group in 13 schemas. Also the obssessive compulsive personality disorder group obtained higher scores compared to the healthy control group in the total score of schemas. Conclusion: The findings of the present study suggest that, in the OCD and OCPD patients, all maladaptive schemas except Self-sacrifice, and insufficient self-control indicated higher scores. The effect size in this study shows that in both disorders schemas and schemas of vulnerability to harm and illness to have the greatest impact.

Keywords: Early Maladaptive Schemas, obsessive compulsive disorder, obsessive compulsive personality disorder.

1. Introduction

Among patients with anxiety disorders, Obsessive compulsive disorder (OCD) sufferers are likely to have the greatest number of patient hospitalized (Barlow & Duran, 2015). Lifetime prevalence of OCD is estimated from 1.6% to 2.3% (Calamari, Chik, Pontarelli, & DeJong, 2012; Kessler, Berglund, et al., 2005), and the 1-year prevalence of the disorder is estimated to be 1% (Calamari et al., 2012; Kessler, Chiu, et al., 2005). Beck and Clark (2010) suggested that cognitive vulnerability to anxiety due to repeated experiences of neglect, abandonment, humiliation and psychological trauma occurs in childhood and adolescence. According to the cognitive point of view, there are maladaptive cognitive schemas and faulty appraisals are important processes in the etiology and persistence of obsessions and compulsions considered (Clark and Beck, 2010). Olatunji, Cisler, and Tolin (2007) found that people with anxiety disorders compared to non-anxious significantly lower quality of life experience, and impaired quality of life for all anxiety disorders have been reported almost identical. And OCD is located at the top of these disorders. In addition to the theoretical debate on the relationship between obsessive - compulsive personality disorder and obsessive - compulsive disorder, a growing volume of research has also it's too much comorbidity between these two disorders have revealed. For example, studies on the diagnostic criteria for DSM-IV comorbidity of OCD with obsessive-compulsive personality disorder are estimated to be

around 23 to 32 percent (Albert, Maina, Forner, & Bogetto, 2004; Coles, Pinto, Mancebo, Rasmussen and et al., 2008). Research also recently Starcevic et al. (2013) reported that 47.3% of the comorbidity of these disorders (Starcevic, Berle, Brakoulias, Sammut & et al., 2013). There is clear evidence of personal beliefs or schemas about threats and vulnerabilities as predisposing factors for anxiety disorders support. There is emerging evidence that enduring beliefs or schemas about threat and personal vulnerability are predisposing factors to anxiety disorders. Although research on the cognitive model of anxiety vulnerability is still in the preliminary stages ,significant progress in recent years in establishing the causal abstinent for fear in anxiety have been achieved (Beck et al. 2011). Nevertheless, early maladaptive schemas (EMS) organise the principles of giving appraisal and meaning to experiences and have not previously been investigated in OCD populations (Furlong, 2006).

According to cognitive theory, schemas called cognitive structures that lead screening, code and assessment of stimulus input. Based on schemas ,to the parties themselves ,and their experiences are interpreted in a meaningful way. Schemes over a long period of life extending and be extended (Beck, 1976; Guidano & Liotti, 1983). If in the course of development ,people experience very negative environmental experience (e.g., abandonment, abuse, or neglect), may have created distorted views about self, others and the world around and contribute to the formation of maladaptive schemas (Beck, Freeman, Davis, et al., 2006).

For Young (2003), early maladaptive schemas (EMS) are, stable, broad, pervasive themes regarding oneself and one's relationship with others, developed during childhood, and elaborated throughout one's lifetime, and dysfunctional to a significant degree (Young et al., 2003). Maladaptive schemas result in the production of negative feelings, such as depression and anxiety (Young, 1999). When schemas are latent, they have no role in information processing. When activated, they channel cognitive processing from the first to the last stages (Beck et al., 2004). Schemas are not always positive and adaptive: They may also be negative and maladaptive (Young et al., 2003).

Young et al. have identified 18different EMSs to date, each with its own proposed origin and long-term impact. The18 EMSs are grouped into five umbrella categories known as schema domains ,bringing together the EMSs that tend to develop together. Every domain represents one important part of the core needs of the child. Childhood neglect, adversities, maltreatment and abuse produce, for example, EMSs like Abandonment/ Instability (AB), Mistrust/ Abuse (MA) or Emotional Deprivation (ED) which belong to the Disconnection and Rejection schema domain according to the SFT (Young, 1999; Young et al.,2003).

In study of Sookman, Pinard, Beck (2001) as Vulnerability Schemas in Obsessive-Compulsive Disorder elaborates on the construct of dysfunctional vulnerability schemas in Obsessive-Compulsive Disorder (OCD). Four domains of beliefs are hypothesized to comprise vulnerability in OCD: Perceived Vulnerability; View of/Response to Unpredictability, Newness, and Change; View of Strong Affect; and Need for Control. A study carried out with 111 subjects indicated that OCD patients more strongly endorsed these beliefs compared with patients with other anxiety disorders, mood disorders, and normal controls. The discriminant function derived from these four belief domains was effective in classifying OCD patients and other subjects into their respective groups. The results support the inclusion of dysfunctional vulnerability beliefs in cognitive assessment and treatment of OCD. Atalay, Atalay, Karahan, and Çakiskan (2008) compared EMSs among patients with OCD and healthy controls. OCD patients scored significantly higher than controls on 11 of 18 EMSs. The greatest differences were observed for Social Isolation, Vulnerability to Harm or Illness, and Negativity/Pessimism. The severity of OCD symptoms was significantly correlated only with the Dependence/Incompetence EMS, with none of the other EMSs even approaching statistical significance. Noie, Asgharnezhad Farid, Fata, & Ashoori (2010) compared "Early Maladaptive Schemas" and their parental origins in individuals with obsessive-compulsive disorder, obsessive-compulsive personality disorder and non-clinical sample. The research was a post-hoc (causal-comparative) cross-sectional study that was carried out on a sample of 45 subjects (including 15 patients with OCD and 15 patients with OCPD and 15 non-clinical individuals) who were selected using convenience sampling. The subjects were assessed using Young Maladaptive Schema Questionnaire and Young Parenting Inventory. Data were analyzed using MANOVA and descriptive statistics. Results showed significant difference among clinical groups and the non-clinical sample in early maladaptive schemas. The results of this study also suggest that the two clinical groups are similar deep cognitive constructs. Therefore, this study supports relationship between these disorders (OCD and OCPD). Another study compared EMSs in OCD and in trichotillomania (TTM) (Lochner et al., 2005). OCD participants (n=33) scored significantly higher than the TTM group (n=26) on Mistrust/Abuse, Social Isolation, Defectiveness/Shame, Subjugation, and Emotional Inhibition, with a nonsignificant trend toward a higher score for Vulnerability to Harm or Illness. OCD patients reported more childhood trauma, disability, and comorbidity, but also better response to treatment. Unfortunately, because there was no healthy control group, it was not possible to identify EMSs elevated among both disorders. In study of Kim, Lee & Lee (2014) as Relationship between early maladaptive schemas and symptom dimensions in patients with obsessive-

111 compulsive disorder on a sample of fifty-seven patients with OCD and 70 normal controls completed the Young Schema
112 Questionnaire, the Yale-Brown Obsessive Compulsive Scale (Y-BOCS), the Y-BOCS symptom checklist, and the Beck
113 Depression Inventory. Patients with OCD had significantly higher scores for schema related to defectiveness/shame,
114 social isolation/alienation, and failure than did normal controls. Among the five OCD symptom dimensions, the
115 sexual/religious dimension was only significantly correlated with two schemas of vulnerability to harm or illness and
116 enmeshment/undeveloped self. These two schemas were significant predictors of the sexual/religious dimension,
117 accounting for 33% of the total variance in this dimension. Any EMSs in patients with OCD were not related to clinical
118 variables such as severity of OCD and duration of illness. These findings may constitute evidence to improve our
119 understandings of OCD from a perspective of schema theory. In study of esmaeeli, sohrabi, borjali and farokhi (2010) by
120 activated EMSs in a sample comprised 42 patients with OCD 33 women, 9 men, and 70 healthy people as control group
121 via convenient sampling method selected. Data gathering was done using Y-BOCS, Structured Clinical Interview for
122 DSM-IV axis-I disorders (SCID-I) and Symptom Checklist-90-Revised, Obsessive-Compulsive Symptoms (SCL-90-R-
123 OCS), Young Parenting Inventory (YPI), and Young Schema Questionnaire – Short Form (YSQ-SF). The results showed
124 significant difference among clinical groups and the non-clinical sample in early maladaptive schemas. In addition results
125 shows that in patient with OCD, schemas of Entitlement, Unrelenting Standards, Mistrust/Abuse, and Vulnerability to
126 harm and illness was actived. In the research of Talee-Baktash, Yaghoubi, & Yousefi (2013) Compared the early
127 maladaptive schemas and cognitive emotion regulation strategies in obsessive-compulsive disorder patients and healthy
128 controls. Results shows that compared with healthy subjects OCD patients received the higher scores in early
129 maladaptive schemas. In the research of Wilhelm, Berman, Keshaviah, Schwartz, & et al. (2015) results indicated that
130 perfectionism and certainty obsessive beliefs and maladaptive schemas related to dependency and incompetence
131 significantly mediated (improved) treatment response. In conclusion, cognitive changes in perfectionism/certainty beliefs
132 and maladaptive schemas related to dependency/incompetence precede behavioral symptom reduction for OCD
133 patients. Targeting these mechanisms in future OCD treatment trials will emphasize the most relevant processes and
134 facilitate maximum improvement. In the review research of Weingarden, & Renshaw (2015) shame schema were
135 compared in patients with OCD and related disorders. They provide an overview of shame, its measurement
136 considerations, and a full review of 110 articles addressing shame in OCRDs. Results show that much of the current
137 knowledge on shame in OCRDs comes from anecdotal, case, and conceptual work. Empirical studies do not always
138 assess specific types of shame, instead assessing shame as a general construct.
139   Therefore, the aim of this study was to investigate the presence of EMSs in patients with Obssessive Compulsive
140 disorder and compare their schematic structure with a group of normal controls and a group of patients with Obssessive
141 Compulsive Personality disorder.
142   In the present study, we have sought to test the following hypotheses:
143   1. There is significant difference between maladaptive schemas in patients with obssessive compulsive disorder
144   and patients with obssessive compulsive personality disorder and healthy subjects.
145   2. Maladaptive schemas in patients with obssessive compulsive disorder and patients with obssessive
146   compulsive personality disorder more frequent than in normal subjects.
147   3. Mean score of maladaptive schemas in patients with obsessive compulsive personality disorder is higher than
148   patients with obsessive-compulsive disorder.

149
2. Method
151

152 This is a causal – comparative or ex post facto study. Research variables through the standardized questionnaire and
153 structured clinical interviews were measured, and the differences between the groups were analyzed by ANOVA test.

154
3. Participants
156

157 Participants in this study have been chosen from patients who referred to psychological counseling centers in
158 Kermanshah. Conditions of entry into the study were (1) Having OCD or obsessive-compulsive personality disorder is
159 diagnosed by a psychiatrist or clinical psychologist based on DSM-IV criteria or healthy a person; (2) Not having other
160 mental disorders and; (3) At least Middle school diploma education. Exclusion criteria from the study were (1) Low
161 education; (2) Having combined disorders; and (3) It does not specify the type of mental disorder or not having mental
162 health measures. The control group of clients who have not seen any signs or symptoms of disease were selected. The
163 study sample was referred to psychological or psychiatric clinics in Kermanshah, who had one of OCD or obsessive-
164 compulsive personality disorder. Samples are available research referring to psychological and psychiatric clinics in

165 Kermanshah were selected. The total sample size was 140. The total sample size was 140.38 patients with obssessive
166 compulsive and 44 patients with obssessive compulsive personality disorder, from October 2013 to the end of September
167 2014 were visited in health centers and 58 non- patients, who had clinically no impairment, were selected as controls.
168 Total sample size was 140. From this sample, 46.1% were female, and 53.9% male. Informed consent was delivered to
169 all participants, and the participants were assured that the information provided by them will be kept be treated
170 confidentially.
171   In the study, the age range of participants was 20 to 40 years (and the mean age 27.24 years, and their median
172 age 29 years). Then, structured clinical interview for DSM IV axis 1 disorders (SCID-I), Structured clinical interview for
173 DSM IV personality disorders (SCID-II), Yale-Brown Obsessive Compulsive Scale (Y-BOCS), and Young Schema
174 Questionnaire- Short Form (YSQ-SF) were used to examine the patients.

4. Materials

178 Patients in this study were enrolled based on the Structured Clinical Interview for DSM-IV Axis I &II Disorders (SCID-I and
179 SCID-II). Then, Yale-Brown Obsessive Compulsive Scale (Y-BOCS), and Young Schema Questionnaire- Short Form
180 (YSQ-SF) were used to examine the patients.
181   Structured Clinical Interview for DSM-IV Axis I (SCID-I)
182   SCID and its versions were considered to be the most comprehensive and structured diagnostic interviews which
183 were available. In fact, they were new and wide range utility instruments, in 1987 by Spitzer, Gibbon, Williams and built in
184 compliance with the criteria of the DSM-IV (Groth-Marnat, 2009). Due to high accuracy of the diagnostic criteria and
185 extraordinary compliance with DSM-IV, the codification was translated to and adapted with different languages. The
186 Persian translation of the SCID-I (the clinician version: SCID-CV) was utilized in this study. The Persian version has been
187 normalized and its assessment has shown that diagnostic agreements between test and retest SCID administration are
188 fair to good for most diagnostic categories. Overall weighted kappa was 0.55 for lifetime diagnoses. Specificity values for
189 most psychiatric disorders were high (over 0.85) and the sensitivity values were somewhat lower (Sharifi, Assadi,
190 Mohammadi, Amini, et al., 2007).
191   The Structured Clinical Interview for DSM-IV Axis II (SCID-II)
192   The second version of the Structured Clinical Interview (First, Spitzer, Gibbon, & Williams, 1996) for measuring
193 eleven personality disorders, including obsessive – compulsive personality disorder, designed. In study of Lobestal,
194 Leurgans, & Arntz (2011) tested inter-rater reliability of SCID I and SCID II that were simultaneously assessed in a
195 sample of N=151 participants. Results revealed moderate to excellent inter-rater agreement of the Axis I disorders, while
196 most categorically and dimensionally measured personality disorders showed excellent inter-rater agreement. In Iran
197 SCID-II and SCID-IIPQ have been translated and adapted by Mohammadkhani, Jokar, Jahani-tabesh, and Tamannaei-
198 far (2011). Studies of test-retest reliability and inter-rater consistency refer to the intermediate results. For instance, the
199 inter-rater consistency of SCID-II for general diagnostic cases was between 0.40 – 0.86, with an average of 0.59. Since
200 SCID was made consistent with DSM-IV diagnostic criteria, it could be assumed to be valid.

4.1 Yale-Brown Obsessive Compulsive Scale (Y-BOCS),(Goodman, Price, & Rasmussen, 1989)

204 A semi-structured clinical interview to assess the severity of obsessive and compulsive, regardless of the number and
205 content of obsessions and current compulsion. Yale-Brown Obsessive Compulsive Scale has two parts: a symptom
206 checklist (SC) and the symptom severity (SS) scale. 16 items of SC is on a five-point Likert scale and self-report
207 answered. SS obsession and compulsion in any of the five dimensions of the disturbance frequency, interference,
208 resistance and control of symptoms are estimated. Y-BOCS gives three scores: Obsessions, compulsions intensity and a
209 total score that includes all the items (Goodman et al., 1989). Today (Y-BOCS) tool for screening of patients with OCD
210 and has been used in many studies. Inter-rater reliability and test-retest (YBOCS) to assess the symptoms of OCD, but
211 not in other disorders and depression have been reported suitable (Woody, Steketee, & Chambless, 1994; Tek, Ulu, &
212 Gürsoy Rezaki, 1995). (Y-BOCS) was translated into 13 languages, and the reliability and validity of this scale in the
213 research (Calamari, Wiegartz, & Janeck,1999; Moritz, Meie, & Kloss, 2002; Arrindell, Vlaming, Eisenhardt, & Berkum,
214 2002; Feinstein, Fallon, Petkova, & Liebowitz, 2003; Deacon, & Abramowitz, 2005; Storch, Shapira, Dimoulas, Geffken,
215 & et al.,2005; Rosario-Campos, Miguel, Quatrano, Chacon, & et al.,2006; Stein, Andersen, & Overo, 2007; Cullen, &
216 Brown, 2007; Pinto, 2008) and many cultures (Mollard, Cottraux, & Bouvard, 1989; Nakajima, 1999; Woody, Steketee, &
217 Chambless,1994; Rosas, Vega-Dienstmaier, Suarez, Vidal, & et al.,2002; Jacobsen, Kloss, Fricke, Hand, & et al.,2003)
218 have been studied. In Iran only 3 study (Mohammad-khani, 1991; Bigham, 2000; Rajezi-Esfahani, Motaghipour, Kamkari,

219 Zahiredin, et al., 2012) content validity (Y-BOCS) and the reliability of this scale are studied.
220
221 *4.2 Early Maladaptive Schemas Scale: Young Schema Questionnaire- Short Form (SQ-SF, Young, 1998)*
222
223 The schema questionnaire-short form (SQ-SF) assesses 15 EMSs. The scales consist of five items with the highest
224 loadings on the 15 factors that are emerged in a factor analysis of the long-form of the SQ (Schmidt et al., 1995). EMSs
225 are grouped in five broad domains: disconnection and rejection (abandonment, mistrust, emotional deprivation,
226 defectiveness, social isolation), impaired autonomy and performance (dependence, vulnerability, enmeshment, failure),
227 impaired limits (entitlement, insufficient self-control), other directedness (subjugation, self-sacrifice, approval-seeking),
228 and overvigilance and inhibition (negativity, emotional inhibition, unrelenting standards, punitiveness). Respondents are
229 asked to rate statements on a six point Likert scale from "completely untrue of me" to "describe me perfectly". In Iran,
230 Ghiasi (2008) studied the validity of the scale, and it has shown. Ghiasi (2008) has reported coefficient alpha for this
231 scale (α = 0.94) and the coefficients for the subscales between 0.60 - 0.90. Also, the discriminant validity and convergent
232 validity of the YSQ-SF with dysfunctional attitudes scale are shown. In the study of Ahi (2006), the validity of this scale
233 was obtained between 0.62 - 0.90. Also, the research of shariatzadeh, vaziri, and mirhashemi (2014) confirmed that the
234 validity of this questionnaire have been a factor.
235
236 *4.3 Procedure*
237
238 Non-hospitalized obssessive compulsive patients, obssessive compulsive personality patients after diagnosis via
239 structured clinical interviews, completed research questionnaires. Control group were healthy subjects who referred to a
240 counseling clinic for mild problems, and the questionnaires were completed.
241
242 **5. Resoults**
243
244 *5.1 Statistical Analysis*
245
246 Kolmograph-Smirnov test showed that our data had normal distribution. Hence, to assess the statistical significance of
247 the differences between obssessive compulsive patients, obssessive compulsive pesonality patients and normal subjects,
248 ANOVA test was used. Statistical analysis was done using SPSS version 21 and differences were considered significant
249 with P<0.05. Data from the questionnaires were analyzed by SPSS v 21 software. The variables were tested for normality
250 of distribution, and outliers were removed from the analysis. The descriptive parameters including mean and SD were
251 calculated (Table 1).
252   Cronbach's alpha reliability of the total scale method (α = 0.87) was obtained, and the coefficient for the
253 questionnaire was adequate and appropriate. The lowest alpha was for insufficient self-control subscale (α = 0.74), and
254 the highest alpha belonged to subscales of failure (α = 0.92). All reliability coefficients were acceptable, and reliability
255 coefficient for the total scale was sufficient. To examine demographic differences, one-way analysis of variance test
256 (ANOVA) and t-tests were performed. ANOVA test results showed that early maladaptive schemas between single,
257 married, and divorced, had no significant differences. It was also found that early maladaptive schemas between
258 Diploma, Bachelor, and Masters had no significant differences.
259
260 **Table 1:** Table of descriptive statistics for maladaptive schemas in patients with obssessive compulsive disorder,
261 obssessive compulsive personality disorder and healthy control subjects.
262

Variables	Group					
Maladaptive Schemas	OCD		OCPD		Health	
	Mean	St.D	Mean	St.D	Mean	St.D
Emotional Deprivation	10.02	7.51	18.16	4.92	10.90	6.25
Abandonment	14.64	5.08	18.37	5.26	13.67	7.34
Mistrust/Abuse	12.59	8.90	18.26	4.96	10.34	4.52
Social Isolation	10.59	5.93	15.89	5.69	8.09	5.92
Defectiveness / shame	7.43	5.80	12.03	5.31	7.02	3.73
Failure to achieve	9.36	6.00	16.74	4.06	7.12	2.61
Dependence	22.14	6.03	21.89	6.45	17.21	5.26

Vulnerability to harm	9.64	6.30	16.92	3.71	8.00	4.38
Subjugation	16.05	5.45	12.92	7.88	12.50	6.24
Self-sacrifice	9.61	7.71	14.97	4.19	8.16	3.58
Emotional inhibition	18.59	4.98	22.82	5.63	17.86	5.30
Enmeshment	13.05	6.17	17.05	6.31	11.53	5.97
Unrelenting standards	17.82	6.04	19.87	7.35	19.41	5.28
Entitlement / grandiosity	13.95	7.55	16.92	5.36	14.33	6.14
Insufficient self-control	12.45	6.23	16.61	4.03	10.98	4.41
Whole schemes	185.48	72.68	251.42	43.18	168.19	40.62

To examine the first specific hypotheses, results (Table 2) showed that all schemas, except Self-sacrifice (F=1.3; DF=2,137; P=0. 0.275), and Insufficient self-control (F=2.662; DF=2,137; P=0.073) were higher in patients than in healthy individuals. In other words, schemas of abandonment, emotional deprivation, abandonment, mistrust/abuse, social isolation, defectiveness/shame, failure to achieve, dependence, vulnerability to harm, subjugation, self-sacrifice, emotional inhibition, enmeshment, and insufficient self-control of patients with OCD and obsessive-compulsive personality disorder patients obtained significantly higher score.

Eta squared coefficient indicates that the effect of group (illness or health) on maladaptive schemas is effective. In other words, all maladaptive schemas except Self-sacrifice, and insufficient self-control in patients were significantly higher than in healthy individuals. Thus, according to the findings of Table 2, there is sufficient evidence to confirm the first hypothesis that "the three groups have statistically significant differences in the maladaptive schemas".

Table 2: Results of ANOVA for comparison of two groups of patients with obssessive-compulsive disorder, obssessive-compulsive personality disorder and healthy control

Maladaptive schemas	Df	F	P value	η^2
Emotional Deprivation	2,137	20.929	0.000	0.234
Abandonment	2,137	6.964	0.001	0.092
Mistrust/Abuse	2,137	19.459	0.000	0.221
Social Isolation	2,137	20.602	0.000	0.231
Defectiveness / shame	2,137	13.702	0.000	0.167
Failure to achieve	2,137	61.931	0.000	0.475
Dependence	2,137	11.488	0.000	0.144
Vulnerability to harm	2,137	41.996	0.000	0.380
Subjugation	2,137	3.986	0.021	0.055
Self-sacrifice	2,137	1.300	0.276	0.019
Emotional inhibition	2,137	10.704	0.000	0.136
Enmeshment	2,137	9.473	0.000	0.121
Unrelenting standards	2,137	20.746	0.000	0.232
Entitlement / grandiosity	2,137	15.683	0.000	0.186
Insufficient self-control	2,137	2.662	0.073	0.037
Whole schemes	2,137	30.839	0.000	0.310

To test the second hypotheses of the independent, t-test was performed. The results (Table 3) indicate that differences between individuals with obssessive-compulsive disorder and healthy control in schemas of emotional deprivation (t=3.765; df=100; P=0.00), mistrust (t=2.353; df=99.705; P=0.021), social isolation (t=2.152; df=100; P=0.032), Failure to achieve (t=3.195; df=69.013; P=0.002), Dependence (t=4.251; df=100; P=0.00), Vulnerability to harm (t=1.993; DF=100; P=0.049), Subjugation (t=2.457; DF=80.048; P=0.016), Emotional inhibition (t=4.352; DF=100; P=0.00), and Unrelenting standards (t=4.221; DF=74.707; P=0.000) were statistically significant.

293 **Table 3:** Results of t test for comparison of two groups of patients with obssessive-compulsive disorder and healthy
294 control
295

EMSs	t-test for Equality of Means		
	t	df	P value
Emotional Deprivation	3.765	100	0.000
Abandonment	0.772	99.705	0.442
Mistrust/Abuse	2.353	87.868	0.021
Social Isolation	2.152	100	0.034
Defectiveness / shame	.463	100	0.645
Failure to achieve	3.195	69.013	0.002
Dependence	4.251	100	0.000
Vulnerability to harm	1.993	100	0.049
Subjugation	2.457	80.048	0.016
Self-sacrifice	0.669	100	0.505
Emotional inhibition	4.352	100	0.000
Enmeshment	1.235	100	0.220
Unrelenting standards	4.221	74.707	0.000
Entitlement / grandiosity	0.321	100	0.749
Insufficient self-control	1.731	100	0.086
Whole schemes	2.072	100	0.041

296

297 The results also showed that total scores of individuals in maladaptive schemas (t=2.072; DF=100; P=0.041) have
298 statistically significant difference. Significant differences were not observed between the two groups in other schemas.
299

300 **Table 4:** Results of t test for comparison of two groups of patients with obssessive-compulsive personality disorder and
301 healthy control
302

EMSs	t-test for Equality of Means		
	t	Df	P value
Emotional Deprivation	4.946	68.962	0.000
Abandonment	3.702	93.683	0.000
Mistrust/Abuse	5.074	49.632	0.000
Social Isolation	6.316	94	0.000
Defectiveness / shame	5.155	94	0.000
Failure to achieve	9.321	46.282	0.000
Dependence	3.916	71.590	0.000
Vulnerability to harm	7.602	60.201	0.000
Subjugation	0.339	94	0.735
Self-sacrifice	0.379	71.705	0.082
Emotional inhibition	4.584	94	0.000
Enmeshment	4.370	94	0.000
Unrelenting standards	5.104	47.564	0.000
Entitlement / grandiosity	3.768	67.732	0.000
Insufficient self-control	4.825	61.046	0.000
Whole schemes	6.431	52.274	0.000

303
304 Testing differences between the patients with obsessive-compulsive personality disorder and healthy individuals is given
305 in Table 4. The results in Table 4 show that patients with obsessive-compulsive personality disorder significantly in the
306 schemas of Emotional Deprivation (t=4.946, df=68.962, p=0.000), Abandonment (t=3.702, df=93.683, p=0.000), Mistrust/
307 Abuse (t=5.074, df=49.632, p=0.000), Social Isolation (t=6.316, df=94, p=0.000), Defectiveness / shame (t=5.155, df=94,
308 p=0.000), Failure to achieve (t=9.321, df=46.282, p=0.000), Dependence (t=3.916, df=71.59, p=0.000), Vulnerability to
309 harm (t=7.602, df=60.201, p=0.000), Emotional inhibition (t=4.584, df=94, p=0.000), Enmeshment (t=4.37, df=94,
310 p=0.000), Unrelenting standards (t=5.104, df=47.564, p=0.000), Entitlement / grandiosity (t=3.768, df=67.732, p=0.000)
311 and Insufficient self-control (t=4.825, df=61.046, p=0.000) have achieved a higher score. The results also showed that
312 total scores of individuals in maladaptive schemas (t=6.431, DF=52.274, p=0.000) have statistically significant difference.
313   Thus, according to the findings of Table 3 and Table 4, there is sufficient evidence to confirm the second

314 hypothesis that "Maladaptive schemas in obssessive compulsive disorder and patients with obssessive compulsive
315 personality disorder more frequent than in normal subjects."

316

317 **Table 5:** Results of t test for comparison of two groups of patients with obssessive-compulsive personality disorder and
318 obssessive-compulsive disorder

319

	t-test for Equality of Means		
	T	df	P Value
Emotional Deprivation	5.705	62.183	0.000
Abandonment	3.256	80	0.002
Mistrust/Abuse	3.489	56.063	0.001
Social Isolation	4.130	80	0.000
Defectiveness / shame	3.745	80	0.000
Failure to achieve	6.412	63.555	0.000
Dependence	0.174	80	0.862
Vulnerability to harm	6.249	57.987	0.000
Subjugation	2.111	76.546	0.038
Self-sacrifice	3.825	55.229	0.000
Emotional inhibition	1.367	80	0.176
Enmeshment	2.897	80	0.005
Unrelenting standards	3.573	80	0.001
Entitlement / grandiosity	2.021	65.529	0.047
Insufficient self-control	3.520	61.591	0.001
Whole schemes	4.896	58.328	0.000

320

321 To test the third specific hypotheses, t test was performed for patients with obsessive compulsive disorder and
322 obssessive compulsive personality disorder. Test results (Table 5) show that except the Dependence (t=0.06;
323 DF=129.995; P=0.952), ans self-sacrifice (t=0.00; DF=124.792; P=1.00) schemas, the rest of the 13 early maladaptive
324 schemas, there were significant differences between obsessive compulsive disorder and obssessive compulsive
325 personality disorder groups. The obssessive compulsive personality disorder group significantly obtained higher scores
326 than the obssessive compulsive disorder group in 13 schemas. Also the obssessive compulsive personality disorder
327 group obtained higher scores compared to the healthy control group in the total score of schemas. Thus, sufficient
328 evidence has been obtained to confirm the third specific hypothesis and it can be said that Mean score of maladaptive
329 schemas in patients with obsessive compulsive personality disorder is higher than patients with obsessive-compulsive
330 disorder.

331

332 **6. Discussion**

333

334 Cognitive theory states that maladaptive schemas may be responsible for certain perceptions of reality and for confirming
335 negative beliefs, which, in turn, can lead to depression and anxiety (Anmuth, & Haugh, 2011).
336 In the present study testing the first hypothesis showed that patients with obsessive-compulsive personality
337 disorder and patients and OCD patients with healthy control group have statistically significant differences in the
338 maladaptive schemas. Eta squared coefficient indicates that the effect of group (illness or health) on maladaptive
339 schemas was significant. These results are consistent with the findings of researchers such as Schmidt, Joiner, Young, &
340 Telch (1995); Jovev and Jackson (2004); Lee, Taylor, & Dunn (1999); Nordahl, Holthe, and Haugum (2005); Sookman,
341 Pinard, Beck (2003); Atalay, Atalay, Karahan, and Çakiskan (2008); Noie, Asgharnezhad Farid, Fata, & Ashoori (2010);
342 Kim, Lee & Lee (2013); esmaeeli, sohrabi, borjali and farokhi (2010); Talee-Baktash, Yaghoubi, & Yousefi (2013);
343 Wilhelm, Berman, Keshaviah, Schwartz, & et al. (2015); and Weingarden, & Renshaw (2015). The second hypothesis
344 Testing showed that most of maladaptive schemas in obsessive compulsive disorder and patients with obssessive
345 compulsive personality disorder more frequent than in normal subjects. The results indicate that differences between
346 individuals with obsessive-compulsive disorder and healthy control in schemas of emotional deprivation, mistrust, social
347 isolation, Failure to achieve, Dependence, Vulnerability to harm, Subjugation, Emotional inhibition, and Unrelenting
348 standards were statistically significant. The results also showed that total scores of individuals in maladaptive schemas
349 have statistically significant difference, and patient with obssessive-compulsive obtained higher score than control group.

These results are consistent with the findings of researchers such as Sookman, Pinard, Beck (2003); Atalay, Atalay, Karahan, and Çakiskan (2008); Noie, Asgharnezhad Farid, Fata, & Ashoori, (2010); Kim, Lee & Lee (2013); esmaeeli, sohrabi, borjali and farokhi (2010); Talee-Baktash, Yaghoubi, & Yousefi (2013); Wilhelm, Berman, Keshaviah, Schwartz, & et al. (2015); and Weingarden, & Renshaw (2015). The third hypothesis testing showed that mean score of maladaptive schemas in patients with obsessive compulsive personality disorder is higher than patients with obsessive-compulsive disorder. These results are consistent with the findings of researchers such as Noie, Asgharnezhad Farid, Fata, & Ashoori (2010); Nordahl, Holthe, and Haugum (2005); Petrocelli, Glaser, Calhoun, and Campbell (2001); Loper (2003); Sines, Waller, Meyer, and Wigley (2008); Specht, Chapman, and Celluci (2009); Carr and Francis (2010); and Lawrence, Allen, and Chanen (2010). A number of empirical studies found that obsessional personality characteristics were quite distinct from obsessive–compulsive symptoms and that the majority of patients with OCD do not have a premorbid obsessional personality (Clark, 2007). Moreover, certain features of OCPD may be more relevant to OCD than other characteristics of the personality category. For example, perfectionism, a characteristic of OCPD, is significantly elevated in OCD relative to nonclinical controls (Frost & Steketee, 1997). The study found that compulsive personality disorder and obsessive-compulsive disorder, early maladaptive schemas are much higher than in normal subjects. The study showed that with the exception of self-sacrifice and self-control scheme was insufficient in the early maladaptive schemas 13 patients achieved higher scores in other schemas. The scheme was also inconsistent in patients with obsessive-compulsive personality disorder in 13 patients with obsessive-compulsive disorder was higher maladaptive schemas. The findings indicate that although obsessive-compulsive personality disorder and obsessive-compulsive disorder both associated with high levels of maladaptive schemas, but score of these schemas in two disorders are different and these differences was statistically significant at the 13 schemas. These findings suggest that although the schemes are almost identical in both disorders, but the severity and quality of these schemes is quite different. It can show the difference between these disorders which further research is needed. The effect size in this study shows that in both disorders failure and schemas of vulnerability to harm and illness to have the greatest impact.

Much of the research surrounding specific cognitions and psychopathology has centered on individual disorders that do not encompass the full spectrumof pathology that has become common to clinicians (Hammen, Burge, Daley, Davila, Paley, & Rudolph, 1995). The present investigation may also provide relevant implications for clinicians who identify maladaptive schemas as a component of schema-focused cognitive therapy (Sperry, 1999). Several study limitations warrant consideration. First, the assessment of all examined constructs relied solely upon self-report. Shared method variance might have inflated the correlations between the measures. In addition, pathoplastic effects of psychopathology on self-image may have influenced the completion of the inventories (Widiger & Smith, 2008). Second limitation of the present study was use of the short version of the Young schema questionnaire, the Young schema questionnaire-short is only able to measure 15 factors or schemas, but the long version of the questionnaire Yang can measure all 18 early maladaptive schemas.

More research is needed to further evaluate whether the Schema Questionnaires measure what they are intending to measure, namely underlying cognitive structures built early in the development through an interaction between temperament and repeated adverse relationship experiences and serving as templates for processing later experiences (cf. Stopa et al., 2001). In this regard, the development and course of maladaptive schemas and their relationships with psychopathology in childhood and adolescence need more research.

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Functional Basis of Anyigba, Nigeria as a Fast-Growing University Town

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Abstract

This study is carried out to study the functions of Anyigba town especially its commercial functions. It was done to study the adequacy of the commercial functions which the town performs to the inhabitants of the town and the surrounding towns in the region. The establishment of the University coupled with improved economy has encouraged migration as people have moved to the town temporarily or permanently to benefit of its functions. As these people have come to the town, there is a need for their commercial needs to be met. The problem of the adequacy of the commercial functions of Anyigba town includes the lack of numerous markets, distance from far places to the market and the lack of organization in the manner of arrangement. It is therefore suggested that there should be a new plan for the restructuring of the existing market, market men and women encouraged to take loans to purchase goods of high quality and that corner shops and shopping arcades should be built in major areas of the town.

Keywords: Functional, Commercial, Town, Urban Activities, New Plan

1. Introduction

The functional variations in urban activities have led to many systems of classifying towns. This is generally determined by a town's employment structure or sometimes by the value of its activities; classification depends on a town's specialized activity. This is of great importance to geographers and especially the planners. Measures of functional specialization are essential and are also useful devices for describing level of urbanism. Functional significance of places, whether rural or urban, varies. While some urban areas take off from mining, some are industries centers, some also specialize in wholesale and retail trade, and others too have interest in transportation and service rendering businesses.

At the small city level, some peripheral industrial towns based on Agricultural, mineral and forest resources appear. Also, some scattered towns specialize in administration or education usually containing state capital or colleges especially in western Nigeria. The variation in function of places on the long run affects the type of land use. It is therefore responsible for the variation a land use. More important than its functional class is the role a Town performs in the regional and national economy. This is revealed largely by the pattern and the strength of its external relationship to the surrounding towns and the nations.

The functions which an area performs, encourages and or discourages migration. People tend to migrate rewards such areas because of the functions they perform and their overwhelming attractions. This therefore increases the population of such areas; as the population increases, so also the demand for land in the area; thereby leading to inadequacy of land for development in the city. Many of these areas of growth are focal points for development such as industries, education, employment and housing. The centrifugal force tends to be a scourge that results in over-crowding though this is an indication that both the pull and push factors manifests in cities.

'Migration calls' on the rural-urban movement has not abated the cities, as migrants still swarm the cities mostly because of the functions such places perform. The urban population of the developing countries has grown faster than the developed regions hence, the share in urban population has been rising since the 1950's when the patterns of urban growth in the two regions (the less developed and the developed) has shown divergence.

2. Study Area

The Study Areas is Anyigba in Eastern Part of Kogi State in Dekina Local Government Area.

Anyigba lies between longitude 7^0 12^1 East of the Greenwich Meridian and latitude 7^0 36^1 North of the Equator. It is on the south eastern direction of Lokoja (capital of Kogi State) and the bearing of Anyigba from Lokoja is 135^0.

Like most parts of Kogi State, the climate of Anyigba lies within tropical hinterland. The climate region is characterized partly by double and single maximum rainfall patter with about four months of dry season. In the mornings, Relative Humidity generally rises to over 80% and falls between 50%-70% in the Afternoon during the wet season. Rainy season occur between April through October and the peak is September. Rainfall in Anyigba is seasonal which means, it is not all the year round. Extreme variations in total Rainfall for July and August are also general characteristics of rainfall here. Heavy rains of conventional type falls here and this sometimes amount up to about 978.5mm, but may be more. The mean rain days for this area are approximately 73.90days.

In general, the rate of rainfall deceases inland from the southern part of the region. This area comes under the trade wind for part of the year. Temperature is therefore very high. The mean monthly temperature ranges between 21^0C and 32^0C. The daily range in temperature is about 6^0C and the annual variation is about 3^0C in some years (CRIN, 1987). The highest temperature occurs just before the rainy season begins.

Anyigba falls into the lowland area and specifically, it is the lowland and scarpland of the south eastern Nigeria. It lies at the western part of Enugu where the two Plateaus are separated by Anambra and Udi River Line. The area is on the south-western dipping area of the cretaceous sandstone which stretches in the south-western direction. The relief is also cornposed of rounded to flat top hills that was seen as femiginised sandstone. The upper and lower coal measures are subjected to gully erosion. Anyigba is laid out on a gently undulating land between 270 and 390 metres above see.

Anyigba area is located within the southern guinea savanna zone. Although species common to the northern guinea savanna also occur here but is not as much as that of the northern guinea savannah mostly because of man's impact. The distribution of tress, gross etc., is determined by factors such as; fire, Demographic pressure, patterns of cultivation, clearing and relief. Trees found here do adopt to dry conditions (deciduous) and they shed their leaves in the dry season to control evapotranspiration. These trees are however small and widely spaced with thick thin leaves and rough banks because conditions are not as favourable as those found in the southern zone of Nigeria such trees are: Malima, Oil bean tree, Mango, Locust bean tree, Cashew trees, Shea butter tree and Isoberlina. It is clear that much of the study area has reasonably thick vegetation especially during the rainy season. However, in areas with little grass undergrowth, the soil is exposed to leaf falls and occasionally rain drops impact facilitates the breakup of soil surface as subsequent transportation through runoff.

2.1 Occupation

The major occupation of inhabitants of Anyigba town is farming. Most of the farmers practice subsistence farming. They produce crops for their immediate family needs and they sell crops when in excess. They use local tools for their farming practice.

2.2 Geology

Anyigba region is part of the Idah/Ankpa Plateau. The land form of the area undulates gently, and is covered by soil with little exposed bedrock. Immediately to the North of Anyigba, a hill rises to over 50 metres above sea level and has a slope 20 percent. The region generally does not contain well developed valley formation although there is a valley to the North of the town. However, it is likely that the underlying sandstone formations contain aquifers which could be tapped for water by drilling (Anyigba Master Plan 1974-2005).

2.3 Land Use

Anyigba in 2001/2002 occupied an estimated total land area of 11.07506qkm as compared to about 2.25sqkm in 1974 (T.P.D.B., 2002). A major part of the Area (62.28%) is devoted to residential land use (inclusive of residential in prominence in the university). This is followed in prominence by services accounting for as high as 23.27%, the bulk of which is taken by educational land use as either promoted by missionary activities in the town or enhanced by the establishment of the university. Other uses worthy of note are cultivation/green area (jointly accounting for 7.94%) and transportation (3.64%).

The bulk of the conservation area is in form of an erstwhile foreign Assisted forestry project (of teak mainly) now part of the university as well some cemeteries. The 3.64% fraction taken by transportation is partly virtue of the town's location as a junction town for the Dekina, Idah, Ankpa regional roads from which other lower order roads radiate in hierarchy.

The estimated 21.1 hectares (or 1.91%) agricultural land use can be deceptive as it refers to identified land put to cultivation or orchard aside from oil palm which grows freely in most open land and has taken a major attention of farmers in addition to their agricultural land. (UNDP paper on urban and housing indicators study: Kogi State Segment (2002).

2.4 Population

The 2002 household survey estimates by the United Nations Development programme (UNDP), Kogi State segment put the 2001 population of the core area of Anyigba at about 18,907 or (46.38%) of that of the total metropolitan area which was 40.765%. Of this (urban core area) population, an estimated 9,425 (or 49.85%) were males while 9,482 (or 50.15%) were females. On the other hand, 49.93% of the population of the entire metropolitan area of Anyigba (i.e. 20,354) was males as against 50.07% or 20,411 females. This latter figure was in line with the sex ratio from the 1991 population census figures.

The slightly lower sex ratio in the core area is not surprising, given the fairly high Muslim population in this indigenous area and the associated polygamous family set up as compared to the newer areas where missionary influence may have induced a high proportion of Christians. Although the exclusive sex ratio figure for the non-core area was not the concern, this relative fraction may have been responsible for the increased sex ratio for the entire town as compared to the core (UNDP, 2002).

Dependency ratio seems to be lower in Anyigba than in most other parts of Kogi State generally and Dekina local government area specifically. There is a small but remarkably higher figure for male above 60 years (955 or 4.6%) than the female (840 or 4.2%). Given the higher risk to which men are prone, this is indicative of the greater search for greener pastures by men than women in such urban centres and that some of the men stay put there if aspirations are not met or even after retirement (UND, 2002).

2.5 Residential Density

With a population of about 18,908 and an estimated residential area of 99.2 hectares, the core area of Anyigba has a residential density of 191 persons per hectare as against 59.11% (residential density) for the entire metropolitan area. The residential density for the core area which formed the bulk of the area of Anyigba in 1974 was estimated at 125 persons per hectare (Dar-Alhandasah-shair and partners, 1976 p.2132). These figures indicate that while Anyigba as a whole continued to witness a physical expansion and steady increase in population, the core has not quite expanded to receive its segment. Here, but for few narrow roads, the facilities and services are more easily accessed and cheaper modes of transportation, hence the lure.

The spread of space consuming socio-economic facilities such as educational, health institutions, petrol stations etc., to the outlying areas of the town where land is far cheaper has also forced the population to spread along especially following existing access roads and points of traffic interchange. This leaves pieces of indigenous lands in-between such outlying residence, hence the low overall residential density (UNDP, 2002). The situation is further favoured by the expansive compounds common in the town with detached toilets and spacious courtyards.

2.6 Annual Population Growth Rate

2.6.1 Population Growth Rate

The national population commission project medium-Variant growth rate for Kogi State as (3.61% and 3.63%) for the three five years-interval period of 1991-1995, 1996-2000 and 2001-2005 are most appropriate for Anyigba Town. This is especially so as Dar-Alhandasah (Shair and partners) consultant Town panners, 1976, had estimated between 3.4% and 3.2% for the two 10 years interval periods covering the same stretch of time even while not envisaging that the town will take on an additional focal socio-cultural status among the Igalas and become a university town before the expiry periods.

2.6.2 Net Migration

There are no reliable data on vital statistics for Anyigba Town. For instance, deaths were not recorded for the year 2001 while birth records were not available for some months. Going by the vital statistics figures for Lokoja, it is assumed that Anyigba must have been witnessing about the same rate of net migration as Lokoja, the population size factor being relevant for actual population (UNDP, 2002). Considering the indication by respondents (2002, Housing Survey). The rate of natural increase is bound to be high. The survey indicated that respondents have adequate access (100%) to primary health facilities and the impact of the university which had a record of over 1,500 population as at 2002 and has now risen to about 10,000 population in year 2004.

This research work will study the functions of Anyigba especially its commercial functions which it performs for the dwellers and its commercial relationship with its surrounding villages like Egume, Odu, Agbeji, Iyale to mention but a few. Also, this study will give certain recommendations of how the commercial functions of Anyigba can be boosted and then give a proposition on the commercial land use which includes development of ownerships within certain areas, shopping complexes on some major stretches and lastly give a proposal on the re-organization of the central market. This, a belief will solve some, if not all aspects of the problems faced in the commercial aspect of the functions of Anyigba.

3. Statement of the Problem

Some of the problems militating against the commercial functions of Anyigba included the following:
- (i) The lack of numerous markets to adequately meet the commercial needs of the people.
- (ii) The lack of organization in the manner of arrangement of goals for sales like cloths, raw food stuffs, spare parts, shoes etc., in the existing market in yet another problem.

4. Objective of the Study

The main aim and/or focus of this research work is to study the functional Bases (i.e. Importance of) of Anyigba as a commercial Town. The objectives through which the aims can be achieved are as follows:
- (i) To study the scope of the commercial nature of Anyigba and the commercial land use of the town. (Examine the adequacy of existing commercial infrastructures).
- (ii) To recommend ways of improving the commercial infrastructure on the ground.
- (iii) To examine the historical Basis of the commercial nature of Anyigba.

5. Methodology

This can be regarded as the method of collecting data. There are two main sources of data collection and they are the primary source and the secondary source. These sources shall also be used in this work.
- (a) The primary source: This will include the use of questionnaires, personal interview, field survey, observation and measurement (if any).
- (b) The secondary source: This will include library search, internal review, the use of maps, town planning documents and other policy document etc.

5.1 Method and Strategy for Data Collection

To ensure objective data collection, the following procedures will be followed:
- (a) Reconnaissance survey: To facilitate the collection of data a reconnaissance survey is to be carried out to identify relevant parameters.
- (b) Identification of the various stages of change in function.
- (c) Land use characteristics and analysis: An analysis of the land use (commercial) element will be done.
- (d) A questionnaire will be designed to collect the required data.

Research assistants will help to disseminate the questionnaire which will cover a sample size of about 200 people irrespective of their sex, age, educational background, tribe or place of work.

5.1.1 Technique of Analysis

Data from the above will be analyzed graphically and statistically as may be appropriate using bar graphs, pie charts and line graphs and percentage.

5.1.2 Significance of the Study

Over the years, the population of Anyigba has grown due to the fact that people have migrated to Anyigba to benefit from its functions (Administrative, Transportation, Commercial etc., the establishment of the university coupled with improved economy has drastically increased the rate of expansion and growth of Anyigba town. Again, it is noticed that Anyigba has some limitations and constraints; it is therefore thought necessary to study the commercial functions of the town. This study will help in solving some problems faced by dwellers while going about meeting their commercial needs.

Finally, the study will propose a good market (structure) and land sue map for Anyigba which will help avoid likely commercial problems in the nearest future.

5.1.3 Limitations of the Study

One major factor that could stand the way of this research work is inadequate literature in terms of library textbooks, necessary and vital information from the internet etc.

Another limitation to the success of this research work is short time available to the researcher.

5.1.4 Hypothesis of the Study

Hypothesis can be explained as an idea or explanation for something that is based on known facts but yet proved (Cambridge dictionary, 1995). The hypothesis of this research work is drawn below:
    (1) Is Anyigba a fast growing town?
    (2) Are the commercial facilities available in Anyigba adequate for its populace?

5.1.5 Scope of the Study

The scope of this study will cover Anyigba town especially the commercial aspect of the functions of the town.

5.1.6 Review of Related Literature

Commerce can be defined as all the activities connected with business; trade i.e. The act of buying and selling of goods or exchange of services (Cambridge Int'l dictionary, 1995). It has been truly said that (commercial activities) commerce begins "where civilization begins". Commercial activities started from the Bronze Age and the Iron age which were dependent on materials found only a few localities and usually carried over wide regions (Encyclopedia Britannica).

The history of commerce is closely connected with the development of the techniques of transportation and communication. Commerce, or the purchase and sale of goods and services are the consequence of the increasing development of the division of labour.

As commerce grow in size and complexity, this principle of the division of labour and exchange of products and services spread from family, tribal to local group units to districts, sectional, national, international and even worldwide trading areas. Commerce includes all trade of the world consisting of the exchange of the product of the nation of the world (Encyclopedias Britannica). Commerce is very important in any community or town in meeting the commercial needs of the dwellers or inhabitants. Such a town must have markets from which people can buy and sell commodity. Towns must be able to effectively perform their commercial functional by adequately meeting the needs of the people. This can be done by having numerous and affective markets within the town.

Commercial land use is the economic base of any area where major or if not all trading or commercial activities take place. It is a place where people gather in order to buy and sell things. It can be divided into: Central Business Districts (CBD), Shopping Centers, District Shopping Centers, Neighbourhood Shopping Centers, Local Stores or Market Place. Talking about the functions of towns, we see the towns as a point of specialized activity carry out tasks which are performed either at central, assessable place or where a high degree of population concentration is economically necessary (Harold Carter, 1981). The functions which a town perform is very essential. These functions most times,

273 determine the rate of development of such areas, the rate of migration and the rate of land-use development.

274   Industrialization, or the growth of any special function, affects urbanization and vice versa, so that the size and
275 spacing of cities is in part the product of the way in which the specialized task which cites perform- mining coal, making
276 cars or providing rest and relaxation-are carried out. This means that consideration of these roles has to be married with
277 that of general regional functions in any total explanation of the urban pattern (Harold, 1981). It is however apparent that
278 the larger the city or the more advance the economy (in terms of western industrial capitalism) then the more multi-
279 functional the city becomes. Berry (1972) in his latent dimension of the urban American system concluded that "as multi-
280 functional towns lose distinction in economic specialization, it is the broader socio-economic dimension which emerges as
281 bases of contrast. The distinctive towns specialized by their economic bases are small and unimportant. The one
282 exception is the market oriented activities, for every urban system is hierarchically structured, the structure resting on
283 aggregate economic power.

284   And as Berry (1981) also concludes, the functional size of centers in an urban hierarchy is a universally latent
285 dimension. Two conclusions follow:
286   (1) Into the pattern of urban growth so far set out needs to be added a process of function change by which, as
287   divergence of economic base are progressively dimensioned.
288   (2) The hierarchical structuring of towns depends mainly on the universal size dimension.
289   Functions of towns include the following:
290   (a) Education
291   (b) Commercial
292   (c) Center of industries and manufacturing
293   (d) Place of investment
294   (e) Locus of power
295   (f) Point of contact with the world etc.

296   From earliest times, chorographical works have description of town functions and have carried the implication that
297 towns fall into classes or groups by virtue of the functions they perform. The simple designation "market town" or "seaport
298 is a form of functional classification (Harold, 1981). The committee on the Health to Towns in Britain (8140) proposed five
299 groups of classification of towns, which were:
300   (1) The metropolis
301   (2) Manufacturing towns
302   (3) Populous seaport towns
303   (4) Great watering places
304   (5) Country and other considerate inland towns not being the seats of particular manufactures.
305   Here Pierce (1915) classified cities into two groups based on their functions:
306   (1) Political intellectual centers e.g. Delhi, Lagos, Ibadan.
307   (2) Economic centers e.g. Onitsha, Aba, Ilesha.

308   Hoselitz (1955) classified cities into "generative" and parasitic' cities. The generative city has a favourable impact
309 on the economic growth and the parasitic city the exact opposite. Redfield and Singer (1954) classified towns based on
310 their cultural roles as "orthogenic" or 'heterorgenic'. The orthogenic city is "carrying forward into systematic and reflective
311 dimension an old culture", cities of moral order and the heterorganic is "creating of original modes or thought that might
312 have authority beyond or in with old cultural or civilization" cities of technical order. Hauser (1959) also classified cities as
313 pre-industrial, industrial and metropolitan. Breeze (1966) found all these typologies to be inadequate to describe the
314 situation in the developing counties and suggested"… it would be important to view urbanization in newly developing
315 countries from several different perspectives and to classify where necessary for particular purposes in terms of size of
316 urban area…" As noted above under the classification by Piene ( ), Anyigba is a political-intellectual and also an
317 economic center since it houses a university, performs some administrative functions and also serves as an economic
318 town.

319   In as much as mega-cities are increasing rapidly in number and population living in them, the rural area still
320 account for the largest share of the population of the world, and the trend is expected to continues so in a foreseeable
321 future. Besides, cities fewer than 500,000 people as place of residence account for the largest percentage of urban
322 population. They are expected to still have dominance in the share of world population and is expected to live in small
323 cities of 500,000 people.

324   Contrary to the situation in 1075 when the urban population in the developing countries/region concentrated in
325 small cities, the tendency in the future (which started in 2000) is that the largest urban population has shifted to cities of in
326 million people and by 2015, 44.1% of the urban population of the developing region will belong to this category and more

327 than half of the urban population in the developing regions will be in small cities.
328
329 5.1.7 Anyigba: General Overview
330
331 Anyigba has gradually emerged as the social and commercial headquarters of the Eastern Senatorial District of Kogi
332 State which is the homeland of the Igalas (mainly) and the Bassas. The town has earned this status through a
333 combination of vantage central Location within the Senatorial District and socio-economic activities in more recent years
334 away from the cultural influence of Idah, the seat of traditional leadership of the Igalas (ATTAH of IGALA). The status of
335 Anyigba town was further boosted in year 2000 with the establishment of a university i.e. (Kogi State University) within
336 the town. This in turn has affected the type of land use in the area under study.
337   As at the year 2001, the major land use in Anyigba was mainly Residential (63.28% of the total land area) inclusive
338 of the residential quarters in the university (T.P.D.B., 2002). The population of Anyigba has increased to about 40.764 as
339 at the year 2001 contrary to the estimated population figure of the Town by the Town Planning Development Board in
340 their master plan for Anyigba from (1974-2005). As a result of the establishment of the university (mainly) and because
341 people have migrated to Anyigba to benefit of its Commercial, Administrative, Economic functions etc.
342   The establishment of the university has encouraged migration of people to Anyigba Town. Many people have
343 migrated from different parts of the State (Kogi) especially students; and from all over the country. Some of these people
344 have come from as far as Kaduna, Maiduguri, Lagos, Gombe etc., to benefit from the educational functional of Anyigba.
345   This, coupled with the migration of people for some other purposes (residential, in cases of retirement etc) has led
346 to a dramatic increase in the population of Anyigba Town.
347   It is worthy of note that as these people come to Anyigba from their different places and for different purposes,
348 these is a need for their commercial needs to be met. These people need markets from within Anyigba where they could
349 purchase their needs. Anyigba hitherto does not provide a satisfactory commercial function; people have to travel most
350 times, long distances before they could purchase some items for themselves. This ought not to be so; people need
351 markets from within Anyigba rather than travelling to far places for their commercial activities.
352   For example, one would have to travel to a place like Lokoja before you can get items like cartographic pens or
353 even textbooks. Although Anyigba serves as a market (central place) in the region, it does not adequately satisfy the
354 commercial needs of its inhabitants mainly because the kind of goods purchased by the nearby villages are somehow
355 different from those purchased by inhabitants. Examples of such goods are palm oil, fruits etc for the region, for the
356 inhabitants, goods like materials, books and goods for everyday use are needed. But for the inhabitants, it does not
357 adequately and satisfactorily provide its commercial functions in terms of availability and quality.
358
359 5.2   Functions of Anyigba as a Town
360
361 The functions which Anyigba perform varies. Anyigba is a rapidly growing Agricultural town which is also an important
362 commercial center in the region. Other functions of Anyigba include transportation, services, educational, residential,
363 industrial etc.
364
365 5.2.1 Industrial
366
367 Anyigba town is not highly industrialized. The industries fall into the following categories: Agro-based, forests-based,
368 metal-based, non-metal based and other manufacturing plants.
369   o   The Agro-based industries include: Baking, Garri processing and Rice Mill. Also, Shoe making/repairing,
370   Tailoring and Textile (including weaving).
371   o   The forest based include carpentry and joinery; saw milling, photography and printing/publishing lark works.
372   o   The others are blacksmithing, Gold smithing, Watch repairing, Automobile, Mechanical and Electrical work,
373   Hair dressing/Barbing, and Laundry.
374
375 5.2.2 Services
376
377 The term 'service' is used here to cover the activities including civil services, public service, financial institution,
378 wholesale and retail trading and the informal private sector (transporters, auto-mechanic, masons, electrician etc). The
379 proportion of the labour force involved in this group is increasing. This has brought a number of civil servants and these
380 have generated attendant ripple effect in other areas.

5.3 Agriculture

A large number of people are employed in the agricultural sector. This consists of crop agriculture, forestry, oil palm production, livestock farming (fisheries is not existent, but the migration of the Fulani herdemen has increased livestock activities).

5.3.1 Markets And Trading

There are a great number of people employed in the market system. There are about three markets in Anyigba of varying sizes; there are also some shopping places although there is no major shopping arcade in the city.

5.3.2 Transportation

Anyigba enjoys the privilege of being a nodal town with the emergence of many major roads in the town. It is a focus of intra and inter-regional road network. These Anyigba, Ankpa, Anyigba-Idah, Anyigba-Dekina and Anyigba –Abejukolo. Anyigba effectively (to an extent) performs this function to the region, thus, its central place role is enhanced by the road network.

5.3.3 Educational

Apart from the university, Anyigba has about five primary schools and also about five secondary schools. It provides educational functions effectively not only the Local Region but also to the State and the country (due to the university which attracts people from all over the country).

5.3.4 Residential

About 62.28% of the total land area of Anyigba is devoted to residential land use. This figure includes the residential quarters in the university. Anyigba conveniently provides a satisfactory residential function (in terms of land use).

6. Historical Basis of the Commercial Nature of Anyigba Town

Anyigba town from time has been an agricultural town. Its manufacturing sector was composed mainly of small-scale industries such as furniture making, rice milling, bakeries and crafts. The palm oil crushing mill on the north next to the stream, suspended production in 1974 due to marketing and harvesting difficulties (T.P.D.B.) carried out primarily in the traditional market held every four days.

According to Dar-al-Hadassah (1977) in his market survey of Anyigba town, about 5,800 buyers and sellers attend the market, approximately 55% of whom are from surrounding villages like Egume, Olowa, Abocho, Ajiolo and Ankpa. 72% of the buyers walk to the market while others use bicycles (Anyigba master plan 1974-2005). Crops and foodstuffs mainly Maize, Guinea corn, Yam, Cassava, Beans, Soup ingredient, Meat and Fish constitute over 80% of the goods traded (Dar-al-Hadassah, 1977).

7. Commercial Functions in Analysis

Anyigba as a town performs some commercial functions although inadequate. Anyigba has about three markets of varying sizes and also some shopping center/places around the town although there is no major shopping area in the town. Over the years (especially before year, 2000), the level of demand for commercial activities was very low compared to what is obtained now. This is attributed mostly to the fact that most of the dwellers are farmers and they produce their food subsistently and so they hardly purchase goods outside those available at the local market.

Many people have migrated to Anyigba town to benefit from its various functions especially students for educational functions of the town. There is therefore the need for their commercial needs to be met. They need a market where they could purchase their needs.

Anyigba as a town has not been performing this function effectively especially to migrants; most of which are students of Kogi State University. This could mainly be as a result of the choice or rather attitude of migrants in purchase of goods. These migrants especially the students are from cities and they have high taste in purchasing goods. This

435 therefore makes the goods in Anyigba of low quality (if available). Also, most of the goods sold in the market are still
436 patterned to satisfy the needs of the 'former' or rather initial dwellers at the expense of new migrants.
437   As a matter of fact, the commercial land use data for Anyigba by the United Nations Development Programme,
438 2001, account for about 0.211km of the total urban metropolitan area as compared to about 0.165km^2 as contained in the
439 master plan for Anyigba from 1974-2005 (T.P.D.A.). This shows slight increase in commercial activities resulting in low
440 commercial land use. Even in the existing markets in Anyigba, there is lack of organization in the manner of arrangement
441 of goods for sale. This is yet another problem in adequately performing its commercial functions. For goods available, we
442 find out that the quality of such goods is low, Clothes for example.
443
444 **8. Research Methodology**
445
446 This chapter describes the population and method of sample completion, data collection techniques and method of data
447 analysis adopted in carrying out this research work.
448
449 **9. Populations and Method of Sample Collection**
450
451 Population is the number of people (or animals) living in an area. For the purpose of this research work, the population
452 covers Anyigba town, male and female irrespective of their age, work, educational background etc.
453
454 **10. Data Collection**
455
456 There are two main ways of collecting data. These are the primary and secondary methods. In the primary method, the
457 researcher specifically sources his information using questionnaires and observations, while in the secondary source;
458 data is gotten from past documentations and from literatures by other writers. Data used in this study were mainly primary
459 collection from the said population of 200 people and secondary source was not left out.
460   The advantages of using primary method included:
461   (a) It enables the researcher to obtain the exact information needed because it is original and the researcher is
462   the only one who studies it.
463   (b) There is closer control and supervision of data collected so that necessary adjustments are made immediately.
464   (c) The limitation to the use of data is known. This is because it is safety collected, the limitation to the use of this
465   data and time is known.
466   The merits of using secondary method are
467   (a) It saves time, because it is obtained from existing sources unlike primary data.
468   (b) It is easy to obtain and it is less expensive
469   (c) There is availability of varieties on a wider range including other subjects.
470
471 **11. Interview Method**
472
473 This is designed to enable the researcher have the knowledge of the commercial functions of Anyigba. Meanwhile
474 interview is a face-to-face discussion between the interviewers and the respondent; it is applicable when dealing with
475 population.
476   This method was necessitated due to the following reasons:
477   (i) Situations arose where further comments were necessary on the subject of study outside the scope of the
478   questionnaire.
479   (ii) It aided clarity of some questions in the questionnaire, thus creating an interaction between respondents and
480   the researchers.
481   (iii) Some information were obtained where the questionnaire proved abortive.
482
483 *11.1 Sample Method*
484
485 This is a part of the population that is taken to give ideas of the quality of the entire population under this method, this
486 probability method are available. Probability samplings are collected according to laws of chance; that is Random
487 samples.
488

489 11.2 *Merits of Using Sampling Method*

491 (1) It saves time and chances of errors are minimized.
492 (2) It has greater scope of cover and quick result is obtained.
493 (3) With sample method, it is possible to carry out several surveys of studies concurrently while worry resources
494 efficiently.
495 (4) Errors can be assessed and corrected.
496 Basically, in collecting data for the completion of this project, the sample size chosen is 200 (Two hundred). The
497 interview and questionnaire methods formed part of source of data (primary) needed. The secondary data was collected
498 from related textbooks and journals.
499 All is to test the hypothesis that the commercial function of Anyigba is inadequate in meeting the needs of the
500 dwellers/inhabitations.

502 11.3 *Analysis of Data*

504 The basis of this project is to study the adequacy of the commercial function of Anyigba town. Therefore in analysis the
505 result obtained, the following steps were taken.
506 (1) Read through the questionnaires and studies carefully the responses.
507 (2) Selection of the correctly answered questions and otherwise.
508 (3) Work on those correctly answered.
509 (4) Take decision in relation to the hypothesis while making references to the positive negative responses
510 obtained.

512 11.4 *Analysis of the Questionnaires Received*

514 In total, 200 questionnaires were given out. Out or these, 190 were returned while 10 were not properly answered leaving
515 the balance of 180 to make use of.
516 (1) The questionnaires were filled by 70 males and 110 females.
517 (2) It was mostly filled by the age classification of between 21-40 (120 people), 5 people between 0-20 years, 40
518 people between 41-60 years and 15 people between 61 and above.
519 (3) All the respondents are Nigerians.
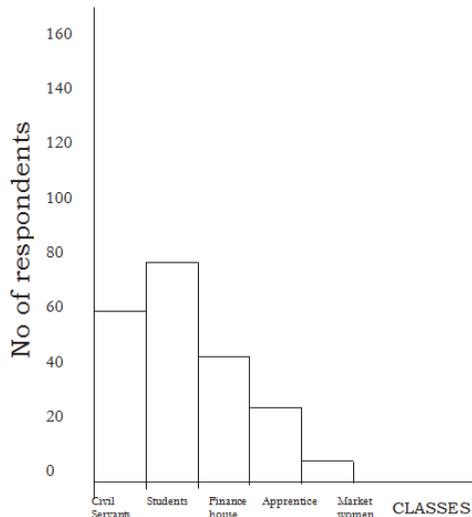
523 Q4. Age bar chart showing the age range of respondents let 1.5cm rep. age range on X-axis.

524   Let 1.5cm rep. 20 respondents on Y-axis. From the chart it can be seen that the respondents are proportionally
525 ranged all the age range needs markets from where their commercial needs can be met and therefore in one way or
526 another use the markets within Anyigba Town. Q5. Going through the analysis, all classes listed were finally analysed.
527
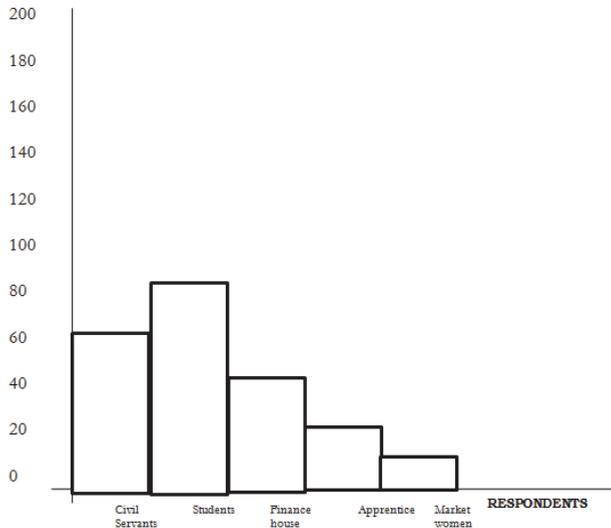
528
529
530 In analyzing the respondents above the different classes are easily traced.

1.   Finance Houses

532    $^{30}/_{180} \ x \ ^{360}/_1 = 60^0$

2.   Apprentice

534    $^{20}/_{180} \ x \ ^{360}/_1 = 40^0$

3.   Civil servants

536    $^{50}/_{180} \ x \ ^{360}/_1 = 100^0$

4.   Students

538    $^{70}/_{180} \ x \ ^{360}/_1 = 140^0$

5.   Market women

540    $^{10}/_{180} \ x \ ^{360}/_1 = 20^0$

541   These are the result obtained from the questionnaires administered. Moreover effort were made to get more facts
542 or views of some respondents who could not collect the questionnaire due to unprecedented limitations. The interview
543 questions were not different from those in the questionnaire; neither were the responses received in total difference
544 either.
545
546
547

12. Summary, Conclusion and Recommendations

12.1 Summary

This study was carried out to ascertain the adequacy of the commercial functions of Anyigba town. After the collection of the questionnaires, the responses were carefully analyzed using the given information. It was discovered from the responses that people are not satisfied with the commercial functions of Anyigba in that it does it adequately meet their commercial needs satisfactorily.

13. Conclusion

Based on the major findings of this study, it can be concluded that the commercial function of Anyigba is inadequate and that in the existing market there is lack of organization in the manner of arrangement of goods which make it difficult for people to easily locate stalls were they could buy their goods.

14. Recommendations

The researcher puts forward the following recommendation
   (1) The market men and women should be encouraged to take loans especially cooperative loans so as to purchase more quality goods for sale.
   (2) That the concerned Authority on the maintenance of the market should disallow any illegal stalls and or arrangements.
   (3) That the local government Authority should ensure adequate cleaning of dirts from the market (to avoid contamination of foodstuffs).
   (4) A new plan for rearrangement of the stalls should be made where homogenous goods are placed together. This will enhance the beauty of the existing market and easy access to goods needed.
   (5) Cornser shops should be constructed within the Central Business District of the town and shopping complexes within certain streets.
   (6) An update of the master plan (1974-2005) should be done in the markets. This will give room for large variety of goods to be sold.

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Age and Gender Difference in Antisocial Behavior among Adolescents' School Students

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Abstract

This study aims to examine the association between age, gender and antisocial behavior among 395 adolescents aged between 13 and 18 years in Tehran city in Iran. In this quantitative study, Pearson's product–moment correlation coefficient was applied to determine the relationship between the antisocial behavior of adolescents and age and gender. In addition, an independent sample t-test was used to compare the adolescent's antisocial behavior between male and female respondents. Results of this study indicated that there was a positive significant correlation between age and gender of respondents and antisocial behavior. Pearson correlation analysis showed a positive significant correlation between age of respondents and antisocial behavior. The finding of this study shows that older adolescents associated with more frequent of adolescent's antisocial behavior than younger adolescents. Furthermore, there was a difference in adolescent's antisocial behavior between male and female. These results indicated that the male is more likely to show antisocial behavior than female. By implication, the study contributes to existing literature in understanding the psychological development stage and age and gender as an important factors for adolescent development.

Keywords: Age, Male, Female, Antisocial Behavior, Adolescents

1. Introduction

In the last few decades, exploring the reasons and risk factors which are related to children's and adolescents' delinquent behavior has been of great importance in the relevant research area, possibly for two main reasons: the serious effects of antisocial behavior over time and its consequences on social and economic cost (Frick and Loney, 2002). In previous studies, it was found that antisocial behavior is multi-determined, that is the dysfunctions in children's behavior causes by inter acting a number of risk factors and not just influencing a single factor. They result in increasing aggressive and antisocial behavior in a child in a micro perspective view and in his social environment in the broader scale (Loeber et al. 2009).

The requirement for mental health services have been enhanced as delinquent behavior results in increasing various types of problems in societies (Frick et al., 2005). As a matter of fact, antisocial behavior as severe distress in communities starts manifesting in early stages of adolescence (Wright et al., 2007). NCES (2007) reported that 75% of public schools in America encountered at least one violent or criminal action during 2007 − 2008 academic years. A report highlights that 60% of children in the United States has exposed to direct or indirect scenes of violence (the National Center for Education Statistics [NCES], 2010). Moreover, Furthermore, the main crime investigation survey revealed that eight out of 10 people reported antisocial behavior has increased in England and Wales within the past year (Allen, Edmonds, Patterson, & Smith 2006).

In addition, other studies indicated that especially, among African American adolescents, the risk of youth crimes such as high crime, unemployment, and vandalism has risen (Entner Wright & Younts, 2009; Donnell, Richards, Pearced, & Romero, 2012). Moreover, a majority of 80% of youth deviant happened when adolescents possessed four or more risk factors along with drinking alcohol in the past month and/or being engaged in antisocial behavior in the past year. These figures were diminished as the number of risk factors was decreased. For example, just more than 50% of adolescents who had two or three risk factors, and over 23% of those possessed one or no risk factors involved in antisocial behavior (Australian Research Alliance for Children and Youth, 2009). Similar to other parts of the world, in the context of this study, Iran, antisocial behavior has also been multiplied. For instance, 28,000 children and adolescents were in rehabilitation centers in Iran (Mohammadiasl, 2006). Therefore, it seems highly critical to explore causes and factors which can result in antisocial behavior among children and adolescents.

According to Fortin (2003), antisocial behavior describes as any violent behavior which breaches laws and people's right. Deviant behavior may be found in different forms such as vandalism (e.g., breaking trees, destroying bus

57 seats or cutting public phone wires and writing on walls, chairs or desks), crime, assaults or other sorts of behavior which
58 goes against the norms of in a society. Another common antisocial behavior is cultural misconduct such as receiving
59 warnings by school officials due to breaking the school rules or, in an Islamic country such as Iran, warning from the
60 police or school officials because of violating the Islamic covering codes. This study investigates the antisocial behavior
61 which refers to a set of behavior conducted against social rules and norms such as vandalism and cultural misconduct as
62 expressed earlier.
63   Several factors such as age and gender are associated with adolescent's antisocial behavior. Burt and
64 Neiderhiser (2009) point out that age is one of the main characteristics which can determine antisocial behavior among
65 children and adolescents. Moreover, Letourneau et al. (2013) suggest that age might be used as a moderator variable on
66 the relationship between (SES) and delinquency. In contrast, age impact leads to decreasing environmental factors on
67 antisocial behavior as shown in behavioral genetics research. According to Geolge (2012), the findings obtained from
68 different studies on possible influence of gender on social problems are not consistent. There are some evidence for the
69 specific impact of gender on relationship between behavior problems and delinquency among adolescents. In some of
70 these studies, the effect of juvenile delinquency anticipated in boys whereas adult crimes as a type of antisocial behavior
71 contributed to both genders. It is proposed that the influence of delinquent behavior in adolescents might be occurred with
72 a delay in girls (Topitzes et al. 2011).
73   Furthermore, there were some visible results for adolescents' tendency for antisocial behavior. Various risk factors
74 intervened delinquency and crimes happened by both genders. As such, adolescent boys were more eager to externalize
75 antisocial behavior, school obligation, social-emotional skills, and school achievements. This could reveal the relationship
76 between behavior problems and crime in adolescence period. On the contrary, parental factors, externalizing problems,
77 cognitive process, and educational performance were more predicted in adolescent girls (Topitzes et al. 2011). Another
78 research carried out by Foy et al. (2012) indicated that trauma, as consequences of delinquent behavior, has an effective
79 role in increasing of antisocial behavior in girls than in boys. In fact, the effects of gender differences on the relationship
80 between antisocial behavior and delinquency illustrated different mixed results.
81   Social control theory ascertains that the antisocial behavior in both genders would be rooted in learning processes
82 taken place in their socializing environments such as their family, friends and schools. These models also explain the
83 various rates of antisocial behavior in males and females which is considered as the gender gap in delinquency. Males
84 actually possess more chances to learn and show antisocial behavior because of lower supervision by their families on
85 them. This is the popular characteristics of conventional environments while highly conducting with unconventional
86 groups. In addition, it is believed that social control theory (Hirschi, 1969) and the theory of crime (Gottfredson & Hirschi,
87 1990) can explain the reasons for lower rates of delinquency in females as they traditionally have more attachment to
88 conventional contexts, in particular to their families. This, in turn, leads to more commitment to conventional norms on the
89 part of women in traditional settings. In contrast, results obtained from research on both genders inclined to deduce that
90 due to higher exposure to risk factors for antisocial behavior such as higher contact with delinquent peers, lower parental
91 monitor, less connection to family and school, males are more apt to involve in antisocial behavior (Elliot, Huizinga,
92 &Ageton, 1985; Storvoll & Wichstrom, 2002).
93   Other studies, however, emphasize that to comprehend the role of gender in deviant behavior, it is inadequate to
94 take in the samples from females to investigate and prove whether females replicate what are ascribed by males. As a
95 matter of fact, it is crucial to suggest other models to take the existence of differential socialization routes into
96 consideration. This fact can explain the influence of both possibilities, that is, unequal exposure of males to risk/protection
97 factors and what helps to construct personal identities. These factors play a great role in varieties of performance for
98 potentially antisocial behavior. Steffensmeier and Allan (1996) suggest a theoretical model in which the important concept
99 is organization of gender. In other words, a series of factors that can cause differences in the social life structures of
100 males and females such as gender norms, identity, affiliative concerns, and moral development are taken into account.
101 The model determines fewer numbers of crimes committing by females.
102   The reason might refer to the feminine gender who assumes to engage in affection, caring others, and sustaining
103 interpersonal relations. These aspects and concepts are not well-matched with delinquent and deviant behavior. On the
104 contrary, the organization of males' identity is associated with some characteristics including competitiveness for attaining
105 social positions. As such, a male person's own wishes and concerns precede others' wills, and thus, males become more
106 appropriate and have more inclination and tendency for antisocial behavior. There are scant number of studies on
107 correlation between age and gender identity and deviant behavior.
108   Referring to above mentioned relationship; Pearson correlation analysis was applied to determine relationship
109 between age and gender and adolescent's antisocial behavior and independent sample t-test was applied to compare the
110 antisocial behavior in males and females. In the related literature, the impact of gender identity on those variables which

are relevant to adolescent deviation was investigated by using an independent t-test (López& Rodríguez-Arias, 2010). The findings revealed that there was a significant relationship between age and gender on antisocial behavior among adolescents. Hence, this study also makes attempts to compare the differences of adolescents' deviant behavior in both genders, that is, males and females.

2. Purpose of the Study

The purpose of this study is to compare the difference between age and gender groups in antisocial behavior among adolescents in Tehran, Iran. Thus, the researcher proposed the following research hypotheses:

> Ho1: Male adolescents involved more frequently in antisocial behavior compared to female adolescents in Tehran, Iran.
>
> Ho2: Older adolescents involved more frequently in antisocial behavior compared to younger adolescents in Tehran, Iran.

3. Method

3.1 Participants

A total of 395 male and female adolescents were recruited from daily secondary and high schools in Tehran, Iran. The research applies cluster sampling as a sampling design. The participants were at the age of 13 to 18. The mean age was 15 years with SD=1.44.

3.2 Measures

3.2.1 Age and Gender

The participants' background information was collected by asking the students to tick the appropriate options in relation to their age and gender distribution under the demographic section in the questionnaire.

3.2.2 Antisocial behavior

Antisocial behavior was evaluated through a survey questionnaire regarding antisocial Behavior (Dekovic, 1999). Using 18 items, the scale focused on some minor acts entailing truancy, public transportation usage without paying, and some serious deviant acts, encompassing purposely beating someone or intentionally setting fires. These questionnaire was administrated to ask adolescents how often they commit these acts during the last 12 months: 0 for never, 1 representing once, 2 presenting two or three times, 3 stands for four to 10 times, and 4 representing more than 10 times. As the research was conducted in Iran, these three items were deleted, namely, using hard drugs such as heroin, using soft drugs such as cannabis, cocaine, speed and LSD; and being drunk. But replaced by seven additional items, namely, skipped school without giving a good excuse, steeling little things with lesser prices than five dollars, watched pornography, trespassed on people's property, wore clothes against school policy, arguing with the school principal or teacher, and fighting with classmates or other students in school. Addition of these seven items to questionnaire was based on prior studies and discipline principles effecting in Iran. Here, the total scale ranged from 0 to 88, thus, the higher scores represents a higher level of antisocial behavior. The questionnaire indicates an overall alpha of 0.94 for the total scale (Dekovic et al., 2004). The reliability value of the scale in the current study present an alpha coefficient of 0.79 indicating the scale is reliable.

3.3 Procedure

This study was authorized by Department of Education of Tehran. To select the participants, students with discipline problems were listed by assistance of the school counselor. The whole students listed here, participated in the survey.

3.4 Statistical Analysis

To describe the variables of the study, a descriptive statistical analysis including frequency, percentage, means, and

165 standard deviations was employed. Furthermore, Pearson's product–moment correlation coefficient was also applied to
166 determine the direction and strength of the linear relationship between the antisocial behavior of adolescents on age and
167 gender. Independent sample t-test is utilized when there are two different (independent) groups of people (males and
168 females) and researcher interested in comparing their scores. In this study independent sample t-test was performed to
169 examine the gender differences in adolescent's antisocial behavior.
170
171 *3.4.1 Results*
172
173 As shown in Table 1, the measures applied in this survey indicated acceptable to excellent reliabilities ranging from 0.79
174 to 0.93. The skewness and kurtosis values of the study variables were between ‑2 and +2; therefore, the assumption of
175 normality has not been violated. Based on exploratory data analysis, for antisocial behavior the distribution of scores
176 indicates a slight and positive skewness of 0.324, and for gender it shows a slight and positive skewness of 0.076, and
177 for age the distribution of scores indicates a slight and positive of 0.181, the variables of which were within acceptable
178 limits and imminent to normal distribution.
179
180 **Table 1.** Assessment of Normality for Study Variables
181

Instruments	Mean	5% trimmed mean	Skewness	Kurtosis
Antisocial Behavior	0.98	0.97	0.324	-0.145
Age	15	15	0.181	-.870

182
183 As shown in Table 2, the respondents of this study consisted of 205 (51.9 %) males and 190 (48.1 %) females. The
184 respondent's age ranged from 13 to 18 years with the mean and median age equal 15 and the standard deviation is 1.44.
185 The majority (44.3%) of respondents were between (15-16) years old. 32.2% of adolescents were between 13-14 years
186 old. About 23.5 % of respondents were between (17-18) years old.
187
188 **Table 2.** Psychometric Properties of the Major Study Variables (n = 395)
189

Variables	F (%)	Mean	SD	Min.	Max.
Antisocial Behavior		**20.95**	**9.54**	**0**	**48**
Low ≤ 20.95	193 (48.9)				
High > 20.96	201 (51.1)				
Age		**15**	**1.44**	**13**	**18**
13 -14	127(32.2%)				
15-16	175(44.3%)				
17-18	93(23.5%)				
Gender					
Male	205 (51.9)				
Female	190 (48.1)				

190 Note: Min= Minimum, Max= Maximum, SD= Standard Deviation, F = Frequency, SD = Standard deviation
191
192 As depicted in Table 3, an independent sample t-test was conducted to compare the adolescent's antisocial behavior
193 between male and female respondents. There was a significant difference in adolescents antisocial behavior between
194 male (M=1.05, SD=0.39) and female (M=0.85, SD=0.40); t (df = 393) =4.84, P≤0.01. Therefore, Ho1 is supported. These
195 results indicated that the male is more likely to show antisocial behavior than female. Similar to previous research (Crick,
196 1997; Spieker, Larson, Lewis, Keller, & Gilchrist, 1999; Bongers, Koot, van der Ende &Verhulst, 2003; Abdul Jalal, 2006;
197 Aliverdinia, Sharehpoor&Varmzyar, 2008; Miner & Clarke-Stewart, 2008; Galloway, 2010) found that male adolescents
198 have more frequent antisocial behavior compared to females.
199
200
201
202
203
204

Table 3. Independent sample T-test for adolescents antisocial behaviour by gender

Variable	Female (n= 190)		Male (n= 205)		t-value
	Mean	SD	Mean	SD	
Antisocial Behavior	.85	0.40	1.05	0.39	4.84**

Note: ** $p \leq 0.01$

The gender differences in the way antisocial behavior is expressed may be related to the differing rate of maturity between girls and boys (Dishion, French, and Patterson, 1995). According to the finding of this study, the boys antisocial behaviors are extremely pervasive than the girls in the southern parts of Tehran, Iran. It might be a reflection of the influence of the Iranians families on their children bringing up. Boys have more freedom in going and coming without being inspected by their families. Therefore, they have more chances to join with deviant peers and enjoy themselves with antisocial behaviors. These results are consistent with other research findings by some researchers such as Bongers, Koot, van der Ende, and Verhulst (2003) Miner and Clarke-Stewart (2008) who examine gender differences in adolescents and suggested that boys are more likely to exhibit problems, such as physically aggressive and conflicted interpersonal interactions than girls. Dishion *et al. (*1995) suggest that boys' behavioral problems are less stable than girls. Furthermore, research examining gender differences in adolescent antisocial behaviors has similarly found that adolescent boys are more physically aggressive, consumed more alcohol, and committed more property offenses than girls (Windle, 1990). Similarly, this finding also corresponds with other studies (Sobotkova *et al.,* 2012) which confirmed that boys tend to behave more aggressively than girls and that antisocial behaviors gradually increase during adolescence.

Table 4. Relationship between adolescents' Age and antisocial behavior

Variables	Antisocial behavior (*r*)
Age	0.144**

Note: **p $\leq$ 0.01

As shown in Table 4. Pearson correlation analysis showed a positive significant correlation between age of respondents and antisocial behavior (r=0.144, p$\leq$ 0.01). Therefore, Ho2 is supported. The finding of this study shows that older adolescents associated with more frequent of adolescent's antisocial behavior. These findings are consistent with previous research (Moffitt *et al.*, 1996; Sohrabi *et al.*, 2007) that found as age increase the probability of antisocial behavior increases. According to Piquero (2007) antisocial behavior and criminality activity increase during adolescence and peaks around age 17 and declines as individuals enter adulthood. There is a considerable literature on factors that contribute to the increase in antisocial behavior that takes place during adolescence (e.g., increases in vulnerability to peer pressure, decreases in parental monitoring). Patterson (1982) suggests that poor family functioning leads to impaired development of normal social skills and increased opportunity for involvement with deviant peers. Laird, Pettit, Dodge, & Bates, (2003) explained that adolescence is characterized by an increased involvement with peers which also could shape what goes on in the family. Researchers (Montemayor, 1983; Stoolmiller, 1994) explained that regarding to pattern of change in relationship quality between parents and adolescents, they spend increasingly less time together as the child ages, there may be significantly lower levels of openness/ warmth and conflict/coercion in older youth compared to younger adolescents.

4. Discussion and Conclusion

This study investigated adolescents' age and gender and the adolescents' antisocial behavior in Tehran, Iran. The study found a significant association between older and male adolescents and antisocial behavior. This means, older adolescents more likely exhibit antisocial behavior than younger, and boys antisocial behaviors are extremely pervasive than the girls. Present study supported previous findings that male and older adolescents showed more frequent of antisocial behavior and delinquent act than younger and female adolescents. Society should take action to identify this violence earlier and protect them to delinquency and crime later. In terms of prevention of antisocial behavior among adolescents, it is important to be aware of male and older adolescents commit more offences against persons, whereas female adolescents offenders more commit aggressive and report of violence that are not include of any antisocial behavior. Given the association between age, gender and antisocial behavior for both girls and boys, younger or older,

intervention could pay attention to potential effects of age and gender and to the assessment of violence and delinquent act in juvenile.

By implication therefore, the findings of this study fill the existing gap regarding this social issue in Iran and contribute to existing literature in terms of understanding psychological developmental stage and family context as important factors in adolescent development. Findings of this study will help the school and educational counselors who are more concerned about the adolescents' needs and protecting them against the effects of unhealthy families. Moreover, the information derived from the present research can significantly enable the educators to enhance their understandings of the crucial factors that involve in the development of antisocial behavior among adolescents. The results of this research also show the unique role of parents in the adolescents' antisocial behavior. Thus, the results benefit parents the most, so they can be aware of the factors contributing to their children's antisocial behavior. There are several limitations on this study. The first is the sample. The respondents in this study were adolescents in Tehran, Iran. Therefore, the results are not generalizable. The second one is that the study is cross-sectional. Thus, the long-term effect of family income on the behavior problems of adolescents cannot be examined.

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Wilayat Al-Hisba;
A Means to Achieve Justice and Maintain High Ethical Standards in Societies

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Abstract

One of Allah's attributes is Adl or The Just, as a result Islam is a religion of justice, and consequently, a Muslim must be just. .Justice and maintenance of high ethical standards have always been among the major concern of Islamic States and societies. The concept of justice is central to the Islamic faith, in all dealings and spheres of life, this necessitated ways, means and probably institutions to oversee its implementation. This study adopted a descriptive analytical synthetic approach which was mainly interpretative in the form of textual commentary. The study mainly focuses on hisbah due to its nature of administering and covering a number of areas of public life to do justice to society. The study as a result will trace the origin of hisbah, its scope, show whether it did differ more especially in its mode of operation right from the prophetic period to the time when it ceased to function, without of course forgetting the person who carries out this job, his appointment, scope of operation and qualification. The study concludes by analyzing the necessity of hisba to the present day Muslim community's current situation

Keywords: Justice, ethical standards, Islamic states, hisbah, public life, Muslim community

1. Introduction

Without justice any Islamic state or society will fail to leave according to the dictates and demands of the faith thus failing to play its role as vicegerents. It is due to the necessity of maintaining justice that such institutions like *Wilayat al-Mazalim, Wilayat al-Hisbah,* the institution of *qadhi* were established to ensure high ethical standards and to maintain justice. Though such institutions may have appeared at a later date in Islamic history, however, this should not be interpreted as sidelining this principal during the early days of Islam. In – fact the prophet (peace be upon him) himself was the best example and the promoter of *al-amr bil-maruf wa al-nahy wa al-munkar* (encouraging the doing of good deeds and guarding against evil) which principal continued to be upheld to its highest expectations during the rightly guided caliphate without being institutionalized.

2. The Literal Meaning of the Term *Hisbah*

Literally the term *hisbah* is derived from the root word: *Ihtisāb yahtasibu, ihtisābān*, which carry a number of meanings; Ibn Manzūr (1990) is of the opinion that *hisbah* connotes hastening in acquiring rewards with patience or doing a number of good deeds in agreement with the Islamic teaching. This can be supported by a Prophetic tradition narrated by Abu Hurairah "Anyone who fasts the month of Ramadan with faith in Allah expecting rewards from Him (*ihtisabān*) Allah will pardon his past sins. This has an implication that whoever observes the fasting of the Month of Ramadan with full faith in Allah, hopping for His rewards, Allah will exonerate his past sins.

57   On the other hand, al-Sunāmi (1986) divided *hisbah* into two meanings; first, counting, second guarding against.
58   Furthermore, according to Ahmad Che Ya'kob, (1999), the term *Hisbah* means al-*hisāb,* which denotes
59   administration or management. The term *Hisbah* can also be derived from the root word *hasaba, yuhāsibu, muhāsabah,*
60   which in this case means self-evaluation.

3. The Technical Meaning of the Term *Hisbah*

64   This concept has been exhaustively discussed by Muslim scholars of various periods in their writings, whereby they
65   defined this concept in various ways. They generally agreed that the term *al-hisbah* refers to *al-amr bil-ma'rūf* and *al-*
66   *nahyi wa al- munkar* (encouraging doing good and stopping evil). Al-Mawardi, (1999) in discourse from the point of view
67   of the function of *hisbah* officer (*al-muhtasib*), he defined *al-hisbah* as a struggle to ensure that people do good deeds,
68   when it is apparent that such an activity is being neglected, besides guarding against evil, when it is noticed that the
69   majority are being involved in such an activity.
70   It is interesting to note that Ibn Khaldūn (2012) in his Muqaddimah defines *hisbah* as a religious responsibility to be
71   carried out in encouraging good deeds and guarding againt evil. Al-Syaizari (1981) agrees with Ibn Khaldun and adds
72   that it also involves improving people's lives. Ibn Taimiyya (n.d) did not differ from Ibn Khaldun and al–Syaizari. In his
73   book entitled "*Al-Hisbah fi al-Islām*" he is of the opinion that the main function of the *hisbah* officer is to encourage doing
74   good deeds and stopping evil in all dealings and transactions, where it is not burdensome to the government officials,
75   judges, and the officials of other departments.
76   'Abdullah Muhammad 'Abdullah (n.d) in his book entitled *Wilāyah Al-Hisbah fi al-Islām,* summarizes opinions of the
77   previous scholars about the definition of *hisbah.* He affirms that it is the responsibility of the leader to entrust it to an
78   individual, vesting in him the power directly to inspire people to do good when it is neglected and to guard against evil
79   when it is widely spread among the people, as well as administering punishments to the wrongdoers in accordance to the
80   Syariah within the limits of its jurisdiction.
81   Interestingly, the Jurists according to Ahmad Che Ya'kob, (1999) have defined *hisbah* as a government institution
82   in which power is delegated to an individual, which power later on will be assigned to specific individual known as al-
83   *muhtasib* giving them the responsibility to monitor economic, religious, social activities, hygiene and, other municipal
84   affairs and administration of a given town. The objective of this administrative obligation is to guarantee that the above
85   activities do not contradict with the Islamic law besides implementing punishment to those who have contravened with it.
86   Conversely, Khan (2012) concurs with Ibn Taymiyya (n.d) and technically defines *hisbah* as connoting the state institution
87   to promote what is proper and forbid what is improper. Khan further accentuates that the Quran envisages every Muslim
88   to pray a positive role in the propagation of good (*ma'ruf*) and suppression of evil (*munkar*) it has been made an
89   obligation on a section of society to remain engaged in it (*fard kifaya*) and is it upon the Islamic state to institute
90   arrangements to oversee the implementation of this injunction.
91   Ibn Tayymia (n.d) further describes *al-Hisab* as a moral as well as a socio-economic institution whose basis lies in
92   the Quranic command of ordaining good and forbidding evil. His primary concern was the attainment of justice, on which
93   he further emphatically clarifies that, a regime committed to justice even if it has certain moral failings is superior to a
94   regime of pious tyranny. He went on to elucidate by stressing that, God upholds the just state even if it is unbelieving, but
95   does not uphold the unjust state even if it believes.
96   It is apparent from the above definitions that *hisbah* is a religious duty which must be implemented by the leader,
97   by engaging al-*muhtasib* charged with the task of supervising of Muslim activities in all aspects of daily life, by making
98   sure that the Muslim community does good deeds and it guards against evil concurring with the limits imposed by the
99   Islamic law in response to the Quranic command thus "*And among you there should be a party who invite to good and*
100   *enjoin the right and forbid the wrong*" 3:103.

4. *Hisbah*, Development and Objectives

104   Ibn Taymiya (n.d) explicates that, the whole religion and authority is a matter of ordaining and forbidding, the ordaining
105   with which Allah has sent his messenger is the ordaining of what is proper and the prohibition with which he sent him in
106   the prohibition of the improper. This consequently formed the characteristic of the Prophet and the Believers. This was a
107   reflection of the implication of the Quranic verse when Allah states in (9: 71) *thus; "Of the believing men and women*
108   *some are charge of others, ordaining what is proper and forbidding the improper"* It is therefore apparent that the above
109   verse made it a collective obligatory duty to every able Muslim, though Ibn Taymiyya stresses that it becomes an
110   individual obligation for the able person when no one else undertakes it.

111   It follows shoot that all Islamic authorities have the sole aim of ordaining what is proper and forbidding the
112 improper, from the greater military authority to the lesser such as local authority. Others are in position of a trustee
113 commanding obedience and what is required of them is impartiality and justice, such as the Commander, the Magistrate
114 and the *Muhtasib*.

115   Accordingly, the ordaining of good and forbidding of evil is an integral part of religion, that Allah describes His
116 Prophet thus, '*He ordains for them what is good and forbids them what is evil, makes wholesome things lawful to them*
117 *and makes bad things unlawful*" (7: 157). On commenting on the above verse Ibn Taymiyya asserts that it is an
118 expression of the perfection of Prophet's mission. This prompted the Prophet to say: *Abū Hurayrah relates that Prophet*
119 *Muhammad (peace be upon him) said: "I have only been sent to perfect good moral character." [Musnad Ahmad (8595)].*
120 In another accepted tradition the Prophet is said to have said again: "Narrated Abu Huraira that Allah's Apostle said, "My
121 similitude in comparison with the other prophets before me, is that of a man who has built a house nicely and beautifully,
122 except for a place of one brick in a corner. The people go about it and wonder at its beauty, but say: 'Would that this brick
123 be put in its place!' So I am that brick, and I am the last of the Prophets." Bukhari: Book 4: Volume 56: Hadith 735.

124   As a consequence, through him God's religion was perfected, comprising the ordering of every right and forbidding
125 of every wrong, the permitting of every good and the prohibition of every evil. Interestingly, the mission of ordaining good
126 and forbidding evil is unceasing and does not rest on the Prophet alone, but it is a continuous community responsibility,
127 this why Allah characterized the community in the same way He did characterize its Prophet, when he said: "*You are the*
128 *best community ever brought forth for mankind: enjoining the proper and forbidding the improper, and believing in God*"
129 (3:110). Allah says again: "*The believers, men and women, are protecting friends of one another: enjoining the proper*
130 *and the improper*" (9:71). As a result, on the authority of Abu Huraira, the Prophet said: "*You are the best of mankind for*
131 *the sake of mankind, in shackles and chains, to make them enter Paradise*".

132   Hence, the uniqueness of the Islamic *Umma* lies in its being most beneficial to them, supremely kind towards them,
133 because they have perfected the enjoining on people what is proper and forbidding them what is improper, since they
134 have commanded every right and forbidden every wrong to everyone, which they perform through struggle in God's
135 cause with themselves and with their property, and this is the perfection of benefit for mankind. Unlike the Islamic
136 community other communities did not enjoin everything proper upon every one, nor did they forbid to every one
137 everything improper, nor did they strive to that end. Some of them did not strive at all, while some like the children of
138 Israel did but their struggle was generally geared towards repelling their enemies from their land.

139   Khan (2012) argues that it was against this background that after the establishment of the Islamic state in Medina
140 part of the task before the Prophet was to reshape its institutions, lay dawn norms of behavior and provide arrangement
141 for the protection and perpetuation of these norms. Among these norms was the norm of calling upon everyone to
142 engage in enjoining good and forbidding evil, which is reflected in a number of his traditions, let alone himself,
143 undertaking inspections of markets to see that the merchants did not involve themselves business malpractices.
144 Whenever he saw someone indulging in an evil he would forbid him. This function he carried out both as a Prophet of
145 Allah and as a head of the Islamic state. In this regard, the Prophet has been termed as the first *muhtasib* in the Muslim
146 history. Later, when his personal engagements increased he appointed Said b. al-As b. Umayyah as *muhtasib* in Makkah
147 and Umar b. al-Khattab in Medina. This marked the initiation of the institution of *Hisbah* as well as laying down its
148 principles and regulations, whose salient feature was the role of the *Muhtasib* and his scope of operation.

149   The institution of *Hisbah* continued to thrive during the Caliphate Period. It is reported that the first four caliphs of
150 Islam carried out the functions of *Muhtasib* themselves, although there are reports of the appointment of market officer by
151 Caliph Umar. The provincial governors during this period acted as *Muhtasibs* on behalf of the caliph.

152   A separate department of *Hisbah*, with a full time *Muhtasib* assisted by qualified staff Known as (**Arifs and Amins**)
153 was introduced by Abbasid Caliph Abuu **Ja'far** al-Mansuur in 157 A.H. He appointed Abu Zakariaya Yahya b. Abdullah
154 as *muhtasib.* Here the *hisba* is seen as being institutionalized, and with the expansion of the jurisdiction of the caliphate
155 the office of the *muhtasib* also expanded and assumed an increased number of functions.

156   Khan (2012) further gives details that the institution of *hisba* moved along with Muslims in the western provinces of
157 Spain and North Africa and remained an integral part of the state even after the split of the Baghdad Caliphate. Similarly,
158 the office of *muhtasib* was an important department during the rule of Fatimids, Ayyubids, and Ottomans.

159   A further account is given by Khan (2012) that, though *hisba* department did not exist, a *muhtasib* and *qadhi* were
160 appointed whenever an area was annexed to the state. But it was stunning in the case of Mughals who replaced it with
161 the office of *Katwaal* who had a more limited jurisdiction than the *muhtasib* due to their own lax moral standards.

162   Khan (2012) concludes by observing that the institution of *hisba* remained in vogue and termed differently during
163 entire Muslim history. In Baghdad for example, the officer in charge was *muhtasib*, in North Africa *Sahib al-suq*, in Turkey,
164 *muhtasib aghasi* and in India a *Katwal*. Khan again illuminates that in certain cases the offices of the *qadi* and the

165 *muhtasib* were entrusted to the same person while at some other places the police department (*Shurta*) and the *hisbah*
166 were headed by the same officer and at other places the three offices were manned by one man, but the functions of
167 *muhtasib* were clearly distinct. Khan's observation that the institution of *hisbah* remained vogue throughout Islamic history
168 needs scrutiny, it is crystal clear that the Prophet was very clear about the importance of *hisbah*, he even did personally
169 get involved in it, and this is evident in his numerous sayings. Not being institutionalized did not mean vagueness; even
170 after his demise the caliphs continued to implement the same principles and they did not have any problem, because they
171 had understood the role, importance and position of this institution from the Quranic verses as well as Prophetic
172 traditions. Khan's comment may be true to a certain extent for the succeeding generation, which did not only neglect the
173 institutionalized *hisba* but also generally neglected other Islamic teachings.

174 Finally with the advent of western colonialism most of Muslim institutions underwent drastic modifications, *hisba*
175 was not an exception to this wave, thus its functions declined in its effectiveness, by disintegrating into a number of
176 departments. By 19th century Persia, Turkey, Egypt and India had already transformed the *hisba* into a number of secular
177 departments discarding its religious content as irrelevant. In the present day Muslim societies the secular functions of
178 *hisba* have been assigned to various departments of the government and the religious functions have been neglected to
179 a secondary position. Perhaps, Saudi Arabia today is the only Muslim state, which has retained the religious wing of the
180 *hisba* intact to a large extent, although it too has distributed the secular functions to different departments and ministries.

5. The *Muhtasib*'s Qualifications and Responsibilities

184 For the institution of *hisbah* to be effective in carrying out its functions needed individuals to run it. Of course, the
185 responsibility of commanding good and forbidding evil rests on the shoulder of all Muslims. But to ensure that this great
186 task in not neglected some individuals may volunteer, but in most cases since the beginning of this institution right from
187 the prophet they were chosen and appointed to carry out this job. A *muhtasib* had to be a person of great integrity and
188 good character, not necessarily a jurist, but generally acquainted with Islamic teachings, ethics and norms; him and his
189 team were supposed to be aware of various forms of abuse in order to effectively carry out their responsibilities.

190 Khan (2012) agrees to this and elaborates that traditionally, the *muhtasib* was a free Muslim male with a high
191 degree of integrity, insight, reverence and social status. On the qualification of the *muhtasib* khan differed and asserted
192 that, he was supposed to be a scholar of the Sharia, and on top of that adds Khan, most often competent for *Ijtihad* with a
193 high degree of in –depth knowledge in the social custom and mores. It is further asserted by Khan that of the qualities of
194 *muhtasib* knowledge, kindness, and patience were considered to be of prime importance.

195 Ibn Taymiyya (n.d) enlightens that the *muhtasib* is charged with ordaining that which is fitting and proscribing the
196 improper in those spheres not reserved to the governors, the judges, the administrative officers. Ibn Taymiyya continued
197 and made it clear that, the duties of a *muhtasib* include: ordering common people to perform prayers at their proper times
198 and punishing with flogging or imprisonment those who do not pray, supervising the prayer-leaders and those who give
199 the call to prayer, seeing to it the former do not neglect the duties of their office and that the latter keep within the legally
200 prescribed form. In case of inability to enforce his orders he may call upon the military, or the magistrate or anyone who
201 commands obedience to help him.

202 It is apparent according to Ibn Taymiyya (n.d) that the most important responsibility of a *muhtasib* is to make sure
203 that common people do not neglect their five daily canonical prayers; the reason being that, no action is more fitting than
204 the prayer. It is the pillar of Islam and the most important of its laws, being coupled with the two professions of faith. God
205 decreed it on the night of the Ascension, communicating it directly to the messenger rather than sending it by angelic
206 envoy.

207 The Quran mentions it very often, explaining its position, thus, it was the last bequest of the Prophet, and on him
208 be peace. It was due to this, that the commander of the faithful Umar ibn al-khattab, may Allah be pleased with him, used
209 to write to his governors that for him the most important part of their duties was the prayer. Whoever keeps to it and
210 observes it will preserve his faith, whoever neglects it commits the gravest omission of all.

211 On this Kamaruddin (1992) affirms that the official duties of *al-muhtasib* were to enforce Islamic morals and
212 religious behavior on the community. His role was to oversee that the five daily prayers are performed on time, that the
213 fasting on the month of Ramadhan is observed, and that everyone lives a modest life by strictly following the code of
214 morality; no free mixing between different sexes in streets and public places. The maintenance of the mosque according
215 to Kamarudin was under this control.

216 Khan (2012) agrees with Ibn Taymiyya (n.d) and further divided the function of a *muhtasib* into three categories:
217 those relating to the rights of God, which covered religious activities such as punctuality of prayers, organization of *Jum'a*
218 and *'Id* congregations and maintenance of mosques. Those relating to the rights of people, this is related to community

affairs and behaviors in the market, such as accuracy in weights, and measures and honesty in dealings. Those relating to both, this was mostly related to affairs relating to municipal administration such as keeping the roads and streets clean and lit at night and preventing the building of factory or dwelling place which could damage the community interests.

According to Khan (2012), the *muhtasib* could appoint technically qualifies staff who could investigate the affairs of different crafts and trade. He also received complaints from the public but could also initiate an investigation on his own. He was supposed to use his wide power sensibly and he had to take a number of steps, give advice, reprimand, rebuke, obstruction by forces, threat, imprisonment, and expulsion from the town. He could choose a stronger punishment only when a wilder one seemed to carry no weight to the person concerned.

Muhtasib's code of conduct asserts Khan (2012) provided a system of checks and balances, for example, he could not doubt a prima facie approved behavior nor could he engage in secrete probing into a doubtful affair. He could only intervene if the behavior of a person obviously went against the Sharia and he could not punish people, but he could forbid them from those actions, which had a consensus of the *Umma*. He could only act with wisdom, foresight and not overzealous and his actions were not to involve a greater mischief than the one he wants to obviate, thus, he needed to make sufficient arrangements to annihilate an evil of a powerful group to counter their reactions effectively. He could invite community participation for social convenience, not to impose his personal opinion on the majority.

It is apparent that, *muhtasib's* rights and functions were divided by Khan in at least three strands, which appeared quite distinctly. The *muhtasib* was responsible to see that the community as whole had a proper organization and facilities for performance of *Ibadat*, the maintenance of mosques, appointment of *muazzins* and *imams*, arranging daily prayers, Friday congregations and *Id* prayers, and he would object to any willful and volitional non-observance of any other obligation of the Sharia by individuals or community.

On the other hand the *muhtasib* was concerned with the implementation of *adl* (justice) in the society. He tries to enforce fair play among different economic factors to minimize possibilities of exploitation from the economy, thus, inspection of weights, and measures, metallic content of coins, and quality of food products. He would also check on the prices, supplies and production, monopolistic collusions, cheating, fraud. He had to intervene wherever the economic flows were manipulated by the economically powerful individuals or groups to their selfish ends.

The third aspect is where the *muhtasib* paid special heed to various municipal services especially hygienic conditions in the town, perhaps the *muhtasib* was the only municipal officer in the Muslim society. He would look into the entire municipal administration such as street lighting, removal of garbage, architectural designs of buildings water supply and antipollution sanctions.

6. Relevancy of *Hisba* to Contemporary Muslim Communities

A cross sectional analysis of historical facts about *hisba* right from its inception till the time it lost its religious function, is an evidence that nobody doubts or denies its role in ensuring justice, the central concept to the teachings of Islam. The act of ordaining good and forbidding evil reduces malpractices and ensures justice to all, irrespective of people's status, thus, the Prophet, peace be upon him was directly involved, hence, serving as a role model to his companions who inherited the same legacy which they seriously implemented, consequently, contributing to their maintenance of justice to its highest standards. Even succeeding generations, that viewed *hisba* seriously were able to keep justice and to curb malpractices to a greater degree. It was only when this institution lost its Islamic function that the contemporary Muslim communities suffered from all sorts of evil, ranging from negligence of their major obligations to rampant cheating and fraud, as a result compromising justice. It is due to this fact that though certain aspects of *hisba* are still maintained in form of assigning some of its functions to government departments and ministries, it lost its religious function, thus, becoming ineffective. This marginalization and negligent of this institution, has resulted into Muslim countries ranking higher on the secular list of corruption. This is a great pity and a shame to the community that was chosen by the Almighty as best due to its ordaining of good and forbidding evil.

7. Conclusion

The institution of *hisba* was a Muslim contribution to Islamic civilization, though some people allege that it was a copy cut from the Greek, neglecting the fact that its basis is be found in the holy Quran. This is why, much of what used to be done by a *muhtasib* is still done by government department or ministries, at times more efficiently, but lurking in terms of the Islamic input, which was based on the concept of piety and being watched and observed by the Almighty Allah. Thus, the main objective of ensuring justice to the community is no longer the concern of the present day so called institutions for fair dealings and protection of common interests, but the protection of big companies by governments at the expense

273   of justice and well fair for all, the main agenda of *hisba*

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Jews of Siberia in the 19th Century

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Abstract

Siberian Jews have long been a well-established subject of research in Jewish Studies. Scientific publications of the 19th – early 21st century mainly focus on the problems pertaining to social adaptation of Jews in Siberia in the 19th – early 20th century. At the same time, much fewer works describe features distinguishing the economic development of the Jewish community and its place and role in the growth of specific economic sectors in Siberian regions. The article deals with the starting period that saw the formation of the Jewish community in Western Siberia. This period has not been closely looked at in historiography. The analysis here is based on archival data and elaborates on governmental policies by Alexander I and Nicholas II towards Jews living in Siberia as well as the consequences of these policies by the mid 19th century. The paper is using materials from various archives and published sources to formulate key features of the economic activities undertaken by the Jewish community in Western Siberia in the 19th century.

Keywords: Jewish community, the Jewish question, Siberia, migration, domesticities, trade, distillation, education, medicine.

1. Introduction

The formation of local Jewish communities in the Russian Empire throughout the 19th century was a reflection of the national policy. Short periods of liberalism gave way to lengthy bans prohibiting Jews from settling beyond the Pale (the Pale of Settlement was introduced by Catherine II and determined the provinces in which Jews were allowed to reside; it remained in force until 1917). One of the regions, which featured continuously forming Jewish communities, was Siberia.

Russian historiography established a tradition of dating back the history of the Jewish community in Western Siberia to 1836. V.N. Nikitin was one of the first historians who raised this topic in his study "*Evrei zemledel'tsy*" ("*Jewish agriculturists*") (1887). One chapter in his work was devoted to the unsuccessful movement of Jews in the Tobolsk province and Omsk region under Nicholas I in 1835–1836. An undoubted merit of the author was the introduction of archival documents from the Interior Ministry into scientific use. Although he did not add appropriate references to the text, a comparison of materials from the corresponding fonds leaves no doubt of it. Using multiple sources, Nikitin not only presented a detailed picture of the project development and nuances of its implementation, but also tried to expound on the reasons why it was suddenly scrapped. Unlike researchers in the years to come the following years, he gave no quantitative data on Jewish settlers of this time but only referred to the text of the 1837 manifesto that prohibited Jews from resettling and living in Siberia and stated that "1,317 adult males (except those who voluntarily went to Siberia–- and nobody knew the right number)" wished to move to Siberia (Nikitin 1887: 207).

Booming legal trends in Russian history contributed to the appearance of new studies. In 1905, St. Petersburg saw the publication of the work by lawyer G.B. Belkovskiĭ "*Russkoe zakonodatel'stvo o evreiakh v Sibiri*" ("*Russian legislation on the Jews in Siberia*"), where he could not ignore the question of the Jewish 1835 – 1836 resettlement. Writing about the prohibitive measures in 1837, he pointed out that they were not extended to those "who had time to voluntarily settle down in 1836. There were only some 1,367 people " (Belkovskiĭ, 1905). But one of the sources in Belkovskiĭ's study was the article by exiled populist F. Volkhovskiĭ "*Evrei v Sibiri*" ("*Jews in Siberia*"), published in the *Voskhod* journal (Volkhovskiĭ, 1887).

A paper by a lawyer IŬ. Ostrovskiĭ "*Sibirskie evrei*" ("*Siberian Jews*") (1911) also mentions the 1835–1836 resettlement campaign. Without giving specific information on the number of people who migrated, the author writes about the "willingness of 1,317 Jews to resettle" (Ostrovskiĭ 1911: 13).

Finally, a lawyer M.M. Mysh gives the historical background of Jews in Siberia in the section "The right of residence of Jews in Siberia" in the book entitled "*Handbook to the Russian laws on the Jews*" (1914). Their appearance is connected with the 1835–1836 campaign when "in 1836, willingness to relocate from different provinces was

expressed by 1,217 Jews" (Mysh, 1914). As he provided data on the number of people willing to resettle, the author referred to the text of the provisions by the Committee of Ministers "On the suspension of the resettlement of Jews in Siberia" dated January 5, 1837. However, the text of the provisions gives different information: "1,317 Jews willing to resettle on these plots during 1836" (Mysh, 1914).

When describing the legal framework for the founding of Jewish communities in Siberia, authors paid little attention to challenges the Jews faced in adapting to their new circumstances. This resulted from the more common external approach to the study of the history of the communities, which dealt with the history of Jews in Russia on the basis of non-Jewish documents (S. Dubnov et. al.). An exception was the work by B. Voïtinskï and A. Gornstein "*Jews in Irkutsk*" (1915).

Jewish Studies in the second half of the 20th– early 21st century were dominated by research works of Siberian historians (L. Kalmina, 1998, V. Rabinovich, 2002, N. Galashova, 2004, N. Orekhova, 2007, V. Shaidurov, 2013 etc.). The main attention is given by authors to issues of the interior life of the regional communities.

Foreign experts are not particularly interested in the region. This situation was reflected in historiography. One of the few studies in which we find references to the Jews of Siberia before 1917, was a monograph by J. Klier "*The origins of the "jewish question" in Russia, 1772 – 1825*". The author in his monograph mentions the contacts of the Russian government with Jews before 1772. For example, the general historical context indicates Siberia as a place of exile at the beginning of the reign of Tsar Alexei Mikhailovich. In the future, the practice continued (Klier 1986: 61).

2. Material and Methods

In this paper, we consider the impact of national policies on the formation of local Jewish communities (case study of Siberia) and characterize the place and role of Jews in the regional economy in the 19th century.

Thus, on the one hand we will use some principles of the regional approach, addressed by Andreas Kappeler (1992) in his monograph using the Russian material, in the form of reconstruction of specific aspects of the history of Jews in Siberia. On the other hand, I will also apply some features of the situational approach that lately has been lately widely used by Russian and foreign historians to describe history as resulting from the interaction of various actors (A. Miller et. al.).

The work is mainly based on archival documents and published sources (legislative and recordkeeping materials). These resources will enable complete the tasks set above.

3. Discussion

In mid-March 1810, the Committee of Ministers at its meeting heard a note from the Interior Minister, O.P. Kozodavlev, presenting them with the project of a Courland nobleman, a councilor of the Courland provincial board, G.F. von Felkerzam, to relocate Jews from Courland to the Tobolsk province (Russian State Historical Archive (RGIA). F. 1263. Op. 1. D. 20. L. 148 – 149). However, the government at the time did not think it was necessary to examine this issue, and therefore it made a decision "upon hearing the projects ... to leave them without attention " (RGIA. F. 1263. Op. 1. D. 20. L. 149).

The Interior Ministry had to deal more than once with the question of the Jewish population in Siberia in the first quarter of the 19th century. In this period, Jews found themselves beyond the Urals as a result of enforced court judgments or were sent there as exiles. For example, in 1814, Siberian Governor General I.B. Pestel to Interior Minister O.P. Kozodavlev on the measures taken by Irkutsk civil governor N.I. Treskin regarding Jewish settlers (settlers were the persons who finished or served their term in exile or penal servitude and were left in Siberia to live under police surveillance– V.Sh.) (RGIA. F. 1285. Op. 3. D. 273. L. 1). Local authorities faced the fact that Jews "by nature of their lives are not inclined to undertake any farming activities and because of their dissolute behavior may not be useful to that region" (RGIA. F. 1285. Op. 3. D. 273. L. 3). To correct the customs of Jews and Gypsies, it was proposed to send those who had no craft skills for penal settlement in the areas of the Irkutsk and Nizhneudinsk uyezds (An uezd was a secondary-level of administrative division. In the 18th – early 20th century, the Russian Empire was divided into provinces, which in their turn were divided into uezds, and uyezds into volosts.), that were remote from Irkutsk.

A visit to Ural plants by Alexander I allowed local authorities to initiate radical actions to fight against the "Jewish evil." Already December 19, 1824 witnessed a secret order that prohibited Jews from settling in Ural state-owned and private plants and in the Altai mining district in order to prevent Jews from stealing precious metals and "corrupting the local population." Measures to exterminate Jews were carried out simultaneously by the Finance Ministry and the Interior Ministry. In the above document, the Finance Minister, E.F. Kankrin, was instructed regarding "Jews so that they were not

111 tolerated at the mining plants" (RGIA. F. 468. Op. 23. D. 2728. L. 9). A week later the Managing Head of the His Imperial
112 Majesty Cabinet, Count D.A. Guriev, communicated the content of the secret document to the directors of Kolyvan-
113 Voskresensk, Nerchensk and Yekaterinburg mining plants.
114   On December 9, 1825, Western Siberian Governor General P.M. Kaptsevich reported to the Siberian Committee
115 on Jews living in the Omsk region and activities that were planned to be carried out in relation to this group. Surviving
116 documents, in particular, decisions by the Council of the General Directorate of Western Siberia, allow us to speak that
117 the attitude of the local authorities and society to exiled Jews was negative. They, for example, indicated that "the
118 Semipalatinsk City Hall spoke very harshly of them (Jews – V.Sh.), and also Petropavlovsk city-provost could not vouch
119 for their trustworthy behavior" (RGIA. F. 1264. Op. 1. D. 260. L. 3).
120   Provincial authorities were in a difficult situation: they had to relocate Jews not only from mining plants of the Altai
121 mining district, but also from the border settlements along the Siberian Line. Based on the above secret order, provincial
122 authorities made a decision: "Banish all the Jews who are staying... and residing in districts according to their passports
123 and without them, from their former places of residence, and henceforth keep them out of the Line for what purpose to
124 order municipal and rural police departments to make strict observation of the Jews ranked as petty bourgeois and
125 peasants and settlers having households" (RGIA. F. 1264. Op. 1. D. 260. L. 4). Jews were further proposed to be
126 relocated from Semipalatinsk and Petropavl fort to the interior of the Tobolsk and Tomsk provinces and to ask the
127 Tobolsk *Pikaz* for Exiles (Prikazes were orders or administrative departments in the 18th century Russia), that no exiled
128 Jews "were sent by it in future both to the Line and other places, that are close to mining plants" (RGIA. F. 1264. Op. 1.
129 D. 260. L. 5).
130   Thus, already in the 1820s, Siberia was the place where measures were implemented aiming at restricting the
131 rights of the Jewish population. In spite of barring Jews from living in certain parts of Siberia, the authorities,
132 nevertheless, left them there as settlers, and therefore prohibitive measures could not exclude Jews from the number of
133 Siberian inhabitants. According to the Interior Ministry, by 1834, Siberia was the place of residence for "18 merchants,
134 659 townspeople, craft and town workers, and the Omsk region for 13 settlers" (RGIA. F. 383. Op. 29. D. 960. L. 4) of
135 Jewish confession.
136   By the mid-1830s, sharp deterioration was marked in the situation of the Jewish population inside the Pale, who
137 were relocated in the second half of the 1820s from rural areas to cities and towns, as overcrowded conditions made it
138 impossible for most Jews to become employed. This was repeatedly reported by the regions to St. Petersburg. In April
139 1835, Nicholas I approved the "Regulations on the Jews", which were supposed, according to their developers, to
140 improve the situation of the Jewish population. In particular, one of the principal aspects of the new provisions was the
141 intention to "relieve" cities and towns in Pale of the excessive weight of the indigent Jewish population by relocating it to
142 rural areas. New settlements grew up on vacant marginal lands.
143   With the bureaucratized state apparatus in the reign of Nicholas I, the formulation of measures to tackle the Jewish
144 question involved various institutions in the mid-1830s.
145   One of the key bodies preparing and carrying out the relocation of Jews to rural areas was the Finance Ministry. Its
146 functions not only included allocating settlers allowance for traveling expenses, but also preparing places of residence.
147   The main region for the placement of Jews was to become Siberia, despite the fact that the local authorities were
148 extremely ill-disposed towards them ever since the governorship of Speranskĭ. Following the report by Finance Minister
149 Kankrin, November 12, 1835, Nicholas I ordered for Jewish the allocation of 5 vacant plots of state-owned lands in the
150 Tobolsk province and the Omsk region. It should be noted that by that time, the office of the Interior Ministry had piled up
151 a large number of petitions from Jewish communities of different provinces, which contained requests for better situation
152 for Jews. The greatest number of petitions came from the Jews of the Baltic and Belarusian provinces. For example, a
153 petition addressed to Interior Minister Bludov came from Jewish families of the Mitava city in Courland, in which
154 petitioners complained about the "enormous difficulties in earning an honest livelihood" (RGIA. F. 383. Op. 29. D.. 959. L.
155 3).
156   The overpopulation of cities by Jews and impossibility for them to support their families were pointed out by Vitebsk
157 Governor General Dyakov in his memorandum which indicated, for example, that "petty traders and craftsmen due to the
158 lack of customers and consumers have to be limited to petty trade, which is hardly worth maintaining a shop; craftsmen,
159 who are numerous among Jews, are unemployed. Mogilev alone is known to have more than 600 tailors, while the 100th
160 fraction of this number is sufficient for the total of people who need their skills" (RGIA. F. 383. Op. 29. D.. 959. L. 44).
161   Many Jewish families tried by all means to escape from the poverty in which they found themselves because of the
162 tsarist power. As a result, internal prerequisites were developed in the mid 1830s in Jewish communities for their
163 inclusion in the colonization process.
164   But not everyone in Jewish communities supported the resettlement in new areas. This process was opposed

among others by Kahals. In his memorandum to Benkendorf, Major General Drebush pointed out that "they (Jews – V.Sh.) have accepted as a blessing the most gracious permission to become agriculturalists [...] in the Tobolsk province, granted to them, but they are facing difficulties on the part of Jewish Kahals» (RGIA. F. 383. Op. 29. D. 959. L. 50). Kahals together with city and zemstvo police tried to conceal the relative decree from Jews.

It should be said that the "Regulations on the Jews" spoke in generalities, and many of its theses required further clarification and detailed work. This led to the fact that several approaches to the relocation of Jews from the cities to rural areas were planned in the depths of officialdom. The first opinion was voiced by the Finance Minister E. Kankrin, according to which, it was necessary to resettle Jews on lands allocated in Siberia by the government at the expense of public funds. This position is consistently traced in the departmental correspondence between the Finance Ministry, on the one hand, and other agencies (the Interior Ministry and the Ministry of State Property), on the other hand.

A special opinion on the subject was expressed by Adjutant General Dyakov, who held the post of Chief Executive of the Vitebsk, Mogilev and Smolensk provinces in 1836. He agreed on the need to improve the situation of the Jews in the Pale, which was reported in a memorandum drawn up in Vitebsk on July 19, 1836. According to him, Belarusian provinces had enough vacant lands for Jewish grain farmers to be placed. For example, he proposed "in advance early and without waiting for requests, designating in the Vitebsk and Mogilev province vacant and obrok public lands plots of 200 dessiatines or more; announcing the designation to Jewish communities in cities and towns so that they know where they can settle down pursuant to the 1835 Regulation" (RGIA. F. 383. Op. 29. D.. 959. L. 46). These actions were to be implemented by the Interior Ministry and treasury chambers under the Finance Ministry.

Another position was made clear in a memorandum by the Chief of District IV, gendarme corps Major General Drebush. Like Dyakov, he believed that the deteriorating situation of the Jews was caused by the measures taken in 1823 that plunged them into destitution and them deprived of "all the means to feed themselves and numerous families" (RGIA. F. 383. Op. 29. D. 959. L. 50). Drebush outlined in his memorandum details on his vision of a mechanism for the relocation to the lands allotted in Siberia, which actually was to be controlled by the Corps of Gendarmes (at the local level – of Corps field officers). This view was supported by the chief of the Corps, Count Benkendorf. Thus, there was an obvious clash of interests among of various departments and people.

Both documents reached Interior Minister Bludov. The latter had a covering note from Benkendorf. Bludov decided to shift the responsibility for the final decision to Finance Minister Kankrin, to whom both documents were submitted for consideration. At the same time Bludov respectfully wrote Benkendorf that upon receipt of the Finance Minister's reply he would certainly notify him of the future course of the case (RGIA. F. 383. Op. 29. D.. 959. L. 57).

The position of Finance Minister Kankrin remained unchanged. In his reply to Bludov dated August 26, 1836, he wrote that, based on the information available in the Ministry, he thought allocating lands in Belarusian provinces was impossible, as there were no free lands (RGIA, L. 59). As for the proposals by Major General Drebush, they were not accepted either, because the principles of supplying Jewish resettlement groups with money and controlling their movement to the area of placement were already formulated. These principles were set out in a letter to Bludov as early as May 1836 (RGIA. F. 383. Op. 29. D. 959. L. 17-20).

This was the general opinion shaped regarding the issue of the Jewish resettlement in Siberia.

The spring of 1836 saw the start of the resettlement campaign, as it was planned by the Finance Ministry. Small groups of Jews went from the Pale, mostly from the Mogilev province, to Siberia. The very first contacts between settlers and provincial authorities along the route revealed the latter were unprepared to accept resettlement groups. Jews whether in Simbirsk or Vladimir requested for financial support, while local authorities entered in long correspondence with St. Petersburg, asking for instructions. The solution to the problem was radical: Kankrin issued an order for treasury chambers to allocate necessary funds and clothing to Jewish settlers. Thus, officials dealt with problems of immigrants, as they arose.

In mid-December 1836, Kankrin sent Bludov another letter. There he summarized intermediate results of the 1836 resettlement campaign. In particular, he pointed out that "based on the affairs of the Department of State Property, it can be seen that during this 1836 the number of people that wished to relocate from various provinces to the state-owned plots allocated to them, amounted up to 1317 souls". The Office of the Interior Ministry had at that time lists of potential migrants from various Belarusian and Lithuanian provinces, that totaled over 3 thousand people. These results were so inspiring for the Finance Minister, that he announced his intention to allocate in the next year ten plots for Jews to resettle in the Omsk and Petropavlovsk districts spanning total a total area of 13,363 dessiatines. Provincial and regional treasury chambers already planned Capital grants for relocated people. For its part, the Interior Ministry was to inform Jewish communities inform through governors, as well as notify the Governor General of Western Siberia.

On December 22, 1836, a regular meeting by the Committee of Ministers took place, considering among other things the issue of facilitating the Jewish resettlement in Siberia using the proposal put forward by Finance Minister

219 Kankrin. The Committee of Ministers made a decision to "approve the order request for the Imperial permission" (RGIA.
220 F. 383. Op. 29. D. 959. L. 120).
221   Already on January 5, 1837, Nicholas I passed a resolution on the provision of the Committee of Ministers:
222 "Suspend the relocation of Jews to Siberia" (RGIA. F. 383. Op. 29. D. 959. L. 120). This undermined all efforts previously
223 made by various departments. The specialist literature has repeatedly raised the question: why Nicholas I changed his
224 position regarding the resettlement issue. It seems to us, a negative role in these developments was played Interior
225 Minister Count D.N. Bludov, who in his surviving memorandums to His Imperial Majesty repeatedly spoke against the
226 Jewish settlement in Siberia. The above memorandums and covering documents to them imply that Bludov repeatedly
227 had conversations with the Emperor on this subject, which received its further expression in various documents, including
228 those that received the Imperial extracts from these documents to support the argument. According to Bludov, the most
229 important purpose was to prevent any negative influence of Jews on Russian Orthodox and non-Russian population
230 (Tatars, Kirghiz, Altai and others) (Kal'mina 1998: 10). To achieve this, it was necessary in every possible way to avoid
231 increasing numbers of Jews in Siberia, and convert those who already lived there to Orthodoxy.
232   Nevertheless, the resettlement of Jews in Siberia was not simply suspended. It was soon followed by an order to
233 return all resettled parties to their places of residence or send them to the Kherson province, where their placement was
234 to be provided for by the newly created Ministry of State Property, headed by Count P.D. Kiselyov. This order was sent by
235 Bludov to all governors whose provinces Jewish migrants could by pass. Using follow-up reports from governors it is
236 possible to assess the actual scale of the resettlement campaign. According to them, as of the end of 1836 – beginning of
237 1837 the number of Jews on their way to Siberia was no more than 100 people who took advantage of the right granted
238 to them to settle down in the Tobolsk province. All of them were sent to Kherson.
239   However, one group of migrants managed to arrive at the Tobolsk province in late 1836. Bludov's order, received
240 after that, caused confusion among the provincial authorities. On July 5, a report was sent to St. Petersburg that a party
241 of Jews from the Mogilev province and Bialystok region numbering 36 persons of both sexes came to Siberia before
242 January 5, 1837. The question arose what to do? The answer required the interference of Nicholas I, who passed a
243 resolution of this matter in the hands of the Jews themselves. State Secretary Taneyev wrote to Bludov on this subject:
244 "Lord Emperor, having considered the humble ... memorandum dated July 8 addressed to His Imperial Majesty... deigned
245 to believe that it is unfair to relocate these Jews once again. But His Imperial Majesty commands that they be presented
246 with a choice as to either resettle in the Kherson province, or remain in the place and comply with the rules adopted for
247 the Jews who are now located in Siberia" (RGIA. F. 383. Op. 29. D. 960. L. 185). The Jews exercised this right – 32
248 chose to remain in Siberia, and only 4 decided to return to European Russia.
249   This story what's the question the stereotype existing in the literature that more than 1 thousand Jews resettled in
250 Siberia in 1836 (Belkovskĭ 1905: 5; Ostrovkĭ 1911: 4). Work with archival f.s revealed an interesting case that sheds light
251 on the fate of the Jews who settled in the Omsk region. In the mid-1840s, 32 Omsk Jews reminded of themselves. This
252 was connected with the matter of exempting them from taxes and duties. In January 1843, a Supreme Order was issued
253 by Nicholas I, regarding the Committee of Ministers' decision, following the report from the Minister of State Property,
254 Count P.D. Kiselyov: "Permit these Jews to remain forever on the plot allotted to them in the Omsk region, and then
255 exempt this plot from taxation". As a result, they received 480 dessiatines of convenient land in free use for 25 years
256 (Shaidurov 2013: 81).
257   The practical effect of the 1835–1836 resettlement campaign was ambiguous. The main outcome can be
258 considered to be the introduction of an official ban on resettlement and residence of Jews in Siberia. The "Rules"
259 developed by D.N. Bludov, shaped the life of the small Jewish community in Siberia. First of all, they affected exiles and
260 penal servitude convicts caught in this area. It was penal servitude and exile that became the main source to replenish
261 the Siberian Jewry in the second third of the 19th century: as of 1849, the Tobolsk province was the place of residence for
262 only 785 people of both sexes, and the Tomsk province for 1,482 people of both sexes, which means that means only in
263 15 years, the official number of Jews in the two Siberian provinces almost tripled. In the middle of the 19th century, one of
264 the main centers of Jewish life in Western Siberia became Kainsk, the town in which, according to a contemporary, "most
265 of the population ... are Jews relocated for their crimes and above of all for smuggling."
266   Thus, despite the opposition of the authorities, by the beginning of the post-reform period (1861 - 1900), Siberia
267 brought about active processes in formation of the Jewish community. Exile, and later the natural growth of the population
268 became principal sources in this process. Living conditions, different from the Pale, and ignorance of segregation forced
269 Jews to strive for emancipation in order to find their place in the economic and socio-cultural life of Siberia.
270   Bourgeois-democratic reformations of Alexander II affected the Jewish Diaspora life. Thus, a variety of legislative
271 acts were adopted in the early eighteen sixties that permitted some categories of Jews to migrate from pale of settlement
272 to inland guberniyas (provinces) of the Russian Empire. The Siberian guberniyas were among them. Those persons who

273 had higher education, academic degrees, as well as chemists, craftsmen, et alias, began to migrate in great numbers first
274 to guberniyas adjoining the Pale of Settlement (Novgorod, Pskov, Smolensk, et alias). Gradually the migration flow
275 reached the Urals and Siberia.

276   Partial liberalization of the Russian legal system that concerned Jews was important for a number of regional areas
277 including Siberia. The advent of a considerably great number of people with university and professional education laid the
278 foundation for the modernization of economical and sociocultured life in these areas. The Jews who arrived in Siberia
279 voluntarily changed the Judaic community image, the latter attaining regularized form, structure and its interior life.

280   Having turned out to be in Siberia the Jews were scarce of sources of revenue. As long as they resided in the
281 same area as the exiled they could count on an insignificant drawing pay which was only just enough to buy basic goods.
282 That disastrous state forced them either to apply for financial support on the part of relatives or seek for extra money
283 locally. Begging was one of the common occupation among the Jews. According to the newspaper "Siberian Life" in
284 Tomsk as of 1885 it was the source of subsistence of approximately 40 Jews. Some of them turned beggarism to
285 professional occupation, whereas to others it was their lifestyle, "obtaining profitable deal (Geschäft)" (Shaidurov 2013:
286 101).

287   During the first after-reform (1861 - 1894) decades privately owned capital prevailed in Siberia, including Judaic
288 capital in the sphere of gold mining. Siberian Jews from among "nouveaux riches" became proprietors of gold mines,
289 many of which were in the territory of the Altai mining okrug (territorial district). For example, there were 281 privately
290 owned gold mines in the Maryinsky okrug in 1873, 10 of which were owned by Tomsk and Maryinsky tradespeople of
291 Jewish origin. Thus, mention should be made to B.L. Khotimsky, who obtained an entitlement certificate to be engaged in
292 prospecting and gold mining as far back as 1862. By 1873 he had become a proprietor of 5 gold fields in the Maryinsky
293 okrug.

294   The Jews in Siberia strived for prospecting precious stones and mineral development as well. Thus, in 1873 G.O.
295 Khaimovich forwarded an appropriate petition and received permits from the Mining administration of the Altai okrug to
296 carry out such works.

297   As early as the after-reform period official work contracts turned to be conventional industry for Judaic
298 entrepreneurs. In eighteen sixties V. Gudkovich who was referred to above continued his activities. In eighteen sixties –
299 eighteen eighties the B. Khotimsky the numerous family played an active part in that sphere. As far back as 1864 his wife
300 Marina who was recognized as a first class guild tradeswoman dealt actively with commercial business and mining gold
301 fields. She struggled energetically for official construction contracts.

302   It was not always that Jewish businessmen with regard to the obligations. In one case they got away with it. But
303 there were adversary circumstances. Thus, in 1883 all property of the above mentioned Marina was seized, as it was
304 stated "the Khotimskaya property is seized to cover expenditures connected to the case of abnormal construction of the
305 Bolshe-Kosulskiy Bridge which is in the Maryinsky okrug and other cases". A month later (on April 13 1883) "according to
306 decision of the Tomsk okrug court the Tomsk first class (guild) tradeswoman Marina Grigorievna Khotimskaya is
307 adjudicated bankrupt" (Shaidurov 2013: 104).

308   Siberian press of eighteen eighties held an active discussion on the problem of official contracts. Newspaper
309 correspondents from different Siberian towns wrote about corruption of the system with specific references. That
310 concerned not only construction contracts but also contract work in relation to the Military Department, Ministry of Home
311 Affairs, Ministry of Justice, et alias.

312   Contractors seemed to make money out of nothing. Thus, in 1885 "*Siberian Gazette*" published an article from
313 Verkhneudinsk. It gave information about the making and consumption of prison footwear and clothes. The author wrote
314 that "a contractor is entrusted to make clothing… After the work contract is executed, the contractor transfers the finished
315 articles of clothes to the commission that accepts the delivery and assesses its quality using clothes models received
316 from the regional administration". A similar procedure should exclude improper or wrongful practices. However, according
317 to the newspaper correspondent, "a Jew by reason of small profit will not undertake the deal (Geschaft) but even in this
318 case he can profit at the expense of another due to his adroitness. A visiting official assigned to inspect the accepted
319 delivery and finds the clothes to be of low quality; he compares them with the models and finds the latter even worse. The
320 seal bearing the name of an official on the models clears the Jewish contractor's reputation whereas public money has
321 been let go down to the wind". Corruption took place very often in such cases, as the official who sealed the models
322 received his fair share of the profit. And there were a lot of similar instances.

323   Participation of Jews in the development of the business sector as we see was personified. During the after-reform
324 period a number of rich clans were formed. They gathered wealth by different methods. The Mariupolskiys were ones of
325 the great representatives of the Judaic business capital of the region that were engaged in various branches of primary
326 processing industries. Tradesman Mikhail Mariupolskiy undertook activities as a proprietor of the rendering factories in

327 the Tobolsk guberniya. At the end of the 19th century 1,700 poods (16 kilograms) of fat was rendered annually in for the
328 total amount of 5,000 roubles. At the same time, 100,800 poods of final products were processed at 28 rendering works
329 in the Tobolsk guberniya valued at 820,000 roubles. Accordingly, the share of M. Mariupolskiy was 1.6% of the total
330 volume and only 0.6% in the rouble equivalent (Orlov 1900: 202).
331   The Fuksmans were another example of Judaic family business in the Tomsk guberniya. The Tomak merchant
332 Elias Leontyevich Fuksman was one of the large producers of grainy wheaten flour during that period. According to
333 official figures, flour milling founded by him in 1878 ground approximately 42,000 poods of flour to the amount of about
334 50,000 roubles annually. The Fuksman's company could be referred to as an average company average category, as
335 there were 35 workers employed in it. The following criteria testify to the rank of the mill at the flour market of the
336 guberniya, viz. its share of volume of ground wheaten flour was 5.1% in the total volume of ground wheaten flour, that
337 totaled as much as about 6.5% in money terms. The number of workers employed in that mill was 10% to the general
338 employment in the industry (Orlov 1900: 200).
339   The Fuksmans were not engaged only in the flour milling business. For instance, a tanyard belonged to them too in
340 Tomsk. Grigoriy Ilyich, the son of the above mentioned Elias Leontyevich owned one of the largest wine distilleries.
341 Tomsk newspapers disputed about the participation of the Fuksmans in the so-called "strike of the Tomsk distillers" in
342 1888. In particular, "*Siberian News*" wrote, that " he being a Jew cannot have a hand in distillation directly; meanwhile he
343 is in possession of the wine distillery "Grigoryevsky". What should be done? A nimble businessman succeeds in taking at
344 the flood possession of his distillery, but he also sees right participation in a tempting strike. In September, just prior to
345 the bargain he had his son Grigoriy baptized in a Lutheran Church and he gives in 3 months annual rent his distillery
346 under a contract to his son" (N.a. 1888).
347   In addition to this, G. I. Fuksman held one of the largest breweries based in Tomsk. In terms of volume it was the
348 third brewing plant in the Tomsk guberniya. Fuksman's brasserie was considerably inferior to the Tomsk beer "king" of
349 the Prussian subject R.I. Kruger and another representative of the Jewish industrial communities M.O. Reihzelingman.
350   Later on Fuksman set up shipping company. At the beginning of the 20th century, for instance, the light passenger
351 steamship "Vladimir" belonging to him which had electric lighting and steam heating plied voyages between Tomsk and
352 Barnaul.
353   One many weaknesses of Tomsk tradesmen were horse breeding and horseracing, the latter taking place at the
354 Tomsk race track. That was related to I.L. Fuksman as well who competed with such tradespeople as Korolyov,
355 Pastukhov. Samsonov. In 1897 N.V. Muravyov, minister of justice, while on a visit to Tomsk purchased three black color
356 horses that were shipped to Saint Petersburg. That all witnessed that Judaic entrepreneurs at the end of the 19th century
357 were not inclined to niche specialism, but they did business in diverse spheres of activities as far as available capital
358 permitted.
359   One of the largest brewers in Tomsk was Mikhail Osipovich Reihzelingman who had built the first brewery in
360 Tomsk that was inferior only to Kruger's brasserie. That plant was considered to be the most advanced brewery of the
361 time. In 1897 one of the Tomsk brewing masters wrote in the columns of the "Tomsk paper" that "the plant has been in
362 operation for 18 years and within those years has gained solid reputation, therefore I believe, that no advertising of my
363 plant is required". A similar statement was not unfounded which testified to the results of investigations of the burtons
364 that were sold in beerhouses, viz. in order of merit beer brewed by plants of Reihzelingman were inferior only to
365 numerous burtons brewed at Kruger's brewery.
366   The share of Fuksman and Reihzelingman's brewing at the end of the century in the Tomsk guberiya was 1/3
367 (Shaidurov 2013: 97).
368   Distillation in individual okrugs of the Tomsk guberiya was entirely in the hands of the Jews. Thus, at the end of
369 eighteen eighties – eighteen nineties Fainberg, Yudalevich, Butkevich were the leaders in that business in the Mariyinsky
370 okrug. One cannot leave out one more feature of the imminent monopoly capitalism, i.e. carve-up of sphere of influence
371 against actual either one suffices aimed at raising the price of vodka
372   It is noteworthy that censure of enumeration in 1897 recorded a relatively large number of Jews engaged in
373 distillation, brewing and honey extraction. There were 30 persons in the Tobolsk and Tomsk guberniyas, as well as in the
374 Akmolinsk region incorporated in the business mentioned including members of their families that totaled 182.
375   Not only large enterprises of food industry proved to be in the hands of the Jews. By the end of the 19th century the
376 latter had begun to occupy themselves with forest products and woodworking industries of Siberia. The Tomsk merchant
377 M.I. Minskiy was one of the path breakers in that area to put into operation in 1887 a match factory which in terms of
378 output products volume was inferior in Siberia only to the Tomsk tradesman M.A. Vorontsov. The share of Minskiy by
379 1900 had been more than 30% in terms of roubles. 60 people (salary and wage earners) were employed at the factory
380 that amounted to nearly 30% of those engaged in the industry sector over Siberia.

381 By the early 20th century, Russian industrialists did not manage to make effective use of the wealthy timber
382 reserves in Siberia, viz. Russian timber was exported to China in the form of lumber, which "was totally unsuitable for
383 loading on vessels and was reluctantly purchased by the Chinese" (Korobov 1916: 125). Contribution of the Jews to
384 forestry and wood processing industry, according to contemporaries, was good for business not only in Siberia but in
385 Russia in general. "Rationality and mobility of a Jewish woodmonger" gave business activities a new push, i.e. "by
386 bringing fresh, new blood to the clumsy organism of the Russian forestry" (Ibid. 126).

387 Available capital was appropriated by the Judaic businessmen not only at the production sphere. They set up their
388 own credit agencies to practice usury. Thus, in 1885 a pawnshop belonging to Evgeniy Edelstain was launched and it
389 immediately became the competitor of the only public money office in town, Yappo being its owner. Starting his business,
390 Edelstain offered his clients a lower mortgage interest and favorable credit payment terms. That resulted in a real warfare
391 between the businessmen which ended in a victory of the latter.

392 A high concentration of the Jewish population predominantly in guberniya towns led to a vigorous business life in
393 Tomsk, Tobolsk, Omsk. Among other things, petty trade enterprises, service and medical establishments happened to be
394 in the hands of Jews-lower middle class. Thus, there was an accommodation house belonging to Malky Abramovich in
395 Bochanovskaya street in Tomsk who had to bid for clients against houses owned by Nosovitskaya and Rokhe Bobovich
396 (Shaidurov 2013: 99).

397 Tomsk inhabitants bought meat at butcher shops belonging to Lazarus Moshkovich, Leontiy Shmuilovich, Isaiah
398 Kholdin, Mikhel Rakhman, et alias. As Tomsk journalists put it sanitary conditions of meat packing were not always up to
399 the mark. Publication of articles about such state of things forced shopkeepers to get everything under control so as not
400 to lose customers.

401 At the end of the 19th century newspapers were one of the most efficient advertising tools. Therefore, numerous
402 advertisements were published in periodicals in which a business proprietor was to referred, as well as the work
403 performed by his enterprise. As a result the latter contributed to finding information concerning other businesses in
404 Siberian towns where Jews were engaged in enterprises such as, for instance, medical practice. Thus, Anna Leontyevna
405 Tseitlin held her own dental office in Tomsk[13]. That could also relate to the activities of attorneys of law and their
406 assistants. During the period under consideration the Novorossiysk university graduate Raphael Veisman had his own
407 law practice in Tomsk being personally acquainted with T. Hertsel. Successful advocacy gave him an option of earning
408 colleagues' respect. Hereafter he became a treasurer of the Tomsk board of attorneys.

409 At the end of eighteen seventies – early eighteen nineties the first representatives of the Judaic community
410 appeared in the educational system. A conventional system of primary education in the form of heders and Talmud-
411 Torahs prevailed in the areas of dense Jewish habitation before eighteen forties. From the beginning of eighteen forties, a
412 ban was imposed as part of the Russification policy, which prohibited Jewish teachers who had not accomplished training
413 at specialized public schools and had not obtained a teacher degree were not allowed to work. Nevertheless,
414 underground heders where home-bred teachers continued working for a long time.

415 The system of Judaic education began to shape during the after-reform period in Western Siberia. Before early
416 eighteen seventies it was represented in Tomsk merely by a small Talmud-Torah (Jewish traditional elementary religious
417 school) which as a contemporary noted "dissatisfied even the unpretentious taste of an average Philistine-Jew of that
418 time" (Yu. O. 1912: 1). The level of teaching in it was fairly low. But aspiration of the Tomsk Jews to give their children
419 primary education led to the fact that the establishment turned to be overoccupied and the only melamed (teacher) had to
420 withhold parents the enrolment of pupils. In 1873 a school was founded in partnership with the reeve of the Kamenniy
421 synagogue I.L. Fuksman where 25 pupils studied as early as the following year (Yu. O. 1912: 2). But deficiency of
422 professional teachers retained at a low educational level of school leavers a long time. A major task of the establishment
423 was reduced to the opportunity "to arm the Jewish young spawns with knowledge of Judaic prayer requests and that of
424 the Bible translated into Russian" (Yu. O. 1912: 3). Later on the curriculum was gradually enriched and pupils began to
425 study concise history of the Judaic people, catechism in the Russian language, Judaic writing and went in for gymnastics.
426 In the course of time school became available to girls too. 32 boys and 8 girls had been studying there by 1885 (N.P.
427 1885). The curriculum development required front-rank teachers who were to be Judaists.

428 On the whole it may be stated that the Jews occupied their "economic niches" by the end of the 19th century. But
429 against that background there arises a question of a niche of a Jewish community within the economic structure in
430 Western Siberia. Formerly with reference to Tobolsk it was seen that the Jews played a significant role in some spheres
431 of business. It can be found out to what extent the situation changed by the end of the 19th century by when comparing
432 census statistics of 1897 having estimated the share of Jews in this or that professional category or group of categories in
433 reference to all people engaged in it.

434 In spite of an insignificant share of Jews in this or that line of business a number of tendencies in the Siberian

crafts sector could be highlighted where they had stood first. Primarily, it concerned gold-work and the making of art objects and that of luxury items. Despite the absolute predominance of Russian craftsmen in that sphere Jewish goldsmiths in the Tobolsk and Tomsk guberniyas held for a full due the second rank, i.e. 3.3% and 2.7% of the labour market accordingly.

There were even more Jews in the sphere of distillation in the Tomsk guberniya where their number amounted to 4.3% being inferior only to the Russians (79.3%) and Poles (5.3%). The number of Judaic tailors amounted barely to 2.7%, whereas in terms of master hands they were fourth being inferior only to the Russians (82.4% engaged in the sphere), Tatars (4.2%) and Ukrainians (3.9%) (Shaidurov 2013: 165).

Summarizing all that it can be noted that the Judaic community during the after-reform period represented a dynamic system which responded adequately to these or those challenges. First and foremost it resulted from a steady growth of mass limit of "theirs" (insiders) that made the community well-consolidated and impeded absorption of its members by the better part of Christians (Siberia was home to Orthodox Christians, Catholics, Lutherans). However, sources that helped replenish the community still remained changeable, as the legislation was continuously amended.

Economic changes taking place over that time in Siberia transformed the community to a certain degree. As, for instance, by the end of the 19th century it turned to be dense in the okrugs of Western Siberia which expanded most dynamically owing either to railway construction or rural sector development. All Siberian transitions resulted in a change of economic interest, viz. Provided in eighteen fifties – eighteen nineties the main profit earners for the Jews were lease, labor contracts, gold fields, then during the last quarter of the 19th century they put capital into the development of such businesses as primary processing industries, transport, credit sphere holding there frequently enough the leading position.

As a result of changes in the economic structure of the Siberian Jewry it became evident that by the end of the 19th century its representatives secured their footing in well-defined "economic niches" that created favourable terms for functioning various social institutions, relating to the religious sphere, education, charity, et alia.

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Stylistic Analysis of Igbo 'Laja Terracotta Sculptures of Owo

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Abstract

This study is an attempt at identifying the stylistic variables as evident in the treatment of forms and features of the Owo terracotta sculptures with a view to determining sameness and differences (of hands) in the production of the sculptures. Efforts made so far have basically identified either, features that can be linked with styles of other art traditions (of Ife and Benin) in the sculptures or those characteristic features that differentiate Owo terracotta arts from these traditions using the "group theory". This study focussed mainly on the distinctive traits that are indeed peculiar to Owo and cannot be found even in the neighbouring art traditions. Data were collected from primary and secondary sources with the study relying heavily on primary sources of data. Critical observation of the sculptures were made for proper formal analysis while heads and fragments of heads were purposively selected for a meaningful stylistic analysis, since the available heads and assembled head fragments do not merge appropriately with the headless bodies and other assembled fragments. Interviews were also conducted with the head of the local artists' guild in Owo. The secondary sources provided information on previous studies on art traditions acclaimed as having noticeable stylistic similarities to the Owo terracotta sculptures (i.e. Ife and Benin). The paper posits that, despite the diversity of styles or sub-styles in the sculptures, they generally depict mood and movement, a trait found to be distinctive of Owo terracotta sculptures.

Keywords: Benin, Group-theory, Igbo'laja, Ife, Iregun, Owo, Sculpture, Terracotta

1. Introduction

Owo is a Yoruba town situated south west of Ile-Ife, the traditional origin of the Yoruba. The town is said to be a conglomeration of peoples from diverse places which comprises the indigenous Efene people; the Iloros and their ruler who was the ancestor of the Olowo, as well as later refugees and immigrants from neighbouring towns and kingdoms. It is located approximately midway between Ile-Ife and Benin City.

In its present position, it is only about one hundred and ten kilometres north of Benin (Eyo 1976: 38) and more than any other Yoruba town closely related to Benin culturally and linguistically (Fatunsin 1992: 94). These influences are evident in architecture, royal regalia as well as many chieftaincy titles and place names. Added to this, is the forms and concepts of Owo ivory and wood sculptures which display some elements of Benin influences. On the other hand, the origin of the ancestors of Owo people and that of the founder of the present dynasty in Benin are linked to Ile-Ife in oral tradition (Adepegba 1995: 22). In certain quarters, the two are even believed to be brothers and of the same mother (Asara 1975).

Owo terracotta sculptures are the finds of the three excavations carried out at two sites in Owo town. Ekpo Eyo carried out the first excavation in 1971 at a place called Igbo'laja (Eyo, 1976:38), while Anthonia Fatunsin made a re-visit of the Igbo'laja area in 1981and also excavated a new site at Iregun Street in Ijebu-Owo at the same period (Fatunsin, 1992:94). Igbo'laja and Iregun quarters are about four kilometres apart within Owo town.

While the three excavations (of the two sites) have yielded very rich terracotta manufacture of portraitures, human and animal figures, objects suspected to be sacrificial and of gruesome subjects (Fatunsin, 1992:94) and several fragments of figures that are worthy of study, the attention in this paper shall be on the Igbo'laja sculptures. They were mostly found in their fragmentary state of which some have been re-assembled to assume their original forms. The total objects and fragments of objects are well over eighty. They are rendered mostly in naturalistic form. "Concentration one" of the 1971 Igbo'laja site which yielded the largest number of the total finds has been dated 1435 AD by Eyo (1976:38).

Apart from placing, conveniently, the name of the town on the list of important ancient civilizations in Nigeria, the terracotta sculptures of which some are of human figures that display features similar to those of Ife and Benin arts (Eyo 1977:126), have equally turned out to be the long awaited "missing link" in the hands of historians and researchers "to fill in the gap" in their various attempts, either to construct historical and artistic continuum of the traditions mentioned or as

57 concrete evidence in establishing further, the long proposed assumption of Owo as having a strong independent style
58 (Gillon, 1984).
59   For researchers and art historians who are in want of evidence to either establish the theory of Owo art as an
60 independent art style or in proposing the existence of a continuum of art tradition or linear descent from Ife to Benin, the
61 discovery of terracotta sculptures in Owo which display Ife and Benin characteristics became a handy tool which fits well
62 into the dotted lines of their theories. According to Gillon (ibid), this attempt was first made during the exhibition
63 organized by the Royal Anthropological Institute in 1949, and later in another exhibition "Traditional Art from the Colonies"
64 in 1951 in London. Art objects exhibited at these exhibitions, showing both Edo and Yoruba characteristics were
65 attributed to Owo.
66   Worthy of mention in this direction was the leading role played by Fagg (1951 and 1953). He started the process of
67 disengaging ivories suspected to be of Owo origin from those of Benin in 1951. And ever since, scholars have been
68 postulating theories and adapting criteria in sorting art objects that are neither Edo nor Ife styles, nor works that are not
69 showing traces of the two art traditions which Fraser (1975:23) refers to as "art that has Benin-like iconography without
70 being specifically Benin style.
71   In attributing art objects with both Edo and Yoruba characteristic to Owo, perhaps the geographical placement of
72 Owo town has often been considered a strong factor. According to Poynor (1976:40) "its position on the far eastern edge
73 of Yoruba land makes it transitional between Yoruba-speaking people to the west and Edo-speaking peoples to the east".
74 In this position, it is not surprising that the few available literature on the subject of this study tend to focus mainly on
75 comparative stylistic analysis that illuminate form and significance of the Owo terracotta sculptures in terms of their
76 relationship (affinities) with Ife and Benin art traditions. Nothing has so far been said about the indigenous Owo style in
77 neither the terracotta sculptures nor the individual creativity of the artists.
78   Based on archaeological and ethnological evidences, Ekpo Eyo who conducted the Igbo'laja excavation
79 commenced the process of stylistic analysis of the finds by classifying the objects into three broad "group styles". Those
80 objects which bear "Ife characteristic features" were labelled "Ife style", while objects with "adopted Benin concept" were
81 tagged "Benin style". Those objects that bear affinity with neither of the two styles, he claimed were the real Owo style.
82 As he puts it "... for the sake of convenience, those objects whose style conforms to neither the Ife nor the Benin style are
83 regarded as Owo style" (Eyo (1977:128).
84   In his analysis Eyo simply focuses on basic similarities and ignores the significant differences that are easily
85 discovered when one compares the various known pieces of a given class of objects found in such a restricted area.
86 Biebuyck (1969:11) has however warned against such approach, he noted that art forms must not be taken at their face
87 value. Surprisingly, scholars who have written on Owo terracotta sculptures seem not to have been bothered with the
88 issue of Owo stylistic peculiarity and of individual stylistic variations of the objects. They seem to be satisfied with Eyo's
89 model of classification of the sculptures into what Biebuyck (1969:8) referred to as the "so-called homogenous styles and
90 sub styles with the distribution of motifs"
91   Adepegba (1995: 18) also indicates the Ife – Benin influence but notes the under-current of their neighbouring
92 cultures. He however concentrates on comparative analysis of iconographic features, offering possible significances of
93 such in relation to other art traditions. There are some scholars who however acknowledged the presence of certain
94 characteristics that are believed to be peculiar to Owo terracotta sculptures. Gillon (1984) notes with reference to Ife and
95 Benin art styles that the Owo terracottas "… are also proofs of Owo's individual character, since they are more vital and
96 vigorous than the art from others". Gillon however did not expatriate further on this so – called "Owo's individual
97 character".
98   Fatunsin (1992) who conducted the last two excavations goes a bit further by describing some features she
99 considered to be distinctive of Owo terracotta sculptures – i.e. "eyes without pupils, "broad mouth with very thin upper lip"
100 and "very flat nose with wide nostrils" – she also described all the finds in broad terms as either of naturalistic or abstract
101 traditions (Fatunsin 1992:96). The only notable stylistic study of the Owo terracotta sculpture was done by Abiodun
102 (1989) who introduced the term "Owo arts." His analysis however centres on pin-pointing the differences between Owo
103 and Ife characteristic features. He left his use of the term "Owo arts" undefined and treated it in a nonspecific term
104 (Abiodun 1989: 103). He sees the works as if produced by one single artist.
105   Like Gillon and Fatunsin, Abiodun also treated the Owo terracotta sculptures as a group art or a collective style
106 with no attempt to identifying the peculiar 'hands' of the artists in the group nor pin-point Owo traits in other works that are
107 not of "Ife style". No matter what, even if there existed a common group or workshop, there should be, as Sieber
108 (1969:198) rightly noted some "degrees of leadership (and ability)". It is therefore clear that the issue of stylistic
109 possibilities in Owo terracotta sculptures is yet to be addressed. Efforts made so far have only identified those features
110 that can be linked with styles of other art traditions in the sculptures or those characteristics features that differentiate

Owo terracotta arts from those of the neighbouring traditions using the "group theory" which as rightly noted by Sieber "would act to block the search for individual characteristic" (ibid). It is here opined that an investigation of the individual styles of the artists or schools involved in the production of the Owo terracotta art is of great impotence and necessary for a better understanding of the sculptures. This will definitely unmask the distinctive Owo characteristic in all the available pieces.

Such an effort is indeed not new in the study of art works (especially the antique cultures – art) found in a restricted area and within a closely knit cultural entity. Scholars like William Fagg (1969) had worked on Benin plague; Adepegba (1978 & 1995) on Nok terracotta sculptures; Pogoson (1984) on Essie stone images; and Eyefoki (1991) on Ekpu status of Oron. The results of these studies further revealed the immanent qualities of the works and their makers, thereby enriching our understanding and appreciation of the uniqueness and belongingness to group of the works. From mere observation, all Owo terracotta sculptures (though few), could not have been made by a single artist or from a single workshop. In support of this view is Ogunleye's[1] remark on how Olowo on throne at any point in time used to acquire works of art from different artists in the past. He informed that though there was no established guild of artists in Owo in remembered times; he recalled that his father told him of how one Oshogho from whom his family descended was the appointed representative of brass/blacksmiths to the ruler. Whenever the Olowo needed an art work, Oshogho would summon other brass/blacksmiths to come with works of required descriptions from which he would select the best for the Oba.

For a proper examination, and to firmly establish Owo indigenous traits in of the Igbo'laja terracotta these selected works, references are also made to some typical sculptures (similar to Owo examples i.e. Ife and Benin) of those art traditions acclaimed as having noticeable stylistic similarities to the Owo terracotta sculptures (i.e. Ife and Benin).

2. Stylistic Analysis of the Terracotta Sculptures

The main distinguishing feature of the style of the Igbo'laja sculptures is its naturalistic tendency. They are few in number and they were found smashed and scattered in no order, all-together on the same layer, a situation which Eyo (1977:126) suspected must have been caused by the collapse of a mud hut originally sheltering the sculptures. Although they are made up of head fragments, headless bodies and body fragments of human and animal representations, only the heads and head fragments and some of the animal representations are here sampled for analysis. Most of the body fragments could not be assembled for a meaningful analysis.

It needs be recognised as noted by scholars and acknowledged earlier in this study, that the terracotta sculptures of the two groups of terracottas of Igbo'laja have strong stylistic affinities with the arts of Ife and to some extent Benin. This is evident in certain iconographic features common to Owo terracotta sculptures and these two artistic traditions. Examples of these are in animals such as leopard, cock, rat, lizard etc. as well as in the face marking patterns depicted i.e. the parallel vertical striation, the three cat whisker marks and the four vertical short lines above the eye brow. Many of the terracotta sculptures also exhibit certain stylistic features that resemble those of the two art traditions. But an overwhelming Ife connection is quite noticeable. There also exist in Owo terracotta sculptures certain characteristics that are indeed indigenous to Owo.

The search for Owo distinctive traits and variables in the Igbo'laja terracotta sculptures have been based strictly on the treatment of forms and not on motifs or themes. Sameness in beliefs commonly shared by different people living close to one another or in the same region which serve as basis to what is mostly represented often provides common themes that may be represented in their individual ways. The use of such ethnographic materials in stylistic analysis will only continue to block a true search for individual characteristic trait(s) of a particular art centre. The fact that leopard for instance is represented in Benin, Igbo Ukwu or Ife as well as in Owo does not in any way imply "sameness: in style or a stylistic diffusion. It has been discovered that the structure, form and features of the animal are not treated in the same manner in all the art centres. It is the peculiar manner in which themes are depicted that can reveal differences or sameness in styles. The focus of this analysis therefore are the ways and manners in which the forms and features of the images are rendered.

A look at the heads and head fragments indicates some differences in their basic structure and the treatment of form. Some of the heads are rendered with noticeable attempt at extreme naturalistic idealization while some are less naturalistic. A keen look at the heads in idealized naturalistic style further reveals some important differences in the treatment of certain features, especially in the definition of the eye and its borders (the lids and lashes) and the treatment of nose and mouth. They suggest that the sculptures are not of the same hand (style), in the first sub-style, noticeable attempt is made at depicting features in details. This sub-style which also has the largest number of heads and head fragments, coincidentally are those with some characteristic features similar to Ife tradition. The head recovered from the

Alaja priest Plate 1) so much resembles Ife terracotta (Plate 2) in its treatment of form and features to a degree that suggests that one derived from the other. Both heads reflect the under structure of cheek and jaw bone as if modelled directly on skull. The forms are however more pronounced in the Owo head. The head (Plate 1) and others of the sub-style also resemble some Ife examples (Plates 3 and 5) in their treatment of eye balls which is without pupils and to some extent in the definition of the eye border as well as the mouth.

However, despite the similarities or stylistic relationship as evident in the treatment of heads of this sub-style and those of Ife, a further comparison of the head and the generality of Ife pieces reveal some glaring differences which distinguish the Owo from Ife. The peculiar roundness of Owo heads differs to the typical oval shapes of Ife pieces. The overall treatment of Owo heads is less delicate and not as detailed as those of Ife. Although there is a noticeable resemblance in the shape of the eye-rounded under an overlay of eyelids above and below of which Adepegba (1984:6) noted to be a particular feature common to all the arts of south-western Nigeria. The eyes in the Owo heads (as different to those of Ife) are wide apart and which make them appear smaller. The overlay eyelids also differ slightly, they are more sensitively modelled and more pronounced in Owo. The nose in Owo head is wider and flatter. Although the upper lip in both (Ife and Owo) are bow–like, it is more curved in Owo, with both edges tucked into the cheek thereby emphasizing a gentle smile which goes along with the sensitive gaze of the eyes (Plates 3 and 5). This unique depiction of the emotional state is absent in Ife heads. Instead, it is the uniform calm, unruffled and expression–less look that characterizes Ife style. The happy mood depicted in Owo head in Plate 3 is also extended to the action displayed by the remaining part of the body. They both suggest an intentional portrayal of emotion. This particular trait is indigenous to Owo and is not seen in Ife (Plate 4).

The head fragment in Plate 6 differs from the above discussed sub-style. This sub-style is characterized by its wide and enlarged eye and its thick upper eye lid without eye lash. The fragment and others with the same features have vertical short marks above their eye brow. These marks and the presence of leopard among the represented animals of Owo terracotta sculptures, supposedly have led to Eyo's (1976:38) reference to the heads of the sub-style as having "adopted Benin concept" and probably informed his classifying them as "Benin style". It becomes necessary to note here that the relationship between the fragment heads of this sub-style together with the leopard and Benin art is cultural and not of stylistic import. Compared with the Benin head in Plate 7, it becomes obvious that there is little or no stylistic relationship between the Owo head fragments and the Benin example. The little resemblance seems to be only in the definition of the nose wing. The eye ball and the definition of the eye border differ greatly. The curved upper eyelid of the Owo head is modelled thick and seem swollen, the slightly curve (thin) lower lid is tucked into the exposed end of the upper lid, a characteristic that is equally identified (though in varying degree) with the first sub-style.

The eye lids in Benin head (see plate 7) are almost of the same thickness and same curviness. They are joined at both ends giving an almond shaped ring round the eye ball. Unlike in Owo, the eye balls of Benin head are with inlaid pupils. The pupil-less eye ball of Owo head is stretched from the nose bridge to the edge of the face, making it wider and larger than normal. The angle of the eye (palpebral ligament) is slightly buried under the wide humped nose bridge and unlike in the Benin style, the humped nose levels-up with the fore head. This characteristic feature is peculiar to this Owo sub-style and not found in Benin. It is quite a distinctive Owo trait. Although the missing parts of the fragments denied one of telling the emotional content of the heads, the feeling around the nose and the eyes in Plate 6 suggest certain hardness. The fragment and others of same features are rendered almost in the same manner which suggests their having been made by the same hand, an Owo artist possibly depicting a Benin person.

The heads in Plates 8 and 9 are quite different in style. Their naturalistic styles are in varying degrees. Although they have some unifying characteristics which placed them in the stream of already identified Owo traits, their differences which probably suggest their being products of different hands do not permit lumping them together as a sub-style. Plate 8 displays a good attempt at rendering the face structure in a more balanced manner. The head maintains the roundness of form typical of Owo heads. The eye and eye borders (though a bit slant) are depicted with the lower eye lid tucked into both ends of the thicker upper eye lid. Plate 9 is not as naturalistic as 8, some of its features are slightly stylized but the eye and the eye borders are treated in almost the same manner as that of 8. The two heads share some semblance with some of the decapitated heads in the basket (Plate 10). The eye and the eye border in some of the heads are also treated with the lower eye lid tucked into both ends of the thicker upper eye lid. More importantly, the heads in the three Plates parade dramatic emotional feelings. Plates 8 and 9 are tensed as noticeable in their large protuberant eyes. Plate 9 depicts discontentment and a sort of uneasiness within, while Plate 8 is depicted with its slightly twisted tongue forcefully thrusting out of the tightly held lips. The artist of Plate 10 added more drama into one of the heads in the basket by depicting its mouth gapped as if expressing anguish or agony.

With the above analyses of styles of the Igbo'laja sub-group which is characterized by its naturalistic tendency, two distinctive sub-styles have emerged. The first is characterized by its tendency toward extreme naturalism, and the other

characterized by its idealized wide and enlarge eye with its thick upper eye lid without eye lash. In all, there is a noticeable degree of sameness in the treatment of the eye and the eye-border in which the lower lid is tucked in at both ends of the thick and arched upper lid. This characteristic feature cuts across all the naturalistic terracotta heads of this sub-group and not peculiar to human heads, but depicted in the same way in animals. A comparison of the definition of the eye and the eye–border in the squatting Owo leopard devouring a human leg (Plate 11) and Benin leopard (Plate 12) further establishes this trait as a clear distinction between Owo and Benin. This characteristic treatment is similar in the animal head held in both hands (Plate 13).

The other noticeable feature of the works of this sub-group is the pervading visible portrayal of emotional content of the figures revealing mood and movement ranging from subtle smile in some, to the glooming and sullen expression or awful and tense look in the others. Each of the heads expresses one feeling or the other.

3. Conclusion

The analyses of the Owo terracottas in this study have established Owo as a conglomeration of elements. The diversity of styles as evident in the works has equally confirmed Poynor's (1976:40) descriptions of the art styles of Owo as demonstrating a lack of homogeneity. The popular opinion attributed to this diversity of style however runs contrary to the findings of this study. The emphasis has often been on the "influence of immigrants" as if Owo in the past had always maintained a single pool (or school) of artists, or probably been identified with a particular style, and that the diversity of styles evident in the works are as a result of inspiration or borrowing from the "immigrants" or the neighbouring cultures.

It is here opined that most of the sub-groups (immigrants) that constitute the Owo kingdom must have arrived in the town with their own group of artists and probably when settled, established workshops or arena where each of the group's type and style of art was practiced. If the theory of influence is to be considered, it is certain that most of these groups (if not all) must have influenced each other in one way or the other without a particular group style being considered as "Owo style".

It is very possible that these groups were represented whenever Olowo was to acquire works of art and selection was to be made by Oshogho as earlier noted by Ogunleye in this study. This may probably explain the presence of several hands' in the sculptures of Igbo'laja which is strongly believed to have either been commissioned or collected by Olowo. It is from this point of view that the heterogeneity of styles as demonstrated in Owo terracotta sculptures should be seen.

However, there exist in each particular group, certain distinctive traits that are indeed peculiar to Owo and cannot be found elsewhere even in the neighbouring art traditions, not even in the acknowledged place where such group emigrate. Some good examples of such peculiar groups traits have been identified and analysed in this study as sub-styles, that is – "the eyes wide apart with sensitively modelled and the well pronounced eye lids" as well as "The wide and enlarged eye having thick upper eye lid without eye lash".

It is however pertinent to note that, despite clearly defined absence of homogeneity and despite the diversity of styles or the significant differences in terms of dates and sizes, there still exist a binder which can be said to be expressed in almost all the terracotta sculptures regardless of styles or sub-styles. This binder is acknowledged by Gillon (1984) who noted that the sculptures are "more vital and vigorous". Owo terracotta sculptures seem to be 'alive' filled with vigour and very dramatic. They generally depict mood and movement. This trait is distinctive of Owo terracotta sculptures and cuts across the sub-styles.

4. Plates

Plate 1: Owo "igbolaja"   **Plate 2:** Ife

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271 **Plate 5:** Owo "igbolaja"   **Plate 6:** Ife
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275 **Plate 7:** Owo "igbolaja"   **Plate 8:** Benin
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279 **Plate 9:** Owo "igbolaja"   **Plate 10:** Owo "igbolaja"

Plate 11: Owo "igbolaja"   **Plate 12:** Benin Leopard

Plate 13: Owo "igbolaja"   **Plate 14:** Owo "igbolaja"

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Perceptions of Emotional Abuse with Respect to Depression, Anxiety and Low Self-Esteem among Pakistani Women from Low Income Families

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Abstract

In this paper, the implications related to emotional and psychological abuse lasted for a long time have been discussed with respect to the particular patriarchal society of Pakistan. The data has been collected through interviews, observations, and surveys from the randomly selected participants. The results indicate that the abuse not only damages the person's (being abused) self worth, self esteem, self respect, identity, self image and self understanding rather destroys the construction of the whole family where kids are especially at risk for later emotional and psychological disorders. Abusers in most of the cases are not aware of their behavior's worst implications; as no one dares to remind them of their abusive attitude. Thus, families trapped in such traumas often go unnoticed while promoting abusive emotions/perceptual information to the coming generations, through their biased beliefs, gender based baseless sayings, and fake spiritual knowledge in the name of religion, culture and norms.

Keywords: abusive relationship, domestic violence, gender discrimination, male dominated society, gender biased culture.

1. Introduction

Abuse is very much neglected term in the literature of domestic violence and criminal acts since long. For many centuries, people did not even comprehend the concept alone, for being so much complicated and personal to discuss and explore in concrete terms. However, in this century abuse has gained much attention due to wide spreading physical violence among families based on long term emotional abuse and women almost twice as likely to be victims of partner violence as men (see the web page for more info http://www.apa.org/pi/women/programs/violence/partner.aspx) . There are many kinds of abuse found in the literature: verbal abuse, physical abuse, child abuse, intimate abuse, domestic abuse, emotional abuse, psychological abuse, substance abuse, elderly abuse and abuse in the workplace. In this paper, we will focus on intimate partner abuse (male partner abuse in particular) that put the women in the vicious circle of depression, anxiety and stressful episodes of guilt, fear, doubt and self criticism.

In the cultures where gender discrimination is prevailing at a large level, men are usually considered as a symbol of power, honor, esteem, prestige and the leader in almost all affairs of life. They are no more permitted to act like a child or express their feelings to get some relief from their emotional outburst. That is why they seek dominance and control in their community, society and even in their family life through negative beliefs and irrational commands. They find it a way of expressing their selves, fulfilling their duty and rather a way of gratification through realizing their partners that they are inferior to them in various ways and subject to obey them at all cost.

Mills (2003) has discussed various reasons for the person being violent and aggressive in domestic life. To him, some violent acts are due to biological factors; some are due to brain injuries; while others could be due to central nervous system's ability to react the aggression in the environment. However, in most of the cases, people are prone to violent acts in the environment that flourishes/supports the abusive values and beliefs in general. Especially in intimate relationships, abuse is more related to environmental influences than biological factors.

In this paper, intimate partner abuses, with respect to its implications within the specific culture of Pakistan have been discussed. It will explore new angles to see the situation at present and make the people (victims and abusers) aware of their current (abusive) and detrimental situation. For others (non abusers and non victims) it will provide a rich data to support the victims and alarm the abusers as well for the worst possible outcomes that they are more likely to face in future due to their continuous abuse. It will also establish a theory for the new researchers to further analyze the information in the light of quantitative and qualitative data and save the nation from abusive relationships.

2. Research Design

The word, ' abuse' is not very common in the typical traditional society of Pakistan. Mostly people do not recognize its meanings in their own language. When we inquired them, they were rarely able to comprehend the real meanings of abuse and its implications. Even though they are educated in such subjects; they are hardly ever ready to inform us about their personal abuse. It is beyond their comprehension that they provide some feedback to a researcher who wants to gather some of the information regarding abuse and especially their personal abuse. They, especially women are so much frightened that they could not convey their true feelings to outsiders including us. In such cases, we need to observe the people while keeping in mind the real purposes of the study and the related benefits for all of us being a part of common culture and heritage. We interviewed about 30 women from time to time and assessed their family position through a thorough observation and detailed analysis of the information got from their close relatives and friends. The observation lasted through many years and is based on factual traumas that those women were suffering from. In societies where male domination and gender bias are on the top level; one can only think of collecting data through observation as the real information would never be revealed by the subjects due to their unknown fear and high anxiety level. Moreover, in Pakistan, generally people are very much conservative, apprehensive, reluctant, hesitant and illiterate enough to provide the true information about their lives to the outsiders. Especially when one is being emotionally and psychologically abused on daily bases, he/she would not be able to reflect truly in front of strange researchers. Therefore a longitudinal study based on observation and collection of related facts and figures, was carried out in order to shed the light on the subject, the abused women's lives, their sufferings, low self esteem, depression, anxiety and other related risk factors.

3. Literature Review

What is abuse? It is very important to understand the true meanings of abuse in order to derive new meanings and associations with respect to emotionally and psychologically abused women in Pakistan. Emotional abuse, according to Engel Beverly (2002) can be defined as, " any nonphysical behavior that is designed to control, intimidate, subjugate, demean, punish, or isolate another person through the use of degradation, humiliation, or fear. Emotionally abusive behavior ranges from verbal abuse (belittling, berating, constant criticism) to more subtle tactics like intimidation, manipulation, and refusal to be pleased". It will also include domination and control, accusing and blaming, trivial and unreasonable demands or expectations, emotional distancing, isolation, disapproving, contemptuous or condescending looks, sulking and pouting, accusation, threats of abandonment- physical or emotional, and many other subtle forms of negative behavior along with negative attitude. Although each relationship suffers from some kind of abuse at some point in life; yet the emotional and psychological abuse is specifically diagnosed among women if the abuse is continuous, remains for years and never settles down (Chang, 1996).

In emotional abuse is the common part of all kinds of domestic violence which includes physical, sexual, emotional and economic abuse. In this paper, being emotionally abused have been interchangeably used with other similar terms like "intimate partner abuse", "spouse abuse", "domestic abuse", " marital abuse", "partner abuse", "battering", "financial abuse", "women abuse", "mate abuse", " marital assault" and "dysfunctional relationship"(McCue Laird, 2008; Cutler & Zapf,2015)

In the patriarchal cultures, masculinity is usually taken as a sign of honor, freedom, success, power and dominance. The male members in such cultures not only run the house financially rather act like the ultimate boss who would carry out all the decisions for all the members of the household and would not allow them to act freely as per their own wishes. Women (being daughters and wives) are especially ignored when it comes to give education, health, and freedom. Mostly educated, well matured and intelligent women are bound to answer their men for their trivial actions (decisions) in day to day life. On the similar grounds, people educate the same discriminatory beliefs to their daughters and encourage discrimination indirectly. There could be several beliefs/thoughts manipulating in the background to make the women understand their low status, weak position, less worthiness, and about their valueless role/share in the society overall.

Although many countries have passed the laws to protect the victims from the perpetrators, yet these laws are neither implemented nor regulated. It is to some extent due to the universal belief that domestic abuse is a private matter. In almost all developing cultures of the world, unspoken traditions, norms and values dictate the violence, abuses, and assaults of many shapes against women (McCue Laird, 2008; Bryant-Davis, 2010). Although religion is taken as the source of peace, harmony and love in all over the world; yet in some cultures its teachings are being severely manipulated. Especially women are forced to live in abusive relationships, to become subservient to their masters

(husbands), to remain in the torture and tolerate continuous painful experiences with patience. Thus, such faith based belief systems encourage abuse against women, violence at home and men's superiority over women in all matters of life directly or indirectly (Walker & Others, 2015).

There are certain sayings, beliefs, and thoughts that generate a climate of superiority of men over women in the traditionally male dominated society of Pakistan. When women are brought up while digesting such phrases, they are mentally prepared to be abused. They look for their self respect and identity in the name of their husbands. They are not quite sure on how to be successful on their own, as they have already lost their self confidence at the very beginning and never get hope again. If they are married to a good human, they are the luckiest one; but if the other one is an abuser, they would have been trapped. Moreover, they would usually take years to understand that they are in an abusive relationship. Most of them would never be able to recognize /comprehend the philosophy behind their abusive relationships. Such women would always blame themselves for being less attractive, non cooperative, non-satisfying, and criticize themselves harshly for being the most annoying person for their husbands. They always curse themselves and feel guilt in return. They fear God for saying anything against their holy husbands.

On the other side, women who understand the matter fully, usually have no alternative to go back. They feel so much bound to live in an abusive relationship for the rest of their life. As there are fewer resources to utilize, no support groups to ask for help, and no family member to give a hand; women do not dare to leave the abusive relationship, almost at any stage of recognition. In short, the societal norms, family values, cultural traditions, common beliefs, religious education (in terms of interpretation), financial situation, kids education and other related factors collectively reassure them not to leave the abusive situation and stay there for as long as possible.

According to the Human Rights Commission (UN commission for Human Rights, 1996), in the 400 cases of domestic violence/abuse, reported in 1993, in the Punjab Province of Pakistan, half ended with the death of the wife (McCue, 2008, p. 79). Farris (2011) has pointed out several emotional excuses for the victims to stay in an abusive relationship for ages. To her, the woman remains in an abusive relationship due to the factors mentioned below:

    a. She feels sorry for her husband and believes she could change the situation in future through hard work and patience.
    b. She underestimates the situation by saying that he only hit every few months.
    c. She blames herself and thinks she deserves it to be abused.
    d. She is too scared to talk about it.
    e. She thinks other people, even in her family would put all blame on her, if she asks for escape from her abuser.
    f. She is being threatened by many ways so she could not dare to leave.
    g. She fears being alone.
    h. She stays due to religious or cultural constraints.
    i. She stays for financial reasons, for children or for having no support system at all.

4. Findings

4.1 Part 1

When we surveyed about 100 house wives who were directly or indirectly part of abusive relationships, it appeared that many thoughts in the form of beliefs, sayings and quotations rested upon behind their attitude towards dealing with their abusive lifestyle. Women not only let the abusers abuse them (directly or indirectly); rather teach their kids to imitate them (the abusers) in the future. In brief, in the traditional, male dominant, patriarchal society of Pakistan, women are exposed to such teachings and beliefs asunder:

    a. The woman should obey her husband if she wants to please God.
    b. The husband's position is always superior to woman in all matters of life.
    c. The woman should not say 'no' to sexual demand of her husband even in severe case of non-availability.
    d. The women are supposed to make their husbands happy and cheerful.
    e. It is the woman's duty to do all housework with no complain at all.
    f. Successful woman does not talk against her husband.
    g. Women should give priority to her husband and his family in all matters of life.
    h. It is the first duty of a woman to take care of her husband.
    i. The woman should not leave her husband's house and go out, without her husband's permission.
    j. Good women are those who do not go against their husbands' will and wish.
    k. Good woman should not eat food before her husband arrives home.

| 164 | l. | Good women should eat either with her husband or after he finishes. |

l.   Good women should eat either with her husband or after he finishes.
m.   The woman should not call her husband's name.
n.   The woman should replace her 'family name' from her father's name to her husband's name, after being married.
o.   The women should not ask for sex from her intimate partner.
p.   The women should not expect her partner to share household responsibilities with her.
q.   The women should keep quiet when her partner is angry or violent (whether physically or emotionally)
r.   The man can decide whether his wife will do a job or not.
s.   The man can decide whether he wants to raise kids or not.
t.   The man can decide how his wife will dress up. (Ultra modern or very conservative)
u.   The man can decide whom to see and whom to ignore in the family.
v.   The man can decide what to eat and what not to eat.
w.   The man can decide about the future matters of his children (including education, professions, and marriages)

The list is never ending. However, people will not admit the credibility of most of the messages; but their women have been suffering in the silence of their abusive relationships for long.

4.2   Part 2.

As a result of detailed interviews with 30 randomly selected low income families, observations and data collection procedures, in the particular patriarchal society of Pakistan, it came out that most women (95%) were being emotionally and psychologically abused by their men (intimate partners) on a permanent basis.

It was concluded that:

a.   More than 90 percent women felt they must get permission from their partner before making any trivial decision (it might be going to market for shopping).
b.   More than 90 percent had no control over their partner's finance as well as over their own money. They just cannot spend money where they feel like to. It all depends on their partner's will and their luck where he is going to spend money!
c.   Mostly, men are in the habit of passing negative comments /remarks on their partner, with severe arguments and criticism, whether it is related to their body, fashion, the domestic ability to do something or social ability to find a job outside.
d.   Men are brought up to treat women as if they are inferior to them; and they continue treating them on similar grounds throughout their life. They always remind their partners about their inferiority, inability to succeed, and of their low status in society. Some remind them as if they are less attractive to them from time to time.
e.   Men usually ridicule, dismiss and disregard women's opinion, thoughts, suggestions, and feelings in general.
f.   Women who want to become financially independent are very much discouraged by their perpetrators. For them, it is very common thought that professional women are not good housewives or when a woman goes for a job; household affairs are largely neglected or it is not respectful for men to let their wives go out to earn a living.
g.   In some cases, women are forced to go out for a job and then hand their whole pay to their in-laws or husbands. Such women have no right to spend their earnings as per their own wish.
h.   In many cases, women were not allowed to see their parents as per their wish or need.
i.   Women could not continue their education like men due to their domestic responsibilities, financial constraints, and their low status in society.
j.   Women were not allowed to go for a job that was considered a man's property. For example: shop sellers, bus drivers, clerks, police jobs, business jobs, etc.
k.   Women were not supposed to take part in sports, whether they like it or not. For a woman to find a career in any sport is very rare.
l.   In some cases, women were not even allowed to go to see a male doctor, even in case of emergency.
m.   Women often feel the threat of divorce and kids' custody, in case of separating from their abusive partners.
n.   People not only accept the male dominated behaviors in society; rather appreciate such males through verbal remarks. It is very common thought that men should control their wives to prove their masculinity.
o.   Men who take care of their family members, are usually thought as weak, feminist, and of less confident personality types. As they are not real men!

5. Recommendations

Evans (2012) has pointed out the worst implication in her book as the abuser continues with the abusive attitude within a family set up; children get the same poisonous teaching to apply in their adulthood. In addition, researchers found that " the children who were sexually abused have a 'fourfold increased lifetime risk for any psychiatric disorder and a threefold risk for substance abuse,'" (Mills, 2006, p. 88). Similarly, it is said that men who have experienced violence in their childhood are five to nine times more likely to behave abusively with their wives than others (Mills, 2006; Miriam, Patricia, Jocelyn & others, 2003).

Wives on the other side, who are victims of a continuous emotional and psychological abuse from their partners, are usually diagnosed as patients with depression, stress, anxiety, OCD, hypertension, low self-esteem, and at risk for other psychological disorders. They are no more capable of handling their day to day affairs with confidence and dignity. They are very much reluctant and reserve in resuming their duties and giving a cheerful look overall. It is evident from the study (Watkins, 2014) that partner aggression (physical or emotional) has detrimental effects on women's physical and psychological health in terms of depression, anxiety, reduced self efficacy, increased shame and post traumatic stress disorders (Rhatigan & others, 2011).

Keeping in view the above discussion, it is therefore recommended that it should be the state's responsibility to deal with such abusive relationships (whether they appear in public or in private); if they are unable to protect its citizens, especially women's lives from domestic/partner abuse (whether severe or minor) for any stated reason, they are indirectly involved in the process (Mc Cue, 2008), and they should be punished by the law in time along with the perpetrators.

In Pakistan, laws, regulatory agencies, judicial and police departments are worse; they need to be replaced by new standards, modern equipments and systems, modified rules with respect to laws and latest monitoring cells. This report is not designed to comprehend the legal issues related to the domestic abuse cases; however, it would suggest new researchers to cover this aspect as well in detail in the future endeavors.

For the general public, it is pertinent to understand the difference between custom and crime. When you are torturing someone, abusing someone's body and mind, degrading someone's personality, devaluing someone's skills and traits, underestimating the someone's abilities and characteristics, and controlling the someone's behavior through your abusive skills, harsh talk, offensive comments, rigid attitude, threats, severe jealousy, social pressure, physical power and cutting remarks; you are no more appreciating/encouraging your custom/norm/religion/culture/tradition/values or whatever you call it- you are a Criminal and your abuse is considered as a Crime. For that you deserve a severe punishment in return by law.

For the mothers of young children, it is highly recommended not to promote abuse through your negative beliefs and thoughts that, in one way or the other, would reflect from the adulthood behavior of your children (especially boys). You must understand the responsibility with respect to abusive relationships that your children might endorse it, if you are not teaching them the meanings of respect and honoring our better halves. Moreover, studies provide the evidence for a strong connection between partner abuse and child maltreatment (Whitaker & Lutzker, 2009). So the mothers should understand the implications that their abusive relationship would bring and try to treat their children in the most normal and healthy way. It is worth considering that mothers should not teach their daughters about the male dominance and superiority over women, through their perceptions, thoughts, and beliefs.

For the victims of abuse, there is not much to say at least in the abusive environment of Pakistan. However, they are not destined to live in that situation forever. They might dare to say, 'No' to their abusive partners, show their unwillingness for irrational demands, argue in a positive way for not being treated fairly in the domestic life and can talk about their abuse to their friends, family members and people who work for such victims at national or international level. However, in this connection, several studies have already discussed the prevention measures in detail (Graham-Bermann & Edleson, 2001; Whitaker & Lutzker, 2009) and have already presented a thorough framework to follow.

Though, it is never the abuser's fault to be abused in a certain way; however, they could adopt certain measures to prevent the abuse in their lives or at least to reduce the density of the abuse in the abusive relationships already established:

a. Women should identify the abuse in the first place and try to stop it there. When we ignore the abuse at the beginning while thinking it a trivial event of life, the more likely we are in the position to face such experiences again and again.

b. Women should set their limits, values, principles in advance before going into a relationship. When the other person is aware of our limitations already set; the more chances are, he would not dare to cross those limits.

c. Women should not pretend as if they are overly obedient, subject to be controlled, and too nice or caring for the other person in all circumstances. When women show such leisure attitude in the beginning of intimate

272   relationships; it becomes hard for them to change the perception later on. Then the other person always takes
273   it granted (if he/she is of abusive nature).

274 d. It is also recommended not to suffer alone. For the victims, it is no more a private matter of life. When they
275   recognize their abusive relationship status, they must talk to their friends, family members or the societal
276   groups who work for the victims at national or international level.

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Islamic Spiritual Character Values of al-Zarnūjī's *Ta'līm al-Muta'allim*

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Abstract

In terms of being a person with noble characters, actualisation of Islamic values is considered as an important effort to build and instil Islamic ideology as the way of life, since the development of human character in Islam is mostly a process of absorbing one's passion towards such values. Therefore, the aim of this study was to investigate the pattern of Islamic character values in the light of al-Zarnūjī's Ta'lim al-Muta'allim, which has been used among the Muslim countries as the main principles of educational implementation, mainly in Islamic institutions. Several literature studies obtained were analyzed using descriptive analysis. The result of this study reveals that there are some character values in term of Islamic pattern. Finally, this study is expected to contribute to the concept of Islamic character values, being the fundamental dimension to instill the human soul with spiritual character values, and consequently become the significant assimilation based on Quran and Hadith.

Keywords: spiritual, character, values, al-Zarnūjī , Ta'līm al-Muta'allim.

1. Introduction

In order to become a person of noble character, an actualisation of Islamic values is necessary as it is seen of supreme importance with regards to once effort to build up and instil an Islamic ideology as a way of life in a person. In Islam, the development of human character is mostly seen as a process of absorbing one's passion towards such values. Those values, that need to be formed and manifested in the person of the student in order for him/her to become a functional as a Muslim in all its behaviour, are those that form the base of an Islamic morality. According to Halstead (2010: 283), such distinctive features of person instilled with Islamic values are those 'those who believe' and 'those who do good deeds' (for example, Sura 2, v. 25, Sura 95, v. 6, Sura 103, v. 2) where both are inextricable link that exists in Islam between religion and morality as reflected in the Qur'an. It means that there should be a balance between the concept of moral duty and the concept of religious duty. In Islam, there is no separate view about 'spirituality' regarding everyday activities. This conviction creates a world view or perspective and thus aims to construct a certain attitude or behaviour.

With this regard, the compatibility between both is needed, since there is a hope to achieve the true goal. As Hussain (2010) outlined, the Islamic goal is to develop an 'Islamic personality' that will lead to personal success, growth and bring happiness to the child while forging it into becoming a social being (p.303). It means that in order to implement a noble character, it is necessary to actualize those values, since it is a process of development, cultivating and teaching on the human being, for the sake of creating the highest goal of Islam: happiness in this world and in the after here, soul perfection of society, gaining pleasure, safety, and blessing.

Concerning those distinctive features of Islamic character values a numerous amount of literature from the classical era of Islam can be found where principles of education are outlined that follow the aim of the purification of the soul through spiritual and ethical values (Nata, 2003). Among others it is especially Nu'man Ibrahim al-Zarnuji who, until this day is one very prominent Muslim scholar (*ulama*). His treaties is still studied until today and is included as compulsory subject in the *Pesantren* (Islamic boarding) in Indonesia (Huda & Kartanegara, 2015a). In his work *Ta'lim al-Muta'allim Tariq al-Ta'allum* (Instructing the student in the method of learning) he outlines on how to create an educational atmosphere with teachers and students show character values (Hitti, 1948). The Islamic character values that he proposed explicitly are in compatibility with assimilation of educational strategy and an ethical religious foundation.

2. Brief Portrayal of *Ta'līm al-Muta'allim* and al-Zarnuji

2.1 *Ta'līm al-Muta'allim*

Written in the 13th century during the reign of the last Abbasid Caliph, the major contribution of this book has long been recognized by scholars (Yahya, 2005; Mu'izzuddin, 2012). This work has generally been regarded as one monumental work, with its theories much used as reference and guideline in the formulation of academic works by Islamic intellectuals as well as Western scholars, especially in the field of education (Yahya, 2005). Its contents have had a significant influence, especially the Indonesian context, whereas it was intensively studied and applied practically applied in almost all Islamic educational institutions, particularly in the pesantren; traditional Islamic boarding schools (*Salafiya*) like e.g. pesantren Gontor (Nata, 2005). Al-Zarnūjī's theories have served as the main reference for students (*santri*) in the acquisition of knowledge (Hafidzah, 2014).

As such, this treatise sets itself apart from other Islamic intellectual sources through its very distinct theories (Huda & Kartanegara, 2015b). Containing the principles of pursuit of knowledge, it gives detailed ethical foundations for the teaching-learning process as based on the religious conservative (Huda & Kartanegara, 2015b). Thus, the contents of this work are appropriately assumed to teach the students good morality and because of this, it has become a good basic subject for every student in *pesantren* in the beginning year before they receive other subjects (Hafidzah, 2014, p.202).

In addition, the first translation of the *Ta'līm al-Muta'allim* was published in Mursidabad in 1265, followed by a publication in Tunis (1286 and 1873), in Cairo (1281, 1307, 1318), Istanbul (1292) as well as in Kasan (1898). Affandi (1995) points out, that commentaries on the treatise have been written by several scholars such as:

1) on behalf of Nau'i (n.d.);
2) Ibrahim ibn Nu'man (996H/1588AD);
3) Sa'rani (710-711 H);
4) Ishaq ibn Ibnu Rumi al Qili (720 H) with the title *Mir'ah al Thalibiin*;
5) Qadi ibn Zakariya al Anshari A'ashaf;
6) Otman Pazari, 1986 with the title *Tafhim al Mutafahhim*;
7) H.B. al- Faqir, without date and notification (p.67).

Among the most important commentaries on Al-Zarnujis, there are the four commentaries by Shaikh Ibrahim ibn Ismail with the title *Sharh Ta'lim al Muta'allim* (explanation of *Ta'lim al Muta'allim*), Shaikh Yahya ibn Nashuh (d.1007 H/1598 AD), a poet from Turkey, Imam Abd al Wahab al Sya'rani, a Sufi, and lastly al Qadhi Zakaria al Anshari (Yunus, 1990, p.15).

Moreover, this work (2008) contains thirteen chapters: 1) On the nature and merit of knowledge and its systematic comprehension; 2) On the intention at the time of study; 3) On choosing the knowledge (type), the teacher, the colleague and on one's permanent affiliation; 4) On respecting knowledge and its possessor; 5) On hard work, perseverance and vim; 6) On starting the lesson, its amount and its organization; 7) On *Tawakkul* (trust in God); 8) On the time for knowledge acquisition; 9) On compassion and advice (to others); 10) On making benefit and attaining *adab*; 11) On Godliness during the time of learning; 12) On what creates memory and what makes forgetful; 13) On what brings and takes away the livelihood, what makes (one) live long and what diminishes it.

2.2 *Biographical Sketch of al-Zarnūjī*

One of the Islamic educational philosophers who lived in during the Abbasid caliphate, al-Zarnūjī outlines his educational thoughts on a treatise work titled "*Ta'līm al Muta'allim*" which explores ethics and morality for both teachers (*mu'allim*) and students (*muta'allim*) in searching for knowledge, which consists of thirteen chapters. There are two names attributed to the author of *Ta'līm*, namely (1) Burhanuddin al-Zarnūjī , who lived in the 6th century Hijri or 13th century CE; and (2) Tajuddin al-Zarnūjī who is Nu'man Ibrahim who passed away in the 6th century Hijri at which he was also a religious scholar of the Hanafi Madhab around the 13th century CE, and thus could be recognised in year 593 H through his treatise, *Ta'līm al Muta'allim* (Athiyatullah, 1970, p.58-59). Meanwhile, according to al-Zirikli in the book *al-A'lam*, as cited in Mu'izzuddin (2012), the original name of the author of that book is Nu'man ibn Ibrahim ibn Khalil al-Zarnūjī (p.2).

In addition, regarding the place where he lived, it is referred that he lived in 'Zarnuq or Zarnuj' with an assumption that the place of his birth was the state located by the Tigris river, namely Eastern Turkistan, and it is in general that he lived in the last period of the Abbasid caliphate, whose last caliph was al Mu'tasim (1258 AD/656H) (Affandi, 1993; Yahya, 2005; Mu'izzuddin, 2012). Some information regarding the period of his contemporary scholars who were regarded as al-Zarnūjī's teachers or with whom al-Zarnūjī had at least corresponded will shed the light on this problem.

111 Among them (Ahmad, 1986, p.14), there were:
112   (1) Fakhr al Islam al Hasan Ibn Mansur al Farghani Khadikan who died in 592/ 1196;
113   (2) Zahir al- Din al Hasan Ibn 'Ali al Marghinani, who died circa 600/ 1204;
114   (3) Fakhr al Din al Kashani who died in 587/1191;
115   (4) Imam Burhan-Din Ali ibn Abi Bakr al-Farghinani al-Marghinani who died in 593 /1195;
116   (5) Imam Rukn al-Din Muhammad bin Abi Bakr Imam Khwarzade who died in 491-576 H.
117   Looking at the possible reason for his completion of the treatise, it can be assumed that it served a very real
118 purpose at that time. By 1203, thirteen chapters had been compiled by al-Zarnūjī. At that time, many students had much
119 passion to struggle both for education and for the attainment of knowledge; unfortunately they were falling short of their
120 aim and that the students, according to him, did not find the success for their goal because most of them were not mindful
121 of the right methods of learning. His view was that they did not abide by what was the right thing to do for them and
122 wasted much of their time. Therefore, according to Grunebaum & Abel (1947), al-Zarnūjī decided to explain to the
123 students a method of study which he had read about and heard from his own teachers (p.2).
124
125 **3. Islamic Spiritual Character Values of al-Zarnūjī 's Ta'lim al-Muta'allim**
126
127 The Islamic spiritual character values should not be separated with the terms of extent to construct at the certain level. In
128 this regard, according to Halstead (2010), Islamic morality, being part of Islamic spiritual character values, can
129 conveniently be divided into three categories:
130   1) The obligations, duties and responsibilities set out in the *sharī'ah* (Islamic law);
131   2) The values and manners associated with good upbringing;
132   3) The personal qualities of character that a Muslim is expected to demonstrate in everyday life (p.287).
133   It is meant that three main emphasis above should be oriented appropriately in the relation to God (*khāliq*),
134 society (*mu'āmalah*) and environment ('*ālamīn*). Similarly, al-Qardawi (1981) divided the terms of character (*akhlaq*) into six basic
135 components that are: 1) individual character; 2) social-family character; 3) character that governs social life; 4) character
136 that guides people to behave better towards animals; 5) character which guides human morality to maintain balance in
137 the physical environment; 6) character which considers servant attitudes towards the Creator (p.106-107). From such
138 exposition, it is obvious that although there are significant divergences, character includes wider context of human action
139 as clearly explained by some experts above.
140   To inculcate noble values as the nature in guaranteeing good relationship with one another is related to the
141 perspective and basic human nature. Generally, as for the scope of character education, there are three pattern of
142 relationship, 1) into Allah, such as *tawhīd*, etc.; 2) towards fellowship, such as our parents, friends, etc.; 3) upon the
143 universe, such as care for the nature, environmental safety, etc. Moreover, there are some Islamic character values of al-
144 Zarnūjī's *Ta'līm al-Muta'allim*, where all is oriented for the purpose of soul purification, as in the following:
145
146 *3.1 Tawbah (Repentance)*
147
148 Explicitly, *tawbah* (repentance) is a crucial ethical foundation required in the field of education because it possesses the
149 Islamic character values. In his statement, it means that one cause of forgetting is *ma'ṣiyat* (sinning) (al-Zarnūjī, p.132). It
150 can be understood that the *ma'ṣiyat* will become an obstacle in the human heart and thus will not influence to the
151 reflection of knowledge. In other words, the God's goodness cannot reflect the light into sinful heart, and thus will not
152 result the wise thinking, at which how to think and do is influenced by the darkness of heart, containing *ma'ṣiyat.* As in the
153 poetry, 'I complained to the priest about my weakness of memorising, so that he gives me guidance to keep away from
154 *ma'ṣiyat* (sinful deed); memorising comes from God, while God's endowment should not be blossomed to those with
155 *ma'ṣiyat* (p.131).
156   That being said, it is obvious that al-Zarnūjī properly encouraged to care about soul refinement during learning
157 process, namely keeping up good deed (*hasanah*) and avoiding bad one (*ma'ṣiyat*). For both students and teachers, the
158 effort as a main priority to complete is always trying to do what is permitted in Islam and to keep away from what is
159 prohibited in Islam. In the case of analyzing, the power of memorizing is made as the standard to measure the level of
160 successful achievement.
161
162 *3.2 Zuhud*
163
164 In terms of the nature *zuhud*, al-Zarnūjī outlined by stating that in intention (*niyyah*) as formulation of aim in education the

main and first priority is to achieve God's pleasure and all other purposes under that (Huda & Kartangara, 2015b). It means that during the learning process, regardless the level of instruction, a student should never aim solely towards the worldly life, or more particularly for material purpose at temporary times. Such an aim would result in the loss of one original focus. Moreover, one should aim for God's pleasure (*marḍātillah*). With this regard, as in his statement

Those who pursue the knowledge should pay attention to anything that has been said above. Because after all, he has crossed the line enough long exhaustion. So do not let the knowledge that has been obtained is used as a means of collecting materials abject worldliness, of little value and temporary' (al-Zarnūjī, p.19).

From this, it can be analysed that it is necessary for a student in the process of learning to minimise every effort in activities associated with worldly activities. A burdened mind would ultimately disrupt and destroy the concentration. Therefore, one should not feel sad or anxious for anyone, since all the affairs of the world, including sadness and anxiety do not bring benefit but instead will harm the heart, mind and body and can damage the good deeds.

From that perspective, according to Maududi (1966) it is clear that belief in the Hereafter is another key factor in providing morality with a strong basis and purpose (p.36). It means that the besides living in this world, it is ensured the all human being, particularly members of the Islamic society, should make this worldly life as a bridge or medium (*waṣīlah*) to achieve worldly life purpose. According to Halstead (2010), a number of key issues that have only lightly been touched on here merit fuller exploration, including the link between the *sharī'ah* (Islamic law) and moral education; the role of Muslim parents in moral education; the contribution of Muslim poetry to moral education; the concepts of moral guidance and the moral virtues in Islam; the concept of *adab* (refinement, discipline, culture) as part of moral education; and civic and moral education in specific Muslim countries, such as Egypt and Indonesia (p.294).

Moreover, Halstead (2010) pointed out that 'also meriting more detailed investigation in the future are the main differences between western and Islamic approaches to moral education, particularly the emphasis in Islam on timeless religious principles, the role of the law in enforcing morality, the different understanding of rights, the rejection of moral autonomy as a goal of moral education and the stress on reward in the Hereafter as a motivator of moral behavior (*ibid*). Hence, it is clear that based on Halstead outlines, al-Zarnūjī pointed out to emphasize the hereafter life- reward motivation, where this is central notion in Islam (Huda & Kartanegara, 2015d).

3.3　Sabr (Patience)

Pertaining to Islamic character values, in the order to form human beings with noble character values, the nature of *sabr* is one of the compulsory spiritual values for those with belief (*īmān*). In this term, al-Zarnūjī emphasized on the significance of the nature *sabr*, as expressed, 'being patient and steadfast is the base of primacy in all things, but rarely there are people who can do it' (p.28). On this view, he further elaborated through poetry, saying that 'everything is surely intended to a certain level, even highest, but it is rarely for anyone to keep up in achieving what is intended' (*ibid*).

Meanwhile, concerning the term of *ṣabr* it is viewed as a solid mental state, which is stable and consistent in its establishment. The soul keeps stabilised with the commitment, at which it is not changed in any kind of severe challenges faced. In general, this *ṣabr* can be divided into two main parts. As Shihab (2007, p.263) obviously overviewed,

1) It is physical (external) dimension which means that the patient sense should be on accepting and practicing all religious duties, concerning parts of the body, such as patience in the worship of *hajj* because it can be awfully exhausting. Moreover, it is also in this category in which the patience is on accepting the temptation concerning the physical element, such as illness, etc.
2) It is mental (internal) dimension which includes the ability to maintain acceptance which otherwise could result in bad deeds, such as abstaining oneself from anger, etc.

Hence, in the educational process, it is advisable for those who are in pursuit of knowledge, as in the poetry, courage to practice patience on many levels. It means that the nature of *sabr* for the student shows that a student should have a heart that is steadfast and patient in accordance with the teacher; when studying a book it is not to be abandoned before perfectly studied and not to move to another field prior to understanding completely which holds true also to the place to learning when one is not to move to elsewhere except as forced, through the curriculum (Huda & Kartanegara, 2015a).

3.4　Tawakkal (submission to God)

As for *tawakkal*, al-Zarnūjī had paid attention to this by making a separate chapter (p.98). It was outlined that each student should have *tawakkal*, meaning 'absolute reliance' balanced with 'hard work'. So, here are two main points as the significant effort for being *tawakkal*, in order to make a fundamental basis for equipping the human being with noble

219 character. An absolute reliance or submission to God, there should exactly be thought in this case of *tawakkal* that one
220 should undertake all causes (*asbāb*) and *tadbīr* (endeavor and exertion) within the rules of *sharī'ah*, but it should not
221 consider them lost from the control of the rules of *sharī'ah*. It means that one should believe that only the order and the
222 grace of Allah can accomplish his work and in fact, the effectiveness of any endeavour is only due to the order and will of
223 Allah.
224   Based on al-Zarnūjī's *Ta'lim*, concerning the specifically shared concern into the *tawakkal*, there are three main
225 emphases as the main dimension of effort during learning. Those are:
226   1) Livelihood (*rizki*) and worldly matter;
227   2) Apprehensive life with continuous earnest (*mashaqqah*);
228   3) Managing time appropriately to study something new (p.98-102).
229   It can be analysed that in terms of *tawakkal*, all these three main dimensions should be in balance between
230 willingness to accept the result and courage to continue in action. In other words, *tawakkal* then is to act in accordance
231 with Allah's scheme i.e. to adopt the principles and laws of the *sharī'ah*, and to submit one's self unto Him. In every act or
232 task, the way required for the task will be employed within the confines of the *sharī'ah* and one's trust will be placed by
233 God. On that regard, it was emphasized that according to Abdullah ibn Hassan al-Zubaidi as cited by al-Zarnūjī, 'whoever
234 studies the religion of Allah, so Allah will suffice his needs and give him sustenance from unexpected road' (p.99). From
235 this perspective, learners are necessary to instill tawakkal in his/ her heart and should not worry about the livelihood for it
236 can deviate their focus (p.98). Simply stated, from al-Zarnūjī's Ta'lim, it can be concluded that *tawakkal* has three
237 fundamental principles: *ma'rifāt* (understanding), *hālat* (inner state) and '*amal* (action).
238
239 *3.5   Tawadu' and Ta'zīm (Respect)*
240
241 *Ta'ẓīm* is an attitude that should be possessed by every Muslim as a form of *akhlaq al-mahmūdah* (a noble character
242 quality). It can be defined as 'human attitude with balance position, neither bragging and nor boasting and at the same
243 time, not humiliating or degrading themselves excessively (Huda & Kartanegara, 2015e). For example, a scientist should
244 keep being wise personality and not being arrogant with the knowledge achieved, because knowledge reached is not
245 much, especially when compared with the breadth of knowledge of God. Again, al-Zarnūjī (2008) points out that *ta'ẓīm*
246 will result in *ṭā'at* (adherence), but *ta'at* is not necessarily with *ta'ẓīm* (p.35). For him, it may be that *ṭā'at* is earned only
247 through worry or threats, not from consciousness. In other words, *ta'ẓīm* is a feeling of deep admiration for someone or
248 something elicited by their abilities, qualities, or achievements, showing a higher level of character performance
249 possessed. Similarly, Halstead (2010) outlines, having a good relationship with parents and teachers is also very
250 important, because children will then want to follow their example, out of love and respect for them (p.292). On this
251 regard, *tawādu'* or *ta'zīm*, in accordance with a part of such values in Islam, is necessary to become the main dimension
252 for embedding it into the human being, particularly among adolescents and children. As stated (al-Zarnuji, 2008), a
253 knowledgeable person should be humble (ie. attitude halfway between arrogant and discouraged), do '*iffah* (encouraging
254 to purify soul and heart).
255   Furthermore, the nature of *ta'zīm*, as in al-Zarnūjī's view (2008), has four main basis as the fundamental element
256 to be conducted. Those are respect to the knowledge (p.34); teacher (p.35); book (p.41); and partner or friend (p.45).
257 According to Ma'ruf (1996), the nature of *ta'zīm*, mainly for the teacher, has five characteristics: 1) it is always polite when
258 sitting in front of the teacher; 2) always listen to the teacher's instruction; 3) always carry out the orders of teachers; 4)
259 think before speaking with the teacher; 5) always humble them before him. In this perspective, it indicates that the
260 students should be able to show *ta'ẓīm*, both in knowledge by continuously studying it and to those who have capability
261 of such knowledge (Huda & Kartanegara, 2015e).
262   Meanwhile, among the distinctive characteristics al-Zarnūjī stressed on was that the students should perform
263 *ta'zīm* as first listening to the subject matter, even if they already know it, as said, 'the student, who has not appreciated
264 as the first time to listen a subject matter after more than thousand times, is not required' (2008, p.45). It is necessary for
265 the student to pay attention to all the knowledge with *ta'ẓīm*, even if it was something that he has heard many times. The
266 consequence is that in daily interactions, it is required for us to display a superior morality in speech and behaviour. In
267 fact, it is a requirement for the perfection of faith, as noted by the Prophet that the believers with the perfect faith are
268 those who are best in their character. Consequently, *ta'ẓīm* is one of the most important characteristics necessary to be
269 developed in the current educational system.
270
271
272

3.6 Wara' (keeping away bad deed)

Wara' is defined as 'the nature containing prudence exceptional and lack of courage to approach something that is forbidden, as well as things that are hesitant (*shubhāt*)'. As stated by Prophet (pbuh), 'it is sure that *halāl* (permitted) and *harām* (prohibited) is clear and in both of them there are a lot of things doubtful that most people do not know. Hence, whoever who keeps himself from things that are doubtful in that he had cleared the religion and honor it'. People who have a high position with a preventive action have always been careful of something most permitted (*halāl*) that could lead to something tolerated (*makrūh*) or prohibited (*harām*).

In addition, al-Zarnūjī (2008) outlined distinctively this character in another separate chapter. It seems clear to him to assume that whoever, in pursuing knowledge, education at all levels, should have the nature of *wara*', which he cited from the Hadith 'whoever is not with *wara*, while studying science, Allah will give him a trial with one of the three cases, namely: death at a young age, placed in the township along with fools, or used as a servant of the ruler' (p.120). Those involving acts of *wara*' are keeping away from too full stomach, too much sleep and needless talk (p.121). From this, al-Zarnūjī mentioned that during the process of education, at all levels, it is obligatory to keep oneself away from bad deed, which can cause negative impact. Similarly, as Adi & Satiman (2014) illustrated, it is sure not only through educational process, a knowledgeable human is produced, but also the knowledge acquired will be balanced between this world and the next. In other words, as such the balance between the worldly life and the hereafter life is of supreme importance.

With this regard, Halstead (2010) gives the illustration on tips to maintain doing good deed and keep away from bad deed. Another way to keep being consistent with *wara*' is to avoid from humans who is willing to do mischief (with some prohibited conduct), immoral behaviour (with bad deed and manners) and unemployment (with nothing to do). Therefore, there should be well-designed educative environments in order to cultivate such values, mainly involving those who have related experiences (Huda & Kartanegara, 2015a).

4. Conclusion and Recommendation

To conclude this discussion, some views on spiritual character values, as al-Zarnūjī clearly illustrated, are an important role as the foundation of soul to inculcate during the process of education where teacher and student interact with each other via informing and elucidating true meaning of teaching and learning. Hence, it needs to promote the core character values as the basis of good individual character. Finally, this study is highly expected to be a contribution for the theoretical framework of character values as an effort to equip human beings with noble qualities and traits in Islam.

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Research into the Main Tendencies and Perspectives of Psychosocial Development of the Existing and Potential "Middle-Class" Representatives in the Modern Russian Society

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Abstract

The article contains an overview of the results of research of the peculiarities of psychosocial development and the structure of psychosocial identity of typical representatives of the "middle-class", the students of the leading universities and high schools. The detailed analysis highlights the significant differences and key problems of psychosocial development of each of the three lifestages. Based on psychosocial approach, there have been analyzed the social and psychological factors for typical personal deformations and the coping mechanisms therewith.

Keywords: psychosocial development, psychosocial identity, psychosocial crisis.

1. Introduction

1.1 The relevance of the research problem

In the context of social transformations one of the key problems related to the objective need for a rather intensive innovative development of the social structure with conservation of the integrity and functionality of the society, is the problem of creation and development of the so-called "middle-class" which is a kind of backbone of modern society. At the same time, in Russian environment the process of its formation has not been painless, and the proportion of this social group within the structure of society nowadays is evidently insufficient. The reasons for such state of things were described in a number of sociological, political science, social and economical researches (Erasova, 2007, Ilyin, 2007, Michaylova, 2012, Tlostanova, 2010, Higgs and Dzhilleard, 2014). We suppose, however, it could not be understood fully without a profound investigation of peculiarities of personal and socio-psychological development of middle-class representatives in the modern Russia. This issue has become particularly relevant at the present stage of development of Russian society because, on the one hand, the tendency for increment of social activity and formation of civil society has become quite apparent, and, on the other hand, the threat of ideological and social polarization, radicalism, and extremism has aggravated, which can indeed lead to a full scale social catastrophe. (Kryukova, at al., 2014; Vinogradova, at al., 2014)

1.2 Organization of research

In connection with the above, we have elaborated and carried out the research into the peculiarities of psychosocial development of the three lifestages of Russian citizens, the actual and potential representatives of the "middle-class".

The hypotheses of the study was the suggestion that the structure of psychosocial identity of the three lifestage categories corresponding to the basic stages of personal and professional formation of the typical "middle-class" representatives, that is: high-school students, senior university students and the specialists of financial and consultancy enterprises with higher education, - should differ significantly.

The empirical base of the research was compiled by a number of Moscow schools, leading humanitarian and economical universities of Moscow and Saint Petersburg, Russian financial, insurance and consultancy enterprises, as well as the audit companies.

Overall sample scope of the interviewees has amounted to 930 people, which includes representatives of the three categories: highschool students (281 people, among which — 115 male and 166 female, average age — around 16 y.o.), university students, predominantly those in higher training (401 people, among which — 137 male and 264 female, average age — 20,5 y.o.), specialists in financial sector and the organizational consultancy, with higher education (248 people, among which — 103 male and 145 female, average age of the interviewees — around 30 y.o., average experience at similar job positions at the moment of the research — around 2 years). It must be noted that the age categorization of the interviewees has been fulfilled basing on E. Erickson's periodization (Erikson, 1996), according to which the highschool students belong to the teenage developmental age, senior university students — to the earlier maturity stage and the representatives of the third category — to the maturity stage. In connection with this, we shall be referring thereon to the first and third categories of the interviewees with nominations of "teenagers" and "adults".

It should be said in this respect that the adult category of the interviewees was compiled by the specialists with higher education and working on the regular basis as middle-rank managers, organizational consultants, auditors, etc. – i.e. by the typical representatives of the actual "middle-class". In its turn the interviewed students were studying precisely in the most highly-rated universities, which are generally very high valued during the evaluation of the candidates' cv for the vacancies, as was evidenced through the analysis of the empirical base of this research, i.e. of the questionnaires of adult interviewees and during the interviews with the directors of various companies and organizations. In this perspective, the three categories of the interviewees by their age and social status are reflecting the main stages of socialization of the middle class representatives, which allows us to identify the main patterns of psychosocial development in modern Russian conditions of this social group, which – as we already noted - is the key group in many ways.

2. Methods

The main methodology for the verification of the hypotheses of this research was the differential of psychosocial development. It has revealed the ways of resolution of the basis conflicts, relevant at the time of this investigation, of the first five stages of psychosocial development among representatives of the three lifestages: high school students, university students and adults. In addition, the investigation program has included the methods of inclusive and external supervision, and the semi-structured interview. The statistical processing of the findings was carried out via the package SPSS 17.0

Before we get to the description of the obtained results, let us mention briefly the methodology of differential of the psychosocial description (DPD) and, in particular, the substantial characteristic of the scales of differential. This methodology was elaborated and validated in 2003 – 2007's with the purpose of identifying the dynamics of psychosocial development and structural and functional features of the psychosocial development of an individual. It features a particular semantic differential designed to reveal the results of the resolution of the basis conflicts of the development of stages of epigenetic cycle, covering the childhood and youth periods – formation of the key elements and the proper identity – and consists of the five bipolar scales: trust - mistrust; autonomy - shame, doubt; initiative - guilt; competence - unsuccessfulness; identity - psychosocial confusion. In terms of the content they reflect the patterns of the respective development stages, theoretically substantiated and described according to the psychosocial concept. Detailed interpretation of the characteristics of each scale are presented in a number of available works (Gluhov, 2005; Indenbaun, 2010; Kandybovich and Sekach, 2013; Kondratiev and Ilyin, 2007; Stepanova, 2009), so it seems redundant to enter into it again.

3. Results

Comparative profiles of the five factors of differential of psychosocial development were based on calculation of average data for each category of the interviewees (Diagram 1).
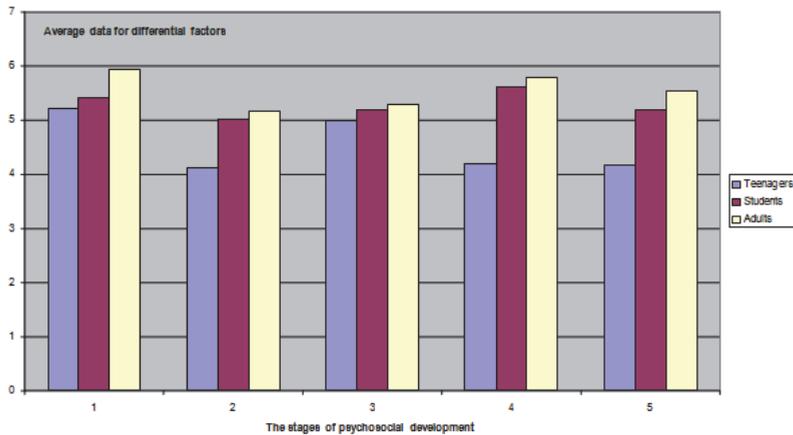
Diagram 1. Comparative profile of psychosocial development of the three age categories of the interviewees.

The dynamics of psychosocial development of students and adults follows a common trend – we can see the highest average values in both categories of the interviewees in the first (trust) and fourth (competence) factors of differential of psychosocial development. The lowest average values among these categories of the interviewees were registered in the second (autonomy) and the third (the initiative) factors of the differential, whereas the fifth (identity) factor occupies an intermediate position. With this the average values across all factors of differential of psychosocial development among the adults is higher than that of the students, and in case of the first and the fifth factors, the average difference is quite distinct.

However, the situation is fundamentally different among the teenager interviewees.

For the purpose of testing of the significance of differences seen in the Diagram, there was used the nonparametric U-test Mann-Whitney for comparison of independent samples. The results have evidenced the statistically significant differences (two-sided level of asymptotic significance of U-criteria $p < 0,01$):

— among the teenagers and students — in the factors of autonomy, competence and identity;
— among the teenagers and adults — in all factors of differential of psychosocial development;
— among the students and adults — in the factors of trust, competence and identity. Also, in the factor of autonomy the difference is on the border of significance (two-sided level of asymptotic significance of U-criteria $p = 0,011$).

Thus, it has been determined that the results of resolution of most conflicts on the basic stages of psychosocial development, which represent the main structural components of the psychosocial identity, shall differ significantly among the representatives of the three age categories.

In order to specify the structural features of psychosocial development among representatives of the three age categories of the interviewees there has been undertaken a statistical analysis of the significance of differences in the results' distribution in connection with the five factors of differential within each of the categories. With this purpose the nonparametric T-criteria Wilkoxon to compare related samples was applied. It was established that:

— for the adult category there are significant differences between the distribution of the results of the interviewees in all factors of the differential (two-sided level of asymptotic significance of T-criteria $p < 0,01$ in all cases);
— for the student category there are no significant differences between the distribution of results in connection with the factors of initiative and identity (two-sided level of asymptotic significance of T-criteria $p = 0,885$), in all other cases significant differences were recorded;
— for the teenage category there are no significant differences between the distribution of the results in connection with the factors of autonomy and competence, autonomy and identity, competence and identity (two-sided level of asymptotic significance of T-criteria amounts to 0,161, 0,370 and 0,941 accordingly), in all other cases significant differences were recorded.

This means that in our sample in general, the degree of resolution of the analyzed basis intrapersonal conflicts

149 differs significantly. Thereby we have received the direct empirical confirmation of the validity of fundamental idea of
150 heterochrony of development within the psychosocial development concept.
151   For the purpose of further additional specification and deep substantial interpretation of the revealed differences
152 between and within each of the three categories of the interviewees there has been applied the analysis of the basic
153 frequency characteristics of the empirical distributions of the received data. The Table 1 below represents the values of
154 the basic frequency characteristics, rounded off to the second decimal place, for the factors of differential of psychosocial
155 development in each of the three age groups, calculated through the procedure of Frequencies of SPSS package.
156
157 **Table 1.** The values of the basic frequency characteristics of empirical distributions obtained among the three age
158 categories of the interviewees for the factors of differential of psychosocial development
159

Frequency characteristics of empirical distribution	Trust			Autonomy			Initiative			Competence			Identity		
	1	2	3	1	2	3	1	2	3	1	2	3	1	2	3
Average	5,28	5,41	5,95	4,12	5,08	5,17	4,99	5,19	5,30	4,20	5,62	5,79	4,17	5,18	5,55
Median	5,50	5,57	6,00	4,00	5,14	5,14	5,14	5,14	5,29	4,00	5,57	5,93	4,14	5,29	5,64
Mode	6,14	5,86	6,00	4,00	5,14	5,00	5,29	5,00	6,00	3,86	5,57	6,00	4,00	6,00	5,86
Standard deviation	1,26	,82	,65	,89	,64	,61	1,08	,73	,64	1,06	,59	,55	,82	,88	,83
Minimum	1,00	2,00	4,00	1,00	2,43	3,14	1,00	2,14	3,14	1,00	2,86	4,14	1,00	2,57	2,57
Maximum	7,00	6,86	6,86	6,83	6,57	6,57	7,00	7,00	6,86	7,00	7,00	7,00	5,71	7,00	6,86
Percentile: 25	4,57	5,00	5,71	3,57	4,57	4,82	4,43	4,86	5,00	3,71	5,14	5,53	3,86	4,71	5,14
50	5,50	5,57	6,00	4,00	5,14	5,14	5,14	5,14	5,29	4,00	5,57	5,93	4,14	5,29	5,64
75	6,14	6,00	6,43	4,57	5,43	5,57	5,71	5,71	5,71	4,57	6,00	6,14	4,71	5,86	6,14

160   (Note: the table below refers to numerical designations of the categories of the interviewees as follows: 1 — teenagers; 2 —
161 students; 3 — adults)
162
163 The most representative in terms of the content shall be the characteristics of the quartile shares of the obtained
164 distributions.
165   As evidenced by the table above, the positive conflict resolution "trust versus mistrust" has been most clearly
166 represented among the interviewees of the older age category.
167   Even the lowest quartile of distribution has been localized in the positive part of the differential scale — when
168 transmitting the score values of minimal variable and the 25% percentile into the scale values there's an interval 0 to
169 +1,71. Please be reminded that the scale value +1,5 is the lowest interval level which corresponds to the stable positive
170 conflict resolution. Within this interval (+1,5 to +2,5) there are the results of 50% of the interviewees of this category,
171 compiling the two average quartiles — when transmitting the score values 25% and 75% percentile into the scale ones
172 there's an interval +1,71 to +2,43. Finally, the upper quartile of distribution practically complies with the interval
173 corresponding to the express positive resolution— when transmitting the score values into the scale ones the percentile
174 index 75% amounts to +2,43, and maximal variable value — +2,86.
175   Thus, it can be stated that more than 75% of the interviewees in this category feature a stable positive resolution of
176 the basis conflict of the first stage of psychosocial development.
177   The picture is rather different among the student interviewees. According to the Table, the lowest quartile of
178 distribution of the results in this category in connection with the first factor of differential of psychosocial development
179 complies with the scale interval from -2 to +1 (score index of minimal variable value — 2, and the 25% percentile — 5) —
180 i.e. for the relevant part of the interviewees the basis conflict "trust versus mistrust" has either acquired negative
181 resolution or remained unsolved at the moment of investigation. Besides, the second quartile of the distribution
182 corresponds to the area of slightly expressed positive resolution of this conflict (scale value of 25% percentile +1, and
183 50% — +1,57). Only the 50% of representatives of this category featured the stable and express positive resolution of the
184 conflict under examination, with this the express positive resolution has been registered only with the minor part of the
185 interviewees — the scale index of 75% percentile — +2, and maximal variable value — +2,86, i.e. the higher quartile of
186 distribution has been displaced to the scale area corresponding to the positive resolution of the conflict "trust versus
187 mistrust" .
188   Thus, the registered statistically relevant differences among the distribution of the results of adult and student
189 interviewees in connection with this factor are due to the significantly higher proportion among the student environment of
190 individuals who have never resolved or featured a slightly positive resolution of the first basis conflict of psychosocial
191 development.
192   The distribution of results of the teenagers, as it was noted before, is featured firstly with the high level of

intrapersonal differences (this factor has the maximal registered index of standard deviation — 1,26). The results from the lower quartile are "stretched" within all negative part of the scale and the area corresponding to a pending conflict, — minimal variable index corresponds to the scale value minus 3, and the 25% percentile — +0,57. The second quartile almost coincides with the area of slightly positive resolution of the conflict "trust versus mistrust", complying with the scale interval +0,57 to +1,5. Same as with the students, 50% of the teenagers feature the stable or express positive resolution of the conflict "trust versus mistrust", with this the percentage of individuals featuring the express positive resolution of this conflict is a little bit higher within this category of the interviewees — the upper quartile of distribution covers the scale interval +2,14 to +3.

Thus, the results of over 50% of the interviewees of this category lie within the area of unsolved or slightly expressed positive resolution of the conflict "autonomy versus shame and doubt" — the minimal variable value corresponds to the scale index minus 0,86, and the 50% percentile — +1,14. Moreover, the results of more than 25% of the interviewees also get into the area of slightly expressed positive resolution — the third quartile of distribution complies with the scale interval +1,14 to +1,71. Only the 25% of the interviewees whose results appear in the higher quartile of distribution feature the positive resolution of the conflict "autonomy versus shame and doubt" (the scale index equal to 75% percentile amounts to +1,71, and maximal variable value — +2,57). There were practically no individuals with the explicit resolution of this conflict in favor of autonomy within this category.

The results of the students of lower distribution quartile lie within the scale interval covering the slightly expressed negative resolution and the unsolved basis conflict of the second stage — the value of minimal variable corresponds to the point minus 1,57, and the 25% percentile — +0,57. The results of another 50% of the interviewees of this category from the second and third quartiles get into the area of slightly expressed positive resolution of the conflict: scale value 25% percentile — +0,57, and the 75% — +1,43. Only 25% of the interviewees with results from the upper quartile of distribution feature the stable positive resolution the conflict "autonomy versus shame and doubt" (scale index 75% percentile amounts to +1,71, and maximal variable value — +2,57). Analogously to previous case, there were practically no individuals with the explicit positive resolution of this conflict.

Despite the obvious similarity of trends in psychosocial development, related to the resolution of the basis conflict of the second stage in the two categories, the proportion of negative component among the student interviewees has been evidently higher, which explains that according to the results of statistical examination the differences between distributions were found on the border of significance.

This negative trend of resolution of the basis conflict "autonomy versus shame and doubt" has been more explicit among the teenagers. The results of the 25% of interviewees of this category which have compiled the lower quartile of distribution, get into the area from the explicit negative resolution (minimal variable value corresponds to the point minus 3) to the lower border of the unsolved conflict (percentile index 25% corresponds to the scale value minus 0,43). Another almost 50% of teenage interviewees featured the unsolved basis conflict of second stage of psychosocial development as at the moment of the research — scale value 25% percentile has amounted to minus 0,43, and 75% percentile — +0,57. The upper distribution quartile covers the area from mild to the explicit positive conflict resolution (maximal variable corresponds to the point +2,83).

In connection with the third factor of differential of psychosocial development, the distribution of results of adult interviewees features the following parameters.

25% of the results from the lower quartile generally get into the scale interval corresponding to the area of the unsolved basis conflict "initiative versus guilt" (minimal variable value corresponds to the point minus 0,76, and the index 25% percentile — point +1). The results of the 50% of the interviewees of this category that had got into the second and third quartiles are practically complying with the scale interval corresponding to the area of slightly expressed positive resolution of the conflict under question (scale value 25% percentile amounts to +1, and 75% — +1,71

The distribution of the results of the students features the same trend — it stands to reason that precisely in connection with the third factor of differential there were not registered any significant differences between these two categories of the interviewees. Most of the results from the lower quartile also get into the area corresponding to the unsolved basis conflict "initiative versus guilt". However, in the whole this quartile was more shifted to the negative pole of the dichotomy than in the case of the adult category (minimal variable value corresponds to the scale index minus 1,86, and the 25% percentile — to the scale index +0,86). The results of 50% of the interviewees of this category which have compiled the average quartiles of distribution, as in previous case, are mostly covering the scale interval corresponding to the slightly expressed positive resolution of basis resolution of a conflict of the third stage of psychosocial development (scale value 25% percentile amounts to +0,86, and 75% — +1,71). Finally, same as with the adult interviewees, 25% of the students with the results from the upper quartile of distribution have featured the stable of explicit positive resolution of this conflict (75% percentile corresponds to the scale value +1,71, and maximal variable index — to the scale

247 evaluation +3).

248   As for the teenage interviewees, the lower quartile of distribution of results for this factor seems stretched from the
249 negative pole of the scale (minimal variable index corresponds to the point minus 3) practically towards the upper border
250 of the scale interval corresponding to the area of unsolved basis conflict "initiative versus guilt" (scale value 25%
251 percentile amounts to +0,43). The results of 50% of this category that had got into the average quartiles comply with the
252 scale interval which practically coincides with the analogous distribution among the students, — the scale index 25%
253 percentile — +0,43, and 75% — +1,71. Diapason of the upper distribution quartile fully coincides with the analogous
254 index for the student interviewees —75% percentile value corresponds to the scale value +1,71, and maximal variable —
255 to the scale value +3. Thus, there's the same trend in distribution of the results of the teenagers for the factor of initiative
256 as that in the distribution of results of the students. With this the lower quartile of the distribution, compared to the adults'
257 results, has been more shifted towards the negative pole of the scale. This explains the registered significance of
258 differences between distributions of the results of the teenagers and adults, when there are no such differences between
259 distributions of the results of the teenagers and students interviewees.

260   The results of all adult interviewees with respect to the fourth factor of differential of psychosocial development get
261 into the positive spectrum of scale indexes, with this only a little part of the interviewees were registered with the unsolved
262 basis conflict "competence versus unsuccessfulness" — the value of minimal variable corresponds to the scale index
263 +0,14, and 25% percentile — +1,53. Most of the interviewees demonstrate the stable positive resolution of this conflict —
264 the results of the second and third quartiles of distribution get into the scale interval +1, 53 to +2,14 (value is 75%
265 percentile). The upper quartile of the distribution of the results of adult interviewees includes the full scale interval which
266 corresponds to the area of explicit positive resolution of the basis conflict of the fourth stage of psychosocial
267 development — the scale index 75% percentile amounts to +2,14, and maximal variable — +3.

268   Thus, the trend of psychosocial development of this category in connection with the fourth stage of epigenetic cycle
269 features the high level of manifestation of the positive resolution of basis conflict "competence versus unsuccessfulness".
270 The analogous situation, as we noticed before, takes place with respect to the first stage. However, it is noteworthy that
271 most indexes of frequency characteristics of distribution of results have been slightly higher for the first factor, and
272 according to the results of statistical analysis, the differences between the distributions have been significant.

273   The lower quartile of distribution of the results of the students for the factor of competence has been shifted
274 towards the negative pole — scale index of minimal variable value corresponds to the point minus 1,14, and 25%
275 percentile — +1,14 — i.e. it covers the area from slightly expressed negative to the slightly expressed positive resolution
276 of the conflict "competence versus unsuccessfulness". The results of another 25% of interviewees of this category which
277 got into the second distribution quartile, almost in whole fit into the scale interval corresponding to the slightly expressed
278 positive resolution of the basis conflict of the fourth stage of psychosocial development (scale value 25% percentile
279 amounts to +1,14, and 50% percentile — +1,57). Most of the interviewees whose results have compiled the two upper
280 quartiles, feature the stable positive resolution of this conflict — the scale index 75% percentile amounts to +2, and
281 maximal variable — +3. Please note that the comparison of frequency characteristics of distributions of results within this
282 category for differential factors and the results of statistical examination of significance of the differences proves that
283 precisely the basis conflict "competence versus unsuccessfulness" features the explicit positive resolution among the
284 students.

285   There is a fundamentally different situation among the teenage interviewees. The results of 25% of interviewees of
286 this category compiling the lower quartile of the distribution fit into the area from explicit negative resolution of the conflict
287 "competence versus unsuccessfulness" (minimal variable index corresponds to the point minus 3) up to unsolved conflict
288 (index 25% percentile corresponds to the scale value minus 0,29). Almost 50% of the interviewed teenagers feature the
289 unsolved basis conflict of the fourth stage of psychosocial development at the time of the research — the scale index
290 25% percentile amounts to minus 0,29, and 75% percentile — +0,57. The upper quartile of distribution covers the area
291 from slightly to explicitly expressed positive resolution of the conflict under question (maximal variable index corresponds
292 to the point +3).

293   It is quite understood that from the perspective of psychosocial development concept the results of the resolution
294 of the basis conflict of fifth, integrative stage of epigenetic cycle – "identity versus psychosocial confusion" – will be of
295 particular interest.

296   The results of 25% of adult interviewees fitting the lower quartile of distribution, has been spread within the scale
297 interval covering the area from the slightly expressed negative (scale index of minimal variable value amount to minus
298 1,43) to slightly expressed positive (scale index 25% percentile amounts to +1,14) resolution of the conflict under
299 question. The more compact second quartile has been localized at the border line of areas of slightly expressed and
300 stable positive resolution of conflict "identity versus psychosocial confusion" — the scale value is 50% percentile —

+1,64. Most of the 50% of interviewees of this category whose results have got into the two upper quartiles of distribution, feature the stable positive resolution of the basis conflict of the fifth stage (scale index of maximal variable value has amounted to +2,86).

Thus, it seems clear that there is a prevailing trend to the positive resolution of conflict "identity versus psychosocial confusion" among the adult interviewees. With this the number of interviewees who featured the unsolved conflict at the moment of this research has been extremely negligible.

The situation is a bit different in case of the students' interviewees. Most part of the results registered in the first distribution quartile has been localized in the area of unsolved basis conflict of the fifth stage of psychosocial development— the amount of minimal variable value corresponds to the scale index minus 1,43, and 25% percentile — +0,71. The results of another 50% of the interviewees of this category that have compiled the two average quartiles of distribution, form a scale interval which in the whole corresponds to the area of slightly expressed positive resolution of the conflict "identity versus psychosocial confusion"— scale index 25% percentile — +0,71, and 75% percentile — +1,86. Finally, 25% of the students interviewees with the results fitting the upper quartile of distribution, have featured the stable or explicit positive resolution of the conflict under examination — the amount of maximal variable value corresponds to the scale index +3.

Basing on these findings, we can acknowledge the prevailing trend towards the slightly expressed positive resolution of the basis conflict "identity versus psychosocial confusion" among the students' interviewees; however, the percentage of individuals with the unsolved conflict within this category has been considerably higher than the one in the previous category.

The lowest distribution quartile of the results of the teenagers tested happened to be obviously coerced to the negative pole of dichotomy in focus. It is stretched out in scale range covering the sphere starting from evidently negative permit till unsolved basic conflict "identity versus psychosocial confusion" (the size of the minimum meaning of a variable corresponds to scale mark minus 3, and 25% of percentile- to scale mark minus 0,14). Results received by 50 % of the respondents of this category made up at two average quartile of distribution keep within the scale range which on the whole corresponds to unsolved basic conflict of the fifth phase of psychosocial development (scale meaning of 25% made up to minus 0,14, and 75%- plus 0.71). The majority of 25% of the teenagers tested whose results fall within the top distribution quartile has ill-defined positive solution of this conflict (scale indicator of maximum meaning of a variable is plus 1,71).

Thus, it was determined that among the teenagers tested the unsolved basic conflict of psychosocial development "identity versus psychosocial confusion" prevails what is totally natural from the psychosocial development concept point of view as the matter is exactly about chronologically vital age-related period concerning this conflict. At the same time the circumstance attracts attention that in this category of respondents the quite distinct tendency to negative solution of the conflict in focus was brought out. From the point of view of development theory it also seems totally natural against the background of the results of the teenagers tested according to the second and forth factors of a psychosocial development differential (let us remind that in this connection as the checkup with the use of Vilkonson's T-criterion the statistic-significant differences between results distribution of this category of the respondents according to autonomy, competence and identity factors lack). In fact, the question is that sufficiently serious systemic deformation of psychosocial development among large part of millennial was revealed who is currently in the fifth stage of epigenetic cycle, which can have a great effect on the state of psychosocial balance in Russian society. If we compare the results by the factor of three categories of identity of the subjects, it is easy to see clear dynamic: the unresolved basis crisis of the fifth stage of psychosocial development to adolescents - poorly marked a positive resolution to the students - sustainable positive resolution to adults against practically the same level of inter-individual differences of the results by a factor at all three categories (the mean of the standard deviation was 0.82, 0.88 and 0.83, respectively). According to this research, we get direct empirical evidence that, as a rule, the formation of psychosocial identity of the individual is not completed by 20 years and continues to the next developmental psychosocial development in modern Russian conditions.

4. Discussion

The comparison of the results from the three categories for the trust factor allows us highlighting various basic regularities.

Firstly, it should be noted that the clearly expressed positive resolution of the first basis conflict of psychosocial development is characteristic for the adult group. The negative trend for resolution of this conflict features mostly the teenage group. The students hold an intermediary position therein. This enables us, firstly, to come to the conclusion that in connection with our sample of interviewees there is a general positive dynamics of psychosocial development in terms

of resolution of the first basic crisis.

Secondly, we have therefore obtained the empirical confirmation of the theoretical principles of psychosocial development concept, according to which the results of the resolution of the basis conflict of a certain stage can be substantially corrected at the individual level in the course of further development.

Thirdly, the documented evidence of reduction of intrapersonal differences of the interviewees from teenagers to adults allows us to conclude that the representatives of the same generation forming the same social group during the process of psychosocial development experience the alignment of the individual results of the resolution of the first basis conflict.

In connection with the second factor of differential of psychosocial development, the highest indexes of basic values of central trend were obtained during the distribution of the results of the adult interviewees. However, the spread of distribution through the quartile shares differs significantly from the previous case.

Frequency analysis of the distribution of the results of the three categories of interviewees in connection with the second factor of the differential of psychosocial development has revealed the general conservation of patterns registered for the first factor. This means that the process of alignment of results of resolution of the second crisis of psychosocial development within the same generation is a) chronologically more compact, and b) shifted to earlier stages of epigenetic cycle - by the moment of transition from adolescence to early adulthood it shall be basically completed.

We would like to point out that the second stage of psychosocial development is traditionally considered the most problematic one in the Russian society, which by far is stipulated by the specifics of social institutions of politics and law. We can find out the analogous conclusions with the other researchers. Thus, in particular, L.D. Gudkov notes: "The basic configuration of Russian features in the perception by Russians of themselves — it is a complex of particularistic set of characteristics with the passive authoritarian complex of dependence and subordination. These definitions compiles the image of Russians "for themselves" — passive, patient, simple (not pretending for a higher level of requests, autonomy and self-sufficiency, the complexity of basic set of values)" (Gudkov, 2004) With this, L.D. Gudkov believes that "auto-qualification as "simple, open-hearted" — is not just a sign of social and cultural "qualityless". It expressed the lack of any demands for the autonomy, group or status inherent value and self-sufficiency".

The conclusions of L.D. Gudkov seem especially relevant in this context due to the fact that his own determination of identity, although being explicitly sociological, represents fully the system-forming ideas in the interpretation of identity from the point of psychosocial development concept, that is: correlations of individual and social development and procurement of the integrity and subjectness of an individual in the changing social environment.

In this perspective the applied logical correlation for the interpretation of results for the first differential factor: "positive resolution of the basis crisis of psychosocial development — social success" also constitutes an important interpretational key. On the one hand, according to psychosocial development theory the consistent progressive social mobility of an individual would just be impossible in case of the negative resolution of the basis intrapersonal conflict of the second stage of psychosocial development and formation of a stable self-alienation in the form of pathological self-identity. In the modern Russian environment, it is especially true in connection with the high-professional intellectual activities in those sectors sufficiently integrated into the world economy. At the same time, in the context of conservation (and, moreover, propagation) of the strong paternalist traditions within the society and the existence in all levels of social regulation of the informal normative systems, the activity of the individuals with a high level of personal autonomy is often being interpreted as a threat towards the existing status quo and harshly obstructed. In such situation the most adequate way for the achievement of average level of social success would be precisely the slightly expressed positive – "rather autonomy than shame and doubt" – resolution of the basis conflict of the second stage (which has been registered with the most adult interviewees in our investigation). The individuals who featured the explicit positive, or, on the contrary, the negative resolution of this conflict in this situation have - incredible as it may seem - practically equal chances to achieve the super-success — to get to the high-end social groups (its specific variety which exists in the contemporary Russian society) or to gradually marginalize.

The third stage of psychosocial development is placed distinctively in an intermediary position between the first and the second stages. All three categories feature the statistically significant differences between the distribution of results for the factors of initiative and trust, as well as for the factors of initiative and autonomy.

According to the frequency analysis of distributions, the basic regularities defined through the examination of the results in connection with the first factor of differential of psychosocial development, shall be true in connection with the factor of initiative, and in the latter case they shall be expressed more explicitly than in the case of the autonomy factor.

When applying the same interpretational key "positive resolution of the basic intrapersonal crisis – social success" to the obtained data, the intermediary position of the third stage of the psychosocial development becomes easily understandable. In the terms of professional activities directly connected with the highly competitive information economy,

409 the initiative and the sense of purpose are the objectively necessary requirements for the individual success. At the same
410 time, the abovementioned peculiarities of the social practices established in the Russian society shall inevitably contradict
411 to such necessity. As a result, the "excessive" personal initiative shall be "absorbed" by the system both at the stage of
412 taking of the decision and in the process of its implementation, due to the deeply rooted practices such as innumerous
413 approvals, endorsements, quotations, presenting of reports etc. Under these conditions the most adequate way to get
414 into the "middle class" would be the slightly expressed positive resolution of the basis conflict "initiative against the sense
415 of guilt", same as in case of the conflict of second stage of psychosocial development. We believe the main difference in
416 this context shall be the fact that in the modern Russian environment such resolution of the second basis conflict would in
417 fact be necessary, when in case of the third basis conflict it shall be just the sufficient precondition to obtain the average
418 level of social success.

419 Thus, the main trend of psychosocial development of the teenagers with respect to the fourth stage of epigenetic
420 cycle coincides almost entirely with the trend defined in connection with the second stage (there are no statistically
421 significant differences between the distributions of the results of the interviewees for relevant factors of the differential),
422 and it is characterized by the prevailing unsolved basis intrapersonal conflict "competence versus unsuccessfulness" with
423 rather explicit negative pole of this dichotomy. This fact is quite alarming, because such trajectory of psychosocial
424 development creates a real threat of the escalation among the youth of antisocial personal attitudes, commitment to the
425 destructive religious and ideological doctrines, membership in the informal groups of criminal orientation etc. It has
426 reason behind it that at the present day we can observe the growth of juvenile crime with the general background of
427 increasing aggressiveness among the young people.

428 One of the main reasons of the detected deformation of psychosocial development becomes clear if we take into
429 account that the sensitive lifetime – from the point of resolution of the basis conflict "competence versus
430 unsuccessfulness" – of most of the interviewed teenagers has coincided with the boundary of 1990's and 2000's, when
431 Russian secondary education, and elementary school in particular, was suffering the severe crisis. In connection with this
432 we would like to mention that, according to the obtained findings, within the following years when our interviewees were
433 studying in secondary and high school, and up to the present moment there has been no radical correction of the results
434 of resolution of the basis conflict of fourth stage of epigenetic cycle. We believe it is due to the fact that during the
435 reformation of the secondary school the main attention was paid to the organizational aspects and the content of
436 education. At the same time, the most important, from our point of view, developmental function of the school remains on
437 the periphery of the educational process.

438 The level of intrapersonal differences in distribution of the results of adults and students interviewees almost
439 coincides. There is the similar situation with respect to the second factor of differential of psychosocial development. At
440 the same time the level of intrapersonal differences in distribution of the results of the teenagers with respect to this factor
441 has been notably higher, than in case of the factor of autonomy. We suppose it can be explained by the fact that in this
442 case it is not the dynamics of alignment of the results of resolution of the basis crisis of psychosocial development among
443 representatives of the same generation that is concerned, but the intrapersonal criterion of social selection at the moment
444 of entering a university. In other words, it is precisely the competence, and personal competence, that could not be
445 reduced to a standard set of "knowledge and skills", that shall be the determinant from the point of successfulness of an
446 individual who's entering a university, especially in case of the prestigious academic institutions giving a quality
447 education. As for the substantive differences of the results in connection with the factor of competence, the algorithm "the
448 success creates the success" is clearly operative in the scheme specified in the course of the analysis of the results
449 received for the first factor of the differential of psychosocial development.

450 If you try to identify the principle which caused this kind of hypogenesis in the Russian condition, then, according to
451 psychosocial development concept, the most significant ones are represented by two points.

452 Firstly, the institution of ideology in Russia for a number of reasons is completely unable to meet the «universal
453 psychological drive for a system of ideas that give a convincing picture of the world» (Bonkalo et al., 2014; Feldstein,
454 1995; Solodova, 2008; Stepanova, 2009) in an accessible and attractive to young people's consciousness form.

455 In another words, representatives of the younger generations are mostly deprived of necessary comprehensible
456 and universal guidelines related to solving personal problems on the considered stage of development "through a free
457 role experimentation to find their niche in society, a niche that is firmly defined and it corresponds to him exactly"
458 (Kondratiev, M.Y. and Ilyin, 2007) Explicit failure and, moreover, defectiveness, the point of solution of this problem, the
459 results of the efforts of modern Russian ideologues - from propaganda clichés about "EMERGING knees" to pseudo-
460 scientific euphemism "sovereign democracy" - appear to be self-evident.

461 This inefficiency in the present context of the existing social system is being compensated at the individual level
462 through local kvaziideologies produced by the informal group membership, organizational culture of universities,

corporations and the like, as well as individual system of values of certain high-referential representatives of the social environment and personal experience. It is obvious that the formation of individual values by selection in such type of semistructured and usually collisional environment almost inevitable delays permit intrapersonal level of the basic conflict "identity versus psychosocial confusion."

Secondly, in modern Russian conditions the young people in the majority are deprived of the possibility of the full stay psychosocial moratorium. This is caused by the fact that the society doesn't provide necessary delay at this stage of development, in other words "time-out", in relation to the individual performance of civil and professional functions. The most odious manifestation of this kind is a continuing compulsory universal military obligation to age of 18 years. Certainly, in this context we are able to speak about of the rules of electoral law, tax, labor, civil codes. Along with this, there are a number of destructive, in terms of psychosocial moratorium, rooted in real social practice moments, not only officially codified, but also formally banned. For example, one of the major problems associated with the quality of higher education is that many full-time undergraduates are forced to work according to the scheme of full employment, often in the areas that are not directly related to their professional specialization.

For example, one of the major problems connected with quality of higher education is that many full-time students have to work full day, often in areas that are not directly related to their professional specialization. At the same time, due to a number of reasons, both psychological and socio-economic nature, the process of young people separation in modern Russian conditions is unreasonably prolonged. Therefore, after entering the University (of course, if it is not associated with a move to another city) a significant proportion of young people continues to live with their parents. Moreover, educational and psychotherapeutical practices show that even for students who at first sight leading free lifestyle, in majority of prosperous families (from a traditional point of view) there is a high degree of parental control throughout the study at the university.

In general, organization of higher education is demonstrative in terms of psychosocial moratorium. Most part of American and Western European institutions of higher education carries on the tradition of midlevel's universities, which with their actual autonomy and internal regulations served in many ways as a kind of "social incubators", where the younger generation had the opportunity to live out the age liminality, almost without being under pressure and regulatory restrictions adopted in the broad society. At most Russian universities, students do not have this opportunity.

Obviously that lack of possibility to live out psychosocial moratorium in chronologically age-to-date period leads to the conservation of the status of personal liminality ("liminality" in social psychology is defined as "intermediate, in a sense, a transitional social situation of the person in the system of social relations, characterized by the loss of the former social status and associated status-role position in a non-entry into a new social role "(Huhlaeva, 2002, Levin and Zakharenkov, 2013, Mansurov, 2014, Mikhailova, 2012, Safronov, 2013, Safronov, 2008), which, in turn, prevents the resolution of the underlying conflict "identity versus psychosocial confusion."

Results of the completed research in features of psychosocial development at the basic stages of representative of three age categories fully confirmed validity of this hypothesis. In addition, they revealed a number of regularities of the middle class formation in modern Russia in the context of individual psychosocial development, as well as some of the typical problems associated with the psychosocial development of the younger generation, and their underlying causes.

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Terrorism in Nigeria: The Case of the Boko Haram

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Abstract

This work examines the complex phenomenon of global terrorism in a fast evolving International Order (the New World Order) that is driven by the wheel of globalization as a historical process. The discourse is domesticated within the Nigeria geographical space with the onslaught of the Boko Haram attack on the Nigerian state; its premier institutional bulwark represented by the military and its vulnerable populations as case study. The article presents Nigeria as a deeply divided society that is exploited by the terrorist to their advantage. The work contained herein is anchored on the failed state and the relative deprivation theoretical model to sustain its thrust and give meaning to the arguments articulated. The methodology depended-on for data leans heavily on the analysis of secondary sources within the traditional liberal and social science orientations. Finally, the article presents a set of recommendations that could contribute in the reversal of the grounds covered by the Boko Haram since the highly ghoulish movement launched its macabre push against the symbol of Nigeria's legitimacy as a sovereign state amongst other international system of states.

Keywords: Global Terrorism, War, Jihad, Boko Haram, Small Arms:

1. Introduction

Terrorism has become one of the most important concepts that have continued to shape intellectual discourses in post Cold War international system. This phenomenon has become a potent instrument in the hands of renegade elements 'privileged' to bear arms within the boundaries of states (Ayuba and Okafor, 2014). In this respect, this paper addresses the challenge posed by the Boko Haram terrorist movement in Nigeria. A phenomenon that is fast spreading, beyond the West Coast to the Central African regional bloc with its evil and catastrophic effects devastating lands and peoples. The paper hinges its argument on the assumption that even though the insurrectionists have consistently claimed origin in the Islamic faith, evidence have sustainably proven otherwise.

The focus of this study therefore is to give a vivid and coherent perspective with regards to the activities of the Boko Haram movement with a view to tracing the source of and the motivation for the insurgency. Also, the paper establishes the implication of the activities of the Boko Haram on livelihood and human rights questions, while also taking a critical examination of the nexus between the insurgency and the free flow of illicit Small Arms and Light Weapons (SALW) marketed within Africa. To entwine its perspective, the paper sorely leaned on the review of existing literatures covering the global terrorist phenomenon since it became a choice strategy in the neutralization of perceived enemy forces. Such literature includes Journals, Books, Reports as well as internet materials. The paper is structured along six parts with the theoretical perspective following the introduction, while the third part deals with the global perspective of terrorism and overview of Boko Haram sect in the fourth part. The fifth part focuses on the implication on livelihood and human rights questions. Recommendation and conclusion formed the final part.

2. Theoretical Underpinning

To explain the occurrences of violent conflicts unfolding within global space since the collapse of the 'Iron curtain', scholarly endeavors to explain these conflicts have led to the evolution of the state failure theory which seeks to explain the scale of this violence. This paradigm is championed by scholars like Rotberg (2002) and Zartman (1995). These

scholars and many more that subscribe to this school of thought have maintained that to understand any intrastate conflict, the starting point of scrutiny should be by the thorough examination of the strength/weakness and the stability/disorder inherent within states at any particular time. Thus, they begin their investigation with the assumption that weak states are responsible for the outbreak of disorder within the boundaries of states. They opine too that problems associated with fragile political systems and economies could deteriorate into humanitarian emergencies consequent on the response of a depressed citizenry.

Thus, the leading American foreign policy specialist, Henry Kissinger (2001), has described a "state" as the "expression of some concepts of justice that legitimizes its internal arrangement and of a projection of power that determines its ability to fulfill its minimum functions-that is, to protect its populations from foreign dangers and domestic upheavals. Other conditions include the ability to provide efficient service to the people constituting the confederation. Amongst these services include physical security, basic health care, education, transportation and communication infrastructure; monetary and banking systems and a system or mechanism that enhances the peaceful resolution of identified conflict questions between 'national entities' within a country. A state that lacks the capability to institutionalize law and order could not be grouped in the category of strong states (Udoambana, 2006: 6). In this vein, Maiangwa et al (2013) have summed the matter thus, 'Once the state is unable to perform these primary responsibilities, it loses its legitimacy in the eyes of the citizens, many of whom will then naturally transfer their allegiances to more responsive authority groups or figures—religious, clan, or group leaders—while others will go even further by becoming terrorists'

It is in the light of this theoretical perspective that we can understand the insurgency of the Boko Haram. Since the article wishes to situate its over-all discourse on the economic and the social malady confronting the average northern Nigerian, which is seen as an important reason for the violence as the fulcrum of its argument, the weak state theoretical model that seeks to explain the inability of the state to curb the menace of poverty and economic depression and the resultant onslaught will be apt. This is imperative with regard to the Failed States Index, Nigeria has on a consistent basis been featured as one on the brink of total collapse; 'currently, it ranks fourteenth on the list—which makes it close to other countries that have experienced total collapse in recent times' (Foreign Policy, 2011).

Another equally relevant theory that will complement the failed state thesis is the relative deprivation theory. This theory subsists in the assumption that when states fail and individuals and human groups within the state feel aggrieved because of the deprivation that they are subjected to because the state is unable to cater for their basic needs they rebel (Gurr, 1970). These needs include the provision of health services, security, food, jobs, and infrastructural services and so on. According to Maiangwa et al (2013), it is this deprivations and its concomitant aspect of the poverty it breeds that has birth the millions of youths that fall prey to the extremist ideologies of the Boko Haram. These youths have become so frustrated that they have made every symbol of the state and its authority their target. In the desire to vent their angst, these youths have killed soldiers, members of the police force, religious centers and other property destroyed as well as abduction of innocent people.

3. Global Terrorism in Perspective

The Postmodern phase of human evolutionary advance which coincides at the cross-roads with the landmark trend of the end of the Cold War has resulted in the growth of shades of perspectives intended to shape both the theoretical and pragmatic global future. It was while responding to Francis Fukuyama's (1992) triumphalists' assumptions of the 'End of History' that Samuel Huntington (1996) conceived an equally potent model to give meaning to contemporary global conflict relations. In his 'Clash of Civilizations and the Remaking of World order' theses, Huntington has firmly held on to the thinking, which is at variance with Fukuyama's position that man (the specie) will continue to threaten man; according to Huntington this may not be at the trans-national levels. Conflict in this phase will be at the ethno-religious and civilizational realm and these will unfold within the territorial margins of nation-states. In contemporary human and group socio-economic and political relations, this model has proven relevant in illuminating the unfolding incidences of violent conflicts including their asymmetrical variant.

The article posit from the onset that the acts of terrorist within the Nigerian geographical space are actually a declaration of war against the state. This conclusion is instructive because of the observable complex dynamics defining the unfolding phenomenon in all its gruesomeness. Contrary to the known tactic of terrorist globally which prefers the 'hit and run' approach, the Boko Haram variant is markedly distinct in the sense that its 'victories over the security institutions' have propelled them into crafting a new thinking to the strategy of terrorist movements which subsists on the assumption that renegade movements can literally invade and acquire territories. In this instance, the Boko Haram has conquered a large section of the north eastern Nigeria; a situation that informs Tatalo Alamu's (2014) conclusion that with this brazen effrontery, Nigeria has become effectively partitioned.

111   By war, we will be inferring 'organized violence carried on by political units against each other' (Bull. 1977: 184).
112   However, violence could not be ascribed the tag 'war' until it fulfills the basic condition of its being 'carried out in the name
113   of a political unit (Boko Haram) against another political unit (the state). For the purpose of dispelling any ambiguity
114   between the legal definitions of war and peace, Hugo Grotius has constructed the doctrine of *inter bellum et pacem nihil*
115   *est medium* (Bull, 1977). Under this principle, Grotius attempts an understanding of the meaning of war by asking the
116   question 'at what point does the rebel band (the Boko Haram in this case) takes on the character of a political unit. We
117   will provide the answer immediately by saying, the moment that rebel band bears arms, conquers territories and
118   undermine the constitutionally acclaimed authority presiding over the conquered territory, the same rebel band has
119   assumed the title of a 'political unit'. Secondly, the principle operates under the normative assumption that if war is to be
120   war, then the 'persons conducting this hostilities must be activated (motivated) by the notion that they are engaged in an
121   activity called war' (Bull, 1977: 186). The Boko Haram has severally described their hostilities against the Nigerian state
122   and its fatigued people as a Holy war against infidels (Salkida, 2009). In the same breath, Laderach (1997: 5) has joined
123   in the discourse by stating that 'war is reserved to describe a conflict in which at least one thousand deaths have resulted
124   in a given year. The Boko Haram onslaught has met this bleak statistical requirement.

125   This is the background that will give us the meaning of the phenomenon of the Boko Haram threatening the
126   national socioeconomic and political narrative. In this respect, it is necessary to maintain at the outset that what the world
127   is transiting through is the challenge to global security order. Thus, the classical model of the social contract as originally
128   constructed by 'the humanists Thomas Hobbes (1946) and advanced by other like-minded classical thinkers like Locke
129   and Rousseau (1927) is undergoing the process of radical re-definition' (Ayuba and Okafor, 2014). Individuals and human
130   communities residents within national borders, previously suppressed and subjected to the authority of leviathan (the
131   state) as the check to perceived human 'excesses' is currently being challenged and its power to tame these 'excesses'
132   increasingly questioned by groups that had earlier completely submitted their will to resist the state because of its
133   monopoly of the instruments of coercion - arms and weapons sorely borne by military and security institutions. This
134   rebellion against state authority is emanating from the open access that anarchist, religious extremist and irredentist;
135   ethnic nationalists and criminal entities have to the floodgates of arms supply chains. The illicit weapons available to
136   these elements since the end of the Cold War and the phenomenally catastrophic collapse of previously established
137   centers of organized power like Iraq under Saddam Hussein, Libya under the firm grip of Muammar Qaddafi, Afghanistan
138   and recently Syria under the relentless Assad have continued to facilitate the heinous occurrence of insecurity within
139   fragile state formations (Ayuba and Okafor, 2014).

140   Until now, a critical examination of Nigeria's security portfolio easily reveals that previous national security
141   concerns were focused primarily against threats posed the national interest by external militaries in the pursuit of their
142   own strategic socio-economic and political interests on Nigeria's air, maritime and land territorial spaces. Due to this
143   limited orientation and understanding of the core elements constituting the concept of national security, the security
144   establishment, charged with the responsibility of shielding the state from external threats have consequently decided it
145   was not within its constitutional domain to manage internal security, until the dynamism shaping the movement of history
146   permanently altered that limited mindset with the emergence into the political scene of the Boko Haram elements and
147   their capacity for unleashing infamy on individuals and groups (Imoibighe, 1990: 224).

148   With specific reference to discourses on terrorist tendencies and religious fundamentalism, Huntington (1994) has
149   maintained that because of the sweeping religious revival or what he describes as *la revanche de Dieu,* human spiritual
150   being is being activated in a global religious revival and man's consciousness with regards his eternity in constant
151   reckoning. He is constantly engaged in an exercise of self inquiry. He asks the fundamental question bordering on the
152   dual aspects of his temporal humanity and its accompanying opposite-his timeless eternity. In the process of this
153   introspection that informs deep spiritual contemplation, such questions arise; who am I, what am I doing here (on earth)
154   and where am I going afterwards? To each of these questions, he gains deeper spiritual insight that reveals and provides
155   him with an answer that confirms that he has a destination in the hereafter, thus the need to engage in pious conduct that
156   will reconcile him to his maker for the ultimate Day of Judgment (Huntington, 1994). On the same subject, Le Kuan Yew,
157   commenting on the issue has referenced the East Asia locale when he opines that 'there is a quest for some higher
158   explanations about man's purpose and about why we are here (Huntington, 1994: 97).

159   Thus, the average religious bigot engages in fundamentalist acts with the hope that he will attain eternal life by
160   these pious acts against those he perceives as 'infidels'. . Accordingly, a Hezbollah functionary, Sheik Naim Qassem, 'the
161   Hezbollah number two'; has developed in many of his treatises and interviews what is tortuously perceived as a well
162   reasoned justification for suicide bombings. He posits that in the real sense, these attacks have nothing to do with
163   suicide. He captures his defence in the following quixotic epistle:

164   Jihad is a fundamental basis for us. We do not use it as a means of imposing our views on others, but consider

ourselves in a state of Jihad to defend our rights. When a Muslim dies in a defensive Jihad, he fulfils…….. his religious duty by waging a holy war as well as gratifying God by making the ultimate sacrifice……since we believe that our moment of death is recorded and determined by God, it follows that whether one hides in a shelter, is crossing the road or is fighting the enemy, he will die when his time arrives (Reuter, 2002: 64).

What the functionary is making effort at establishing is that every unfolding phenomenon affecting a person, whether they are positive or negative have been pre-ordained, thus the justification of the theological construct of pre-destination. In other words, no man can escape what is due to him even if for one minute. This spiritual thought gives the adherent reason(s) to embrace doctrinal instructions that direct him in the path of suicide. In this vein, the demagogue sheik continues ' Having established this, it follows that when a fighter goes to fight a jihad we do not consider him to be taking any more risks than the next man nor do we think he is bringing his moment of death closer'. So, all he has done is to pick the way in which he will die. 'If you understand Islam, you will undoubtedly be able to comprehend that this person is not being killed prior to his time. From here we regard martyrdom as a Muslim's choice of the manner in which he seeks to die' (Reuter, 2002).

However, the above narrative, including Huntington's views which according to Mamdami (2002) has demonized Islam, have been criticized by currently emerging thinking and the vast literatures containing these thoughts that are beginning to form new paradigms covering the terrorist question. This modified line of argument; that the terrorist link is not with all of Islam, but with a very literal interpretation of it, one found in Wahhabi Islam is becoming the acceptable norm in religious interpretations (Mamdami, 2002). It is very clear that no religion, endorsees lethality or a killing culture in human society. Allah in the Qur'an 5: 32, has thus prescribed-as law-for the children of Israel that whoever kills a person otherwise than - in retaliation - for another person, or for causing corruption in the land, Shall be as if he had killed the people in a body" (Paige, 2009). This confirms that unlike the highly deceptive narrative of the above Hezbollah operative, Islam as variously contained in the Qur'an does not endorse extremism in any form.

To discountenance the existence of any nexus between Islam and any terrorist activities, especially with regards the activities of the Boko Haram, General Muhammadu Buhari, a former military Head of State of Nigeria has publicly ascribe the tag 'evil terrorist organization' to the Boko Haram. Recently stupefied at the staggeringly evil strategy of the Boko Haram, our referenced Muhammadu Buhari had declared, 'The perpetrators may look like human beings, they may have limbs, and faces like the rest of us but they are not like us. In killing innocent people, they have become inhuman'. According to the Maverick Military General these terrorists subsist outside the scope of rational humanity. 'Their mother is carnage and their father is cruelty. They have declared war on Nigeria and its people……yet they shall fail and the good people of Nigeria shall triumph' (Ocholi, 2014: 12).

More so, throughout history, people claiming to be pursuing the propagation of certain religious tenets have been seen to be perpetrating terrorists' acts. For instance, in the 1st century AD, the Maccabees under Judah Maccabees, the Essence and the Zealots, all Jewish Sects carried out acts of terrorism against the Roman Empire that had occupied Jerusalem after its conquest by General Titus in 70 AD (Ariela Pelaia, 2012). Still within Jewry, the Zealots-Sicarri, a group of Jewish terrorists took the oath to be seditious and riotous against the authority that presided over the Jews of that day. Hence, they stirred revolts against Roman rule in Judea. In the process, they frequently murdered their chosen victims with the edge of the sword and daggers in broad daylight in the heart of Jerusalem during the roman occupation. 'Other early terrorist movements include the Hindu Thugs and the Muslim Assassins. Modern terrorism, however, is generally considered to have originated with the French Revolution' in the 18th Century (Cronnin, 2002: 35). In recent times, the Irish who professed either Catholicism or Protestantism were all pronounced culpable in perpetrating extremist activities (Bernstein, 2012: 105). This is apart from the Moist in India and many other such movements whose activities can be appreciated only when connected to the political narrative directing them.

4. Boko Haram Sect in Perspective

The history of the Boko Haram has roots in other equally catastrophic social and politically motivated violent conflicts like the Maitatsine induced security challenge of the early 1980s. Thus, it will be correct to sum that the ghoulish narrative of ethno religious conflicts in Nigeria will make no sense except it is contextualized within the framework of its infamous origins in the Muhammadu Marwa (Maitasine) organized uprisings of earlier decades. Marwa had successfully mobilized elements within the northern Nigeria locale, and with a combination of the power of oratory and a previously unimaginable energy plunged these elements against the state and its authority. Analyst have contended that Marwa's demagoguery was previously unimaginable in its malevolent potency; his oratory, which was mixed in an evil alchemy with the social malaise amongst a people undergoing socioeconomic depression produced a ferment that was never seen in the history of Nigeria's nationhood. Thus, under the banner of religious Jihad, Marwa mobilized the dregs of human society who after

219 massive indoctrination and the invocation of the hate mentality unleashed terror on the citizenry in the northern cities of
220 Kano, Kaduna, Maiduguri and so. The chronicles have it that;

221   The biggest mayhem as a result of social malaise in the north arose from the Maitatsine insurgency which found
222 breeding ground in an ambience where religious ethno-identification is the principal political ideology. Muhammadu
223 Marwa who started his insurgency was originally from northern Cameroun, he was deported in 1945 by the then colonial
224 government, but returned to Kano in the 1970's, by the time his seed of discord based on a promise to reduce social
225 disparity between the rich and the poor usingSharia law gained ground, his movement's confrontation with the
226 government had giving rise to many deaths; 5000 in Kano in the 1980's, 3000 in Maiduguri and Kaduna , and later over
227 1000 deaths in Yola under the resurgent leadership of Mallam Makaniki (Editorial, 2014).

228   In the process, thousands of people were killed as observed above and invaluable amounts of properties
229 destroyed. With regards this grotesque national narrative, It has been maintained that since the 'success' of the Maitasine
230 onslaught against the legitimacy of Nigeria's state power, this model has increasingly served as motivation for other like-
231 minded anarchic elements within civil society. In relation to the Boko Haram, the movement has also, in a consistent
232 manner mobilized their followership; using the platform of religion, ethnicity and the ever increasing social discontent as
233 reason to undermine national order and stability. In the process again, thousands have been killed since the Boko Haram
234 insurgency began some seven years ago, specifically in 2009.

235   Recently, it has been established that because of the incendiary tactic of the Boko Haram, over 12, 000 people,
236 including women and children have been displaced to the neighboring Niger republic, particularly to Bosso in the state of
237 Diffa. The seriousness of the matter is best understood when the fact that the insurgent movement has now captured and
238 controls over 20, 000sq of land and terrorizes a very large chunk of the north east of the country. These circumstances
239 have been confirmed by Issa Amadu of the International Rescue Committee -- IRC—an agency of the French
240 government. (Idris, 2014: 6; Yusha'u, 2014: 3). In addition, the near apocalyptic ferocity of the menace must be
241 responsible for pushing the people of Adamawa into the mountains and eventually into Cameroun and Niger. In a radio
242 life programme in the Federal Capital Territory Vision FM radio, Ibrahim Moddibo of the Adamawa Peoples Association
243 had given the scary statistic that over 150, 000 of Adamawa people have fled to these countries and are now refugees.

244   At inception, the movement's motivation was easily traced to religious ideology that favored fundamentalism. But
245 this has long changed to accommodate the now famous construct of the 'terror economy' as conceived by Napoleoni.
246 The terror economy model for explaining the terrorist actions premises it assumption on the belief that the act is
247 nourished by economic thoughts rather than any other consideration. Thus, the current modus operandi of the Boko
248 Haram includes kidnappings for ransom and human trafficking, a phenomenon that is increasingly becoming a thriving
249 criminal business with annual net returns in billions of US dollars across the world. The Boko Haram has also perfected
250 its armed robbery operations. Up till now, there is no known record of any failed Boko Haram bank robbery operation.
251 Thus, in the process, they cart away huge sums of money that increases their financial fortunes. With regards the
252 Alqaeda in the Maghreb (AQIM), operating in the Central Sahara environment, it has been established that, as at the year
253 2011, it was estimated that the AQIM's financial holdings ran into over one hundred million USD. These are accruals from
254 proceeds from drug trafficking, the kidnapping business and other such equally heinous operations. Lohmann (2011) has
255 opined that these accruals and the increasing volume of arms cache at the disposal of the AQIM in the following manner;
256 "The AQIM is still at the money collecting phase. It could soon begin using these revenues for other terrorist attacks.

257   Still on the doctrine of the terror economy sustaining modern terrorist activities in the west and central African
258 regional blocs, Iyorchia Ayu (cited in Nwamu, 2014) has revealed the conspiratorial dimension of the insurgency in the
259 northeast of the country. According to him, 'The oil wealth beneath the Chad Basin is fanning the embers of insurgency in
260 the country because prominent businessmen and politicians in both Nigeria and Chad, in association with French
261 companies, have invested heavily in oil exploration and exploitation'. He continues in the following manner, they are thus
262 the 'principal financiers of, and arms suppliers to, Boko Haram. The group's destabilization of the north-eastern part of
263 Nigeria benefits these investors because it delays exploration and production on the Nigerian side of Lake Chad. The
264 Lake Chad Basin is estimated to have a reserve of 2.32 billion barrels of oil, and 14.65 trillion cubic feet of natural gas.
265 The oil and gas flows underground across the countries sharing the Lake Chad Basin: Nigeria, Chad, Niger and
266 Cameroun. Using 3D drilling, Chad is not only tapping oil within its territory but also from Nigeria, to push up its
267 production levels'. It is not surprising therefore that Boko Haram anarchists currently consists Nigerians and a large
268 hordes of Chadians; from the 'Chadian provinces of Lac and Hadjer Lamis – provinces that share a long border with
269 north-eastern Nigeria around the Lake Chad region and provide Boko Haram with trained Chadian fighters' (Nwamu,
270 2014).

271   Back to the religious motivation of the Boko Haram, the earliest name they were identified with and the objective of
272 the organization as made public by the membership of the upper echelon of the movement were said to be religious.

273 They started their clandestine activities under an umbrella name which was commonly known as the Taliban. At a point,
274 the name transmuted into what was generally referred to as the *Ahlus sunna wal'jama'ah Hijra.* Translated, it means 'the
275 congregation of Followers of the prophet involved in the call to Islam and religious struggle'. In the search for the best
276 name that should clearly depict the intentions and the purpose of the movement, they proceeded to still change their
277 name. This time, they became the *Jama'atu Ahlus Sunna Lidda Awati Wal Jihad* which literarily means 'People
278 Committed to the Prophet for Propagation and Jihad' (Alozieuwa, 2014: 144). Specifically, Imam Abubakar Muhammadu
279 Abubakar bin Muhammed, also known as Abu *Shekau* had earlier giving the false impression that they were an Islamic
280 movement. In an incendiary message he gave at the beginning of the insurgency, he is on record as having declared that
281 'our war is with the government that is fighting Islam; with the Christian Association of Nigeria (CAN) that are killing
282 Muslims....and those who help them in fighting us even if they are Muslims. Anyone who is instrumental to the arrest of
283 our members is assured that their own is coming' (Amnesty International, 2012: 10). Thus, everyone, irrespective of
284 categorization is a victim of the Boko Haram; the soldier, police and other allied institutions within the security sector, the
285 civil population including the clergy of the Christian and Muslim orientation, women, children and whoever is an
286 unfortunate target of the sect.
287   With each 'victory' recorded by the Boko Haram, the organization grows bolder and brazen to the extent to dare
288 the symbol of the nations' might as represented by the military institution and other security apparatuses like the State
289 Security Services, the National Intelligence Agency (NIA), and the Defence Intelligence Agency (DIA). With regards its
290 current mode of Operation, the Boko Haram or people claiming to be Boko Haram often issue outright threats to their
291 potential victim(s) without any fear of the law Enforcement Agencies (LEAs). Some of these threats are dispatched
292 through private correspondences—letters and telephone calls. Others are made through video mediums then posted on
293 youTube (Amnesty International, 2012: 10). To the utmost surprise of observers of the trends and dynamics, and
294 activities of the sect, once they issue such threats, they carry them out at almost exactly the time they say they will strike.
295
296 **5.   Poverty in the Plague**
297
298 While many factors have been induced as an emergence to Boko Haram such as the fundamentalist question, however,
299 new approaches have emerged to the causes Boko Haram based on anger and motivation into the recruitment ranks of
300 the Boko Haram terrorist network. It is becoming clearly evident that the immediate and remote causes of the insurrection
301 is beyond the fundamentalist question, another relevant theses is the poverty and the toxic messages propagated by
302 religious extremist hiding under the garb of religion to stir and generate anger and bitterness towards the 'other'-the
303 constructed enemy. This way, adherents are easily mobilized to perpetrate extremely heinous acts bordering on
304 wickedness and evil (Mbillah, 2012). On the role of poverty, many have submitted that it has played a major role in
305 motivating the youths in the traditional home of the Boko Haram –Northern Nigeria--into joining its ranks (Alozieuwa,
306 2013). It has been submitted that 'There has been general discontent in Nigeria from an army of unhappy, despondent,
307 impoverished, or aggrieved citizens, some of whom are clearly and increasingly choosing a terrorist path' (Maiangwa and
308 Okeke et. al, 2011).
309   On this issue, the well publicized Institute for Peace and Conflict Resolution's Strategic Conflict assessment of
310 Nigeria (SCA) has rightly described Nigeria's North East's geo political zone as the most disadvantaged part in the
311 commonwealth comprising the federation; the SCA has cited low life expectancy, endemic poverty and high illiteracy
312 rates as some fundamental socio economic indicators that support this negative socioeconomic profile (IPCR, 2008: 81).
313 The geography and demography of the region constitutes significant variables for consideration with regards to growth
314 and sustainable human development. Geographically located near three international borders of the Niger Republic,
315 Cameroun and Chad, and ecologically located in the Sahel with its attendant climatic challenges in the form(s) of
316 desertification and the shrinkage of the most significant drainage system created by the Lake Chad. The region contends
317 with dire scarcity of resources and other physical challenges. Iyorchia Ayu (cited in Nwamu, 2014), Nigeria's former
318 President of the Senate has maintained that the drying up of Lake Chad, once the largest water body in Africa, is
319 affecting the economic and social life of over 30 million people in the four countries around the lake. 'This has resulted in
320 the migration of many farmers and herdsmen as well as engineered local conflicts between Cameroonian and Nigerian
321 nationals; fishermen are fighting farmers and herdsmen to stop diverting water from the lake to their farms and livestock'.
322 In addition,
323   The disappearance of Lake Chad and subsidiary rivers has also created a large population of unemployed and
324 discontented youth who have become a reserve army easily available for recruitment by the insurgents. So far, Boko
325 Haram has not attacked any territory in Chad but has a cluster of bases in Chad from where it launches its terrorist
326 activities in Nigeria. President Idris Deby of Chad is said to have cordial relations with the insurgents (Nwamu, 2014).

327   In addition, it is imperative to state that to be sure, decades of military dictatorships and civilian leadership that is
328 reminiscent of the military autocratic regimes have been mired in a comparable mire of massive corruption. None of the
329 combination of past and present ruling elites has provided the necessary socio-economic and political goods, such as
330 physical infrastructure, primary health care, rule of law, and security to citizens. These are things that will translate to
331 good governance and consequently a stable and virile state. 'It is no wonder that despite its massive oil wealth, Nigeria
332 remains a largely poor country, with more than 80 percent of its citizens living on less than two dollars a day' (Adebajo,
333 2008: 2). It is also true that corrupt military despots and their civilian allies in an unholy union have failed 'dismally to
334 transform the nation's natural wealth into great economic opportunities for many of its impoverished citizens. For
335 example, General Sani Abatcha was estimated to have amassed a fortune of approximately US$6 billion in four and a
336 half years of his rule, largely siphoned from the national treasury and oil revenue, while the citizens simmered in anger at
337 their deepening poverty' (Maier 2000:3). But this dismal imagery of corruption and its implication on the 'manufacturing of
338 poverty' that is easily the cause of the rebellion against Nigeria and the authority presiding over it is not peculiar to the
339 Abacha junta. Other like-minded governments equally siphoned billions of dollars and made these their booty from the
340 privileged positions in government offices they occupied.
341   The implication of this development is that because of the scarcity and lack suffered by the people, they have
342 become disappointed by the effort of the federal and state authorities to ameliorate their sufferings. This has occasioned
343 the appeal of the Boko Haram to the thousand of youths that are drawn into the ranks of this infamous and highly
344 rebellious sect. Recently, the United States policy establishment, operating under the United States Institute for Peace
345 (USIP) has suggested that according to a study it carried out called the START, the core factors responsible for the
346 appeal the Boko Haram has on the Youths in the North of Nigeria, hence influencing them included unemployment and
347 poverty, manipulation by extremist religious leaders and deficiency in the authentic instructions of Islam suffered by a
348 large number of the youths under discussion (Harper, 2014: 4).
349   A new twist to the Boko Haram challenge borders on the gradually evolving dynamic of girl-child suicide bombers
350 that are contributing in the ravaging of the northern part of Nigeria. This tactic seemed to become popular after the
351 Islamist group abducted over 200 girls from the rural community of Chibok; a small farming community in the southern
352 fringes of Borno state, the state most affected by the insurrection since it started some seven years ago. The major
353 reason terrorists use females in suicide missions is because women are less suspicious (Turkish Weekly, 2014). This
354 occurrence has really send fear into the heart of the average Northern Nigeria citizen, resulting in the intimidation of the
355 general population, which has imperiled human rights, people's privacy and family life. An equally precarious implication
356 of the activities of the Boko Haram is the fact that it has successfully damaged community ties and family networks, and
357 "consequently significantly impaired many people's quality of life"(Amnesty International, 2012: 11). The Amnesty
358 international in the same 2012 has reported that the atmosphere of fear and general insecurity has forced many
359 professionals like journalists, lawyers, medical practitioners, human rights activists to scale down or even completely
360 abort their activities in these highly inflammable environment-the north East.
361   The seriousness and danger the group poses to the entire nation comprising its southern and northern sections is
362 increasingly becoming ominous. Tatalo Alamu, a public policy analyst in Nigeria has expressed the fear that;
363   In a development that points at some international conspiracy, beyond the governments' tenuous grasps on reality,
364 the murderous sect has the entire north within its rifle sight and it seems able to strike at will any target of choice even in
365 Abuja, Nigeria's capital city. It is now beginning to probe the Southern underbelly of the nation in what promises to be an
366 apocalyptic endgame for Nigeria. History has become a nightmare from which we are trying to wake up.
367   In the same precarious vein, even the entire swath of the west and Central African regions are easily located in the
368 target sight of the sect. Just recently, in July 2014, the Boko Haram successfully invaded the northern Cameroonian town
369 of Kolofata. Beyond wrecking immeasurable amount of damage to the area, including the killing of many of the
370 inhabitants of the region, they also abducted high profiled officials of government including the wife of the deputy Prime
371 Minister of Cameroun and the Lamido of kolofata (Guardian, 2014)
372   Following the rise in the state of insecurity to the state as a consequence of the activities of the Boko Haram,
373 Nigeria has entered into agreement with France and four other of its immediate neighbors aimed at fashioning – out the
374 best approach to be adopted in confronting the menace. The thrust of the agreement will be anchored essentially on the
375 construction of a virile strategy for the coordination and exchange of intelligence; this is in addition to holding regular
376 meetings of experts all with a view to conceiving the best approach to confronting the challenge (Owete, 2014). The
377 countries that are signatories to the agreement are Benin Republic, Cameroun, Niger and the Republic of Chad. All these
378 have agreed to ensure the effective "policing of common borders to avoid the infiltration of terrorists and other criminals
379 as well as the repatriation of suspects in conformity with existing protocols (Owete, 2014)".
380   However, despite these seemingly proactive initiatives, all directed at the mitigation of the myriad of challenges to

381 the state, the people and their previously functional institutions, cross – border crime and criminality including terrorism
382 have persisted with dangerous implications characterizing their outcomes.
383
384 **6. Implications on Livelihoods**
385
386 Since its emergence in July 2009, the now renowned Boko Haram has perpetrated untold criminal actions against Nigeria
387 and her citizenry. Within five years, this network of evil has killed thousands, maimed many more and destroyed
388 properties worth billions of dollars. The group has claimed the responsibility for the serial "bombings and gun attacks
389 across northern and Central Nigeria. The group has killed Muslim and Christian clerics, worshippers, politicians,
390 journalists, lawyers as well as police and soldiers" (Amnesty International, 2012: 11). The group has equally claimed
391 responsibility for doing even more as they are on record as having successfully hit at the strategic symbols of the Nigeria
392 security establishments including the Police Force Headquarters and the Command and Staff College Jaji in Kaduna
393 state. Apart from the brazen attacks on schools, churches, newspaper houses, prisons, thus freeing hundreds of
394 prisoners, the Boko Haram had also claimed the responsibility for attacking the UN building and killing scores of its staff
395 (Amnesty International, 2012: 10).
396   It was the highly devastating dimension the activities of the Boko Haram was taking especially the Nyanya
397 bombing in April, 2014 that informed General Muhammadu Buhari's comments that run thus;
398   We must really stop and take notice of where evil is attempting to drive us to. We cannot allow these merchants of
399 deaths to make us numb to the tragedy they manufacture. Those who were killed were not merely numbers on pages.
400 They were human beings, made of flesh and blood, body and soul like the rest of us. They were someone's father or
401 mother, brother or sister. They had parents; they were someone's child. They were husbands or wives, neighbors, friends
402 and colleagues. They had dreams and hopes. They were loved and they loved others in return. Now life has been taken
403 away from them, and those who cared for them must bear a grief nobody should be allowed to carry. These people
404 committed no wrong. Their only crime was to be ordinary working people seeking to eke out a livelihood and fend for their
405 families. For this they were killed.
406   Buhari proceeds in the same emotional vein,
407   They represent the backbone of the working people. Not many of them lived an easy life. Most worked hard and
408 long for modest wages. They lifted themselves every morning to earn their daily bread they faced many social and
409 economic challenges our society poses, yet they worked on not to destroy but to built and make this place a better place
410 by bettering the lives of their family members and loved ones. These people lived and died the same way.
411   Still on the impairment of human livelihoods by the spate of insecurity as a result of the activities of the Boko
412 Haram, it is important to mention at this juncture that the Boko Haram activies in the North East, especially in Borno
413 which Borders three countries; Cameroun, Chad and Niger have anonymously greatly stressed and imperiled a thriving
414 commercial chain that was instrumental in the integration and cooperation process that is the vision of the ECOWAS in a
415 fast globalising economic and political order. The brute character of the strategy of the Boko Haram has caused the
416 massive dispersal of lager scale agricultural and fishing communities from their original habitat to other settlements,
417 whether inland or across the border. It is necessary to mention that these dispersed communities are responsible for the
418 production of the wares needed as items of exchange in the international trade relations that characterized the activities
419 of these regions and their contiguous international neighbors. In this respect, Wendy Sherman, the US under-secretary of
420 state for political affairs has joined millions across the world in confirming that the Boko Haram conflict has "increased
421 tensions between various ethnic communities, interrupted development activities, frightened off investors and generated
422 concerns among Nigeria's northern neighbors (african.howzit.msn.com/article, 2014)".
423
424 **7. The Human Rights Question**
425
426 The concept of 'human rights' have assumed a new meaning since the beginning of the blitz of the Boko Haram in 1999.
427 However, it has also taken a new twist since the declaration of the State of Emergency Policy on the North East zone of
428 the country—the area most affected by the national peril of insecurity. With the increase to the challenge of insecurity as
429 a result of killings, disfigurement, and the threat to the national sovereignty, the government of president Good Luck
430 Jonathan acted proactively by pushing for the declaration of Martial law over the area as earlier mentioned, a decision
431 accented to by the national Parliament. Specifically, in a nationwide broadcast, President Jonathan highlighted the
432 reasons for his government's action to include the growing condition of insecurity in these troubled states. Thus,
433 exercising his powers as enshrined in Section 305 Subsection 1 of the Nigerian Constitution, which empowers him as the
434 Commander-in-Chief of the Nigerian Armed Forces and the chief security officer of the country to declare a state of

emergency in any troubled area caused him to act accordingly. The President proceeded to maintain that the action is a crucial step to halting and eliminating the insurgency of the dreaded movement who have refused the offer of negotiations and reprieve extended to them by Nigeria's Federal authority.

It is thus this policy that has occasioned the deployment of massive numbers of troops and heavy military hardware to the three states affected by the policy—Adamawa, Borno and Yobe. These deployed military forces have accordingly deployed the strategy they are best accustomed to in tackling national emergencies like the Boko Haram debacle—maximum Force. In the process, many have been killed, maimed and displaced either as internally displaced people (IDPs) or as refugees traversing internationally boundaries.

8. Recommendations and Conclusion

Having exhaustibly discussed the issues, it is relevant to proffer recommendations that could contribute to the mitigation of the violence and the amelioration of the impacts of the same violent conflicts on the residents of this highly volatile region.

In this regards, no matter the direction of any discourse on the Boko Haram menace, it cannot be disputed that an important cause of the problem is to be easily tied to the increasing poverty of northern Nigeria especially its north-eastern flank. It is the view of this paper that if the appeal the movement has on the ordinary rural folks and their urban counterparts is to be reduced, it is imperative that the core economic activities of the people, in this case agriculture, must as a matter of emergency be revamped.

The above position is important because in recent times, Nigeria and its government have grossly reducing the budgetary appropriation to this important sector. However, it must be recognized that agriculture is core to the alleviation of poverty, hunger and starvation; all conditions that culminate in human despair and misery, thus preparing the ground for motivating victims of these conditions to find 'solace' in the monstrous arms of the Boko Haram. In recent times, both Official Developments Assistance (ODA) and the private sector assistance have dramatically fallen. This informs the urgent need to recommend that these actors must be proactive in their partnership to funding agriculture. It is our view that apart from boosting the capacity of government to sustainably feed its beleaguered populations, it could also create millions of jobs for its teeming youths roaming the streets for nonexistent jobs; reduce poverty through improved income and earn more national income through the export of agricultural surpluses.

Over time it has become obvious that the pacifist approach to combating terrorism is increasingly becoming ineffectual because the insurgent movements have amassed large volumes of arm catches and their capacities greatly enhanced to consistently engage the national militaries of states. It is therefore imperative that the military response to the insurgency should urgently be re-examined. While it is not the conventional norm in traditional counter terrorism practices to engage with terrorist groups, it may be worthwhile to begin to explore the diplomatic/dialogue option due to the highly mutating nature of global terrorist networks. On this note, the paper suggests dialog option. Dialogue has the benefit of granting adherents of divergent orientations the opportunity to engage in discourses in previously unimagined ways. It breaks the wall of suspicion and distrusts and bridges the murky waters of hate and isolation that is the order in any conservative setting. Dialogue has proven that differences cannot stand in the way of men and women committed to the ideals of peace whose passion is skewed towards growth and sustainable human development. It is necessary to establish that while dialogue might not completely resolve contentious questions, it gives room for parties to conflicts to articulate their cases. It gives opportunity for aggrieved peoples to present their grievances in a civilized manner under an organized environment thus venting their angst, a major step in conflict resolution. This approach is recommended to the government and the Boko Haram as they agree to a diplomatic resolution of this heinous and evil motivated violent conflict.

Finally without sounding contradictory, the paper also wishes to observe that sometimes, the only guarantee of the absolute solution to a terrorist menace is through the total crushing of the terrorist. It is a universal truth that terrorists are a relentless foe that will settle for nothing less than total victory for their grotesquely conceived evil ideology. The only thing that can stop it, in this case the Boko Haram is total defeat. That is why it is important that Nigeria gets its military strategy right. This recommendation is apt because several reliable sources have confirmed that the Boko Haram has an advanced and sophisticated military arsenal that can sustainably engage the military in battle for long. It is therefore recommended that the Nigerian armed forces and the civilian authority overseeing its operations consider the urgency for advancing its amour and antiquated arsenal. When this happens, every resource must be deployed to the theatre of engagement for the assurances of a quick and decisive victory. This could be achieved only through a sound intelligence sharing mechanism between the military and other security agencies and these security agencies/military and the civil population in society.

In conclusion, the paper has attempted to achieve a very important objective; that is to confirm that the Boko Haram is without doubt a terrorist organization by virtue of its modus operandi and international instruments and conventions defining the concept. We have also established the existing relationship between the lawlessness of the Boko Haram and the proliferation of illicit small arms and light weapons across the West Coast of the African Continent. This has eventuated in the massive blitzes that the Nigerian state and its people are subjected to. In fact some states of the north east—like Borno, Yobe and Adamawa--have been 'severed off' the country with the Boko Haram declaring parts of these states as Islamic Caliphate. And since this is the case, then the Nigerian government and its revered military and security establishments must consider it important to unreservedly deploy every resource at its disposal to counter this threat to human lives and their precious belongings. This is crucial because the menace is already a major setback to foreign direct investments (FDI), the movement towards sub-regional integration through the free movements of goods and services and the entire process of globalization that is undoubtedly beneficial to all, especially the poor regions of the world in this Century and beyond.

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Health Workers' Commitment in Delta State: Influence of Personality and Workplace Experiences

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Abstract

Aim: Health workers' commitment is very important in the effective discharge of their duties but this may be compromised when challenged by workplace experiences. Research is therefore required to provide data base to inform policy decision on health workers' commitment to their work. This research therefore investigated personality (emotional intelligence and fortitude) and workplace experiences (job-characteristics and perceived alternative employment opportunities) as predictors of commitment among health workers. Method: The study utilized cross - sectional design. The participants were two hundred and twenty-three (223), randomly selected from Federal Medical Center, Delta State- 90(40.4%) males and 133(59.6%) females with the mean age of 34.3 and standard deviation of 8.07. The participants completed a structured questionnaire that measures the dependent and independent variables of the study. Inferential statistics were used to test the hypotheses stated. Result: The independent variables significantly and jointly predicted 12% of the variance in career commitment among the health workers. Specifically, emotional intelligence independently influenced career commitment. Job status and year of experience jointly and significantly interacted to influence career commitment. However, only job status had significant main influence of on career commitment. Married respondents reported higher level of career commitment than those who were single. Conclusion: Emotional intelligence, job status and being married were associated with the career commitment of the health workers in this study. It is recommended that policy makers should incorporate these factors into capacity building programmes to enhance health workers' commitment.

Keywords: Health workers' Commitment, Personality, Workplace Experiences.

1. Introduction

Career commitment which can be regarded as a form of work commitment is a term which may be used to describe workers' attitude to their work. Career commitment is characterised by development of personal career goals, attachment to, involvement and identification with the goals. employee is said to have career commitment when opportunities are provided for the development , of career goals, In the world of work today, career seem to provide occupational meaning and ensures continuity even when the organizations are unable to provide job security. Most employees will stay on their jobs as long as there is career path that can be built. Career commitment is most especially important to health care workers who have to care for the sick with various types of ailment. Health workers may be dependable to the extent to which they are committed to their work.

This study is based on Adams Stacy equity theory of motivation which states that when employees perceive what they get from a job situation (outcomes) in relation to what they put-in (inputs), they compare their outcome-input ratio with the outcome-input ratio of relevant others. If employees perceive the ratio to be equal to that of the relevant others with whom they compare themselves, a state of equity is said to exist; they perceive their situation as fair and that justice prevails which make them more committed to their career.

Nowadays, hospitals are confronted with challenges such as scarce resources than ever before. Health workers, play an important role in the provision, accessibility, quality and cost of healthcare. Issues on career commitment for health workers are of paramount importance for administrators and managers in health organizations due to the crucial role they have to play. Research has generally found that satisfied employees are more productive and committed to their career, whereas dissatisfied ones experience absenteeism, grievances and all forms of counterproductive behavior

58 (Alarape and Akindipe, 2004). Many health workers discover that the tasks they are expected to perform are more difficult
59 and challenging than they anticipated from their experience as workers (Salanick, et al 2003). As a result of this,
60 employees question their career choice after they start their job and long for better opportunities while still in their current
61 job (Holton, 2005).

62 Emotional intelligence (EI), is the ability to understand self and others' feelings and to utilize the knowledge
63 towards enhancing performance in all ramifications. Salovey and Mayer (2001) argued that there are three sets of
64 conceptually related mental processes to emotional intelligence - appraising and expressing emotions in the self and
65 others, regulating emotion in the self and others, and using emotions in adaptive ways - involving emotional information.

66 Appraising and expressing emotions in the self and others is the degree to which people are aware of their
67 emotions (appraisal) and the degree to which the latter are verbally and non-verbally being expressed. Regulating
68 emotion in the self and others involves how people manage (monitor, evaluate, and adjust to changing moods) their
69 emotions as well as in their ability to regulate and alter the affective reactions of others (Salovey and Mayer, 2001).

70 Using emotions in adaptive ways involve the ability of individuals to use their emotion either functional or
71 dysfunctional ways. Workers   who are able to understand their own emotions and that of others could be essential in
72 their performance in the course career endeavours. Hence, the emotional intelligence of health workers could play a vital
73 role in influencing their career commitment. Carmeli (2003) examined the relationship between emotional intelligence and
74 work attitudes, behaviour and outcomes revealed that emotionally intelligent senior managers develop high commitment
75 towards their career. However, emotional intelligence was statistically unrelated to job involvement. Emotional intelligence
76 enables people to control this stress effectively and prevent its negative effect on one's attitude towards his/her career
77 (Carmeli, 2003).

78 Perceived alternative employment opportunities (PAEO) refers to an individual's perception of the availability of
79 alternative jobs in the organization's environment (Price & Mueller, 2006), PAEO is another factor that has been seen to
80 influence employee's commitment in the course of their career (Hulin et. al, 2002; Steel & Griffeth, 2003). Employees
81 may consider alternative job opportunities when the expected conditions of employment are not being met by the
82 employer. In addition to the market condition, educational background may affect the perception. Mor Barak et al (2001)
83 investigated that workforce with higher educational background perceived more employment opportunities. Higher
84 educated workforce may consider their qualification as a competitive advantage over less educated workforce by having
85 more choices of alternative positions.

86 Many researchers have indicated that job characteristics constitute factors have strong influence on employees'
87 work outcome. The job characteristics model by Hackman and Oldman (1975) proposed that job design have implications
88 for meaningfulness of the work performed, knowledge of the results of the work performed and responsibility for the work
89 outcomes. All these have a significant influence on job commitment. Furthermore, job characteristics were found to have
90 more impact on employees' job behaviour when compared with other predictors such as leadership (Yagil,2002);
91 influence on participants' commitment (Schneider, 2003. Sanker and Wee,2005). Higher level of job satisfaction was
92 associated with employees' higher job commitment (Bhuian and Menguc, 2002).

93 Fortitude as a construct could be considered as the ability of an individual to derive strength from self- appraisal,
94 the family and support from others in order to manage stressful events and maintain positive wellbeing. According to
95 Pretorious, (2007) our countless experiences with the world enables us to develop general beliefs about ourselves and
96 our world. Peoples' evaluation of themselves, their support resources and their family and their environment influence
97 their emotions and behaviour as they interact with the environment. Antonovsky (2002) suggested that people who
98 perceive themselves, their abilities, support resources and their family environment negatively will have serious doubts
99 about their ability to cope effectively with stressful life situations. Consequently, such people are prone to giving in to
100 possible negative psychological effects of stressors. However, those who perceive themselves, their support and their
101 environment positively will have a greater belief in their ability to deal with stressful life situations. The Health care
102 profession is one of the most identified stressful professions. Thus there exists the need to understand how fortitude
103 influences health workers' commitment. Fortitude as a construct offers a direction both for research as well as
104 intervention. Developing an attitude of fortitude within the organisation can ensure that individuals possess the mental
105 and emotional strength to overcome obstacles to performance and successfully achieve the task in hand (Pretorius &
106 Diedricks, 2004).

107
2. Objectives of the Study
109
110 The importance of commitment to duty among health workers cannot be overemphasised as this has implications for the
111 discharge of their duties and the wellbeing of their clients. Some of the factors associated with career commitment among

112   health workers have been identified in the literature reviewed. Therefore the main objective of this study is to examine
113   the influence of personality (emotional intelligence and fortitude) and workplace experiences (job-characteristics and
114   perceived alternative employment opportunities) on the commitment of health workers in Nigeria. Specifically, the study
115   will:

1) Examine the independent and joint influence of fortitude, emotional intelligence, job characteristics and
   perceived alternative employment opportunities on the career commitment of the selected health workers.
2) Investigate the influence of job status and workplace experiences on the career commitment of the health
   workers.
3) Examine the influence of demographic factors such as marital status, sex, and age on the career commitment
   of the health workers.

3. Hypotheses

1. Fortitude, emotional intelligence, job characteristics and perceived alternative employment opportunities will
   jointly and independently significantly influence career commitment of health workers
2. Job status and experience will have main and interaction influence on career commitment of the health
   workers.
3. There would be significant influence of marital status on career commitment among health workers.
4. Male health workers will significantly be higher in career commitment than their female counterparts.
5. Younger health workers will significantly be higher in career commitment than their older counterparts.

4. Method

4.1 Research Design

The research design of this study is a cross sectional survey in which there is no active manipulation of independent
variables, (which are emotional intelligence, job-characteristics, fortitude and perceived alternative employment
opportunities). Demographic variables of the participants include: sex, educational qualification, marital status, tenure,
rank and age form the demography variables.

Study population participants for this study are the health workers from Federal Medical Center in Delta State.
Approval to use the medical centre for the study was given after the introductory letter was considered by the appropriate
panel. Two hundred and sixty (260) participants were randomly selected for the study and individual voluntary consent for
participation was obtained by the researchers. Consequently, a total of 260 questionnaires were distributed. At the end,
21 (8.08%) were not returned, 223 (85.77%) were retrieved, out of which 16 (6.15%) were not correctly filled and then
discarded. Therefore 223 questionnaires were used for the study giving a response of 85.77%.

4.2 Research Instrument

The perceived alternative employment opportunities (PAEO) scale contained six items and was adapted from Mowday et
al (1984). The scale showed good reliability (a= .76) and uni-dimensionality (single factor in the factor analysis). It is a
self–reported questionnaire which uses Likert scale responses to indicate degree of perceived availability of job.
Responses on the questionnaires are on a Likert scale with possible responses ranging from 5 (strongly agree) to 1
(strongly disagree). A norm score of 5 – 15 indicates low PAEO, while, a norm score of 16-25 indicates higher level of
PAEO. The scale has a test –reliability coefficient of 0. I1, the researcher recorded a mean of 76.57, variance of 105.19
and standard deviation of 10.256. Validity of the tool was established using Cronbach test and alpha reliability co-efficient
of 0.877 (N = 20) was obtained by the researcher.

The emotional intelligence scale used consists of sixteen items rated on a 5-point scale ranging from strongly
Agree (5) to strongly disagree (1). It was developed by Wong and Law, (2002). The Wong and Law Emotional Scale
(WLEIS) consists of four dimensions that are consistent with Salovey and Meyer's (2001) definition of EI. The Self
Emotion Appraisal (SEA) dimension assesses an individual's perceived ability to understand their emotions. The others'
Emotion Appraisal (OEA) dimension assesses a person's tendency to be able to perceive other peoples' emotions. The
use of Emotion (UOE) dimension concerns the self perceived ability to motivate oneself to enhance performance. The
Regulation of Emotion (ROE) dimension has to do with one's perceived ability to regulate his/her emotions. Wong et al
(2002) reported that the reliability coefficient of the four dimensions ranges from 0.79-0.81 using them to measure a
single construct. Wong et al (2002) reported its Cronbach alpha to be 0.86. A norm score of 16-48 indicates low level of

167 Emotional Intelligence, while, 49-80 indicates higher low level of Emotional Intelligence.
168   The Fortitude Questionnaire, (FORQ: Pretorious, 2004) instrument was designed to measure the strength to
169 manage stress and stay well. It consists of 20 items that uses a five-point scale ranging from 5 "strongly agree to 1
170 "strongly disagree". These twenty items measure three domains, namely self appraisals, family appraisals and support
171 appraisals. The sum of the three domains represents fortitude. In the initial validation study, the author reported reliability
172 coefficients ranging from 0.74 to 0.85.Heyns, Venter, Esterhuyse, Bam, and Odendaal (2003) reported reliability
173 coefficients of 0.86 for an Afrikaans sample and 0.88 for an English sample. A norm score of 20-60 o the scale indicates
174 a low level of fortitude, while, a score of 61-100 indicates a high level of fortitude.
175   Job Characteristics measure was adapted from Hackman and Oldham (1975). The Job-Characteristics scale was
176 assessed with five subscales: skill variety, task identity, task significance, autonomy and feedback. All items were rated
177 on seven-points Likert scale, ranging from 7 "very agree to 1 "very disagree". To determine the score of this scale, ratings
178 within each scale are summed and divided by the total number of items in that particular scale. The overall internal
179 consistency reliability for the Job Characteristics scale was 0.76. A raw score norm of 11-14 on the scale indicates low
180 favourable job characteristics, while 45-77 on the scale indicates high favourable job characteristics.
181   The Career commitment scale developed by Blau, (2003) comprised of 20 items. Each item reflects a facet of
182 career commitment and it is measured on 5 point Likert format scale ranging from "5 (strongly agree) to "1 (strongly
183 disagree)". The scale was originally developed for the purposes of measuring level of commitment to one's career path.
184 The internal consistencies of the measure were reported to be .84 and .83 on insurance and newspaper samples,
185 respectively. A norm score of 17 - 45 on the scale indicates a low level of career commitment, while, a score of 46 -100
186 indicates a high level of career commitment.
187   The Statistical Package for Social Sciences (SPSS 17) was used for the data analysis. Socio – demographic
188 details of the respondents were analyzed using descriptive statistical technique such as frequency counts and
189 percentages. Hypotheses one was analyzed using Multiple Regression Analysis, hypotheses two was analyzed using
190 One-Way ANOVA and hypothesis three was analyzed using t–test for independent sample.

5. Results

5.1 Sociodemographic Characteristics of Participants

196 The age of the participants range from 16 to 53 years with mean of 34.3 and SD of 8.07. The gender categorization
197 shows that there were 90 (40.4%) male and 133 (59.6%) female participants. A furthermore breakdown of their marital
198 status shows that 91 (40.8%) single, 128 (57.4%) married and 4 (1.8%) widow. Furthermore, the educational qualification
199 shows that 29 (13%) participants have senior secondary school certificate, 46 (20.6%) participants possessed
200 OND/NCE/RNM/LAB SCI, 123 (55.2%%) participants have HND/Bachelors, while 11 (4.9%) have Master's degree. The
201 breakdown also reveals the participants Job Status, based on the position indicated by the participants, they were
202 dichotomized into those whose work relate to administration or clerical(e.g account officer, clerk, admin officer etc) and
203 health related responsibilities (for example, nurses, doctors, midwifes, dentist etc.). 82 (36.8%) are within the
204 administration related duty while, 141(63.2%) within the health related duty.

5.2 The correlation matrix of all the variables of the study

Table 1: Showing correlation Matrix of all the Variables of the Study.

S/N	Variables	N	X	SD	1	2	3	4	5	6	7	8	9	10
1	Gender	223	1.60	.49										
2	Age	223	34.21	8.01	.06									
3	Experience	223	8.06	6.18	.14	.58**								
4	MarSta	223	1.63	.59	.13	.41**	.18**							
5	Education	209	2.56	.80	.09	.36**	.20**	.34**						
6	PAEO	223	16.86	4.45	.12	-.4	.14*	-.09	.18**					
7	EI	223	65.92	6.45	-.19	-.02	-.12	.03	.06	.16*				
8	Fortitude	223	74.22	7.70	-.13	.03	-.12	.17*	.02	-.18**	.37**			
9	JobXtics	223	53.90	10.9	-.10	.09	.02	.03	.02	-.43**	.03	.12		
10	CareerCom	223	71.95	7.55	.02	.06	.06	.27**	.15*	.18**	.32**	.14*	-.13	

210   **Correlation is significant at 0.01 (2 tailed); *Correlation is significant at 0.05 (2 tailed)
211   Key: Marsta = Marital Status; PAEO = Perceived Alternative Employument Oppurtunities; EI = Emotional intelligence; JobXtics =
212   Job characteristics; Careercom = Career commitment

213 Table1 indicates that marital status was significantly positively correlated with career commitment (r=0.27, P<0.01).
214 Education also correlated significantly with career commitment (r=0.15, P<0.05). Perceived alternative employment
215 opportunities correlated significant positively with career commitment (r=0.18, P<0.01); emotional intelligence correlated
216 positively with career commitment (r=0.32, P<0.01). Finally from the correlation table, the result shows that fortitude also
217 correlated positively significantly with career commitment (r=0.14, P<0.05).

218
219 *5.3   Fortitude, Emotional Intelligence (EI), Job Characteristics and Perceived Alternative Employment Opportunities*
220 *   (PAEO) as predictors of Career Commitment of health workers.*
221
222 **Table 2:** Showing summary of Multiple Regression Analysis showing Fortitude, Emotional Intelligence, Job
223 Characteristics and Perceived Alternative Employment Opportunities will jointly and independently influence significantly,
224 Career Commitment of Participants
225

Variables	B	T	P	F	R^2	R	*P*
PAEO	.17	1.40	>.05	8.10	.129	.360	
EI	.331	4.01	<.05				
Fortitude	.06	.87	>.05				<.01
Job Xtics	-.07	-1.41	>.05				

226
227 The result in table 2 indicates that fortitude, emotional intelligence, job characteristics and perceived alternative
228 employment opportunities significantly and jointly influence career commitment among health workers F (4,218)=8.10,
229 P<0.01. Emotional intelligence (β = 0.33; t=4.01; P< .05) independently influenced career commitment. However, fortitude
230 (β = 0.06; t=0.87; *P* >.05), PAEO (β = 0.17; t=1.40; *P* > .05), and Job Characteristics (β = -.07; t=-1.41; P >0.05) did not
231 significantly and independently influence career commitment.
232
233 *5.4   Main and interaction effect job status and years of experience on career commitment of the health workers*
234
235 **Table 3:** 2 x 2 ANOVA showing the main and interaction effect of Job Status and Years of experience on Career
236 Commitment of Health workers
237

Variables	SS	Df	MS	F	P
Job status	364.42	1	364.42	6.61	<.05
Year of Experience	10.11	1	10.11	.18	>.05
Job Status x Exp.	357.95	1	357.95	6.49	<.05
Error	12082.76	219	55.17		
Total	1166958.00	223			

238
239 The result in table 3 shows that there was significant main influence of job position on career commitment among health
240 workers F (1,223) = 6.61; P<0.05. The result also shows that job status and year of experience had significant interaction
241 effect on career commitment F (2,223) = 6.49, P<0.05. However, years of experience did not have main effect on career
242 commitment F (2,223) =0.18; P>.05.
243
244 *5.5   Influence of marital status on career commitment among health workers*
245
246 **Table 4:** One-Way ANOVA Showing the Influence of Marital Status on Career Commitment.
247

Source	SS	df	MS	F	P
Between groups Within groups	1142.88 1151.47	2 220	571.441	10.92	<.01
Total	12653.35	222	52.32		

248
249 The result in table 4 shows that there was significant influence of marital status on career commitment among health
250 workers F (2,222) = 10.92; P<0.01. Further analysis of this result using post hoc analysis is shown in Table 5.
251
252
253

Table 5: Least Significant Difference (LSD) Showing Marital Status on Career Commitment among Health Workers.

Groups	`N	$\overline{X}$ (Mean)	SD	1	2	3
Single	91	69.22	6.31	-		
Married	128	73.82	7.90	-4.60*	-	
Widowed	4	74.00	.00	-4.78	-.18	-
Total	223	71.95	7.55			

*The mean difference is significant at the 0.05 level

The result in table 5 shows that married (Mean = 73.82) respondents reported higher level of career commitment than those who were single (Mean = 69.22).

5.6 Male and Female health workers on career commitment

Table 6: Summary of t-test comparing Male and Female Respondents on Career Commitment.

Gender	N	Mean	SD	T	DF	P
Male	90	71.77	8.13	-.29	221	>.05
Female	133	72.07	7.16			

The result of the t-test shown in table 6 reveals that there was no significant difference between male and female health workers on career commitment (t=-.29, df = 221, P>0.05).

5.7 Young and old Health workers on career commitment

Table 7: Summary of t test comparing Younger and Older Respondents on Career Commitment.

Age	N	X	SD	T	DF	P
Younger	118	72.71	7.46	1.12	203	>.05
Older	87	71.45	7.48			

The result of the t-test shown in table 7 reveals that there was no significant difference between younger and older health workers on career commitment (t=1.12, df = 203, P>0.05).

5.8 Dimensions of Fortitude as joint and independent predictor of Career Commitment of Participants

Table 8: Multiple Regression Showing Dimensions of Fortitude as joint and independent predictor of Career Commitment of Participants

Variables	β	T	P	F	R^2	R	*P*
Self Appraisal	.013	.112	>.05				
Family Appraisal	.013	.159	>.05	2.04	.024	.216	>.05
Support Appraisal	.013	-.112	>.05				

The result in table 8 indicates that Self-Appraisal, Family Appraisal, and Support Appraisal did not significantly jointly and independently predict career commitment among health workers $F_{(3, 228)} = 2.04$, P >.05).

5.9 Dimensions of Emotional Intelligence as predictors Career Commitment

Table 9: Summary of Multiple Regression Analysis showing Sub scales of Emotional Intelligence as joint and independent predictors Career Commitment of Participants

Variables	β	T	P	F	R^2	R	*P*
Self Emotion Appraisal	.05	2.60	<.05				
Others Emotion Appraisal	.15	.098	>.01	5.67	.12	.39	<.05
Use of Emotion	-.03	-1.33	>.01				
Regulation of Emotion	.051	2.77	<.05				

The result in table 9 indicates that Self Emotional Appraisal, Others Emotional Appraisal, Use of Emotion, and Regulation of Emotion significantly and jointly predict career commitment among health workers $F_{(4, 228)} = .12$, $P < .05$). Self-emotional appraisal significantly and independently influenced career commitment ($\beta = .05$; t=2.60; P<.05); Regulation of Emotion significantly independently influenced career commitment ($\beta = .051$; t=2.77; P <.05). Emotional appraisal ($\beta = .15$; t=.098; P>.01), and Use of Emotion ($\beta = -.03$; t = -1.33; P>.01), did not significantly influenced career commitment.

5.10   Dimensions of Job Characteristics as Predictors of Career Commitment

Table 10: Summary of Multiple Regression Analysis showing Sub scales of Job Characteristics as joint and independent predictors Career Commitment of Participants

Variables	β	T	P	F	R^2	R	P
Skill Variety	.002	.144	>.05				
Task Identity	-.026	-.175	>.05				
Task Significance	-.027	-1.43	>.05	2.09	.08	.28	>.05
Autonomy	.021	1.56	>.05				
Feedback	.07	.526	>.05				

The result in table10 indicates that Skill variety, Task identity, Task significance, Autonomy and Feedback did not independently significantly and jointly predict career commitment among health workers $F_{(5, 228)} = 2.09$, P >.05).

6. Discussion

The findings in this study show that the independent variables jointly predicted career commitment of health workers. However, only emotional intelligence significantly predicted career commitment independently. Specifically, self-emotional appraisal and regulation of emotion dimensions of Emotional intelligence significantly and independently influenced career commitment. This outcome was in line with the work of Carmeli (2003) which revealed that emotionally intelligent senior managers develop high commitment toward their career. The reason for this finding is that emotionally intelligent workers could display cooperation, creativity and good interpersonal relations. They can also perceive, express and regulate emotions which could affect their attitude toward their colleagues, bosses, jobs and their commitment to their organizations. Goleman (2003) in his Mixed Models of Emotional Intelligence also stated that when workers understand their emotion and that of others, they are more likely to be more commitment to their career path by being productive and cooperative. Fortitude, emotional intelligence, job characteristics and perceived alternative employment opportunities were found to jointly predict career commitment among the health workers in this study. This is in line with Equity Theory proposed by Adams which states that the nature of equity employees receive from the workplace significantly affects their involvement in practices in the workplace and their overall satisfaction with their career path or choice.   Perceived alternative employment opportunities were not found to be independent predictors of career commitment in this study.

Steel and Griffeth (2003) and Griffeth et al. (2003) reported weaker findings for the effect of perceived opportunities but slightly stronger results for the effect of intention to search on leaving which is in support of the finding that perceived alternative opportunities do not independently influence career commitment.

Although, both job status and years of experience had a significant interaction effect on career commitment, only job status was found to have significant main effect on career commitment. In line with this finding, Allen and Meyer, (2001), showed that tenure is positively related with job position and years of experience to career commitment. The investments and the expectations of individual increase as much as they spend more years within the organization.

However, Sunday, (2011) found in his study of career commitment in Nigeria that there was significant negative relationship between years of experience and career commitment. Also, Aranya, (2003) in his finding stated that years of experience do not have significant influence on career commitment which is in support of this study. This means that the number of years spent in an organization is not an indication of developing commitment. Therefore there are other factors in the organization which may co-vary with years of experience to influence career commitment of workers.

Marital status was found to predict career commitment among health workers. Furthermore, married respondents reported higher level of career commitment than those who were single. Consistent with this result, Bowen, (2004); Dodd-McCue et al, (2006), found that workers who are older and married have more commitment to their organizations and career than the younger and single workers. This may be because, married workers rather than single workers have more family responsibilities to cater for that require financial support and as such they are more committed to the

organization. Also, Mowdey, (2002) showed that married employees and/or employees with children take their spouse and/or children into consideration when making important decisions, such as changing jobs and the level of their inputs to the organization.

Male health workers were not found to be significantly higher in career commitment than their female counterparts in this study. The result is consistent with that of Shivani et al (2006), who in their separate studies, found no significant relationship between gender and career commitment. This is supported by Adams Stacy (1963) equity theory of motivation which in practical term states that when employees perceive what they get from a job situation (outcomes) in relation to what they put-in (inputs), they compare their outcome-input ratio with the outcome-input ratio of relevant others. If employees perceive the ratio to be equal to that of the relevant others with whom they compare themselves, a state of equity is said to exist; they perceive their situation as fair and that justice prevails which make them more committed to their career. On the other hand, the result contrasted the findings of Geddes et al, (2006), who reported that women were more committed to their career than men. The difference in the outcome of this current study and that of Geddes et al,(2006) could be related to settings of the study and as well as the domain-related differences Hanoch et al, (2006). Geddes et al (2006) based their study on banking and career commitment within the marketing Department while this study was among health workers.

Younger health workers were not found to be significantly higher than their older counterparts on career commitment. This might be as result of the fact that workers are well paid and the necessary incentives are given which facilitates workers to be more committed to their career. This is consistent with the findings of Wiedmer (2006) who found that age was not a significant predictor of job satisfaction and career commitment. However, Dodd-McCue et al, (2006) found that age and job tenure were significant predictors of career commitment. This is probably because, the longer the workers stay with an organization or the older they are, the more time they have to evaluate their relationship and be more committed to their career.

7. Conclusion and Recommendation

Career commitment has been found in literature to be associated with organizational outcome. In the health sector, career commitment may have implications for the discharge of health workers' duties. Moreover, commitment to the discharge of their duties has far reaching effect on the clients who depend on the health workers for their health and wellbeing. Therefore, the results of this study have practical implications for health agencies and other organizations in recruitment, placement, training and policy formulation for career path. Firstly the management and policy decision makers in health organizations should recognize the importance of fortitude and emotional intelligence of their workers and the resultant effect on the overall commitment to their career. A conducive and stress reducing environment is required for enhancing workers' career . Again, the study indicated that job status and year of experience had interaction effect on career commitment, thus, organizations should develop a mentoring programme that give room for exchange of ideas between highly experienced workers and younger colleagues. It is also recommended that relevant authorities and policy makers should incorporate these factors into capacity building programmes to enhance workers' commitment to their career.

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Drivers of the Regional Economic Growth and the Problem of "White Elephants" of the Russian Olympic Megaproject "Sochi 2014"

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Abstract

For Russia the Olympic megaproject "Sochi 2014" became the largest international investment and construction project and the country has not seen similar events during several decades. The mission of the Olympic megaproject went far beyond the limits of getting profit from the Olympic games organization and the creation of a favourable image of Russia in a global social and economic space. It included the build up of global competitive advantages of the Black sea zone of the Southern macroregion of Russia in such spheres like tourism, hospitality and entertainment industry, recreation and sports business. However the impact of the Olympic games on the economic development of the territory where they took place would be evident only after 3 or 5 years and the economic effect of investments would be displayed after ten years and more. The authors of the article study the problem of the post project use of the Olympic constructions. Some of them will serve as drivers of the regional economic growth and others like so called "white elephants" will only generate losses.

Keywords: megaprojects, Olympiad, investments, infrastructure, «white elephants»

1. Introduction

The state has the right to consider as a successful one a reform that leads to long term capital intensive projects. Megaprojects are the investments projects of a large scale (more than 1 billion $) having a global character (independently from the territorial level of realization). In contrast to financial investments, megaprojects are focused on the specific material result, exerting a considerable and a prolonged influence on a transformation of the economic space (Mitrofanova, 2011).

The objective of the research set by the authors is to make a prompt analysis of ambiguous economic results of the realization of the Olympic megaproject "Sochi -2014" as the impact of development of Olympic games on the economic development of the territory where they took place will display only after 3 or 5 years and long term effects will be visible only after 10 years and more. On the one hand a positive experience of the realization of this megaproject implies the growth of global competitive advantages of the coastal zone of the Black Sea in the Southern macroregion of Russia in such spheres like tourism, hospitality and entertainment industries, recreation and sports business. But for the complete objectivity the authors of the paper set the goal to study another side of the Olympic megaproject "Sochi-2014" consisting in the after use study of the Olympic constructions erected in the Krasnodar kray. Some of which will

unquestionably become drivers of the economic growth, others or so called "white elephants" will constantly generate losses.

2. Literature Review

A considerable contribution to the research of the experience of the realization of Olympic megaprojects in different countries of the world that had an ambiguous impact on the economic development and reputation of regions and cities where they were held made the following scientists: Haynes J., Flyvbjerg B., Glandton D., Haynes J., Rishe P.

The Olympic megaprojects proved to suffer from not only universal risks typical of large scale projects but also from specific ones intrinsic to large scale sport events. The problems of isolation and assessment of such risks are widely studied in works of such authors like Altshuler A., Buhl Soren L., Gunton T., Laidley J., Lehrer U., Luberoff D., Skamris Me K., Priemus H. and others.

The problem of assessment of costs and advantages, analysis of social and economic consequences of the realization of large scale projects concerning the construction of sports objects and creation of the corresponding infrastructure in the territory where the Olympic games were held was studied by contemporary Russian scientists: Amirkhanova M., Batmanova V., Batova V., Leibin V., Matova N., Mishulina S., Mitrofanova I., Zhukov A. and others.

3. Research Methodology

The methodological base of the study and attainment of scientific goals became the realization of the dialectical principles of research within a systematic approach. Authors used general scientific and specific methods of research: subjective and objective method, structural and functional, historical and logical, comparative, imitational, statistical ones as well as personal calculations of the authors.

The reason for use of these methods is the necessity to study in a critical way processes of formation and practical realization of large scale Olympic megaprojects as projects of a special type (using the Russian Olympic megaprojects "Sochi-2014" as an example) in order to obtain a more objective assessment of social, economic and public efficiency from the realization of these megaprojects for territories and cities where Olympic games were held. This will allow to forecast and level possible specific risks as well as to minimize universal risks typical of such instrument of territorial development as megaprojects.

4. Results Analysis

4.1 Specific features of megaprojects

The peculiarities typical of the projects of such level, status and scale are the following:

– they provide the improvement of the existing territorial proportions and the creation of new ones as well as efficient integrative interregional relations for a long term prospect which can determine the unanimity of the regional systems' interests. They intensify the opportunities of the rational use of advantages of each of them for the achievement of common goal and growth of the aggregate efficiency of social and economic complex of the district in the whole;
– they provoke a considerable diverstion of capital investments, materials, technical and labour resources at a considerable time lag for the obtaining the expected outcomes and this can lead to the arising of long term inertial tendencies in the distribution of the capital investments and the use of the production potential of the economic actors of the district;
– they become the source of centrifugal forces adjusting the interests of industries and territorial formations that can lead to a chain reaction that will affect numerous adjacent enterprises, taking place in the megaproject is realization;
– they contribute to the creation of the powerful infrastructural constructions of the strategic (district and federal) significance which later become the condition of the involvement into the economic turnover of the new resources and the creation of large centers of economic and social development;
– they require the accumulation of the resources by one common fund holder;
– they demand an absolutely new assessment of the multipurpose disposal opportunities of the territorial combinations of the resources and conditions in the interests of the macroregional community;
– they imply the participation of the organizations of different department subordination;

112   –   they are based on the combination of the sectoral, territorial and program planning;
113   –   they must reflect all the stages of the triad "economy (production) – nature – population" beginning with
114   theoretical and methodological premises of the preplan research and investigations and finishing with real
115   production processes;
116   –   they encourage the development of the mechanism of the integrated non-departamental expertise of large
117   scale correlated projects, being part of a megaproject;
118   –   they have the uniqueness of temporal and special frontiers within which the problems of the territorial
119   development having a "program nature" that can be solved most consequently (Altshuler, Luberoff, 2003;
120   Mitrofanova, Batmanova, Zhukov, 2012).

121   Accumulated in Russia administrative experience on the basis of the program and target approach to the
122 development of territories of different level allows to reveal a number of conditions requiring the application of such an
123 instrument as megaprojects for territorial problem solving (Amirkhanov, Mishulina, 2014).

124   Firstly, the impartial necessity in the territorial megaprojecting arises in presence of problems which by nature are
125 multipurpose and integrated and the traditional methods of sectoral and territorial administration and planning turn out to
126 be insufficient for a serious decision taking into consideration the situation complicity engendered by varied tangle
127 interests and relations inside a territorial community.

128   Secondly, the time needed for the problem diagnosis and problem solution does not fit as a rule into the middle
129 term (3 – 5 years) period. Meanwhile it is exceptionally important to analyze in time the whole history of the origin of a
130 particular problem together with the isolation of its important stages of its intensification. Every problem of the territorial
131 character has it own temporal logic of development.

132   Thirdly, megaprojects are necessary when the area of the dissemination of the territorial problems does not
133 coincide with the nets of the economic and administrative division into districts. Territorial borders of the solution of these
134 or those social and economic problems depend both on the potential resources capacity and the scale of the factors of
135 production involved into the economic turnover taking into consideration the influence of the program measures.

136   Forth, territorial megaprojects are reasonable in case of the necessity of the complex disposal of natural resources
137 of intersectoral and multipurpose use. Intensification of the intersectoral significance of the natural resources creates
138 contemporary demands for the assessment of the opportunities on the multipurpose use of every resource in interest of
139 numerous interested territorial subjects and different organizations. This fact leads to the change of the traditional
140 approach according to which every interested department approached the prospect and resource disposal and
141 corresponding requirements to their qualitative and quantitative features from a subjective point of view (for their own
142 problem solving). As a result one and the same resource was examined by numerous organizations autonomously and
143 this led to the duplication of works and consequently to their value increase. In addition during the resource assessment
144 was inevitable from the point of view of the development of different spheres of the national economy by the strength of
145 their contradictoriness of their interests. The integrated use of natural and intellectual resources requires an intersectoral
146 approach. Its use will allow to create a highly efficient economic structure of a territory, to ensure the formation of a
147 common production and social infrastructure, contributing to a more reasonable disposal of its natural resources.

148   Fifth, megaprojecting becomes indispensable when existing forms and methods of management prove to be
149 incapable to ensure the reciprocal coordination of a number of projects of sectoral and intersectoral character, united by
150 common goals and objectives. Meanwhile such linkage is absolutely indispensible already on the strength of the fact that
151 coordination of sectoral interests inevitably engenders a chain of inner contradictions. Thus, every industry project must
152 ensure the realization of quite specific production and economic objectives and the sequence of its stages of realization
153 are determined in compliance with resource opportunities. The criterion for the determination of temporal parameters of a
154 project is the purpose orientation of an industry. However optimal sectoral parameters of the project realization can not
155 coincide with the conditions of the whole problem realization or even can lead to the violation of its temporal logic. It is
156 evident that the creation of a net schedule obligatory for all ministries and departments even within a prospective strategic
157 industrial planning is quite complicated. And only in the process of the development of a territorial purposeful and
158 targeted program it becomes possible to solve problems connected with the formation of the most reasonable proportions
159 between production and non production capital investments, various infrastructural sectors, construction industry and
160 investment rate (Mirofanova, Mitrofanova 2013).

161   Today when the economic growth of Russia considerably slowed down, the question concerning the territorial
162 megaprojects arises with the whole acuteness. It is important to know whether they are the stimuli for the growth or are
163 just intolerable load for the state budget.

164   The specificity of the Olympic megaprojects realized during the latest 50 year has been poorly studied so far and
165 shows the deficit of research directed on an integrated, comparative analysis of the processes of the preparation and

166   realization of such megaprojects, revelation of traditional and specific risks, typical of different phases of their life cycles
167   and the assessment of social, integrated effects especially connected with the analysis of the prospects of the post
168   project use of the erected Olympic objects (Matova, 2014).
169   The research of the contemporary national economic science of the phenomenon of the Olympic megaprojecting
170   has not got an integrated character so far. Meanwhile the historic, contemporary foreign and Russian practice of the
171   Olympic movement shows that the objects constructed during the realization of the Olympic megaprojects, especially of
172   the infrastructural ones, are capable of stimulating the development of a number of the economic sectors, regions
173   becoming the points of bifurcation of territorial development. At the same time a number of Olympic objects after the
174   realization of the games do not find an efficient after use (Gunton, 2010).
175   If in case of usual megaprojects it is possible to keep to projected costs but it is a rare situation but in case of
176   Olympic games during the latest 50 years, according to the assessment of B. Flyvbjorg, N. Bruzelius, V. Rotengatter
177   (2014), the organizers could not stick to the budget. In the opinion of these scientists, the realization of Olympic games is
178   not the worst variant of the "project of the century" and the problem does not consist in the fact that the budget will be
179   overrun with the probability of 100%. The necessary additional costs in case of the Olympic games prove to be higher
180   than in any other type of such large scale projects. In average the excess of the factual costs over the planned budget
181   made up 179% in real prices and 324% in nominal prices. However the rights of the realization of Olympic games require
182   that the accepting part offers the guarantees of the coverage of all additional expenses, i.e. the "owners" of every
183   Olympiad in fact underwrite under the obligation to pay any sum for the right to have sports events (Flivbjerg).
184   The costs of the Olympic games include three basic components: 1) official expenses of the organizational
185   committee at sports constructions, Olympic village, TV, media and press centers, 2) direct costs at the infrastructure
186   (construction of roads, hotels, railway stations, airports and so on) that will be used during the games, 3) indirect costs:
187   region, city can build objects without which they generally can do without. In reality it is possible to count on the first two
188   types of expenses when indirect costs into the infrastructure can be assessed, as a rule but unlikely on the strength of the
189   following reasons: first, very often the information about these costs is not available; second, in cases when they really
190   exist, their reliability does not correspond to academic standards; third, even in these cases when the data are available
191   and do not raise the doubts, they do not allow simple comparisons and every Olympic city has its own approach to the
192   fact which costs consider as direct ones and which as indirect ones as B. Flyvbjorg, N. Bruzelius, V. Rotengatter think
193   (Flyvbjerg, Bruzelius, Rottengatter, 2014).
194
195   *4.2   History of the XXII Olympic winter games in Sochi*
196
197   The decision about the organization of the XXII Olympic winter games in Sochi was taken on July 5th, 2007 in Guatemala
198   during the session of the International Olympic Committee. The further activity of the State Corporation "Olympstroy" was
199   founded on the realization of the "Program of the construction of the Olympic objects and the development of the city of
200   Sochi as a mountain resort", within which the design, construction of new buildings, reconstruction of the existing ones as
201   well as the exploitation of the buildings was organized.
202   Russian state corporation "Olympstroy" realized a large scale program having attracted private and state
203   investments which included the following basic results:
204   2007 (November) – creation of the state company "Olympostroy";
205   2008 – organization of the construction of the objects, development of the mechanisms of the provision of the
206   objects with plots of land, engineering design;
207   2009 – provision of the objects with plots of land, finishing the design stage, beginning of construction works;
208   2010 – active phase of construction;
209   2011 – peak of the construction, beginning of the introduction of the objects into use, first testing competitions;
210   2012 – peak of the construction, introduction of the objects into use, test sports events;
211   2013 – introduction into use, test competitions, equipment of the Olympic objects.
212   2014 – Olympic games.
213   The main sports constructions and hotels are situated in two clusters: by the sea and in the mountains. In the
214   coastal cluster of the Imeretinskaya lowlands the Olympic park is situated where the opening and closing ceremonies of
215   the Olympic Games 2014 took place, all the competitions on ice and the winners' rewarding ceremony was held. Besides
216   here the Olympic village, mediacenter, hotel complexes and a well equipped embankment are situated.
217   In the mountains cluster the competition on cross country skiing, biathlon, bobsleigh, ski jumps, snowboard and
218   freestyle took place. In the mountains the media village and two Olympic villages were located. The mountain and coastal
219   clusters were joined by a conjoint car and railroad Adler – "Alpica - Service" (Zhukov, 2013).

220   *4.3   Realization of Olympic games in different cities of the world*
221
222   Preparation and the realization of Olympic projects apriori is connected with the emergence of unpredicted circumstances
223   connected with real threats to the economic safety. The knowledge and taking into account the peculiarities of
224   megaprojects of such type allows strategic managers in advance, even on a pre project stage to make up the opinion on
225   the compliance of the necessary requirements (table 1).
226   There exist a lot of examples of the fact that the Olympic games changed the image, its infrastructure and the
227   economic situation of the region. There exist a lot of examples of the fact that the Olympic games changed the image,
228   infrastructure and economy of the city-organizer in a cardinal way. But all the history of the international Olympic
229   movement shows that the influence of the games shows up completely only after 3 or 5 years and some long term effects
230   are displayed only 10 years and after. For example, Barcelona from an industrial center turned into an international tourist
231   resort and Beijing became a real exhibition of the achievements of the modern China.
232   The expenses for the organization of the Olympic games in Atlanta, USA, made 1.7 billion $. At the same moment
233   private investments helped to revive the municipal economy and then during the following decade after the Olympic
234   games 5 more billion US $ were invested into different spheres of the municipal economy. More than 1.8 billion US $
235   were spent on the construction of the hotels, office buildings and elite penthouses. The visitors after the Olympic games
236   brought about 500 mln. US $ to Atlanta during the following fifteen years. At the expense of private investments the
237   baseball stadium was constructed. Georgia State University got a spacious campus transformed from the Olympic village,
238   four colleges of Atlanta also got sports equipment. In other cities where games took place a rowing center, tennis courts
239   and a horse riding stadium remained. In general good results were obtained due to a reasonable planning and the
240   forecast of the following exploitation of the constructed objects.
241   Nevertheless, financial results of the Olympic games in Atlanta are assessed by the economists in multiple ways.
242   Analysts point out that the city lacked the opportunity to apply for federal funds for the infrastructure renewal (roads and
243   sewing systems). Some representatives of small and medium sized business went bankrupt as they did not manage to
244   sell their goods to the visitors or to offer the available venues for rent. Many businessmen did not get a desired outcome
245   and pretend that the main result was rather connected with the publicity, image and emotions rather with profit (Glandton,
246   2009).
247
248   **Table 1.** Peculiarities of the Olympic megaprojects influencing the provision of the economic security (Batova, 2013).
249

Peculiarities	Requirements
Technological complicatedness, large scales	Instruments providing the labour output ratio of the planning process and the management by the mass of the information and technical data. Use of managerial innovations. High quality of the project. Provision of financing and adequate division of the risks between the participants.
Unique character	Individual solutions, limitation of the use of standard solutions
Innovative character	Mechanism of the project management, taking into consideration a high degree of the uncertainty and risk
Organizational complexity	Organizational structure, taking into consideration the complexity of the project. Coordination of the activity of participants. Optimization of informational flows between participants. Operative identification of threats. Common information space.
High political importance	Ecological character. Observance of international standards of the safety provision.
Long term character	Strict control of terms and costs.
High risk	Provision of a high sensitivity of the projects to the changes in the first concept.
National and in particular economic safety	Participation of authorities for the determination of the conditions of the project realization. Development of efficient mechanisms of the provision of the economic safety.

250
251   **Source:** made by the authors
252
253   Expenses for the Olympic games in Sidney, 2000 made up 3.8 billion US $ and the public expenses made 30-35% from
254   that amount (Rische, 2011).

255　　　　The research showed that during the period from 1994 till 2006 the process of the preparation for the games and
256　the consequent development lead to a stimulation of new economic activities in the amount of 6.5 billion US $. Australian
257　economy grew 0.12% during this period. First class Olympic objects were built that provided for the city the opportunity to
258　have first class competitions. Due to the preparation for the Olympic games the problematic poor and contaminated zone
259　of Homebush Bay was developed where the International Aquatic Center was erected. There are dangers that the
260　venues in Homebush Bay and partially the mentioned above Aquatic Center are remaining "white elephants" but due to a
261　reasonable management it will be possible to avoid this problem (Haynes, 2001).
262　　　　But the international practice has other examples. The winter Olympics of 1998 in Nagano plunged the city into a
263　deep recession and as a result the tax burden from the games made up about 30 thousand dollars for every household in
264　the city. This fact was influenced by the decision of the International Olympic Committee to include into the program of
265　the games new sports – curling, women hockey and snowboard. The Japanese had to construct new objects and to host
266　additional guests. As a result the organizational committee had to save money on everything.
267　　　　The Olympic games in Salt Lake City in 2002 cost the American taxpayers 1.5 billion dollars and the total cost of
268　the Olympic megaproject turned out to be higher than the price of all the seven Olympic games that took place in the USA
269　earlier.
270　　　　Games in Athens cost Greece 15 billion US $ and the problem of the Athens Olympiad became a large amount of
271　debt. After the events of September 11, 2001 in the USA the expenses for the security and infrastructural objects grew
272　considerably. As a result the amount of the state deficit made 5.3% from GDP in 2004 that was 3% higher of the level
273　allowable by EU at that time. The total amount of the debt made up 112% of GDP or 50 000 euro per household (Chicago
274　factsheet, 2012).
275　　　　In spite of the fact that the Olympic games in Beijing were one of the most expensive in the history, it did not lead
276　to the creation of the debt obligations for the country. China had enough money to construct new stadiums, metro lines
277　and roads. Closing to the year of the Olympic games (2008) the tax profits grew 20-30% a year and the fiscal deficit
278　decreased from 3% of GDP in 2002 till less than 1% in 2007.
279　　　　It is interesting to learn that specialized Olympic objects consumed less than 25% of all funds and the main part of
280　expenses was spent on the objects of the infrastructure of a long term use. For example, one of the Olympic objects was
281　constructed specifically for the agricultural university and another one for the Scientific Research University of Beijing
282　(Flyvbjerg, Stewart, 2012).
283
284　**Table 2.** Factual and planned costs for the preparation and the realization of the Olympic megaprojects (Zhukov, 2013;
285　Gladton, 2009; Chicago factsheet, 2012; Flyvbjerg, Stewart, 2012).
286

Place and year of the realization of the Olympic megaproject	Planned costs, billion dollars	Factual costs, billion dollars	Rise of fact costs over the planned costs, times
Salt Lake City (USA), 2002	0,8	2,0	2,5
Athens (Greece), 2004	6,3	15,0	2,38
Turin (Italy), 2006	2,1	3,6	1,7
Beijing (China), 2008	5,64	5,86	1,03
Vancouver (Canada), 2010	0,6	2,5	4,17
London (Great Britain), 2012	4,3	16,6	3,86
Sochi (Russia), 2014	314 billion roubles* 9 billion dollars	51,0	4,8

287　　　*To the date of the application to the International Olympic Committee in 2007
288
289　**Source:** made by the authors
290

291　After the closing of the XXI winter games in 2010 in Vancouver it turned out to be that additional lines of the high way cost
292　made up about 1 billion dollars. The same amount of money was spent on the modernization of the city metro. Additional
293　1 billion dollars was spent by local authorities on security (at the planned amount of 150 billion dollars). The police regime
294　in Vancouver was compared to the one of the post war Berlin and the economic results of the Olympic games with hard
295　results of the games in Montreal. On the one hand total expenses on the Olympic games increased by 10 times in
296　comparison with the planned ones and according to others grew fourfold (table 2). The Olympic objects were offered for
297　sale. The village for sportsmen became a ghost district whose cost rose up to 1 billion dollars. As a result of such over-
298　expenditures for the Olympic games Canada had to cut health expenses at about 330 million dollars and to sequester

80% of the budget of the ministry of culture (Leibin, 2013).

It is obvious that Russia managed to prepare completely all the objects for the Sochi Olympiad. For our country it is the largest international investment and construction project, and there were no analogues during several decades and it required many billions of investments for the design and the creation of the infrastructure, construction, exploitation of the sport objects and the provision of the security. So, the general volume of investments into the Sochi megaproject is assessed as 1,6 trillion rubles (51 billion dollars), that is not the limit (one of the precedents is the cost of the games in Beijing that made up 45 billion dollars). Besides about 80% of the sum was invested into the infrastructural development of the city of Sochi and Krasnodar kray. During the realization of infrastructural objects the largest part of the funds was put into the construction of sports objects by private investors (table 3).

Table 3. Sources of financing of the Olympic megaproject "Sochi-2014", billion rubles (billion dollars) (Leibin, 2013; Bykov, 2014; Mitrofanova, Batmanova, 2014)

Type of object	Budget funds	Off budget sources	Total
Infrastructure of the region including roads and housing	430 (12,2)	900 (25,7)	1330 (38)
Sports objects	100 (2,9)	114 (3,3)	214 (6,1)
Total	530 (15,2)	1014 (28,9)	1544 (44,1)

Source: made by the authors

4.4 Russian experience of the Olympic games realization

Russia has not had so far the experience of the organization of several hundreds projects realized in one city of the country. In comparison with other Olympic projects Sochi made the impression of a poorly prepared city. Krasnodarsky kray did not have a single sports object of the Olympic scale: ice palaces, skiing courses, ski jumps. There were only several hotels of a decent level and an unfinished airport. That's why it is not quite reasonable to compare general costs for the Olympic megaproject "Sochi 2014" with the preceding Olympic capitals at the scale of works.

That's is why during the realization of the Olympic megaproject the largest part of the investments was put into the infrastructure. 260 kilometers of roads were reconstructed, the circular road construction was finished, the main project of the transport program in Sochi itself – the alternate of the Sochi Resort Avenue were built (nowdays 9 from 20 kilometers of the roads are led in tunnels, it costs made up 83 billion rubles), a unique for Russia high speed combined automobile and rail road were constructed that connected Krasnaya Polyana with Sochi along with 48 kilometers with a traffic capacity 8500 km/hours (284,5 billion rubles or 8,2 billion dollars), the Sochi airport was reconstructed (14 billion rubles or 0,4 billion dollars) and its capacity grew up twofold (up to 2500 person per hour) (Mitrofanova, Batmanova, Mitrofanova, Zhukov, 2014).

The energy supply system was exposed to a considerable modernization as its wear and tear reached 70%, more than 50 objects were erected, the most considerable changes dealt with the Adler Thermoelectric Power Station and Dzhugbinskaya Thermoelectric Power Station. The gas pipe line Sochi – Jubga for 170 kilometers was extended among which 150 kilometers are lying at the bottom of the Black Sea.

The sewer system of the city was completely modernized: new source collectors and new Bzugin refining structures that are three times more powerful, a new deep water discharge going into the sea for 2 kilometers was constructed, a new refuse sorting plant in Hosta town was built. The Olympic heritage in Sochi is presented by more than 400 objects of the infrastructure that can be considered as drivers of social and economic development on both regional and meso level of the national economic system (Shchukin, 2014).

4.5 Prospects of use of constructions for Olympic games

But the most painful problem for all the Olympiads still remains. It is the so called "white elephants" i.e. objects the exploitation of which is problematic and hazy.

So, for example among 26 objects constructed for the Olympic games 2004 in Athens, only four of them are being used and the rest are in a deplorable state and the city is not ready to maintain them.

In Turin the Olympic objects of the Games of 2006 and the famous "Palasport Olympico" today represent closed empty boxes surrounded by iron fences. They could not sell the apartments in the Olympic village, firstly designed in the hope of using them after the Olympic games as commercial dwelling units.

349 In Vancouver (where the objects were just deinstalled) and in Sidney the maintenance of the Olympic objects was
350 laid on the city budget (although the Olympic games are officially welcomed by the state and not by the city).
351 Exception is China and Beijing where tourists are taken to the Olympic sites where the Olympic games took place
352 and by now the Olympic objects were visited by 170 billion people. By the way these (up to 97%) are local tourists that
353 are taken there from Chinese remote places. Fortunately the potential for such a patriotic organization of the tourism does
354 not exist in every country (Flyvbjerg, Skamris Mette, Buhl Soren, 2004).
355 And the program concerning the post Olympic use of the Sochi megaproject objects was engrossed in thoughts
356 alas only one year ago.
357 By the way the State Company "Vnesheconombank" as the largest creditor of the Olympic construction allocated
358 241 billion rubles (6,9) of Olympic loans. Among them 165 billion rubles were guaranteed by the State Company
359 "Olympstroy". Besides the guarantee fund of the "Olympstroy" did not exceed 30 billion rubles. But as any commercial
360 bank, "Vnesheconombank" did not finance but gave loans to investors on commercial terms. That's why all the borrowers
361 were the investors of the Olympic megaproject and they are paying the 10-12% yearly interest and are obliged to return
362 the principal to "Vneshekonombank". The situation is aggravated by unclear prospects of the use and maintaining these
363 so called "white elephants" within a large infrastructure today but the loans have to be reimbursed anyway.
364 There exist precedents: starting from the spring 2013 a legal case between the company "Bazovy element" (Bazel)
365 (the owner of the Imeretinsky port) – one of such "white elephants" and the state company "Olympstroy" and
366 "Vneshekonombank" is being held. "Bazel" sued "Vnesheconombank" demanding to change the conditions of the
367 payment of the loan that was used for the construction of the port giving reasons that the promised cargo traffic by the
368 State Company "Olympstroy" through the port was not provided and the port was suffering losses and, as a result cannot
369 fulfill the loan promises. "Vneshtorgbank" filed another claim for the Imeretinsky port in connection with the fact that the
370 port is not returning the loan to the bank.
371 But the Imeretinsky port is not the only unprofitable "white elephant" of the Sochi Olympic megaproject. There are
372 at least eight unprofitable objects: bobsleigh course, ski jump, mountain resort Roza Khutor and others. Besides it is
373 unclear how the money spent on the construction of the living and recreational property will be compensated (Mereshko,
374 2013). There arises the danger that as a result all the risks connected with the returning of the budget funds allocated for
375 the Olympic objects in fact will be transferred to the state as the defaults of the investors are inadmissible (Novikova,
376 2013; Tovkailo, 2013).
377 So the problems with the objects of the coastal cluster are inevitable. There six new ice arenas were constructed
378 and for the city of Sochi where winter sports are not so widely spread and this number is considerable. Further it was
379 planned that the arenas will be deinstalled and moved to other regions but as it turned out to be due to the peculiarities of
380 the foundations, it will be possible to transport only one of them and in particular, the training hockey arena and it will be
381 conveyed to Stavropolsky kray.
382 Three objects will change the designation: skating palace will be transformed into an expo center, Mediacenter into
383 a commercial center, curling arena into a sports and entertaining center and will be managed by the investors.
384 The other objects of the coastal cluster will be included into the budget of the Ministry of Sports of the Russian
385 Federation and they will be used as the grounds for the competitions and training. Judging from the forecasts, the
386 exploitation of the Olympic objects will cost the state 2,5 – 4 million rubles per year and for the lowering of costs for
387 instance expensive in maintenance Big Ice Palace is planned to be transformed into a cycle track.
388 One more "white elephant" is "Fischt stadium" (40 thousand seats). The fact is that in Sochi there is no football
389 team even of the second football division. In 2018 the matches of the World Football Championship will take place but so
390 far the administration of the city will try to use the stadium for "sports and concert" events.
391 In the mountain cluster a number of objects will be transferred to the Ministry of Sports of the Russian Federation,
392 for example sleigh and bobsleigh road. This will allow our sportsmen training not in Europe as it was before but here in
393 Russia. The future of the ski jump complex is not settled (Mitrofanova, Mitrofanova, Ghykov, 2014).
394 The most profitable part of the Olympic complexes "Roza Khutor" and "Laura" (Gazprom) will work as mountain ski
395 resorts. However it is unclear today whether a great number of hotels in Sochi and mountain ski resorts will become
396 profitable under the conditions when the market is overcrowded and the owners of the largest part of the objects are
397 trying to raise their class too high and sell the business class at the price of a "de luxe" class (Mitrofanova, Zhukov,
398 Mitrofanova, Starokozheva, 2014).
399 However the idea has recently started to be discussed in an active way that will help the "Olympic debtors". The
400 state is supposed to allow establishing in Krasnaya Polyana a gambling zone of a high class. But for the moment the
401 state is not ready to discuss it seriously and will try to make money on the sports and tourism. But it is hard to count on
402 the fact that the subtropical Sochi will become the center of the Winter sports. The government has not announced its

403 plans of future costs for the promotion of the city so far and if it does not happen in the short and middle term perspective
404 the probability is very high that the idea of the establishing a gambling zone will become important again.
405   Today the Ministry of Finance of the Russian Federation determined the rules under which it is ready to offer
406 subsidies to Vnesheconombank that will allow the State Corporation "Olympstroy" to reimburse the losses generated by
407 the Olympic Games. Vneshekonombank will get a subvention if it is not able to make up money in the sales of the
408 Olympic objects if it does not transfer these objects into the state property (Minfin opredelil, 2014).
409   In the budget of the country there is necessary money for the compensation. In March 2014, the state corporation
410 "Olympstroy" has already got 10 billion rubles, the largest part of which can be spent on the reimbursement on the loan
411 for the construction of the ski jumps "Russian hills" (9 billion rubles of costs, its construction was entrusted to the
412 company "Krasnaya polyana").
413   In order to reimburse the losses of Vnesheconombank, the Ministry of Finance of the Russian Federation offered to
414 "Krasnaya polyana" company to give up the ski jumps to the banks. After that Vnesheconombank had to give it into the
415 disposal of the Federal Agency of Russian Property and it in its turn will give it to the Ministry of Sports of the Russian
416 Federation. After that the state company "Olympstroy" will get the reimbursement from the state budget.
417   As it is well known, July 17, 2014 Vnesheconombank with other Russian companies fell under the sanctions of the
418 USA caused by the political crisis in Ukraine. And although the assets of these companies will not be stopped the
419 American companies and citizens are forbidden to invest into new stocks and bonds of these companies. The state has
420 to play an important role in the support of the Russian banks that fell under the sanctions. That's why till the end of 2015
421 the moratorium for the return of this money was introduced that was given earlier to the construction of the Olympic
422 objects (Putin podpisal, 2014).
423   There exists another important moment. Earlier the legislation allowed the creation of gambling zones in the
424 territories of four Russian regions: Altay, Krasnodar and Primorsky krays and Kaliningrad oblast, however this was rather
425 a declaration of intentions. The head of Sberbank of Russia suggested creating in Sochi a gambling zone. The bank as it
426 was mentioned before, controls the public company "Krasnaya Polyana" where constructed the ski sports and tourist
427 complex "Gornaya karoussel".
428   July 23, 2014 the President of the Russian Federation V. Putin signed the law, including the city of Sochi into the
429 number of the regions in territories of which it is allowed to establish a gambling zone. For the creation of the gambling
430 zone the change was introduced according to which the parameters of such a zone on the territory of Krasnodarsky kray
431 will be determined by the government of the Russian Federation within the borders of the land plots offered for the
432 placement of Olympic objects of the federal importance and whose funding and construction was not made at cost of the
433 budgetary subsidies of the state company "Olympstroy". The decision will be made on the suggestions of the authorities
434 of Krasnodar kray, made earlier by the federal government (Putin podpisal, 2014).
435   So, it is allowed to use the Olympic objects, whose construction was financed at the cost of private investors as
436 objects of the gambling zone in Krasnodar kray.
437
438 **5. Conclusion**
439
440 That is why that in general it is difficult to speak about the profitability of the erected infrastructural objects, sports
441 constructions of a limited use but it is exact that considerable amounts of money for their maintenance will be needed. At
442 the same time a number of objects – hotel complexes, sports construction of mass use – have economically reasonable
443 profitability terms under the condition that the main burden of the development of city of Sochi should become the tourism
444 and if it is obvious local authorities will have to pay more attention to this.
445   In reality it is not quite clear how precisely the outcome of such a specific, immense and ambitious megaproject in
446 the economic sphere can be forecasted. However if the state plans to take part fully in the economic life of the country
447 and its regions, it should do it in a more targeted way.
448   Of course, the causes for the critics of the economic consequences of the Olympic megaproject "Sochi 2014" will
449 remain. This will be an unreasoned conception of the post Olympic use of the objects, intransparency in the allocation of
450 the architectural and construction contracts, "refluxes", corruption, order growth of the Olympic objects costs and so on.
451 But this priceless in the author's opinion experience needs to be studied in all the details in order not to be repeated it and
452 to minimize the miscalculations at the realization of another started immense megaproject that has already started –
453 World Football Championship, 2018.
454   In the opinion of the authors, the Olympic games gave an impulse to the economic development of Krasnodar kray
455 for 20–25 years of the evolutionary development. However the question about the future of a number of the constuctions
456 of the Olympic megaproject "Sochi 2014" remains so far uncertain.

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Historical Relationship between the Buddhists and the Muslims in Sri Lanka

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Abstract

That Sri Lanka is a pluralistic nation is an undeniable fact. It is the home of many communities which have contributed to its being for a long time. It is this variety, this unity in diversity, which gives it strength and beauty. In this multi-ethnic social environment, members of all communities live in peace and harmony with in social integration one with another. Accordingly, since settling down in the island more than1200 years ago, the Muslims established very cordial ties with the Buddhist people in Sri Lanka. The relationship between them may be cited as a unique example of ethnic harmony in multi-religious societies. Evidently, this is a longstanding relationship formed over a very long period of time and developed and preserved with trust and good understanding between these two communities. As such, it has stood the test of time and has been able to withstand the numerous attempts made by various colonial powers and chauvinistic racist elements to destroy it. Given the above background, therefore, the purpose of this paper is to identify historical relationship between the Buddhists and the Muslims in Sri Lanka in order to identify the changing nature of the relationship from the early Arab-Muslim settlements to the end of civil war in 2009.

Keywords: history, relationship, Buddhists, Muslims, Sri Lanka

1. Introduction

As a small pluralistic state, Sri Lanka has been cherished historically. This is a multi-racial social environment; members of all communities lived in peace and harmony with social integration with one another. Each community practised and its own religious cultural values. They also shared each other's prosperity and adversity. Through this way, the people of different religious groups were able to keep up the solidarity amongst them. In Sri Lanka, the Sinhalese are the main ethnic group, consisting 74.9% of the population; among them the Sinhala-Buddhists are 70.19% (Census of Population and Housing, 2012). They speak Sinhala an Indo-Aryan language. The Tamils are the second major ethnic group, consisting 15.37% (Census of Population and Housing, 2012) of the population that includes Sri Lankan Tamils and Indian Tamils. The Muslims of Sri Lanka form the second largest minority in the island next to Tamils and consisting 9.7% of the country's population (Census of Population and Housing, 2012) and the Muslims are spread out in all twenty five administrative districts of the island.

The relationship between the Buddhists and the Muslims has been tightly linked socially and culturally from the early period of Muslim arrival in Sri Lanka. The Arab Muslim traders and local Muslims contributed immensely during the regime of Buddhist leaders to protect and to expand their reigns. During the 19th and the 20th centuries, many Muslim leaders and scholars toiled hard for the independence of Sri Lanka from colonial ruler (Farook, 2014). They safeguarded the territorial integrity and sovereignty of the country irrespective of ethnic, religious and lingual differences. After independence, the relationship between the Buddhists and the Muslims was so strong that they shared and cared with mutual respect and understanding. Muslims have been identified as a peace loving community maintaining societal and ethnic harmonious relations with the neighbours with whom they live too as well. Further, politically too, the Muslims have been maintaining a very good relationship with the Buddhist rulers (Haris, 2010). This cordial relationship with Buddhists

58   and their rulers made the Muslims one of the privileged communities in Sri Lanka (Razick, Long, & Salleh, 2015). Given
59   the above backdrop, therefore, the purpose of this paper is to identify historical relationship between the Buddhists and
60   the Muslims in Sri Lanka in order to identify the changing nature of the relationship from the early Arab-Muslim
61   settlements to the end of civil war in 2009.

2. An Analysis of the Historical Relationship between the Buddhists and the Muslims

65   Both the ancient and modern history of Sri Lanka provides us with abundant proofs of peaceful cohabitation between the
66   Buddhist and the Muslim communities regardless of all their religious and cultural differences. Political and trade
67   relationships were very strong. Both communities showed their collaboration and cohabitation in a commendable manner.
68   Thus, this topic analyses the relationship in prior to colonial, during the colonial and post-colonial periods as follows.

2.1   Prior to colonial rule (before 1505)

72   The relationship between the Buddhists and the Muslims is hundreds of years old. The Arab relationship with Sri Lanka
73   which emerged in the ancient and maritime periods was continued after the arrival of Islam to Sri Lanka. Primarily, the
74   Arab traders maintained a wonderful trade link with Sri Lanka and placed their ancestry in this country. In the 7th Century,
75   with the emergence of Islam, the Arabs converted to be Muslims; consequently the relationship between the Arab
76   Muslims and Sri Lanka developed high up and became very strong. The dominance of Islam likewise proved a worldwide
77   force. As a result, the relationships that originated as industrial attachments expanded to other regions such as internal
78   and external trading, defence, foreign relationship, the settlements of the Arab-Muslims and the lasting occupants
79   (Ameen, 2000). This association has grown over a very long period of time and, as a result, grew together with the
80   Buddhist populace to almost 50% of the life time of Buddhism in Sri Lanka (Yehiya, 2013). This relationship with
81   Buddhism formed and developed with great understanding and trust between these two groups.
82   The Muslims have a bright history of peaceful shared relations in Sri Lanka (Yusoff, Hussin, & Sarjoon, 2014)
83   particularly their relation with the Buddhist community is so immense. The Arab merchants espoused that the local
84   women were generally a blended race with a substantial infusion of Buddhists and Dravidian blood in the early phase of
85   Muslim settlements over Sri Lanka. This happened with the assent of Sri Lankan kings; they permit Muslims to settle
86   down in the Island. This is because there were some socio-historical, political and economic purposes behind such
87   concession offered to the Muslims in the early phase of the history of Muslims in Sri Lanka. Kamilika Peiris (2013)
88   identifies the following socio-religious and economic reasons for the Muslim settlements and its development in Sri
89   Lanka.
90   1)   Sinhalese kings' economic interests: During those times Sinhalese individuals were only paid attention in
91   cultivating and infrequently dared to venture out of the Island for dread of their existence. The Muslims
92   overwhelmed the trade on the ocean and the lands. Thus, the Sinhalese kings supported and favoured the
93   Muslim settlements in Sri Lanka for economic and trade interests; because Muslims had a big link with
94   overseas trade and politics; a number of kings sent some Muslims as ambassadors to a few Muslim nations.
95   Dewaraja (1994) points out that Al-Haj Abu Uthman was sent by the Sinhalese king Buvanekabahu I to Egypt
96   to the Mamluk court to discuss developing the trade link in the 13th century. Muslims constructed Ceylon as a
97   well-known place in the Middle East by this trade expansion furthering their contacts with the Muslim world.
98   The Sinhalese kings licensed Muslim settlements because of they brought wealth and income for the success
99   to the Island.
100   2)   Religious tolerance of local Sinhalese is an additional primary factor that helped in the development of Muslim
101   settlements in Ceylon. It was unbelievable that Muslims would have settled down in Ceylon during those times
102   without authorized invitation of Sinhalese kings and their people. The Sinhalese people were very kind and
103   gracious by nature in urging Muslim settlements. It was the common interests of both groups allowed for the
104   Muslim settlement in the country of Sri Lanka.
105   The well-known traveller Ibn Batuta (1344) records the history of Muslims in Sri Lanka in his travelogue:
106   "at the end of 7th century a group of Muslim traders had settled and established well in Ceylon. Arab people were
107   fascinated due to its delightful common quality and beautiful natural eminence".
108   This might have led the way for the lasting settlement. Moreover, historical backdrop attests that the progenitors
109   were promptly welcomed by the kings in those days. A large portion of them lived in the seaside areas with peace and
110   harmony with the local people and they maintained trade and social contacts with Baghdad Islamic Empire and other
111   Islamic metropolis (Pieris, 2013).

112   Another interesting historical fact is when 'Siripada' (Adam's Peak) got connected with Adam's fall from Paradise in
113 the ninth century the Muslim merchants integrated themselves to the Sinhalese people who were dependably tolerant in
114 spiritual matters. It is notable that there was no disagreement arising from the fact that the newcomers were disputing the
115 age old belief of the Buddhist people that the impression on the rock was the footstep of the Gautama Buddha. Marco
116 Polo traces an observation at the time that the Buddhist people believed that the shrine on the peak, the tooth, hair and
117 bone relics enshrined in various places in the island, all belong to Buddha; whereas the Arabs, who came on pilgrimage
118 in large numbers, held that they all belong to Adam. However, there was no clash despite the different views (Latham,
119 1958).
120   Dewaraja (1994) argues that the Muslims got one thousand years of peaceful history in Sri Lankan soil and they
121 managed to get on well with Buddhist people right through this long length of history. She specifies that the Muslims have
122 a few traditional Buddhist family names which clearly imply their inherited family roots of Muslims today; at the same time,
123 the Muslims keep up their original kin trees which preserved their religious personality to their Islamic names; Sinhala
124 names were used in their legal documents testifying to origin and proprietorship of movable and immovable properties.
125   Noteworthy in this respect, in the Middles Ages the Caliphate of Islam moved up to Delhi, in Indian sub-continent
126 during this time. Notably, that Caliphate invade and were victorious over North India was because of an incident that the
127 Hindu pirates assaulted a vessel sailing from Sri Lanka which consisted of Sri Lankan voyagers on the Hajj pilgrimage by
128 carrying token offerings from Buddhist rulers to the head of the state of Iraq. It was prompted to capitulate India under the
129 direction of 'Muhammed Bin Qasim' due to this piracy on Hajj pilgrims (Yehiya, 2013). In addition, there are a few
130 historical evidences which prove the great relationship between the Buddhists and the Muslims, likewise the attendance
131 of the military advisors of Muslims and the mariners to advise the Buddhist Kings against the Portuguese, Dutch and
132 British invasion, presence of the Muslim physicians and the Trade counsels, the Muslim soldiers in Buddhist defence
133 force and their contribution in battle fields against the colonial conquests (Hussein, 2013).
134   During the Middle Ages, the Muslim kingdom which enlarged from the south of France in the North to the Southern
135 parts of Africa in the south and from the North Africa in the West to India in the East, acknowledged Sri Lanka likewise as
136 a preferred and gracious country. In this manner the Islamic Caliphate had no awful intention of capitulation of Sri Lanka.
137 Also It was historically evident that, at whatever point, there were interior disputes within the empire around the higher
138 positions of political administration. There were occurrences of political refugees opting for the country of Sri Lanka as
139 their preferred place by applying for asylum. A few refugees were in permanent residence here (Ameen, 2000). By this
140 historical record, it could be maintained that these two existed in a two-way relationship; one, the Muslim Empire
141 recognized the country of Sri Lanka as one of the most friendly and favoured nation. On the other hand, the Buddhist
142 kings and their people took the Muslim people as their associates and cohabitants.
143
144 *2.2   Under the Colonial Rule (1505-1915)*
145
146 The Portuguese invaded the island in search of new colonies in 1503 with an eye for spices and to broaden their Catholic
147 religion. The Muslims were challengers in both religion and trade and, thus they were ill-treated by the Portuguese for
148 more than one hundred and a half years. The Muslims were also annihilated in Matara by Portuguese. This aggravation,
149 repression and persecution against the Muslim people also continued during the Dutch, but were simplified to a large
150 extent throughout the British colony.
151   When the Dutch persecuted the Muslims to their seaside settlements, the Muslims went to the Kandyan territory.
152 Senerat (1604-1635) and Rajasimha II (1635-1687) settled those Muslims in the Eastern bank. King Senerat settled a
153 huge number of Muslims as well as Tamils in Dighavapi in Batticaloa region to resuscitate paddy cultivation (Razick,
154 2007). The Muslims were welcomed by the Kandyan regime and its people. They were incorporated into the Kandyan
155 public arena mainly by assigning them the duties which identified with the King's administration. They were made a
156 transport department so-called 'Madige Badda'. Then the Muslims were permitted to do arecanut business, which was
157 the monopoly of royal. The Muslims in Uva region, who was close to the salterns, had to transport the salt as a duty of
158 their mandatory service (Dewaraja, 1994). In addition to this, select the Muslims were involved in 'Maligawa' sacraments
159 and were given 'Maligagam' lands. Their sense of duties included the salt, with the silversmith advancing the function of
160 'Kariya Karavanarala'. Therefore, the Muslims contributed -however minimally- to the administrative and sacrament
161 aspects of the 'Dalada Maligawa'. Also the Muslims served similarly as weavers, barbers, lapidarists and tailors
162 (Dewaraja, 1994).
163   Moreover, the Sinhalese kings and the people very much appreciated the contributions made by the Muslim
164 traders whose nomadic trading activities brought them to remotest regions of the state. These venturesome traders who
165 meticulously penetrated into the long distanced interiors of the territory are known to have brought with them for buying

166 and selling and exchange goods suited for the simplest necessities of villagers including foodstuffs, clothes and
167 jewellery such as a paramount protein supplement, dried fish, which were not simply procurable in those times
168 (Hussein, 2013). In addition, Dewaraja (1994) points out that,

169 "Right through from the Anuradhapura period to Kandyan times there was a Muslim lobby operating in the Sri
170 Lankan court. It advised the king on foreign trade policy. They also kept the king informed of developments abroad. The
171 Muslim trader with his navigational skills and overseas contacts became the secret channel of communication between
172 the court and the outside world".

173 The acting as envoys to the King was another important function of the Muslims in the Kandyan Court. One of the
174 Muslim envoys had been sent to Nawab of Carnatic. In 1765, another one had been sent toward Pondicherry to solicit the
175 assistance from French against impression of Dutch. Also, the King brought into play of his Muslim partisans to keep side
176 by side of developments outside the kingdom. The Muslims were constructive in this respect due to their trade
177 associations and knowledge of the languages (Dewaraja, 1994).

178 Because of these huge contributions of Muslims, by the Kandyan Kingdom, the Muslims were accepted favourably
179 as we have seen. Robert Knox points out that the charitable Buddhists gifted the land to the Muslims for residing in it
180 (Dewaraja, 1994). The Muslims adopted the external expression, the dress and the etiquette of the Sinhala-Buddhists**.**
181 James Cordiner (1807) writes that even it could not be found any differences in the appearances of the Buddhists and the
182 Muslims in his research. There are yet two villages in Galagedara possessed main by the Muslims, encircled by the
183 Sinhala villages. There were mosques in these two villages which were built on gifted lands by the Sinhala kings
184 (Dewaraja, 1994). Also Meera Makkam and Katupalliya mosques in Kandy town were built on the land donated by the
185 king and the architecture of Katupalliya is Kandyan too (Dewaraja, 1994). Kurunegala Ridi Vihare provided its part of land
186 for a mosque and allocated a piece of land for the maintenance of a Muslim devotee (Dewaraja, 1994). A number of
187 Muslim students were educated in the Buddhist temples in Rambukkana in 1930. Most of them studied Sinhala and
188 home-grown medicine. They had been given the facilities for their prayers and attending the Qura'nic classes, while
189 boarded in the temple. At the same time the Muslims dedicated them as volunteer to the 'Vihara' (Buddhist temple) and
190 they took interest to participate in the 'Esala Perahera' in this village in Rambukkana, The drummers voluntarily quit the
191 music when they passed the mosque (Nuhman, 2002).

192 There is plentiful evidence to prove that numerous Sri Lankan Muslims have a considerable mixture of
193 the Sinhalese blood. James Cordiner (1807) points out that,

195 *"the Sinhalese who profess the religion of Mohamed appear to be a mixed race, the principal of whose progenitors had*
196 *emigrated from the peninsula of India. They are a much more active and industrious body of people than the Christians*
197 *or the followers of Buddha".*

199 The Akurana Muslims trace their descent to three Arabian private armies who got married the Kandyan
200 Sinhalese women during the King Rajasinha's II reign (1635-1687) (Lawrie,1904) while the Gopala (Betge Nilame)
201 clan, a very famous Muslim clan domiciled over Getaberiya in Kegalle area likewise claim descent from Arab physicians
202 who landed in the country from 'Sind' during the reign of King Parakramabahu II (1236-1270) of 'Dambadeniya'
203 and espoused Kandyan ladies (Dewaraja,1994). James Emerson Tennent (1859) specifies that "in the mountains of
204 'Ooda-kinda' in Western 'Oovah' is a small society known as the Paduguruwas who profess Islam, but conform to
205 Kandyan customs", while H.W. Codrington (1996) describes Guruva as "a man of a blended race of the Sinhalese and
206 Moor descent and of the Muhammadan religion in Uva". The Guruwo are also said to have been found in
207 'Dibburuwela' in the 'Udasiya Pattu' of Matale South.

208 This intermarriage among the Muslims and the Sinhalese was in evidence as well in the southern part of Sri Lanka
209 and it is known to have proceeded until quite recent times. E.B. Denham (1912) writes,

211 *"Amongst the Moors over Colombo and Galle at the present day there must be a fairly considerable infusion of*
212 *Sinhalese blood; the number of Sinhalese women married to or living with Moors is fairly large".*

214 In fact, the Muslims of the Buddhist region have had a tendency to bear some sort of resemblance to the
215 Buddhist people amongst whom they live, which might indicate some admixture of Buddhist blood since at least
216 Kandyan times. James Cordiner (1807), he went through a five years length of time in Sri Lanka (1799-1804), could
217 barely differentiate a Muslim from a Buddhist. He refers to Sri Lankan Muslims as "the Cingalese who profess the religion
218 of Mahomet". John Davy (1821), writes about the Muslims "In dress, appearance and manners, they differ but little from
219 the Buddhists". Such interconnections have benefited the people in two ways; for one thing it has cleared the route
220 of better understanding between the two communities, for there is no connection stronger than the blood relationship.

221 Another thing, it is important that this racial intermixture strengths the community. The Muslims of Sri Lanka are often
222 depicted as intelligent and venturesome individuals and this we can be practically certain is, to a large extent,
223 attributable to their blended ancestry.
224   It is an unbelievable fact that the old Muslims are known to have purchased infants from their parents of
225 other communities, who are excessively poor to keep up them, so that they could be cared as Muslims. In the
226 latter part of the 19th century, G.A. Dharmaratna (1891) observed that "the Moors add to their number poor
227 Buddhists' boys and girls who are duly received into their community". So that it is important to understand that the
228 Buddhists contributed a considerable infusion of their blood to the Sri Lankan Muslims as well.
229
230 *2.3   During the Post-Independent Period (after 1915)*
231
232 The peaceful relationship continued until early in the twentieth century, when the Buddhist-Muslim riots of 1915 occurred.
233 In this year, the British rulers and their affiliates at the time eventually exploited the undividable association between the
234 communities to place a long haul in their relationship through the political strategy of divide and rule (Dewaraja, 1994). To
235 a certain extent, the British colonial administration and their associations of the time succeeded in separating the
236 relationship of two communities as a tactic of avoiding communities from arising as a challenge against their colonial rule.
237 It was a grand plan to exploit and dominate the resources in the colony (Yehiya, 2013). Despite this outer set-up creating
238 division, the relationship was versatile. Except during the 1915 incident, the cordial relationship between the Buddhists
239 and the Muslims has continued in Sri Lanka, at least at the popular level until the end of the civil war (Haris, 2010) in
240 2009 between the government and the Liberation Tigers Tamil Elam (LTTE). There were no more records of any rupture
241 between these two communities then this in the history.
242   The Muslims of Sri Lanka have given crucial support to the process of gaining independence from the British
243 colony in 1948 and helped end nearly four and half centuries of European colonial rule in the island. Particularly, in the
244 1940s, the Muslim leaders such as Dr. M.C.M. Kaleel, Dr. T.B. Jaya, Dr. Badiuddin Mahmud and Sir Razick Fareed
245 played a leading role at the doorstep of independence to Sri Lanka and provided their enthusiastic support for the
246 demand of the dominion status and independence (Ameen, 2000). The Muslims never discouraged the political progress
247 of Sri Lanka. In the aftermath of the World War II, protests for political restructuring and independence began to gather
248 impetus. However, the British legislature demanded that three quarters of the populace ought to be backing the interest of
249 the demand for independence to ensure the minority rights were protected. With the entire Sinhalese people comprising
250 less than three quarters of the population this was an unattainable demand to fulfil unless minorities supported. The Tamil
251 Congress leader G.G. Ponnambalm demanded equal representation, better known as fifty-fifty. Nonetheless, the Muslims
252 stood wholly behind the Sinhalese majority and helped to meet the British demand for the support of two-thirds of the
253 population (Farook, 2014). Henceforth, this shared characteristic of qualities fortified both groups to collectively become
254 allies against the British colonialism that was bullying the country period by period.
255   In 1939, the way of address of Dr. Badiuddim Mahmud who was the secretary of the All Ceylon Muslim Political
256 Conference at Colombo Zahira College ground, is a case in point for confirming the good relationship between the
257 Buddhists and the Muslims. He said,
258
259   *"let me assure my Sinhalese countrymen that I am one among them in demanding complete freedom for our country.*
260   *They can count on me as one of the most ardent admirers of their legitimate national and cultural aspirations. In me and*
261   *my community, let them know that they find the most trusted friends and kind neighbours in this island. They would*
262   *never find wanting in me or in my community that unflinching loyalty and patriotism that this little island would demand*
263   *one day from its sons and daughter to carve out a niche of fame for itself as a self-respecting unit in a world federation"*
264   *(Farook, 2014).*
265
266   It should also be pointed out that during the 1950's, when the official language issue was at its peak, the Muslim
267 pioneers like Badiuddin Mahmud and Razik Fareed didn't consider it odd to be among the most eager advocates
268 of the 'Sinhala Only' policy which sought to make Sinhala the only official language of Sri Lanka, replacing English
269 period. Regardless, the Muslim constituencies they represented were for the main part a Tamil-speaking people.
270 In fact, the powerful Muslim Minister in the 1970's under the left-leaning United Front Government Dr. Badiuddin
271 Mahmud is known to have propagated among his southern coreligionists as far back as the 1950s the need to learn
272 Sinhala language and should adopt it as their mother language (The Islamic Socialist Front, 1969). There are even
273 those who believe that Dr. Mahmud was the first Sri Lankan who wanted the Sinhala as the main official dialect
274 in an independent Sri Lanka. As far back as 1938, addressing the Galle Muslims, he is known to have proclaimed that
275

276   *"Muslims did not get any benefit by accepting Tamil language. Today or tomorrow, we will definitely get independence*
277   *and Sinhala should be the official language" (De Silva, 1984). A number of Muslim students in Buddhist predominant*
278   *areas receive their schooling today in the Sinhala as the medium of instructions. Nuhman (2007) observes that,*
279   *"There is a growing tendency among the school going generation who study in the Sinhala medium, to use*
280   *Sinhala as their first language and speak in Sinhala even with their Muslim friends and parents. They do not read and*
281   *write Tamil, that shows a shift in their mother tongue".*
282
283   As a result, during the time of independence, Sri Lanka was one of best nations in the world to live there was
284   political stability, sufficient foreign reserve, economic growth, well developed health care and education system and
285   communal harmony and peace.
286
287   ## 3. Conclusion
288
289   A few scholars expressing their opinion based on their studies that the Buddhist-Muslim riots in 1915 this, was the result
290   of the policy of divide and rule and communal politics which the British initiated from 1976 onward (Dewaraja, 1994).
291   Kumari Jayawardana (1986) traces a different augment that the evolution of Sinhala - Buddhists consciousness that had
292   originally arisen as a base for the struggle for national independence. This consciousness was at one stage directed
293   against the colonial power but unfortunately it also contained elements of Sinhala chauvinism that adversely affected
294   other ethnic groups. Therefore, this is an accidentally held event in the history. Another opinion that these riots were not
295   directed against all the Muslims, but more specifically against a section of the Muslim community who lived in coastal
296   areas of Sri Lanka (Haris, 2010).
297   Through these statements, it could be assumed that there were some outside influences interfered on the
298   relationship between these two societies. Anyhow, despite rising prejudice around 1930, there was communal harmony at
299   a popular level (Farook, 2014). According to Haris (2010), the majority of the Buddhists are having favourable opinions of
300   Islam and Muslims and they are interested in interacting with the Muslim from the early period to date. Despite the Tamils
301   and the Muslims speaking the same language -Tamil and sharing number of cultural practices with the Muslims, the
302   Muslims never got attempt to make better relationship with Tamils. But the Muslims have been maintaining a cordial
303   relationship with the Buddhists society since early periods onward, even though the evils somewhat prevailed in the
304   relationship with the Sinhalese (Victor, 1997). Supporting the 'Sinhala only' Bill of S.W.R.D. Bandaranayka and avoiding
305   the G.G. Ponnamplam's fifty-fifty demand are better examples for this. Therefore, finally, it came to a main decision that,
306   although many attempts were made by the Buddhists to marginalize themselves from the Muslims, the Muslims have still
307   been chasing hiding them to keep up better relationship with them.
308
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Social Psychological Interventions to Reduce the Number of Violence against Women in Indonesia

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Abstract

This article aimed at discussing the interventions that have been made in the fight against gender injustice, and specifically the domestic violence which is widespread in Indonesia. There are three social intervention solutions conducted during October 2014 to January 2015 in Jakarta, the capital of Indonesia, as part of Social Psychology and Psychological Intervention Course Program that will be discussed in detail, namely 1) intervention toward the observer's (bystander's) attitude toward the violence to be a preventer of the violence (or, to be an upstander), 2) intervention eliminating women objectification among men, and 3) intervention reducing verbal violent behavior against women. All those three will be discussed in an intervention methods of PATH, a model constructed by Abraham P. Buunk and Mark Van Vugt (2013) consisting of four stages, i.e. Problem formulation (Problem), Analysis and explanation (Analyze), Test stages (Test) and Intervention implementation (Help). The intervention targets are the students, the late teens, and the young adults through 1) Handbook of Violence Prevention to offer support and assistance for the actual and potential victims of domestic violence, 2) the campaign via radio mass media for prevention of women objectification, as well as 3) the delivery of contemplative messages through shirt and pin for verbal abuse prevention.

Keywords: *psychology of violence; PATH model; domestic; upstander; verbal abuse*

1. Introduction

More than twenty years ago, violence against women is not considered as a phenomenon that attracts international attention, until the end year of 80s on which there are number of women's movement organizations that never stopped searching for public and international attention to the issue of physical, physiological and economic violence against women (Alhabib, Nur, & Jones, 2009). A literature review by Alhabib, Nur, and Jones (2009) which covered 134 studies from North America, Asia, Australia, South America, Europe and the Middle East showed that violence against women has become an epidemic, and not even a race, ethnic nor socio-economic group is immune to it. This global phenomenon of human rights violations put women at a very unfavorable position (Windiani, Astuti, Fitriyah, & Hermini, 2013).

We could consider the following facts: (1) Tucker-Ladd (2011) stated that in America, 30% of pregnant women died because they were killed (Chang, Berg, Saltzman, & Herndon, 2005) and were mostly done by their partners; one of eight high school teenagers is currently in a relationship that involves violence; one of five women have been raped and the oppression rate of the female in a romantic relationship is very high; (2) Sarookhani and Daneshian (2014) noted that the violences committed by husbands are as much as 29% in Nepal, 57% in India, 26% in Kazakhstan, and 56% in Turkey; (3) Carey and Torres (2010) showed *La Violencia* terminology to describe the era of massacres, oppression and massive rape toward women of various ages by men from various populations in South America during the 20th century; (4) Wahed and Bhuiya (2007) noted that women in Bangladesh have to withstand blows, humiliations and daily tortures by their husbands for failing to follow their husbands' orders, even those practices have already been considered as "common" practice.

Some of the examples above are just small fractions of the millions cases of violence against women done by men. Violence caused by this gender bias is often called "gender-based violence" (Tisyah & Rochana, 2013) because women were the main victims (e.g. Hartono, 2014; Windiani, Astuti, Fitriyah, & Hermini, 2013; Ludemir, Lewis, Valengueiro, de Araújo, & Araya, 2010), even women with disabilities (Healey, Humphreys, & Howe, 2013) and pregnant women are no exceptions (Ludemir, Lewis, Valengueiro, de Araújo, & Araya, 2010). Sarookhani and Daneshian (2014) mentioned that the violence may include physical, emotional, financial and social violence. One specific form is domestic violence committed by close people such as spouse or family member (McMillan, as cited in Lamont, 2013) which is coercive and pressing. The effects of such violence are varied, starting from psychiatric disorders associated with anxiety and depression (Marchira, Amylia, Winarso, 2007) up to suicidal thoughts, lowered self-esteem, panic attacks, stress, difficulty in concentrating, increase of alcohol consumption, and self-injuring behaviors (Smith, 2011).

The term "domestic violence" has been recognized by the people of Indonesia, mostly in terms of *Violence Against Women* or *Domestic Violence*, which is a new breakthrough terminology in the legal of human rights violation protection in Indonesia, namely Law of The Republic of Indonesia No. 23, Year 2004, of the Elimination of Domestic Violence (Aisyah & Parker, 2014). Article 1 Paragraph 1 of the Law defines domestic violence as any action against someone—especially women—which causes misery or suffering in physical, sexual, psychological, and/or negligence of household including threats to commit acts, compulsion or deprivation of liberty which are against the law within the scope of household (Hartono, 2014). Many other terms used for more specific criteria, such as violence in courtship (e.g. Tisyah & Rochana, 2013; Cook-Craig et al., 2014) and sexual intercourse violence (e.g. Banyard, Moynihan, & Plante, 2007; Salazar, Vivolo-Kantor, Hardin, & Berkowitz, 2014), but term will be used later in this paper is *domestic violence* which includes some of those things.

Domestic violence in Indonesia as in other parts of the world was already occurred frequently. Not a few academics that went to the field investigating the phenomenon surrounding the domestic violence that happened in Indonesia. As the result, a variety of violence, especially that of physical and psychological, found to be occurred in various regions of Indonesia. From a population of 217 million, 11.4 percent of them (or about 24 million women population), especially in rural areas, confessed that they had experienced violence, and mostly in the form of domestic violence such as assault, rape, abuse, or a cheating husband (Kompas, 27 April 2000, as cited in Windiani, Astuti, Fitriyah, & Hermini, 2013), and it's only a very small amount number compared to what should be reported. During the last three years, approximately 100,000 domestic violence cases were reported; in 2011, a total number of 113,878 cases reported with a record of 97% violence cases committed by husbands (Komnas Perempuan, as cited in Aisyah & Parker, 2014).

In the identification and prevention efforts, a variety of risk factors has been identified. For example, the identifications showed that what affecting in the husbands' side are age, education and psychosocial behaviors such as the tendency to get angry, fighting and drinking alcohol; while on the wife's or female's side, the influencing factors are economic (in)dependence and the viewpoints on traditional gender norms (Hayati, Hogberg, Hakimi, Ellsberg, Emmelin, as cited in Hayati, Eriksson, Hakimi, Högberg, & Emmelin, 2013). These factors, especially the traditional viewpoints of

gender norms, greatly hinder the identification and prevention of epidemic prevalence of this violence. For example, the Makassar women are required to maintain their family honor (*siri*). If they disclose their husbands' violent attitude then it will destroy the dignity, so that the women will be punished or considered shameful (Aisyah & Parker, 2014). Another example is the Javanese women, that in the same reasons they have to preserve the norm of *njaga praja*, that is to maintain the honor of husband and family, so that they should keep silent to the public for the violence acts committed by their husbands (Djohan, as cited in Hayati, Eriksson, Hakimi, Högberg, & Emmelin, 2014).

Violence is an attack (assault) to both one's physical and mental/psychological integrity. Violence against humans can be occurred due to a variety of sources; one of which is violence that derived from gender assumptions. Such violence is called "gender-related violence" which is essentially caused by the inequality of power in society. There are many reasons why the dignity of women has been being abused or experiencing harassment. One reason is the socially constructed stereotype. Stereotypes are labeling of certain parties that always lead to harm to others and cause injustice. One of the stereotypes is the stereotype derives from the gender assumption. That is why many forms of injustice towards gender (which are mostly women) originate from the attached stereotype. It is also a very discrediting condition of women. For example, there is a view that what was said by men is regarded higher than what was said by women because the men's position and dignity are greater, as well as several other conditions.

Every country has his/her own gender issues, just the same with Indonesia. However, the eradicating efforts in some countries have surpassed the prevalence of the occurred domestic violence. The intervention target is diverse, but the micro-conventional means such as providing counseling, seminars and protest against gender inequality have been viewed as "old fashioned" and thus abandoned. Many breakthroughs from creative campaign efforts that proved to be effective out there, but unfortunately it has not been all optimized in Indonesia.

The bright side in those dark facts is that not all Indonesian citizens remain silent facing the chronic domestic violence against women. Many parties opposing the violence even have tried to do intervention to fight against this problem. A community that has been quite active in conducting this prevention action is the college students' environment, particularly that of Psychology Department. This article was written with the purpose to expose the efforts and interventions programs conducted during October 2014 to January 2015, by the authors from Bina Nusantara University, Psychology Department against the gender injustice based on the PATH intervention model by Buunk and Van Vugt (2013). Three intervention solutions analyzed in this article, namely: 1) Enable the passive observer (i.e. bystander); 2) Stop the women objectification, and 3) Stop verbal violence against women. Hopefully, it will later bring benefits to the community and practitioners in the form of ideas, enlightenment and encouragement for joining initiatives to fight against gender inequality.

2. Methods: PATH Model of Social Intervention

The three of intervention solutions discussed in the descriptive article implemented by using a PATH model which are *P*roblem, *A*nalysis, *T*est and *H*elp. This model is an intervention model developed by Abraham P. Buunk and Mark Van Vugt (2013). There are four stages namely Problem definition formulation (Problem), Analysis and problem explanation offering (Analyze), Developing and testing process models (Test), and Implementing interventions (Help). At the stage of Problem, it speaks out of the development of the problem definition appropriate to the faced problems. The strategy is to answer the six key important questions, i.e. 1) "*What*'s the problem?", 2) "*Why* is it a problem?", 3) "The problem is *for whom*?", 4) "What are the possible *causes* of these problems?", 5) "Who is the *target* group?", and 6) "What are the *key aspects* of the problem?". Once they are summarized into an appropriate discourse, then the intervention process moves to the analysis step.

In the analysis phase, the first thing to do is to specify the outcome variable, or a single variable to be changed in order to achieve the objectives of the intervention. Outcome variables can be variables of specific behavior, attitude, cognition, and affection that are relevant to the issues and be sustainable. After determining the outcome variable, then the Divergent Phase is held. It aims to provide as much as possible explanations to the problem by using free association method, or observations and interviews, or theoretical approaches. After various explanations have been made, then it continues on Convergent Phase which aims to reduce repetitive, irrelevant and invalid descriptions. The next stage is testing, which is the construction of a process model as the representation of the explanatory variables (obtained from the analysis) and their relationships therein with the outcome variables.

The last is the assistance (help) stage, as an intervention stage that is getting ready to implement the intervention. Firstly it has to frame the magnitude effects of explanatory variables that play roles in influencing the outcome variables. Then the methods of selection are made to have the best strategies and delivery lines that are match to the outcome variable. Only then, intervention is implemented by mapping the flow of design, implementation, and execution.

169 **3. Activate Passive Bystander**
170
171 *3.1 Problem*
172
173 In the case of Indonesian domestic violence, which is increasingly in the prevalence, it demands surrounding participation
174 of the bystander to take part in the prevention. Unfortunately, many studies have reported that not many individuals who
175 witnessed (i.e. bystander) or obtain domestic violence incident information lend their hands to help the eyewitness
176 victims, even when the number of people who witnessed were beyond the performer of violence. It is called the
177 "bystander effects" or observer effects (*what*). If the domestic violence victims are reluctant to report the crime offenders,
178 and even more difficult for the offender to surrender or stop conducting the violence, then the only hope for the victim is
179 the person(s) who witnessed the incident trying to prevent and helping the victims from the physical and emotional injured
180 risk. If the observer effect is not eliminated, the cycle of violence obviously will not stop and the victims will continue to be
181 exposed with the oppression risk, even in the public (*why*). It is certainly very harmful to the victims and causing sorrow to
182 people who can actually help but did not take the action (*who*).
183   The reason behind the bystander effect is the diffusion of responsibility to help among those who witnessed. There
184 may also be a distant relationship between the observers and the victims. The more spreading of the responsibility and
185 the more distant the relationship between the observers and the victims, then the perceived motivation and empathy in
186 the bystander's side will be lesser so that the probability to take initiative action is also minimal (*causes*). Thus, it is quite
187 wise and pivotal to provide the observers—who can be anyone who witnessed the incident of violence—with the
188 intervention knowledge to take the initiative to intervene against domestic violence (*target*). Problems of the observer
189 effect that hinder the domestic violence prevention is a very serious but, fortunately, solvable problem because it has a
190 concrete and clear psychosocial dimension aspects to be investigated and intervened (*aspects*).
191
192 *3.2 Analyze*
193
194 Based on the definition of the above problems, the outcome variable that is desirable to be changed from the first
195 intervention solution is "increasing tendency of the observer (bystander), who were exposed directly or indirectly to a
196 domestic violence incident, to peform the helping behavior". The first intervention is to analyze the problems using topical
197 strategies, that is to have explanation about the causes of the bystander effect in the context of domestic violence and its
198 relationship with the helping behavior, combined with the general theory strategy using Theory of Planned Behavior (TPB;
199 Fishbein & Ajzen, as cited in Powell, 2011) to explain the reason of an observer to act when confronted with domestic
200 violence. Interventions using bystander approach in the student community meant to improve the helping behavior when
201 witnessing domestic violence.
202   The approach was done based on the idea that people who witnesses the domestic violence incident (or,
203 bystander) is obviously the very important party in the effort of preventing a violence act, such as ensuring that the the
204 violence is reported to the authorities, or ensuring that the violence victims get proper assistance (Planty, as cited in
205 Cismaru, Jensen, & Lavack, 2010). The author also revealed the presence of several factors that influence the helping
206 behavior. One of them is the responsibility diffusion among observers, so that the feeling of responsibility becomes less
207 among them (Darley & Latane, as cited in Koon, 2013; Chevron & Brauer, as cited in Coker et al., 2011; Powell, 2011).
208   The findings of the studies by Banyard, Moynihan, and Plante (2007), Banyard (2008), and Coker et al. (2014)
209 indicated that cognitive and affective factors such as knowledge and attitudes towards violence also plays important roles
210 in the initiation of the relieving or helping efforts. Knowledge and the regarded attitude is closely related to the acceptance
211 and perception of the encountered violence (Lonsway, Cortina, & Magley, as cited in McDonald & Flood, 2012). Webb
212 and Sheeran (as cited in McCauley et al., 2013) also found that one's intention has great influence, especially for men to
213 become active observers. At last, Berkowitz and Daniel (as cited in Powell, 2011) proposed that those factors predicting
214 the helping behavior could be influenced by social norms. Clarke (as cited in Powell, 2011) described that when the social
215 norm is in conflict with situations, such as the norm of "do not interfere other people's problems", then it will give the
216 implication on hesitation and lowering the tendency to help.
217   Theory of Planned Behavior or TPB is used by the authors to include a number of factors (mentioned above) that
218 influence behavior in terms of affective and cognitive factors, social norms, and intention (Fishbein & Ajzen, as cited in
219 Powell, 2011). Thus, to encourage an observer to become active, according to the TPB, is to make a change in the
220 individual's attitudes and beliefs, perceptions of social norms, perceptions of his/her ability to provide assistance, as well
221 as making the change in the attitudes and behaviors embraced by others (Powell, 2011).
222   Finally, this stage also determined the selection of the most likely alternatives to be intervened. The authors

223 decided that among others they are intention, a sense of responsibility, knowledge of how to intervene effectively, and the
224 moderating roles of the social norms.
225
226 ### 3.3   Test and Help
227
228 At the trial phase, the authors made the mapping of variables mentioned above and performed reviews based on the
229 scientific journals for each variable. It was found that the most effective intervention plot (having the largest effect size) is
230 that of the correlation between knowledge and attitude; attitude and the willingness to help (Banyard, 2008); attitude and
231 the intentions to help (Laner et al., as cited in Banyard, 2008) as well as of the relationship between intention and the
232 possibility to help (McCauley et al., 2013). Compilation of the magnitude effects showed that these variables have been
233 the most optimal and feasible variables which are modifiable, so the chosen intervention path targeted these variables.
234 This path was supported by previous studies regarding TPB which is targeting changes in individual's attitudes and
235 beliefs, perceptions of social norms, perception of the individual's ability to provide assistance, and attitudes as well as
236 behavior adopted by others (Powell, 2011) which proved to be quite effective. The next step is to design the interventions.
237   First, the intervention target was set among the students. The reason is because students are among the most
238 educated, most open-minded thinker. Their thoughts are more fluent and their behaviors are easily changed using logical
239 and other appropriate approaches compared to other age groups. Therefore, when they are given appropriate information
240 regarding the prevention of domestic violence, the students are expected not only to change their opinions, but also to be
241 an *upstander*, which is an agent of change that can spread the spirit of violence prevention.
242   Aiming to improve the helping behavior based on knowledge and attitudes, the authors decided to create a
243 *Handbook of Violence Prevention* (HVP; see Figure 1 and Figure 2) containing information about prevention techniques
244 and other details that can raise self-efficacy and build empathy within oneself which would be needed by a bystander in
245 order to transform his/her act to be an upstander. There are various kinds of content, i.e. reminders about prevalence of
246 domestic violence, prevention tips, self-assessment questionnaire of efficacy, methods of how to become upstander, how
247 to give support to victims of violence, centers and numbers to call when the handbook readers are faced with domestic
248 violence. The reader is expected to have better preparations for domestic violence which is getting worse nowadays in
249 terms of quantity and quality.
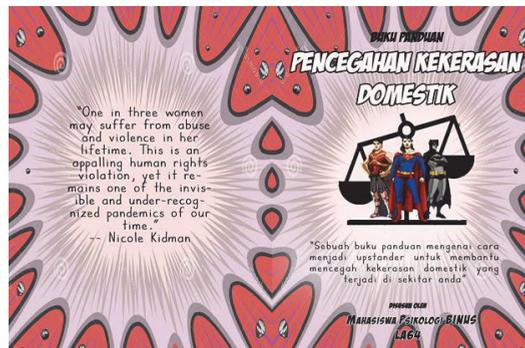
250
251
252 **Figure 1**. Handbook of Violence Prevention

253
254 **Figure 2**. Socialization of Handbook of Violence Prevention through the Seminar on Gender in Justice

4. Fight Against Objectification of Women

4.1 Problem

Over the past 14 years, from 3,627 cases of the revealed women violence, about 26% of them are in dating violence and rape. Those cases are inline with the viewpoint that tends to be more beneficial to the men and degrading the women. The idea has been implemented in the public system, in which the social construction supports the emergence of women objectified behavior (*what*). This viewpoint leads to threaten the women (*for whom*) who often receive aggression act, harassment, and discrimination from the men, such as violent behavior in the interpersonal relationships and even makes the women as the bet objects of the men (*why*). Gender bias that disadvantages women persists due to the social construction that has been implanted in society for centuries, from culture to religion/beliefs verses embraced by the community (*cause*). This has led the existence of prejudice against women by men, thus giving rise to the self-concept to dominate or objectify women (*key aspect*).

The gender bias that leads to the behavior of the objectification of women can be intervened through the implementation aiming at justifying the viewpoint of gender appreciation to the freshmen and sophomores (*target*). It can be conducted by focusing on increasing students' awareness through the delivery of the information by the radio broadcasting of the related topic (*key aspect*). By this intervention method, freshmen and sophomores will have awareness about the "deviated" social construction in the form of women objectified by men existing in the environment, and participate in removing or overcoming of women objectified attitude by men in the society (*target*).

4.2 Analyze

The second intervention solution is more focused on the attitudes and the public opinion towards concept of woman which is affected very much by the patriarchal era, viewing women as "second class" people, objects, not a whole or intact human. Based on the problem definition, goal or outcome variable of the intervention solution would be to reduce behavior sustaining the objectification of women by men. Using the method of association between issues related to the outcome variables (Buunk & Van Vugt, 2013), the authors developed several explanation of women objectified phenomena, namely 1) The presence of misperceptions as well as the demands and influences from the social environmental supporting the objectification, 2) Establishment or formation of self-concept, mindset and attitude towards women, 3) Experience of dealing with women, and 4) Consequences gained from those experiences.

According to the authors, the explanatory variables contributing to these reasons are 1) Social norms, including how we think and behave in general, 2) The self-concept of men who consider themselves superior to women, 3) Establishment of evaluation and description of individual's assessment toward women, or representation of concepts or constructs in the men's head about women, 4) Normative effect that justifies the behavior of women objectification, 5) Conformity to community group which used to objectify the women, 6) Social feedbacks rewarding or reinforcing the objectification responses, such as a sense of control over women, acceptance or inclusion by groups advocating women objectification, and 7) Sense of involvement and unity toward a patriarchal movement. It is proposed that by intervening those variables, the authors are able to reduce the behaviors of objectifying the women.

4.3 Test and Help

Variables extracted from the analysis phase have different effect sizes depending on the outcome variables. Through the mapping of the magnitude effects, the authors obtained four key variables that most influential on the objectification of women that are suitable as the intervention targets. First, the self-concept of man has a large enough effect size on the formation of the descriptive conception of women. Second, the establishment of the description has a considerable influence on the objectification of women. Third, the existence of supporting actions in the form of reinforcement from the environment approving the behavior of objectification. Fourth, conformity occurring within the men making them to easily follow objectification.

To make the effort of the intervention on the basis of that reasoning, the authors chose a path of intervention that is quite effective, namely Radio broadcast. The reason, radio is one medium that is often used by today's society. Regardless of the television popularity, radio is heard everywhere and almost in all circles so that it is effective to be used as an intervention groove. In this intervention, the authors are in collaboration with one of the leading radio of a private university in Jakarta (*BVoice Radio* by Bina Nusantara University; hear also www.bvoiceradio.com site). The target is the entire listeners, especially students that classified as young people. Strategy and method used is to perform live

309 streaming conversations around domestic violence with the topic about women objectified (see Figure 3). The authors
310 conducted a discussion around the prevalence, reasons and events on women objectified. We argued that the
311 objectification has no justifiable foundation, that the objectification is an totally incorrect attitude and action. The
312 intervention is also supported by the Twitter social media (@BVoiceRadio; see Figure 4); because the radio provided an
313 opportunity for its listeners to ask the authors openly through its Twitter account. The radio also broadcasted the
314 discussion results bit by bit on its Twitter account.
315

318 **Figure 3.** BINUS Psychology Department @BVoiceRadio Campaigning Gender Equality

322 **Figure 4**. Twits about Violence Against Women at BVoice Radio

324 **5.   Stop the Verbal Abuse**

326 *5.1   Problem*

328 Violent words (verbal abuse) are all forms of speech acts that have the nature of insulting, yelling, cursing, scolding and
329 frightening by spending inappropriate verbal words which bring out effect on violence causing a very harmful to the victim,
330 whether physically or mentally. The research results conducted by Rifka Annisa Women's Crisis Centre (Rifka Annisa,
331 1995) on domestic violence towards 262 respondents (wives) showed that 48% of wives experienced verbal abuse, and
332 2% experienced physical violence. Although it may not have a physical impact, verbal abuse can damage women
333 psychologically. According to Risman (as cited in Dani, 2006), verbal abuse may cause deeply injuries in the lives and

feelings of children more than the rape.

According to Suryakusuma (as cited in Ribka, 1998), the psychological persecution effects for many women are more severe than the physical effects. Fear, anxiety, fatigue, post-traumatic stress disorder as well as eating and sleeping disorders are long term reactions of violence acts. It has to be anticipated that by the verbal violence, those symptoms will keep on existing in women, even can also be contagious to other parties. As in regard of the society norms, the use of addictive stuff and the contradictory perspectives in gender roles between involved parties were affecting very much the verbal violence.

Men are the most potential party to do verbal violence against women. It is mostly found on the issues of verbal abuse in dating, household, as well as in the daily life of the community. Thus, the main aspects that should be improved are the perception and attitude of the verbal violence actors, especially men.

5.2 Analyze

Based on the problems formulated above, the outcome of intervention that was determined by the authors is to reduce verbal violence against women. It is expected that by intervening it, the communities, especially men, understand the negative impacts that would arise from the verbal violence behavior and will not do verbal violence in the future. Using free association method (Buunk & Van Vugt, 2013), the authors presented several possibilities of description for this problem. First, there is a sense of superiority by men about their gender positions. Second, the presence of cognitive distortion or dysfunction, which is the viewpoint that women indeed should be the subject of derision. Third, the release of aggressive drive or resentment by self-satisfying ill verbal acts. Fourth, many examples of verbal abuses that occurred in the community so that they had been regarded as "natural".

There are also the roles played by the variables included in the Social Identity Theory (SIT; Tajfel, 1978) explaining prejudice, discrimination, social change and conflict between groups. The authors explained that in this verbal violence issue, the phenomenon of social categorization of men and women having different social gender identifications occurs. According to those differences, men/males and women/females divided into in-group and out-group. In this case, verbal abuse toward women happened following what was described by Burke (2006) as a self-enhancement and positive distinctiveness strategy done by the men's in-group members. Men use verbal violence to increase the sense of superiority and to distinguish themselves from the group of women with the reason of maintaining the men's self-esteem and dignity. This occurs due to the lack of adequate understanding and empathy about the consequences of verbal abuse (thus it is considered as natural), and lack of awareness about the worthy of genuine self-esteem, dignity, and about the way to defend them correctly and healthily.

5.3 Test and Help

The authors moved on from the idea based on the analysis results stating that the main cause of verbal violence by men is a negative perception against women that lead to discriminatory act such as the transformation of violence against women into verbal attacks. It was also caused by the lack of awareness of the adverse effects of such behavior. Iskandar (2010) found that the greater positive attitude toward gender discrimination, the higher the tendency of verbal violence. Paramita (2010) also found a positive correlation between the levels of knowledge and the behaviors of handling a problem. The lack of awareness of a poor act or habit causes the higher opportunity of (re-)doing that kind of act.

In the intervention, the authors wanted to implant certain self-concept to the verbal abuser. The process is to choose a path of intervention that attracts attention, which can be taken anywhere and stimulate people's contemplation, i.e. on the Shirt and Pin. Through thought provoking words printed in the shirt and pin, the authors wanted people to pay attention to the content of the clothes wherever he/she goes. Good and simple design will make people interested and think. Sentences to be printed were "*Words can kill*" or "*Words can hurt or heal*" and "*What did you say today*?" (see Figure 5).

The target of intervention is among college students and young adults because numbers of the verbal violence behavior are committed among them respectively. In addition, because of open-mindedness nature of the students, it is anticipated as easier to raise an awareness of the right mindset about social group identity to the students. The strategy is the "fear communication" so that people are aware that verbal abuse is totally wrong and has serious destructing impacts. Through the using of the pin, it is expected that when they go anywhere using those attributes, many people will read it and internalize the message.

388
389 **Figure 5**. Shirt and Pin for Social Intervention
390

391 **6. General Discussion**
392

393 The three interventions discussed above are stand out parts of many other interventions against gender-based violence
394 in Indonesia. Considering the high prevalence of violence case and the increasing of discriminative behavior incidences,
395 all of the three have indeed stimulate actions to address the factors of the developing gender discrimination, particularly
396 against women.
397 First of all, from the last two interventions, it was indicated that there were certain fundamental mindset factors
398 among males, e.g. perception toward women as objects, contributing to gender injustice. Women as materials of bets,
399 object of derisions, objects of social exchanges, among others are situations containing reminiscences about the
400 primordial societies in ancient times. In the modern era, it is no longer "functional" and should be destroyed so that not
401 only gender justice and humanitarianism will be achieved, but also that kind of old-fashioned mindset to not inhibit the
402 growth of appropriate moral thoughts.
403 Second, in terms of behavior, violence that is more widespread in every day's life of women is not physical
404 violence, but verbal. In the midst of the remaining law's treatment toward physical violence, because of the great law
405 enforcement pressure from the social, the verbal abuse becomes a new alternative channel of aggressive compensatory
406 behavior. Based on the mindset of women as an object and inferior sex, women are associated as the weak, stupid and
407 just a composition of reproductive organs thus are not as worth as men in any field, so that many things done by women
408 are considered wrong, untrue and inappropriately "manly". Then ridicules, insults and anger by the "ancient patriarchal
409 advocates" appeared in the public.
410 Obviously, many people are aware of both issues (that women are object and inferior sex), but regardless of how
411 many cases are being reported, how many hundreds of agencies and organizations formed to eradicate violence, those
412 kinds of mindset and treatment will not disappear entirely. That is because the agencies and organizations are only the
413 secondary prevention, or prevention happening when violence has occurred. Therefore, this article shows that it needs to
414 invite persons other than the "usual advocacy instances", namely those who can prevent *anytime, anywhere* before the
415 violence began, to take their significant roles to prevent the violence against women. The person might be a figurant, an
416 observer who is aware of the existing violence. He/she can be anyone, such as bus passengers, passers-by, neighbors
417 and even one's own friends. They are expected to become the active upstanders against the abusers. They are the
418 source of pivotal social support and encouragement for the victim to pass through and encounter the abusers, especially
419 in high urgency, when the victim feels hopeless.
420 This article was written on the awareness of the importance of the violence eradication mindset and behavior as
421 well as how we all, every one of us other than the victim and offender, can stop it. Based on this reasoning, it is expected
422 for the future that many emerging interventions and scientific studies will combat the domestic violence, starting from
423 attacking mindset of objectification, eradication of verbal abuse to the alliances with upstander.
424

425 **7. Conclusion**
426

427 This article have shown that verbal abuse, objectification attitudes, and apathy towards the witnessed violence can be
428 coped by giving messages through social media, radio media, every day's clothing attribute such as shirts and pins that
429 can be carried anywhere. A Handbook of Violence Prevention gives insight, knowledge, and sensitivity to the surrounding
430 people about the actual and potential domestic violence incidents. This handbook also provides assistance and support
431 to the (potential) victims. This article calls the readers to participate or to initiate the creative violence prevention

campaigns as much as possible.

However, intervention programs designed in this article is still lack of considering the indigenous cultural context, especially that of the indigenous traditions and local values maintaining gender-based violence. Before the intervention, it is advised for the future researchers to conduct preliminary studies mapping the traditions and values. That intervention would be done not only based on "pure psychological science", but also by combining it with strong cultural anthropological views. Especially in Indonesia in which the majority still maintains strong values and traditions, it is urgent to pay attention to social norms fertilizing prejudices against women. The preliminary research would resemble an analysis conducted by Sev'er and Yurdakul (2001) concerning honor killing, i.e. the murder of women (no matter what age) by amorphous reasons, that is attributed to be close with a system of religious beliefs controlling women held by rural population in Turkey.

8. Acknowledgment

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Phenomenon of Mass Culture: Problems and Controversies

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Abstract

The authors' subject of investigation is mass culture as a phenomenon. Material achievement is one of the reasons for the dominance of popular culture, because the quality of its products is measured by commercial interest. That's why the philosophy of mass culture is a philosophy of material success. The authors determine other characteristic features of mass culture and differentiate mass culture of industrial society and mass culture of postindustrial society. They highlight all dangers that exist in the development of mass culture and underline the importance of ethnic cultures' keeping. Modern popular culture in its global modern form is a system of values, lifestyle, style and way of thinking of the American cultural model. Each ethno-national identity has its own mentality, values, traditions, customs, in contrast to mass culture, elusive, and based on technological progress, and on the desire to please an audience. We should keep ethnic cultures. The authors note that the solution of this problem depends on the content of future generations, generations of civilization of the third wave.

Keywords: Mass culture, industrial society, mass media, clip-culture, communication.

1. Introduction

1.1 Actuality of a Problem

1.1.1 Methods of Investigation

The theory of education, with its cult of the equality of all religious traditions and the formation of the doctrine of rationalism formed the basis for the idea of a man being a self-sufficient creature. Medieval philosopher and catholic priest R. Guardini writes that a medieval individual «was absolutely less than God, but certainly more than any other creature, he was obedient to the will of the highest standing, and he directed all his energy to the spiritual domination about the world" [8, p.134]. The institutes of education and the era of modern times destroyed in his soul a sense of God. This era of modern times, namely the industrial civilization, formed a kind of mass consumer, owner of permissiveness. The technological revolution allowed mankind to make quite a few vital discoveries, but at the same time, advances in science and technology shaped the utilitarian idea of boundless faith in human thinking. Too much was connected with logic and rationality. We can say that one of the major mistakes of mankind is the predominance of the rational method of cognition as the only correct. This faith in mind led to another lurch of the industrial age. It is the loss of human being's moral and spiritual sense. One of the most serious defects of modern man's civilized consciousness is the sense of self-superiority over all alive and approval of the right of his domination on the Earth. So, R. Atfild sees the cause of many global problems in faith in progress. [1]. R. Atfild writes that according to Bible, "God cares for the welfare of all live, not just human, and people have to take care of nature, they have not to destroy their integrity under the own needs" [1, c.132].

But the man who had proclaimed himself Master on Earth, alone with himself remained weak and needing psychological protection. This function was performed by the religion. In the new age religious traditions had been destroyed, and function of protection had been transferred to mass culture that created and gave a man a new illusionary world.

In order to make conclusions concerning the phenomenon of mass culture we use a special historical method in our investigation as social and cultural processes of each social stage (industrial or postindustrial) determine the attributes of the phenomenon of mass culture. Also we use systematical method as it helps to produce the analysis of the problem from different points of view.

2. The Historical Aspect

For the first time in philosophical works and socio-psychological research in the end of the 19th century and the turn of the 19th and 20th centuries phenomena of mass culture, elite and elite culture have been digested. One of the first scientists, who had put the question of a completely new type of culture, was representative of the German philosophical school H.Herder. He differentiated the notions "culture" and "culture of the people." "Culture" is nothing more than a simple culture, not requiring any special conditions (education, training); A. Schopenhauer and Nietzsche sufficiently substantiate terms "mass" and "elite" culture.

A. Schopenhauer sees humanity consisting of "benefit" people who can only play, and "people-genius of artistic and creative activities" [18]. Nietzsche bases the idea of the "Super-human", an aristocrat with a spirit of creativity, aesthetic sensitivity [14]. The majority of mankind are defective men, slaves and instrumentalities, and it's possible to sacrifice their lives for the sake of the future. This is Nietzsche's thought in this context.

N. Berdyaev also talks about the interplay of elite culture and mass culture, true culture and civilization. He believes that "only an elite needs a high culture, but masses of humanity need only secondary culture" [4]. According to his position the authentic culture can be created only by tribal elite, the aristocracy. Neither bourgeoisie, nor proletariat can do it.

These ideas are close to a famous Spanish philosopher Ortega-and-Gasset, the founder of phenomenon of mass culture and mass character. Popular culture, as he believes, is the mass culture of the perceptive person living in a box of delights, in the conviction that society and the state must satisfy his desires [15]. The man of the masses is the social type of personality and psychological phenomenon. He believes, that social origin does not determine the nature and level of education. He writes that you can meet exceptional characters in the work environment also. The mass man is limited, stereotyped, standardized. At the same time, he needs a world of fantasies and illusions, where he escapes from the complexities of the world. Freud, founder of psychoanalysis, also tries to address mass as a phenomenon in terms of emotional attachment, love. He proves that Eros and Thanatos are positive, erotic and aggressive [6]. The Eros is an instinct of species' conservation. Thanatos is the instinct of self-preservation, and if the first is always positive, the second can be a destructive beginning. Freud writes that the whole human history and sexual desire are closely related to each other. Accordingly, if we analyze the contents of products of modern mass culture, we can say that both of these instincts are reflected in those products.

Works by K. Manheim are also devoted to the problem of mass and mass culture. Mannheim analyzes the problem of mass culture through social, political and economic processes in society [10]. He explains the phenomenon of mass culture by not only the mass' social transformations, but the elite's also. He relates changing of the status of high culture in society with the increase of the number of elite groups, the loss of their identity, mutual neutralization. And all these phenomena happen in a society because of mass democracy.

Since the theory of industrialism was formulated, popular culture as a typical phenomenon of industrial society has become the object of attention of many researchers. The main causes of the outbreak and spread of mass culture are considered to be the following:

- ✓ urbanization,
- ✓ the destruction of relationships and community ties,
- ✓ start of development of civil society,
- ✓ the spread of education.

3. Attributes of Mass Culture

Specialists find the following attributes of mass culture: the dominance of consumerism over the informative-cultural values acquired for the purposes of entertainment as sale items; multiple reproduction of these items and their

111 stereotyping by the latest technical facilities; focus on fashionable forms and advertised styles; stereotyped tastes,
112 intellectual criteria. But opinions about mass culture are different. A number of specialists express the view that
113 standardization that increases the profitability of mass culture, disseminated globally through the media, teaches
114 consumers to the kitsch, to the dictate of fashion and the stereotypes that impede the preservation and development of
115 the intellectual and artistic traditions of national culture and world culture as a whole. This leads to commercialization and
116 integration of mass media with an advertising business because profits, intellectual and cultural activities, social media
117 features are incompatible.
118   In the second half of the 20th century such concepts as "man-locator" (D. Riesman), "one-dimensional man"
119 (H.Marcuse), "self-alienated personality" (E. Fromm) were born. E. Fromm believes that the cause of loneliness of
120 modern man, his alienation from social institutions lies in economic activities, in an attempt to achieve financial
121 independence. Because of capitalism, according to E. Fromm, a man turns into a giant economic machine, "detail", in
122 relation to which it is totally insignificant [7]. The best way to get away from reality, in which a person feels helpless and
123 weak, is a popular culture with its compensatory function. But in this world "the distinction between I myself and the
124 surrounding world disappears"[7]. The central concept of H. Marcuse is that "a resident of modern civilization is ruled by
125 the totalitarian universe of technical rationality". Man, forced into a conformist to adjust to the outside world, has a
126 consumer ideology" [12].
127   D. Riesman binds the change of human characteristics with the shift from internal to external events that come
128 from the surrounding world. A modern man lives like radar, being ruled as a person-Locator [17].
129   D. Bell, unlike their predecessors, systematizes the meaning of mass: the mass as undifferentiated multitude (as
130 opposed to class), characterized by conformism, irresponsibility, loss of individuality; mass as a synonym to ignorance,
131 dullness; mass as a mechanized society [3].

4. Mass Culture of the Information Society

4.1 Mass Culture and Mass Media

137 According to D. Bell, mass is the majority of the population, and popular culture is available to them. But popular culture
138 of 1990-2000s is definitely different from mass culture of 1950-1980s. Many scientists write that mass media determine
139 the development of modern mass culture. According to a well-known Canadian researcher in the field of mass media, M.
140 McLuhan, the decisive factor of the particular socioeconomic system is a generative change of ways of communication
141 [11]. Type of society is largely determined by the type of communication, human perception and speed of broadcasting of
142 information. In particular, in the history of civilization McLuhan identifies three main stages:
143   1)   prewriting primitive culture with oral forms of communication and information based on the principles of a
144   collective way of life;
145   2)   writing-print culture ("the Gutenberg Galaxy"), replacing collectivism by individualism;
146   3)   modern stage where communication takes place on an electronic basis, using the television broadcasting
147   network.
148   By means of mass media a modern man finds himself in a situation of "plurality of worlds and cultures". McLuhan
149 distinguishes television, which is characterized by the following characteristic features: building television picture mosaic
150 representing the whole world as a set of unconnected messages among themselves; resonance of these messages in
151 the minds of the audience, combining them into a coherent semantic unity.
152   TV communication is a mosaic with a variety of spots and stains. The viewer actively participates in the
153 development of mosaic television, adds his own image, depending on the level of his education, life experiences,
154 attitudes and moods during watching TV shows. With the help of mass media people are capable to estimate and identify
155 themselves.
156   A. Toffler continues to study the culture of the information society in conjunction with mass media. Modern culture
157 is an image production, clip-culture, as A. Toffler denotes it [19]. The main feature of the new reality is a great deal of
158 information, modern man often does not have time to handle it properly. In such conditions, according to American
159 futurologist, we follow a natural transition to a new type of information-adapted person. In the new society a culture
160 adapts itself by individual consumer needs. The level of culture is different in comparison to the civilization of the second
161 wave (industrial): popular culture continues to exist to meet the needs and desires of the population's majority, but the
162 elite culture is beginning to play the role of cultural reference. This phenomenon Toffler denotes as demassification of
163 culture.
164   M. Castells believes that the terms "mass" and "popular culture" exist in the informational society, but in a modified

165 version [9]. Cultural industry, according to M. Castells, is focused, firstly, on the economy of common sense. Secondly,
166 new economic format is standardized, which means the unification of the cultural product. Thirdly, mass culture still has
167 the function of psychological protection as a man always needs some "holiday". The phenomenon of mass culture
168 continues to exist in the informational society in the form of the entertainment industry, as well as in areas associated with
169 a standardized way of thinking. Another researcher of the phenomenon of mass culture in modern society is a Franco-
170 Italian philosopher U. Eco. He believes that the main problem connected with changing of the way of information is not
171 the extreme of its visualization, but subjects' capacity to critical perception [5]. U. Eco believes that in the nearest future
172 the society will be composed of representatives of visual culture and elite. Representatives of visual culture will not be
173 able to check information and prefer to get ready patterns. The elite will be able to select and use information.
174 According to Eco, the modern culture creates a virtual space that is simultaneously real and illusory. This is a unity
175 of signs duplicating world. This process of copying, however, is a necessary element of perception of the subject,
176 because the world outside of the signs does not exist. Any symbolic world for Eco, whether photos or movies, is a coded
177 reality allowing the subject to design the world around himself. . Toffler states that critically thinking citizen of the third-
178 wave civilization, has the ability not to analyze but the ability to synthesize.
179 The famous French philosopher and sociologist A. Mol acknowledges, like many other researchers, that "the
180 nature of contemporary culture is mosaic, collected from individual pieces" [13]. "You have to get used to the idea that
181 we are surrounded by a mosaic culture, this culture determines our actions." Mole thinks "mosaic culture" is the
182 cumulative product of abundance of all kinds of knowledge and the technical means of mass communication. He writes
183 that it would be wrong to attribute to culture only works of art, culture – semantic or aesthetic facts of everyday life.
184 We should, of course, accept Mol's conception that culture is the set of all sorts of phenomena, when one occurs
185 on the place of another, previous one disappears, like a computer text. Thus, we deal with picture puzzle. At the same
186 time, as each puzzle, a modern popular culture is not a genuine reality. It's a fictional, artificial reality.
187 J. Baudriard presents popular culture as a culture of hiperreality [2]. He calls the unit of non-genuine sense of
188 culture a "simulacrum". Baudriard's main idea is that we're trying to understand as the manifestation of reality only the
189 image of reality. "Simulacrum" denies reality, hides it. At the same time, the reality is the only thing that does not exist. At
190 the first stage of its existence simulacrum reflects deep reality, on the second stage it disguises reality, on the third stage
191 it disguises the absence of deep reality, on the fourth stage it fully breaks with reality and becomes in fact a simulacrum.
192 After the formation of the simulacrum the exchange between characters and reality ends: characters interact only with
193 each other and form a hyperreality consisting of the characters. Baudriard sees a wide variety of events and phenomena
194 as simulacrums and finds their virtuality, because they are filled with meaning only because of their perpetual
195 repeatability. Modern mass media, according to Baudriard, replace reality, substitute it.
196 Another problem of creativity of J. Baudriard is corporeality. He believes that the rampant sexuality in modern
197 popular culture is a sign of disease, is the common binge. But the modern popular culture imitates, simulates the
198 eroticism. It's possible to change this quality of culture only by practice of bans of various kinds.
199 The Russian researcher V.Podoroga also appeals to the modern mass culture [16]. He differentiates three strata of
200 mass culture: culture of labour (this includes everything that is determined by saving human efforts in time-space); culture
201 of memory (this culture can be described as "high"); culture of leisure time (the main strata, from the author's point of
202 view, presents entertainment, popular culture).
203 Podoroga notes that modern popular culture or culture of entertainment gradually subjugates high culture. "High
204 culture" is destroyed, ceases to exist as an independent phenomenon, it is marginalized. High culture products are forced
205 to adjust to the wishes of the masses. To survive high culture tries to serve the taste of crowds. What we call mass
206 culture is not a culture, it's an environment in which some cultures live, other cultures are transformed and others begin to
207 evolve rapidly. And world culture will become the global media in the nearest future.

5. Perspectives of the Development of Culture

5.1 Resume

213 We shall try to draw some conclusions what are the perspectives of the development of culture and humanity in general.
214 The main content of human activity, of course, has always been a culture as the product of creativity. Meanwhile
215 the disproportion between cultural values, traditions of spiritual life and technological level are clear now. Obviously, a
216 special type of public formations is made.
217 Technosphere is the mechanism required for the integration of humanity within a single communication network.
218 But at the same time tehnosubstance requires a huge amount of energy in the biosphere to sustain its operation. And as

a result we see a substantial transformation of biosphere: natural landscape is transformed, thousands of species are destroyed or found on the verge of extinction, the atmosphere is changed, we follow "greenhouse effect".

V. I. Vernadsky writes that the man destroys the balance between nature and person by his actions [20]. As a result - the alienation of a man from nature.

The technogenic civilization has put a man into the difficult conditions of existence. Today the moral right is the right of one person; everything is based on the private interest. Material achievement is one of the reasons for the dominance of popular culture, because the quality of its products is measured by commercial interest, i.e. high or low ratings. And so the philosophy of mass culture is a philosophy of material success.

The pursuit of success, striving for complete independence requires a lot of efforts, both physical and emotional. In this situation protective psychological functions of mass culture are easily explained.

Thanks to modern mass media, as well as a number of other technical means, popular culture creates a new virtual reality, substitutes a genuine one. And we deal with contemporary mass culture - Baudriard's simulacrum.

Mass culture is a set of individual episodes, fragments, clips. But these are features of popular culture of the informational civilization when everyone builds his own fragments of a "picture-puzzle". And high culture disappears according to many researchers. If elite culture is destroyed under the pressure of mass, the culture of the future will remain unchanged and will continue to bear the aggression and the satisfaction of personal desires and needs of the public.

It's necessary to note here about keeping of ethnic cultures in many ways. Cultural unification by means of today's mass culture is partly mitigated by the diversity of forms in which it exists. And we follow high plasticity and adaptability, flexibility, the ability to retain its essential quality with significant external transformations. We can say that today's popular culture has different variants: American, Japanese and Russian.

Russian variant is an unusual mixture of folk culture (ethnic music groups), copies of Western examples of mass culture (talk shows) and adopted for masses high culture (film adaptations). This variant can lead to the end of the whole Russian culture as real cultural phenomena and values disappear in this situation. Discussing this problem in Russia we cannot say anything about regional features. We find there some examples when people try to keep their ethnic values, but new generations don't follow their traditions, as the influence of mass media is too great. And mass media spread only Western examples of mass culture, stereotyped and standardized.

Mass culture is a planetary phenomenon, caused by the growth of high technology and information space. But still, it would be a mistake to equate a mass culture based on the intercultural integration and globalization on the basis of stereotyped patterns. That's why in the second half of the 20th century a trend of cultural differentiation disappears. Not only respect for other cultural traditions and values, but also the awareness of his own traditions and values should be a condition for the further development of intercultural communication and intercultural dialogue. And modern popular culture in its global modern form is a system of values, lifestyle, style and way of thinking of the American cultural model. Each ethno-national identity has its own mentality, values, traditions, customs, in contrast to mass culture, elusive, and based on technological progress, and on the desire to please an audience. The solution of this problem depends on the content of future generations, generations of civilization of the third wave.

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Identification of Perspective Transborder Clusters of Russia and Kazakhstan

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Abstract

Under conditions of globalization and political transformation of the world, a further economic, political, and cultural integration of Russia and Kazakhstan is expected. Most of the Russia's population associate the further development of the country with the Eurasian economic community. This is not by accident. In 2012, a single economic space was created that included Russia and Kazakhstan. One of the effective tools of improvement of competitiveness of developing economies under conditions of globalization is transborder clusters. Thus, a special interest goes to identification of spheres, into which the potential clusters of Russia and Kazakhstan in transborder regions could form. That is why, using the methodology of the European cluster observatory, we shall present in this article the evaluation of the spheres in which the formation of the clusters takes place. This would clarify the consequences of scenario of stable growth and integration of economies of neighboring countries into the single economic space. One of the discoveries of this article shows that statistical evaluations prove that economies of Kazakhstan and Russia are not ready for global expansion of regional competitiveness on the basis of cluster development; there is a significant asymmetry in the structure of spheres from the perspective of formation of transborder clusters.

Keywords: integration, transborder regions, Eurasian economic space, cluster, modern Russia.

1. Introduction

In 2015, the Internet Projects company conducted a poll, the results of which showed othat most of the respondents (77%) consider Russia to be a Eurasian country that follows its own path of development. At that, 42% would prefer Russia's orientation at cooperation with its Asian neighbors and the "East" in general. And only 29% of the respondents wish for Russian to cooperate closer with countries of Europe and with the USA, and for closer integration with the "West".

The fact that clusters are tools of competitiveness of economy both in countries with developing economies and in countries with developed economies is recognized by many scientists. It is possible to present a variety of examples of transborder clusters in the USA, Canada, and countries of Western and Eastern Europe. Recently, the programs of clusters' support were adopted in Russia and Kazakhstan. As is well-known, the countries of the former Soviet Union are distinct for their attraction to paternalism – they are marked by (though, based on market principles) development from "above", not from "below". This means that programs and plans are often perceived as orientations, necessary for implementation.

The goal of this article is identification of the spheres, in which the potential transborder clusters in Russia and Kazakhstan might form in future. In order to achieve this purpose, it is necessary to do the following: determine the best methodology for identification of clusters, gather all necessary statistical data, and conduct empirical calculations and analysis of obtained results. The results of identification of perspective transborder clusters of Russia and Kazakhstan are very interesting for a wide circle of readers: researchers of regional and international processes in economy, representatives of public authorities which are indulged in the issues of development of regional economic policy and international cooperation. The article's conclusions as to tendencies in the formation of transborder clusters will be useful for the Russian and Kazakh entrepreneurs and businessmen of other countries which work or plan to work with the markets of Russia and Kazakhstan.

Russia and Kazakhstan's trade is very active. While in Russia most of the regions use the cluster technologies for

57 the development, this process is only beginning in the regions of Kazakhstan. Therefore, main calculations will refer to
58 regions of Kazakhstan.

59   Russia and Kazakhstan actively conduct the international trade between each other. It is obvious that transregional
60 trade would have more volume in future if two neighboring regions with low barriers for mutual trade perform the
61 complementary development, supplying scarce goods, products, and services. This traditional approach is described in
62 the works of many scientists (e.g., Porter, 1986). The motivation for resource, merchandise, and informational exchange
63 between regions is the presence of competitive advantages and difference of potentials. In the process of globalization,
64 followed by lowering of barriers for exchange of resources and goods, a gradual aligning of potentials should be taking
65 place. This is manifested in the fact that migration of cheap labor force to other territories may lead to its deficit and,
66 consequently, to increase of payment for labor. However, that is not a usual state of affairs: instead of expected deletion
67 of differences, they actually grow against the background of separatism, increase of interest towards self-identity and
68 traditions of the country. The extreme variant of this situation – dissolution of the territories into several independent
69 states (R. Robertson, 1992).

70   Despite the discussions, there remains an obvious fact that transregional trade of boundary regions grows within
71 the frames of transborder clusters. Here the potential transport costs are the lowest ones, and the stable connections as
72 to exchange of knowledge and competencies form under condition of open borders. The border is a very important factor
73 of evolutionary path of transborder cooperation.

74   That is why it is very interesting to identify and compare the potential clusters in transborder regions of Kazakhstan
75 and Russia.
76

2. Local Development of Boundary Regions of Russia and Kazakhstan

78

79 Kazakhstan has the longest common border with Russia and borders on the largest number of Russian regions. The
80 common border with Russia constitutes more than 7,000 km. Twelve Russian regions (Astrakhan, Volgograd, Saratov,
81 Samara, Orenburg, Chelyabinsk, Kurgan, Omsk, Tyumen, Novosibirsk Oblasts, Altai Krai, and the Republic of Altai) of
82 four federal districts (Southern, Volga, Ural, and Siberian) have common borders with Kazakhstan.

83   GRP of Russian near-border regions reaches 20% of the Russian Federation's GDP and constitutes 40% of the
84 Republic of Kazakhstan's GDP. From Russian side, in 12 near-border regions near Kazakhstan there live about 26 million
85 people. From Kazakh side, in 7 regions, which border on Russia, there live 5.8 million people.

86   Kazakhstan is one of the closest allies of Russia. Thus, in 2013, the poll conducted by Levada-Center showed that
87 Russian considers Kazakhstan the second (28%) in the list of allies, after Belarus (34%). The third place was taken by
88 Germany (17%), and the fourth – by China (16%).

89   The close cooperation between Russia and Kazakhstan is supported by preservation of economic connections
90 between enterprises, which have formed back in Soviet era, by favorable institutional conditions (law, the Customs Union,
91 Common Economic Space), rational logistics, and absence of language barrier.
92

3. Review of Literature and the Methodology

94

95 Nowadays, the economists offer a variety of methods for identification (Table 1).
96

97 **Table 1.** Methods for clusters identification.

Methods	Level of use/ object of research	Advantages	Disadvantages
Statistical (complex of special indicators)*	Meso/ type of economic activity, sector	Availability of statistics, simplicity of calculation	Risk of getting the incomplete information
Expert poll	Micro/ company	Adaptability, universalism	Labor intensity, verifiability
Multisectorial qualitative analysis (MSQA)	Meso/ type of economic activity, sector	Simplicity of calculation	Risk of getting the incomplete information
"Costs-output" as to material flows (IO)	Meso, micro/ type of economic activity, sector, company	Detailed data	Use of outdated information
Theory of graphs, network analysis (NA)	Meso, micro/ type of economic activity, sector, company	Visualization	Abstraction
Unclear sets	Meso/type of economic activity, sector	Flexibility	Difficulty with collation of information and justification of probability
Correlation-regression analysis	Meso, micro/ type of economic activity, sector, company	Possibility for modifications	Risk of false connections

98   Compiled on the basis of the source (T.R. Gareev, 2012), *-added by the author

At that, the identification of clusters remains one of the main problems of the cluster approach. As a rule, two basic approaches for clusters identification are discerned. The first approach of identification from "below" supposes the identification of the circle of cooperating enterprises which are combined on the basis of a single technological chain or technology. In this case, as a rule, the enterprises-leaders and members are already known; analysis of their cooperation allows building the network in the cluster (L.S. Markov, 2013). The significant drawbacks of this approach are labor intensity and closed nature of information from the side of enterprises. Most often this approach reveals an already existing large cluster: a big enterprise of the country's or region's sphere with a network of suppliers and contractors. As a rule, this enterprise's demand for personnel is already supplied by education establishments which train the qualified specialists.

When it comes to implicit clusters (so called "protoclusters"), which are probably at the stage of formation, the approach from "above" is used. This approach is based on the use of statistical methods of identification of specific types of activity, within which the spatial localization of industries takes place. A timely identification of these types of activities and industries is required for development of measures of advance nature for the formation of clusters.

The defining factors of clusters' effectiveness are possibilities for mutual use of technologies, infrastructure, and intellectual resources and knowledge, as well as demand. At that, M. Porter recommends to divide clusters into two types: trade and local. While local clusters serve only local markets, the trade clusters are oriented at serving the markets in other regions and countries. In this regard, the presence of trade clusters in the region might be an important factor of competitiveness and innovational development (M. Porter, 2003).

With that, the identification, like the further analysis of the cluster, is associated with a variety of problems: borders of the cluster (cluster localization), connections between the companies within the frames of mutual use of a single technology, technological interconnection of spheres (M. Porter, 2003).

Indeed, a significant problem, which hinders the realization of clusters as a tool of socio-economic development, is defining the borders of the clusters. This issue led to the appearance of the whole sphere – identification and cluster mapping.

The absence of unified approached to defining of clusters led to discussion about their classification.

T.R. Gareev, drawing upon generalization of a variety of works, including Porter's, recommends characterizing clusters through five "Cs":

– concentration (geographical) as a basis for formation of cluster on the territory;
– competition between companies, which facilitates the creation of dynamic network of internal suppliers;
– horizontal and vertical cooperation, ensuring the creation of specialized infrastructure around the cluster;
– communication, aimed at the promotion and formation of the cluster's brand;
– competence of labor resources of the cluster in the profile sphere of the cluster's activity on the given territory (T.R. Gareev, 2012).

The author notes that specifics of the above criteria cause methodological difficulties due to the vagueness of formulations and subjectivity of evaluations.

However, in our opinion, this matter is not limited by the terminology of the notion – it lies in its very sense. A cluster, as an open self-organizing system, is not limited by the territorial limits. Very often the cluster's borders do not coincide with administrative and territorial borders. Some specialists even think that it's impossible to determine the borders of a cluster (A.B. Drozdov, N.V. Drozdova, 2008). Another important condition is the fact that a cluster exists in a certain institutional environment which influences it directly. As the institutional environment in the countries with different types of economy differs substantially, this means that the path of cluster's development will be different in developing countries and countries with developed market economy. It is necessary to take into account the institutional features of clusters (A.E. Shastitko, 2009). The specific nature of clusters in a different economic system is proved by its institutional nature (T.R. Gareev, 2012).

That's why we agree with the statement that analysis of a cluster requires, besides statistical methods, the use of comparative analysis which takes into account the institutional nature of economic system, in which the cluster exists.

The necessity for consideration of influence of institutional environment was pointed out by L.S. Markov, who gives the following definition of a cluster: "a self-organizing system in economy, one of the most important parameters of which is the structure that is mutually dependent on the institutional environment" (L.S. Markov, 2014).

It is possible to discern two general approaches to the identification of a cluster: statistical and diagnosis of closeness of connections in a cluster by means of qualitative analysis. At the same time, it is possible to state that in the case of identification of protoclusters, the most effective is the statistical method – as the identification of economic ties between potential members is almost impossible due to their weakness or absence. The next important issue is the

152 complex of estimated figures of the potential cluster.
153 Within the statistical approach it is necessary to calculate the figures which characterize the spheres with the
154 largest proportion in the total volume of the region that shows a good dynamics of development and perspectives of trade
155 with the external world. The European cluster observatory conducts the identification and analysis of clusters solely on
156 the basis of statistical data about regions and spheres. The observation indicators are the following:

158 *3.1   General indicators*

160 – Employees – total number of employees in the sphere, people. Here it is necessary to evaluate the dynamics
161 of the quantity of employees for the past 3 years.
162 – Number of enterprises in the sphere and the dynamics of this indicator for the past 3 years.
163 – Number of employees per enterprise in the sphere;
164 – Average wage at the enterprises of the sphere.

166 *3.2   Agglomeration*

168 – Observatory star rating – assigned (from 1 to 3) based in the agglomeration parameters. Maximal number of
169 stars (3) is assigned if the cluster is inside the top ten in the given category as to the size, the level of
170 specialization is no less than 2, and the cluster is inside the top ten as to the weight parameter. In this case, a
171 star is assigned for each parameter.
172 – Size of the cluster – is estimated as a ratio of number of employees in the given cluster to the number of
173 employees nation-wide.
174 – Specialization – according to recommendation of the European cluster observatory, it is determined as a ratio
175 of the proportion of employees in the region's cluster to the proportion of employees in the similar sphere on
176 the average in the country.
177 – Focus of the cluster in the region – ration of the number of employees in the cluster to the total number of
178 employees in the region.
179 For the Russian practice, it is possible to calculate almost all of the above indicators, except for "number of
180 enterprises" and "number of employees per enterprise".
181 In American practice, statistical indicators, including the ones for estimation of connection with related spheres, are
182 used.
183 Developing his own approaches to the identification and analysis of a cluster, in 2014 M. Porter and his colleagues
184 from Harvard Business School, M. Delgado and C. Stern, offered to pay more attention to evaluation of connection to
185 other related spheres, because the trade cluster, as a driver of regional development, creates a basis for development of
186 subsets of local clusters (educational, medical, etc.) (M. Porter, M. Delgado, C. Stern). As a rule, the trade clusters are
187 presented by a group of related spheres, connected by a high level of qualification, by technologies, offer, demand, and
188 other possible connections. In 2014, Delgado, R. Bryden, and S. Zyontz grouped 778 spheres into 51 clusters in the USA
189 (M. Delgado, R. Bryden, S. Zyontz, 2014). The authors of the research noted that trade and local clusters, despite their
190 difference, are complementary to each other. Trade clusters feature less employees than local clusters, but trade clusters
191 are "responsible" as a driver of development of the region by means of creation of innovational production and provision
192 of larger wages. According to 2009 data, the trade clusters in the USA provided 36% of the number of employed
193 population and 91.2% of the total number of patents (Table 2).

195 **Table 2.** Comparison of trade and local clusters in the USA, 2009 (%)

	Clusters	
	Trade	Local
Employment	36	64
Volume of sales	50.5	49.5
Patents	91.2	0.5

198 **Source:** Delgado M., Bryden R., Zyontz S. Categorization of Traded and Local Industries in the US Economy.

200 Complementarity of trade and local clusters can to the fullest extent be seen on the basis of the analysis of employment

201 indicators, as the trade and local clusters create demand for certain professions.
202   Let us discern the criteria for cluster identification:
203   1. The sphere has 50% and more enterprises with average of 10 employees. This criterion allows discerning
204   regions with a vivid structure, in which the most of the enterprises are small.
205   2. The second criterion allows discerning the second case and determining the clusters with a coefficient of
206   employment in the sphere is 25% and more. This criterion allows determining regions and sphere with a high
207   level of concentration and specialization.
208   3. The third, and last, criterion is used for evaluation of the level of differentiation between the coefficient of
209   localization with 90% and the coefficient of localization with median that exceeds 1.5 for this sphere. This
210   criterion allows covering the spheres with a high level of differentiation of localization coefficient, but low
211   concentration. According to the authors (M. Delgado, R. Bryden, S. Zyontz, 2014), this criterion helps to
212   identify the trading activity in the spheres which in the current state cannot be referred to trade or local
213   clusters.
214   In the classical theory of clusters, the geographic borders are one of the basic characteristics – still, it is difficult to
215 determine them. However, there are researchers who deny this condition and, what is more, declare the problem of
216 excessive closeness. Thus, R. Boshma considers that, together with insufficient closeness, there might be issues of
217 excessive closeness which hinder the appearance of innovations (R. Boshma, 2005). Geographic proximity of economic
218 entities has an essential meaning for local clusters – but not for trade clusters, as the first type is connected to the
219 territory, while the second type may include members which are situated behind the limits of administrative and territorial
220 boundaries.
221   In regard of cooperation of Kazakhstan's regions, the general idea of this article is presented in Figure 1 and
222 consists in the fact that under conditions of creation of the Eurasian Economic Community, the competitiveness of
223 Russia's and Kazakhstan's economies will be increased by formation of transborder clusters:
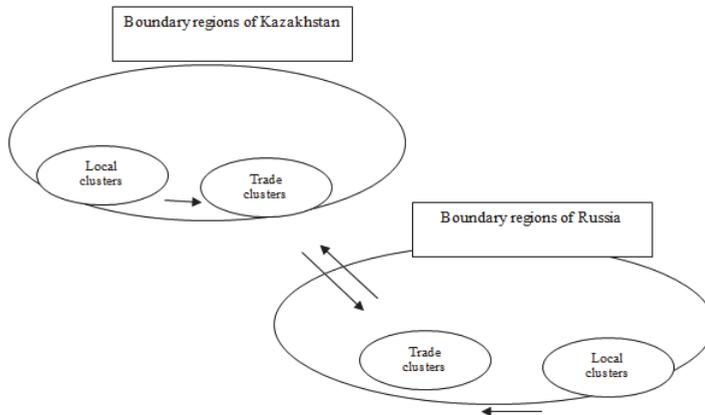
226 **Figure 1.** Scheme of cooperation of boundary regions under the conditions of clusters' development

228 At that, trade clusters are drivers of international trade, and local clusters serve the boundary regions of Russia and
229 Kazakhstan. As was mentioned above, the modern practice of cluster identification uses, as a rule, diagnosing of the
230 closeness of connections in a cluster by means of qualitative analysis or statistical method. In our case, it is impossible to
231 use the first method, as clusters in Kazakhstan – in modern market understanding – are at the initial stages, and cluster
232 policy is at the initial stage of development and implementation. That's why we chose the statistical method.
233   While using the statistical method for identification of clusters, the main issue is the content of indicators.
234 Generalization of methodological approaches allows concluding that for identification of potential clusters in Kazakhstan,
235 it is advisable to use the complex of the following statistical indicators:
236   1. Employees – total number of employees in the sphere, pax. Here it is necessary to evaluate the dynamics of
237   the quantity of employees for the past 3 years.
238   2. Number of enterprises in the sphere, and the dynamics of this indicator for the past 3 years.
239   3. Number of employees per enterprise in the sphere.

240   4.   Average wage at the enterprises if the sphere;
241   5.   Size of the cluster – is estimated as a ratio of number of employees in the given cluster to the number of
242   employees nation-wide.
243   6.   Specialization – according to recommendation of the European cluster observatory, it is determined as a ratio
244   of the proportion of employees in the region's cluster to the proportion of employees in the similar sphere on
245   the average in the country.
246   7.   Focus of the cluster in the region – ration of the number of employees in the cluster to the total number of
247   employees in the region. This indicator is important for determining the weight of the given sphere in the
248   region's economy.
249   For the identification of the cluster type (in M. Porter's terminology), let us supplement the complex of indicator with
250 the following criteria:
251   The average number of 30 employees at an enterprise shows that the sphere includes mainly small enterprises
252 and characterizes the potential cluster as a local one.
253   The coefficient of employment on the sphere equals 25% and more; it shows the high specialization in the region
254 within one, or rarely two, central clusters – which could have a role of a trade cluster for the region.
255   The choice of the statistical method of clusters identification and the above mentioned indicators is reasoned by
256 the following:
257   Firstly, official statistical offices in Kazakhstan (Statistic agency of the Republic of Kazakhstan) conduct the
258 gathering of all information, required for the calculation.
259   Secondly, the given indicators, offered by the scientists of Stockholm School of Economics, recommended
260 themselves and are widely used at present time for the identification and further monitoring of the clusters by the
261 European cluster observatory, covering the countries of Europe. The results of the calculations might be used for the
262 comparative analysis as to similar indicators[1]
263   Thirdly the presented complex of criteria and indicators is enough for identification of clusters and their type.
264
265 ## 4.   Types and Sources of Data
266
267 For the identification of potential clusters in Kazakhstan, the following public data of official statistic offices were used:
268 Committee on statistics of Kazakhstan, regional Departments of statistics. The research covers the following regions:
269 West Kazakhstan Region (WK), East Kazakhstan Region (EK), Atyrau Region (AT), Kostanay Region (KO), Aktobe
270 Region (AK), Pavlodar Region (PA), North Kazakhstan Region (NK) for the period of 2010-2013. As the emphasis was
271 put on the study of potential clusters of local development of Kazakhstan's regions, the gathered data was divided into
272 fourteen main sectors: Agriculture, forestry, and fish industry (AGR), Minerals industry and quarry development (MI),
273 Manufacturing industry (MAI), Building (BU), Wholesale and retail trade, consumer services (WRT), Transport and
274 logistics (TL), Services on accommodation and meals (SAM), Information and connection (IC), Financial and insurance
275 activities (FI), Operations with real estate (RE), Professional, scientific, and technical activities (PST), Education (ED),
276 Healthcare and social services (HCC), Art, entertainment, and rest (AER). These spheres correspond to the official
277 document General classifier of types of economic activity (Civil Code of the Republic of Kazakhstan 03-2007), which
278 allows providing a single approach and discerning the potential spheres for the formation of a cluster. Of all the spheres,
279 the most coverage is provided by Minerals industry and quarry development (MI) and Manufacturing industry (MAI). Thus,
280 MI sphere includes extraction of minerals as well as supplementary types of activities for the purpose of preparation of
281 raw material for realization. Similarly, the Manufacturing industry (MAI) covers the spheres of industry and manufacture of
282 any products – from oil processing to food products. The data on clusters of regions of Russia that border on Kazakhstan,
283 are a generalization of official government data, presented in the strategies and programs of regional development, and
284 on the official sites of regional authorities. The results of the calculations will be the basis for the further specification and
285 identification of specific clusters.
286
287 ## 5.   Empirical Results and Analysis
288
289 Tables 1 and 2 of Appendix A shows the dynamics of quantity of employees and dynamics of quantity of enterprises in
290 boundary regions of Kazakhstan.
291   Quantity of employed in the Agriculture (AGR) reduces rapidly in all boundary regions of Kazakhstan, while the

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[1] *Preserving the comparability as to indicator of average wages, which is calculated in EUR in the European cluster observatory.*

292 quantity of enterprises remains the same or increases, which proves the outflow of labor resources from this sphere and
293 reduction of sizes of enterprises.
294   From the perspective of formation of potential clusters, the most interesting are the spheres with the highest rates
295 of growth of employee number and good dynamics of enterprises' quantity.
296   In the Minerals industry and quarry development (MI) sphere, the highest rates of employees number growth are
297 observed in Pavlodar Region – given that in 2013 there were 20,000 employees in this sphere. Among the boundary
298 regions, the highest number of employees at the enterprises of minerals industry is observed in East Kazakhstan Region;
299 still, here the increase of the quantity of enterprises is observed, as well as of the quantity of employees.
300   The leadership as to the quantity of employees in Manufacturing industry (MAI) belongs to Pavlodar region –
301 97,000 people. At that, the quantity of employees used to be stable, and only in 2013 there was an increase of the
302 number of employees by 4%. The number of enterprises, on the contrary, reduced by 2% after the previous growth in
303 2011 and 2012.
304   In all boundary regions of Kazakhstan, the dynamic growth of quantity of employees and enterprises is peculiar for
305 Education industry (ED). That is a positive sign, as this is the sphere where the basis of potential for knowledge, skills,
306 and experience of the employees is established.
307   In Table 2, the results of calculation of clusters' size are presented.
308
309 **Table 2.** Cluster size
310

	WK	EK	AT	KO	AK	PA	NK
Size of the region as to the labor potential	0.037	0.083	0.033	0.059	0.048	0.049	0.038
AGR	0.039	0.087	0.006	0.091	0.027	0.045	0.068
MI	0.024	0.089	0.063	0.111	0.122	0.079	0.003
MAI	0.024	0.124	0.031	0.043	0.043	0.176	0.025
BU	0.039	0.063	0.066	0.026	0.049	0.018	0.010
WRT	0.032	0.077	0.022	0.070	0.062	0.038	0.029
TL	0.028	0.077	0.049	0.045	0.066	0.052	0.037
SAM	0.027	0.078	0.052	0.021	0.038	0.011	0.025
IC	0.031	0.049	0.039	0.046	0.044	0.086	0.023
FI	0.036	0.055	0.035	0.026	0.044	0.093	0.022
RE	0.039	0.094	0.040	0.069	0.057	0.014	0.031
PST	0.038	0.088	0.085	0.029	0.055	0.063	0.018
ED	0.241	0.076	0.035	0.046	0.054	0.043	0.042
HCC	0.021	0.093	0.028	0.048	0.039	0.060	0.035
AER	0.015	0.084	0.035	0.042	0.037	0.116	0.031

311
312 The first table entry shows the size of the region as to the labor potential. The largest boundary regions as to the labor
313 potential are East Kazakhstan and Kostanay Regions, having 8,3% and 5,9% shared, respectively. The scale of other
314 boundary regions does not exceed the share of 5%.
315   The regions with developed Manufacturing industry (MAI) are East Kazakhstan and Pavlodar Regions. The size of
316 the MAI cluster in East Kazakhstan Region is 0.124, in Pavlodar Region – 0.176. East Kazakhstan Region is situated in
317 the north-east of the republic. The region borders on the Russian Federation and the People's Republic of China. The
318 leading sphere in the region's industry is black metallurgy, the share of which in the total potential of the region
319 constitutes about 55% and which is almost completely exported. The spheres of machine building and metal processing,
320 forestry and wood processing, light and food industry are also rather developed. The leading sphere of Pavlodar Region
321 which provides more than 70% of the manufacture industry production is metallurgy and metal processing. A significant
322 place in the economy of Pavlodar region belongs to Minerals industry and quarry development (MI) – 0.079.
323   The size of the MI cluster is rather high – 0.111 – in Kostanay Region and Aktobe region – 0.122. The size of the
324 ED clusters in West Kazakhstan Region – 0.241 and AER clusters in Pavlodar Region – 0.116 – should also be noted.
325   Table 3 shows the results of calculation of specialization of boundary regions of Kazakhstan.
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330

331   **Table 3.** Specialization of boundary regions.

332

	WK	EK	AT	KO	AK	PA	NK
AGR	1.058	1.049	0.176	1.554	0.560	0.914	1.782
MI	0.641	1.073	1.945	1.890	2.532	1.618	0.072
MAI	0.652	1.502	0.939	0.730	0.894	3.612	0.657
BU	1.059	0.761	2.032	0.438	1.019	0.360	0.268
WRT	0.866	0.928	0.667	1.196	1.283	0.780	0.747
TL	0.771	0.934	1.509	0.771	1.376	1.067	0.963
SAM	0.740	0.940	1.594	0.355	0.792	0.223	0.663
IC	0.835	0.592	1.206	0.781	0.906	1.771	0.598
FI	0.979	0.665	1.061	0.443	0.916	1.906	0.574
RE	1.055	1.139	1.239	1.181	1.184	0.279	0.818
PST	1.040	1.069	2.607	0.495	1.140	1.288	0.456
ED	6.538	0.923	1.063	0.776	1.118	0.881	1.104
HCC	0.563	1.125	0.871	0.809	0.816	1.223	0.906
AER	0.414	1.014	1.066	0.713	0.774	2.376	0.817

333

334   High values of sectorial specialization of regions are observed in West Kazakhstan Region in the ED cluster (6.538), in
335   Pavlodar Region in the MAI (3.612) and AER clusters (2.376), in Atyrau Region in the PST cluster (2.607) and in Aktobe
336   Region in the MI cluster (2.532).
337   Table 4 shows the evaluation of clusters' focus in boundary regions of Kazakhstan.

338

339   **Table 4.** Focus of the cluster in the region.

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	WK	EK	AT	KO	AK	PA	NK
AGR	25.592	25.388	4.258	37.602	13.545	22.107	43.112
MI	1.864	3.121	5.660	5.499	7.366	4.707	0.210
MAI	4.171	9.602	6.002	4.665	5.718	23.092	4.199
BU	8.152	5.860	15.645	3.375	7.851	2.771	2.062
WRT	12.701	13.598	9.775	17.530	18.803	11.436	10.951
TL	5.118	6.199	10.017	5.122	9.135	7.082	6.394
SAM	1.201	1.525	2.585	0.576	1.284	0.362	1.075
IC	1.295	0.918	1.871	1.211	1.405	2.747	0.927
FI	1.580	1.073	1.712	0.715	1.478	3.077	0.926
RE	1.295	1.398	1.521	1.449	1.454	0.343	1.005
PST	2.212	2.273	5.543	1.052	2.423	2.738	0.970
ED	13.902	9.941	11.450	8.358	12.043	9.495	11.887
HCC	6.066	5.578	4.317	4.010	4.047	6.061	4.491
AER	2.054	1.271	1.335	0.893	0.969	2.977	1.024

341

342   The cluster's focus in the region, which is calculated as a ratio of cluster's employees to the total employees in the region,
343   characterizes the weight of the given sphere in the region's economy.
344   The data of Table 3 shows that in many boundary regions, most of the population is concentrated in the agricultural
345   sphere. The AGR cluster has a large weight in North Kazakhstan Region (43.112), Kostanay Region (37.602), West
346   Kazakhstan Region (25.592), East Kazakhstan Region (25.388), and Pavlodar Region (22.107).
347   Table 5 shows the spheres in boundary regions of Kazakhstan, in which the average number of employees at
348   enterprises is less than 30.

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358 **Table 5.** Average number of employees at enterprises is less than 30.

359

	WK	EK	AT	KO	AK	PA	NK
AGR	>30	>30	>30	>30	>30	>30	>30
MI	>30	>30	>30	>30	>30	>30	13
MAI	>30	>30	17	28	>30	>30	29
BU	22	20	12	14	15	7	11
WRT	21	15	>30	22	18	11	15
TL	>30	>30	>30	>30	>30	>30	>30
SAM	>30	>30	29	>30	>30	12	>30
IC	>30	25	27	28	>30	>30	>30
FI	6	13	11	11	>30	>30	9
RE	9	7	22	13	11	2	4
PST	16	16	>30	8	14	18	11
ED	>30	>30	>30	>30	>30	>30	>30
HCC	>30	>30	16	>30	>30	>30	>30
AER	>30	>30	2	>30	25	>30	20

360

361 Analyzing the data from the table, it should be noted that boundary regions of Kazakhstan feature a typical situation,
362 when small enterprises are concentrated mostly in the sectors of the service sphere, and their joint activity is a basis for
363 the formation of service protoclusters. The industry spheres are presented by small enterprises only in several regions
364 with clear agricultural specialization. In North Kazakhstan Region - minerals industry and quarry development. In Atyrau,
365 Kostanay, and North Kazakhstan Regions – manufacture industry.
366 A coefficient of employment of 25% and more was mentioned above as yet another important criterion, which
367 shows a high level of specialization on the region within one, or less often, two central clusters. Such clusters, according
368 to the specialists of M. Porter's school, may become the trade clusters for the region. As Table 3 shows, this criterion is
369 fulfilled only in Agricultural industry (AGR) in West Kazakhstan (25.6%), East Kazakhstan (25.4%), Kostanay (37.6%),
370 and North Kazakhstan Regions (43.1%).

371

372 **6. Conclusions and Consequences for the Policy**

373

374 The conducted calculations showed that only the clusters of the agricultural sphere correspond to all necessary criteria of
375 traded clusters in West Kazakhstan, East Kazakhstan, Kostanay, and North Kazakhstan Regions. The potential
376 protoclusters with good perspectives are production of oil-refining products and metallurgy.
377 However, in order to make the conclusions and evaluate the consequences for the policy of boundary regions, it is
378 necessary to supplement the conducted analysis with the information regarding the clusters which already exist or are at
379 the stage of formation in boundary regions of Russia and to compare them with Kazakhstan's protoclusters.
380 Figure 2 shows the clusters of boundary regions of Russia and Kazakhstan. In some boundary regions of Russia
381 and Kazakhstan there are signs of development of the clusters of one sphere.

382
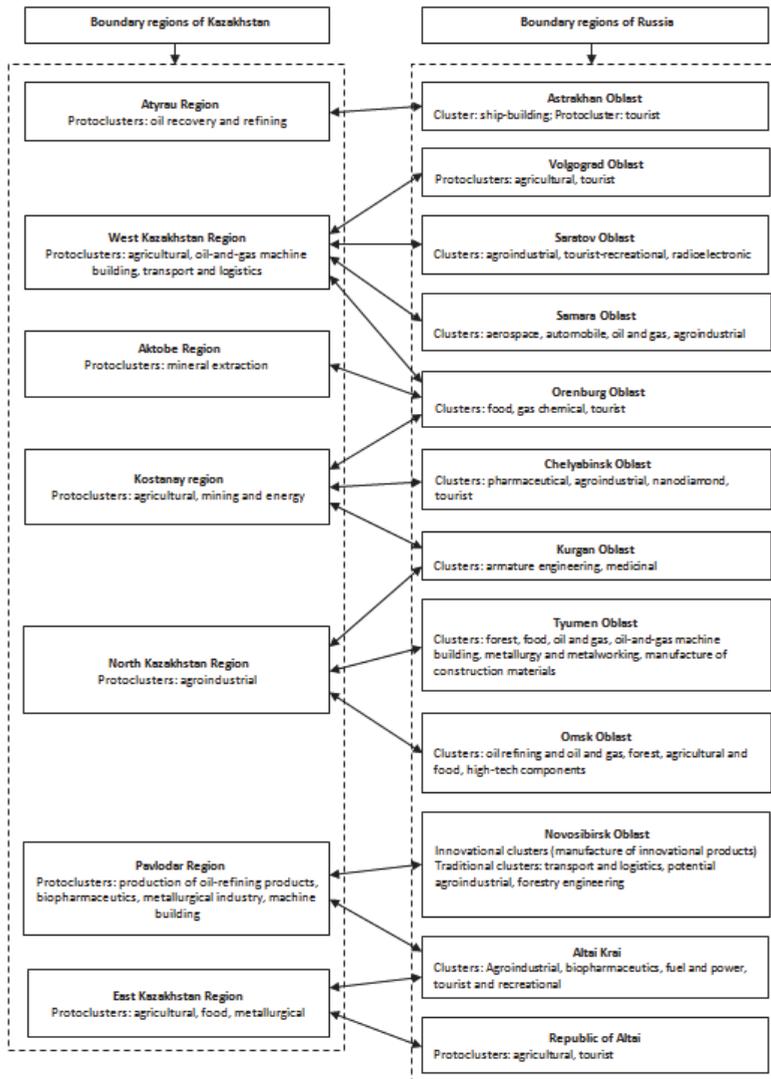
Figure 2. Clusters of boundary regions of Russia and Kazakhstan.

The governments of Russia and Kazakhstan should take that into account and, under condition of common economic space, prepare the measures for the improvement of cluster initiatives of development of cooperation as to formation of transborder clusters. Thus, it is advisable to develop transborder agricultural clusters from the Russian side in Altai Krai, Republic of Altai, Chelyabinsk, Omsk, Orenburg, Saratov, Samara, and Volgograd Oblasts, and from Kazakhstan side – in East Kazakhstan, Kostanay, North Kazakhstan, and West Kazakhstan Regions.

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Relationship of Job Satisfaction and Turnover Intention of Private Secondary School Teachers

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Abstract

Job satisfaction and turnover intention are matters of concern related to any organization. This study aimed to examine the relationship of job satisfaction and turnover intention of private school teachers. This study was descriptive in nature. All the teachers (13764) working in private secondary schools in the district Rawalpindi and Islamabad were the target population of the study. 860 teachers were randomly sampled. Standardized Questionnaires i.e. Job Descriptive Index (JDI) and Turnover Intention Questionnaire (TIQ) were used as instruments of this study. Independent sample t-test and Linear regression analysis was used for the analysis of data. Findings of the study suggested that pay and continuance commitment was dominantly affecting the turnover intention of the school teachers. The study concluded that there was a strong relationship between job satisfaction and its indicator (pay) with turnover intention among private secondary school teachers. However, it was found that promotion, work itself and supervision showed moderate relationship with turnover intention among the teachers. It was recommended that private schools should make comprehensive policy, program of teacher deployment, their continuous professional development through an academy of education with international linkages, incentive-based schemes, involvement of community and building up public private partnership.

Keywords: Job satisfaction, Turnover intention, private secondary school teachers

1. Introduction

Educational organizations are the most important social institutions in a society. They carry an effective and directive position in a social setup. They are interdependent and grow effectively. Effectiveness lies in their perfect coordination in the direction of social expectations. The adequate organizational formation is inevitable for their effective delivery. Consistent policies must be based on scientific and technological developments. Besides, the skillful professionals with healthy working conditions do add to the efficiency of these organizations. They aim directly at fulfilling the social needs. The most important input of any organization is undoubtedly the human being. He is to be nurtured for the great cause. Formation of an accomplished personality forms the criterion of an educational organization in this endeavor (Allen et al., 2003). A lot of discussion had been undertaken by the researchers all around the world on the issue of job satisfaction. The dawn of industrialization added to the enthusiasm for research on this topic. With the passage of time, the studies on this issue were broadened to all kinds of organization. The field of education had then taken the form of an organization which started attracting the researchers to undertaken the study focusing job satisfaction of the employees therein. The objective had been to make the job more dynamic and efficient. Regarding this, the teachers especially of secondary schools, were vitally studied. Secondary education has got a great value which demands to facilitate the teachers with all possibilities in order to keep them satisfied with the status of their job (Ali, 2011). Job satisfaction has now been a well studied topic regarding science and behavior. It attracted many scholars in the field. There had been a lot of fruitful discussions on this during last half century producing a well number of articles published internationally (Zembylas & Papanastasiou, 2006). These studies had been conducted in the developed countries such as United States of America, United Kingdom, Canada, Australia and New Zealand. However, some researchers in Pakistan also undertook such studies producing much literature in this area. It would take a long for developing countries to follow the developed ones closely regarding researches on job satisfaction of teachers. The improvement of performance in schools totally depends on teachers' job satisfaction. Their motivational services are only possible when they are satisfied with their employees leading to efficient and effective outcome (Mbua, 2003). This involved that school teachers' motivation

would enhance the students' learning positively. On the other hand, the unsatisfied teachers could never produce good results and affect the students' performance relatively. Thus, it has significantly become necessary for the employees in the field of education particularly consider teachers' job satisfaction and motivation for uplift of their organizations. The intention to leave any organization and with complete willingness is called turnover intention (Tett & Meyer, 1993). In other words, turnover intention exactly means actually quitting from some job (Ongori, 2007). Turnover intention was an emotional variable of the trend to leave any organization (Janseen, 1999). It had been pointed out in many researchers that one of the major intentions of turnover are turnover intentions (Abdulkadir, & Orkun, 2009; Lee & Mowday, 1987; Michaels & Spector, 1982; Mobley 1982). These were various predictors like demographic factors, employees' attitudes and human resources practices. These were examined by the turnover intention. The demographic factors included age, gender, marital status, academic qualification and experience (Chen & Francesco, 2000; Thatcher et al., 2002). Turnover intention had got negative relationship with gender, age and tenure which went on consistently (Farkas, 2000). It was reported after a survey on teachers' motivation and job satisfaction in deferent Asia and Sub-Saharan African countries that there was influence of teachers' job satisfaction on their performance related by absenteeism, lateness and lack of commitment to their organization (Bennell & Akyeampong, 2007). It is significantly noted that teachers' job satisfaction influenced students of all schools at every level. Besides, this was equally important for teachers as civil servants, educational managers and employees. This also predicted teachers' retention and a contributor school effectives (Shann, 2001). Yet another study highlighted that there were many factors associated with the higher rates of turnover. Among them, there were inadequate support from school administration, student discipline problems, limited faculty input into school decision making and low salaries (Ingersoll, 2001). Therefore, a few studies had been undertaken on the role of different job dimensions on organizational commitment especially in the Pakistani private sector education. Therefore, it was aimed in this study to determine the relationship of job satisfaction and turnover intention. The focus was on the teachers of rural and urban areas of Islamabad and Rawalpindi.

2. Review of Related Literature

2.1 Job satisfaction

Job satisfaction is the ultimate feeling of the people after the performance of the task. It refers to the extent that the work meets the basic needs of people, and is consistent with their expectations and values, and will be working satisfactorily. Job satisfaction level appears to be related to various aspects of working practices, such as accidents, absenteeism, turnover and productivity. Most studies have shown that low staff absents were more satisfied with their work. They are more likely to let their employees work more satisfied. The job satisfaction is said to be the strongest indicator of intention (Martin, 2007) of turnover. There is a close relationship between employee satisfaction and turnover relationship. If I drop employee morale and job insecurity there, he is likely to leave the organization (Loveday, 1996).

2.2 Indicators of job Satisfaction

A comprehensive evaluation of literature that identifies the indicators of job satisfaction include: salary, work itself, and coworkers (Robbins, 2005). Similarly, you have enough tools, and capital, and educational opportunities, and the burden of reasonable work on a significant impact on job satisfaction factor (Ellickson & Logsdon, 2001). Other scientists to identify the source of job satisfaction in the position of the work, and relationships with the staff, and monitoring, and the company's strategy and support, salary and promotion and advancement (Shah & Jalees, 2004). Work, pay, promotion and supervision are a few of the major determinants of job satisfaction (Luthans, 2005).

2.3 Pay

Job satisfaction has a very close link with the salary. It rather is directly proportional to the latter. The quality of education can be improved if the teaching performance is given certain incentives by the academia for education excellence (Marginson, 2003). Work reward is in different forms like pay or bonuses for the workers (Dessler, 2005). It was the reinforcement theory which became the basis for the classic performance. This theory aimed at affiliating the performance with pay premising on the methods of organizational behavior adjustment. This is the structural phenomenon within which worker behavior are measured according to the outcomes of their performance. The value of reinforcement helped in developing interference (Perry et al., 2006). Compensation has its effects on job satisfaction in each of the workers in the private and public sector systems (Getahun et al., 2007).

2.4 Promotion

With regard to the opportunities for improvement, someone needs to progress, responsibility, participation, and associated with all the hard work, safety, holidays and currency to wage system preference (Herzberg, 1974). People tell the first three wishes, known as the motivating desires, for the benefit of system performance more than individuals pay and a reduction in these needs updated policies and practice to provide opportunities for personal development, more jobs and increased social status. When a person receives the correct update, which is often a real assessment, it gets kind of recognition and thus job satisfaction. It also amplifies the perception of workers to the excellence of their work and improves both job satisfaction and organizational commitment (Luthans, 2005). Workers who have a valuable opportunity to show the evolution of a high degree of participation in the labor desires to seek such compensation. Of course, if workers do not see the development opportunities realized, they will miss this result. Despite condemnation for various reasons, and the hierarchical nature of isolationism and civil service systems of the countries provide transparent internal progress and expected (Manzoor et al., 2011).

2.5 Work itself

The regulatory environment is a decisive impact on both production and workers happy. Its effect is so strong that it can overcome the effect of driving the front line properties (Beach, 1998). Scientists mention that job satisfaction of workers is more dependent on environmental factors, rather than the characteristics that therefore require better working atmosphere mode (Tella et al., 2007). Research shows that cases of poor working negatively affect job satisfaction (Tsigilis et al., 2006). According to Rahman et al., (2009), job satisfaction is determined by how often meet or exceed expectations well. Such policies and practices convince indirect motivation and satisfaction. If strictly enforce health and safety programs that can staff and supervisors give a great sense of protection against industrial accidents and health hazards (Werther & Davis, 1999). Therefore, the measurement of the work environment is one of the most important job satisfaction factors. It is also in a broader meaning and implication as it is made from both visible and invisible variables (Bodla & Naeem, 2008; Manzoor et al., 2011).

2.6 Supervision

Results affiliation between organizational factors and job satisfaction, the greater the perception in directing people in style more control is job satisfaction (Saiyadain, 1996). From the organizational point of view monitoring is a key factor in both performance and behavior management systems. Monitoring is an important element in the payment and rewarding systems, and conduct effective supervision is a key element in this type of performance systems and a secure job satisfaction for employees (Koh & Neo, 2000). Job satisfaction factor relates to a personal supervisor. Were also found on the public sector (employees) employees to be less likely to consider their superiors as Cooperative (Marginson, 2003). Research shows that the position of senior staff plays an important role in promoting trust and paper, and thus perhaps productivity, for example, will bring a stronger effect on self-esteem through the reactions of supervisors of ideas that suggest staff (Malik et al., 2010). The researches employed that schools with high levels of poverty face a much harder time retaining teachers. Salary is an important factor in these environments. Teachers in schools serving higher concentrations of low-income students earn on average less than one-third of high-income schools. Said these same teachers have fewer resources, experience poorer conditions of work, and the experience of stress at work with students and families with a wide range of needs (Darling-Hammond, 2003).

2.7 Turnover Intention

The intent of this rotation is one of the behavioral intentions to quit. Intention to leave refers to the probability is seen covered or leave the organization of individuals (Bigliardi, Petroni & Dormio, 2005). Employees with high withdrawal of the organization's intentions, which would set up a self-organization in the near future, mean they have high turnover intention (Mowday, et al., 1982). Intentions of departing from the occupation are much harder to leave the decision to work (Ballou, 2000). Intention to leave also reflects the likelihood that the person his/her job change within a certain period of time and immediately precursor actual turnover (Park, 2009).

Ajzen (1991) researchers such as Igabaria (1999) and global warming in the Firth, Mellor, Moore and Loquet (2004) found that intentions were direct determinants of actual behavior. The study found that the behavior of the application is likely he / she will leave the organization (Gregory, 2007). Study of nurses in public hospitals in Korea

165 announced intention cognitive bills are the final step in the decision-making nurse pulling mind and find other employment
166 actively process (Tett & Meyer, 1993). It has been seen that employees have intentions or ideas arranging holidays factor
167 just left the organization (and stop thinking about), and the statements of the employee that he/she really want to leave
168 the organization (intention to leave) (Park & Kim, 2009). However behavioral intention of leaving proved to be a strong
169 predictor of turnover in all sectors, and in theory, it is believed to be an important precedent rotation (Gregory et al.,
170 2007).
171   The intent of the rotation is the last step before the actual turnover occurs. The reason for dissatisfaction with some
172 aspects of the rotation of the individual operating environment (including work, coworkers or organization) or organization
173 with some aspects of the person, such as poor performance or attendance. Therefore, an employee with a high intention
174 to leave the organization can stop his/her occupation (Bigliardi, Petroni & Dormio, 2005). Carmeli (2005) says that
175 previous researchers also acknowledged that the intention of withdrawal has been identified as a strong predictor of
176 actual turnover of staff (Mobley, 1998). Decision to withdraw can also result in the actual rotation set according Mobley et
177 al. 1998; Griffeth et al., 2000. Therefore, the actual importance of organizational turnover affected (Mobley, 1998; Price,
178 2001).

3. Objective of the Study

1. To determine the relationship among the job satisfaction and turnover intention of private school teachers.
2. To examine the relationship between the indicators of job satisfaction and turnover intention of private school teachers.
3. To find out the demographic factors (gender, school location and school category) in terms of job satisfaction of private school teachers.

4. Research Hypotheses

H01: There is no significant relationship between job satisfaction and turnover intention of private secondary school teachers.

H02: There is no significant relationship among the indicators of job satisfaction and turnover intention of private secondary school teachers.

H03: There is no significant difference in the mean scores of job satisfaction and turnover intention according to demographic attributes.

5. Methods and Procedures of the Study

5.1 Design

The study adopted a descriptive survey research design. This is so because this method enabled the researchers to carefully analyze the sampled population with a view to inferring the reasons for the significant relationship in the dimension of organizational commitment on turnover intentions among private schools' teachers in the District Rawalpindi.

5.2 Population

All the teachers working in private secondary schools were the population of the study. There were 13764 teachers working in Islamabad and Rawalpindi.

5.3 Sample and Sampling Technique

Eight hundred and sixty (860) private secondary school teachers in Islamabad and Rawalpindi selected as a sample of the study. The participants were selected by simple random sampling technique from the 160 private Schools in Islamabad and Rawalpindi.

6. Instrumentation

6.1 Job Descriptive Index

The job descriptive index questionnaire was developed by (Smith, Kendall and Hulin, 1969). There were five job satisfaction indicators in the Job Descriptive Index (JDI) i.e. supervision, promotion, pay, work itself and co-workers. But the researcher selected four indicators i.e. pay, promotion, work itself and supervision. There were thirty two (32) statements which were derived from JDI. Each indicator had eight (8) statements.

6.2 Turnover Intention Questionnaire (TIQ)

Turnover Intention Questionnaire (TIQ) was developed by Olusegun (2013). This questionnaire consisted of 8 items. It measured the intention of respondents to quit the organization. Essential amendment was made in the test ensuring face and content validity. The lowest score of one (1) showed that some were seriously taking into consideration for leaving and the highest score of five (5) pointed out that there were some who did not intent to leave at any cost.

7. Results

7.1 H_01: Job Satisfaction on Turnover Intention

First null hypothesis stated that there was no significant relationship between job satisfaction and turnover intention among private secondary school teachers. For checking this hypothesis, linear regression was used.

Table 1. Job Satisfaction on Turnover Intention

Components of the model	R	R^2	P	Non Standardized Coefficients	Standardized Coefficient	t	p
				B	β		
Constant				1.964		4.156	.000
Job satisfaction	0.86	0.75	0.00	0.225	0.869	51.392	.000

Dependent variable: Turnover Intention

Table 4.24 showed that the regression (p = 0.00) was statistically significant, and co-efficient of Pearson (R = 0.86) reflected strong relationship of variables. Similarly, co-efficient of regression (R^2= 0.75) analysis showed that in linear regression model the relationship concluded between dependent and independent variables was stronger than medium. Consequently, 75% independent variable (job satisfaction) prophesied the dependent variable (turnover intention). Linear regression (β = 0.869; p = 0.00) analysis concentrated on dependent and independent variable regarding job satisfaction. Eventually this linear regression analysis (t = 51.392; p = 0.00) concluded that the job satisfaction created space for higher turnover intention.

7.2 H_02: Job Satisfaction: Pay and Turnover Intention

Second null hypothesis stated that there was no statistical relationship between job satisfaction in terms of pay and turnover intention. For checking this hypothesis linear regression analysis was used.

Table 2. Job satisfaction: Pay and Turnover Intention

Components of the model	R	R^2	P	Non Standardized Co-efficient	Standardized Co-efficient	t	p
				B	B		
Constant				6.364		20.977	.000
Pay	.914	.836	0.00	.797	.914	66.016	.000

Dependent variable: Turnover Intention

Table 4.28 presented that the regression (p = 0.00) was statistically significant, and co-efficient of Pearson (R = 0.91)

264 reflected strong relationship of variables. Similarly, co-efficient of regression (R^2= 0.83) analysis showed that in linear
265 regression model the relationship concluded between dependent and independent variables was stronger than medium.
266 Consequently, 83% independent variable (pay) prophesied the dependent variable (turnover intention). Linear regression
267 (β = 0.91; p = 0.00) analysis concentrated on dependent and independent variable regarding pay. Eventually this linear
268 regression analysis (t = 66.01; p = 0.00) concluded that the pay created space for higher turnover intention.

270 **7.3 H_03: Job Satisfaction: Promotion and Turnover Intention**

272 Third null hypothesis stated that there was no statistical relationship between job satisfaction in terms of promotion and
273 turnover intention. For checking this hypothesis linear regression analysis was used.

275 **Table 3.** Job satisfaction: Promotion and Turnover Intention

Components of the model	R	R²	P	Non Standardized Co-efficient	Standardized Co-efficient	t	p
				B	B		
Constant	.685	.470	0.00	13.333		28.296	.000
Promotion				.504	.685	27.570	.000

277 Dependent variable: Turnover Intention

279 Table 4.29 indicated that the regression (p = 0.00) was statistically significant, and co-efficient of Pearson (R = 0.68)
280 reflected moderate relationship of variables. Similarly, co-efficient of regression (R^2= 0.47) analysis showed that in linear
281 regression model the relationship concluded between dependent and independent variables was stronger than medium.
282 Consequently, 47% independent variable (promotion) prophesied the dependent variable (turnover intention). Linear
283 regression (β = 0.68; p = 0.00) analysis concentrated on dependent and independent variable regarding promotion.
284 Eventually this linear regression analysis (t = 27.57; p = 0.00) concluded that the promotion created space for moderate
285 turnover intention.

287 **7.4 H_04: Job Satisfaction: Work Itself and Turnover Intention**

289 Fourth null hypothesis stated that there was no statistical relationship between job satisfaction in terms of working
290 environment and turnover intention. For checking this hypothesis linear regression analysis was used.

292 **Table 4.** Job satisfaction: Work itself and Turnover Intention

Components ofthe model	R	R²	P	Non-Standardized Co-efficient	Standardized Co-efficient	t	p
				B	B		
Constant	.671	.450	0.00	6.661		9.051	.000
Work itself				.681	.671	26.489	.000

294 Dependent variable: Turnover Intention

296 Table 4.30 showed that the regression (p = 0.00) was statistically significant, and co-efficient of Pearson (R = 0.67)
297 reflected moderate relationship of variables. Similarly, co-efficient of regression (R^2= 0.45) analysis showed that in linear
298 regression model the relationship concluded between dependent and independent variables was stronger than medium.
299 Consequently, 45% independent variable (working environment) prophesied the dependent variable (turnover intention).
300 Linear regression (β = 0.67; p = 0.00) analysis concentrated on dependent and independent variable regarding working
301 environment. Eventually this linear regression analysis (t = 26.48; p = 0.00) concluded that the working environment
302 created space for moderate turnover intention.

304 **7.5 H_05: Job Satisfaction: Supervision and Turnover Intention**

306 Fifth null hypothesis stated that there was no statistical relationship between job satisfaction in terms of supervision and
307 Turnover Intention. For checking this hypothesis linear regression analysis was used.

Table 5. Job Satisfaction: Supervision and Turnover Intention

Components of the model	R	R²	P	Non- Standardized Co-efficient	Standardized Co-efficient	t	p
				B	B		
Constant	.645	.416	**0.00**	9.193		13.379	.000
Supervision				.577	.645	24.713	.000

Dependent variable: Turnover Intention

According to the table (4.31), the regression (p = 0.00) was statistically significant, and co-efficient of Pearson (R = 0.64) reflected moderate relationship of variables. Similarly, co-efficient of regression (R^2= 0.41) analysis showed that in linear regression model the relationship concluded between dependent and independent variables was stronger than medium. Consequently, 41% independent variable (supervision) prophesied the dependent variable (turnover intention). Linear regression (β = 0.64; p = 0.00) analysis concentrated on dependent and independent variable regarding supervision. Eventually this linear regression analysis (t = 24.71; p = 0.00) concluded that the supervision created space for moderate turnover intention.

Table 6. Demographic variables: Job Satisfaction

Variables	t value	Sig value
Gender	-.052	0.958
School Location	-2.814	0.005
School category	-.198	0.843

The results of independent sample t-tests indicated that there was a significant difference in the mean scores of job satisfaction with respect to school location while no significant difference was found in the mean scores of job satisfaction with respect to gender and school category.

8. Conclusions

The linear regression analyses showed that there was a strong relationship between job satisfaction and turnover intention among teachers. Moreover, it was found that promotion, work itself and supervision scores showed moderate relationship with turnover intention among the teachers. However, pay showed very strong relationship with turnover intention among the private secondary school teachers. The analyses of independent sample t-tests suggested that there was no significant difference in the mean scores of chained and non-chained schools, and male and female teachers in terms of their job satisfaction. But, significant difference in terms of location of schools was observed in the mean scores of urban and rural teachers in terms of their job satisfaction.

9. Discussion

The purpose of this study was to investigate the relationship of job satisfaction and turnover intention of private secondary school teachers. This study indicated that there was a significant relationship of job satisfaction and turnover intention of private secondary school teachers. The result was consistent with Muchinsky (1993). This result showed it was also supported by Meta Schroeder analysis that there was a negative correlation found between job satisfaction and turnover intention of employees. In other words, less job satisfaction drives people to think about quitting your job. Found a similar result also from Sita's study and others. The low level of satisfaction with the person about their work, and this person is likely to look for other jobs. Sharpnack and Funsten (1999) also conducted research on a comparison between job satisfaction and work attitudes of managers and professionals in the public and private sectors in Ontario with the results of job satisfaction and turnover intention negative (-.40) relevant. In addition, Wong (1995) found in their investigation of 40 schools with 600 teachers from secondary schools in Hong Kong teachers with low job satisfaction and a strong intention to turnover. In addition, a number of researchers have found a negative relationship between job satisfaction and turnover intentions (Porter, 1974). However, the detainees longer officials, members of their jobs, and increase the functionality level, and the high level of job satisfaction, and high commitment to the corporate level, and the low level of the intentions of the rotation, and vice versa (Mobley ,1998; Williams and Hazer, 1986; Shaw, 1999; Griffeth et al., 2000;

Lam et al., 2001; Sousapoza and Henneberger 2003; Silverthorne, 2004; Yang, 2010; Aghdasi et al., 2011 ; Alniacik et., 2011; Kim Brymer, 2011; Yucel and Bektas, 2012). Another purpose of this study was to investigate the relationship of the factors (pay, promotion, work itself and supervision) and turnover intention of private secondary school teachers. This study yielded that all the factors had statistically significant related to turnover intention. This result was consistent with various research studies. Muchinsky (1993) showed that with public service employees, the staff is more satisfied with the salary they were more likely to quit jobs. According to Valias & Young (2000), and the investigation by the Alberta Association of Rehabilitation Facilities (1998) that the likely cause of intentions includes bills reduced from 27% of the total wages for reasons bills. The results of this study contradict previous studies for being consistent and related negatively to the rotation, and have a modest impact on turnover (Griffeth, 2000; Price, 2001). However, this finding does not support the theory of Maslow's hierarchy of needs from basic physiological needs such as payment must be met first before moving on to other needs. Teachers in private schools are more concerned about other factors of job satisfaction with higher yields increasingly, rather than being marginalized. Perry (2006) said that he thought that the wage is the most important component of job satisfaction. He said that staff was more interested in the work environment that we enjoy. Another study indicated that if the staff is satisfied with promotional opportunities may be considering leaving the organization less. This study supports Milkovich and Boudreau (1997) that the decision to terminate the employees affected by the activity or the establishment of human resources and opportunities for promotion. Another study also supports the prediction that satisfaction with the work itself negatively associated with the intention of qualified personnel in rotation. Moreover, as this study support the hypothesis that satisfaction with supervision adversely affects the turnover intention. This conclusion is supported by the way the organization to reduce turnover says Dorio (1989) that a good arrangement can help reduce turnover intention of employees and thus reduce the overall rate of turnover. Yamamura and Stedham (1998) argument in their research in the Comprehensive Peace Agreement (accountant) that there is a very large and negative relationship between supervision and turnover intention. The investigation revealed that the higher the satisfaction with supervision, and it was less staff turnover intention. The study also aimed to investigate the gender differences of the teachers with respect to their job satisfaction. The results of this study showed that there was no significance difference in the mean scores between male and female with respect to job satisfaction. As a result of this study contrasts with studies as Brogan (2003), which reported a big difference between job satisfaction for managers, male and female, male managers have higher satisfaction levels than did women. And it was consistent with Fitzpatrick, and White (1983), who found more comfortable with women than males. But Ghazi (2004), who explored the job satisfaction of elementary school principals in Toba Tek Singh district, Punjab, and found a record difference of females as higher than males. The females were significantly more satisfied than their male counterparts. Another objective of this study was to investigate the location differences between urban and rural private secondary school teachers in terms of job satisfaction. The results of this study showed that rural teachers were more satisfied with their jobs than the urban teachers. Some previous research contradicts the study of Ghazi (2004), who found that urban school principals were more satisfied than rural school principals in Toba Tek Singh district of Punjab. And it is also contrary to the pineal and Akyeampong (2007) who suggests that teachers working in rural areas were less satisfied with their jobs than teachers in urban areas. It could be due to the fact that there are fewer facilities in the rural areas of the country, while the workers in urban areas have better facilities, higher education institutions, health services and the best means of transport. Mahmood (2004) found no statistically significant differences between the job satisfaction of teachers in schools in urban and rural areas in Sargodha Pakistan, while Jaieoba (2008) found significant differences between job satisfaction of rural and urban teachers.

10. Recommendation

The results of the study indicated the strong relationship between job satisfaction and turnover intention. Moreover, pay has strong relationship with turnover intention of private secondary school teachers. This indicated that the teachers may leave due to less pay package. Therefore, it is recommended that the institution in this regard may have a clear cut legislation related to pay packages and promotion policy of teachers according to their academic qualification and teaching experience. Moreover, special incentives may be given to the teachers who performed well. The result of the study showed that there was a moderate relationship between work itself and supervision with turnover intention. Therefore, it is recommended that the administrators may assist to cope with the problems their teachers face during their work in the institution. The training programs like directorate of Staff Development initiated by the Government of the Punjab for Government schools may also be started in the private institutions for capacity building of the teachers. The results of the study demonstrated that the rural teachers showed better organizational commitment and job satisfaction towards their school as compared to the urban teachers. This may be because urban teachers have more options of jobs.

So they leave the organization as soon as they get a better opportunity. That is why, it is recommended that this may be reduced by employing a homogenous system regarding to pay and all other facilities in all the educational institutions so that the heterogeneity that is causing less organizational commitment and job satisfaction may be diminished.

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George Bernard Shaw's John Bull's Other Island and Homi K. Bhabha: The Colonizer and the Other in the Third Space

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Abstract

This article aims at a reevaluation of colonial readings of George Bernard Shaw's John Bull's Other Island with regard to its power relationships between the colonizer and the colonized (the Other) and hopes to disavow the traditionally straightforward analysis of the power relations in which the colonizer is considered as the absolute power. This play shows how "colonial mimicry strategy", proposed by Homi K. Bhabha, functions in the hands of both the colonizer and the colonized, through which they mutually exert power and project their desires and fears onto each other and how the identities of the main English figure, Broadbent, and the main Irishmen, Larry and Keegan, are formed in the presence of the Other, by too perfectly or imperfectly (two resistance strategies proposed by Bhabha) imitating the Other.

Keywords: *George Bernard Shaw; Homi K. Bhabha, colonial mimicry strategy; the Third Space*

1. Introduction

The literary critics and Shaw's scholars studying George Bernard Shaw's *John Bull's Other Island* from colonial point of view have applied the straightforward approach to the relationship between the colonizer, Broadbent, and his colonized, the Irish people and none has scrutinized this text from Homi K. Bhabha's point of view in which the identities of the colonizer and the Other are mutually constructed and none has priority over the other in the Third Space Bhabha proposes. The significance of Homi K. Bhabha's post-colonial theories lies in its practicality. What Bhabha proposes practically occurs to the colonizers whom Edward Said has stereotypically portrayed as the absolute power. Huddart claims: "when the relationship between self and other seems to be one of domination, the fact that there is a relationship at all suggest that domination is not total." (2006, p.46) Unlike Said, Bhabha argues that the colonizer is intimidated by the colonized or the colonized has power over the colonizer; in other words the relation between these two parties is mutual and each is dependent on the other. Even their identities are mutually constructed. Thus, the analysis of *John Bull's Other* Island from Bhabha's point of view is not only a new and unprecedented research but it also reinforces Bhabha's theory highlighting the anxiety of the colonizer and the agency of the colonized which can be considered as the objective of the study.

2. Theoretical Framework

Homi K. Bhabha in his influential book, *The Location of Culture*, emphasizes the mutual power relationship between the colonizer and the colonized. In his view, the power scheme is not a straightforward exertion of power from top to bottom, from the colonizer to the colonized. He deconstructs the binary oppositions, the rigid distinctions between the colonizer and the colonized, the black and white or superior and inferior. In other words, he deconstructs Edwards Said's traditional notion towards the colonizer's straightforward treatment of the colonized as the Other, or the inferior.

Bhabha argues that the colonizer tries to internalize inferiority in the colonized and imposes "mimicry strategy"—he also calls it "sly civility"—onto it; while the colonizer, at the same time, is afraid of the reformed colonized. Bhabha highlights the anxiety of the colonizer and the agency of the colonized. The colonizer wants the colonized almost the same but not quite, Bhabha claims. Bhabha believes that "mimicry is at once resemblance and menace." (1994, p.123) Since becoming quite the same means that the colonizer's authentic identity is paradoxically imitable. Thus, the colonizer is troubled by the Other, the colonized or the colonizer's double.

On the other hand, the colonized exerts power on the colonizer and intimidates it. The colonized resists the colonizer with different resistance strategies. Ball maintains that Bhabha's ideas "show how colonial power relations

56 inevitably generate resistance and inhibiting ambivalence as by-products of their discursive and administrative structures
57 of control." (2003, p.37) The colonized deliberately would not imitate the colonizer perfectly or imitates the colonizer too
58 perfectly that it looks fake and artificial. The resistance strategies, as Huddart argues, mean that "mimicry is repetition
59 with difference, and so it is not evidence of the colonized's servitude." (2006, p.39) Huddart argues: "Bhabha's close
60 textual analysis finds the hidden gaps and anxieties present in the colonial situation. These points of textual anxiety mark
61 moments in which the colonizer was less powerful than was apparent, moments when the colonized were able to resist
62 the dominance exercised over them. In short, Bhabha's work emphasizes the active *agency* of the colonized." (original
63 italics 2006, p.1)
64   The colonizer tries to make the colonized aware of its difference from the colonized. However, the benefit of this
65 awareness is twofold; both the colonizer and the colonized understand themselves with the help of "Otherness". Iser
66 stipulates: "Otherness turns into a mirror for self-observation, and such a relationship sets the process of self-
67 understanding in motion, because the alien that is to be grasped realizes itself to the extent to which one's own
68 dispositions come under scrutiny. The knowledge thus obtained is twofold: by getting to know what is different, one
69 begins to know oneself." (2007, p.36)
70   Habib also notes that Hegel believes difference to be indispensable to the notion of identity (2008, p.387). Hegel
71 believes that, "identity has its nature beyond itself, in difference . . . . identity and difference are inseparable." (Habib
72 2008, p.388) Based on Homi K. Bhabah's theory, the identities of the colonizer and the colonized are formed in the Third
73 Space. Bhabha perceives it as: "the encounter of two social groups with different cultural traditions and potentials of
74 power as a special kind of negotiation or translation," which "takes place in a Third Space of enunciation." (Ikas and
75 Wagner 2009, p.2) Based on "The Third Space" theory of Bhabha, "minority groups in the metropoles—marginals within
76 the center—adumbrate a third rhetorical space that disrupts and destabilizes centralized authority." (Huggan 2001, p.21)

3. Post-colonial Reading of *John Bull's Other Island*

80 *John Bull's Other Island* is turning round three main characters, two Irish men, Laurence Doyle and Keegan, and an
81 English man, Thomas Broadbent. In this play the colonized and the colonizer are interacting somehow equally and there
82 is no up-to-down gaze from the colonizer to the colonized; in other words, the colonizer and the colonized are interacting
83 in the Third Space proposed by Homi. K. Bhabha. Not only the colonizer exerts power on the colonized but also the
84 colonized intimidates the colonizer with its power. It is not only the colonizer who projects its desires and fears onto the
85 Other, but also the Other does the same. Thus the power relation is not straightforward but complex and mutual. The
86 Other, in *John Bull's Other Island*, is revealed in two forms of the colonized and the colonizer. In the first part of the play,
87 Laurance Doyle (Larry, the Irish man), is depicted as the Other who is living in England and in the second part of the play,
88 Broadbent is the Other in Roscullen. The play ironically depicts the complex relationship between the colonizer and the
89 colonized.
90   The play starts while Broadbent and Hodson, his valet, are talking about going to Ireland. The very first
91 stereotypical saying about Irish people, the Others, is stated by the English man, Broadbent, who is expecting to see Tim
92 Haffigan, the Irish man. Broadbent tells Hodson to let Haffigan who "is an Irishman, and not very particular about his
93 appearance" in (Shaw 1964, p.73). England, for Larry and Haffigan, is a land of liberty and independence. They want to
94 be like the English people and to imitate them. On the other hand, Broadbent, the colonizer, valorizes Ireland; entering
95 the Third Space, he tries to become like them; otherwise the Irishmen would be a threat to him and his colonizing
96 purposes.
97   Intimidating by the colonized's resistance strategy, Broadbent sees no other way than assimilating himself with the
98 Irishmen—entering the Third Space—to be accepted by them and consequently to be allowed to rule them. However, as
99 Homi K. Bhabha maintains, Broadbent, as the Other, becomes almost the same but not quite. In addition, the Irishmen
100 following the "colonial mimicry strategy," also, become almost the same as the English men but not quite the same. As
101 Bhabha theorizes, the "colonial mimicry strategy" is advocated by both parties, the colonizer and the colonized or
102 generally speaking, by the colonizer and the Other, since both parties disavow being quite the same. Colonial mimicry
103 strategy desires: "a reformed recognizable Other, as a *subject of difference that is almost the same, but not quite.*"
104 (original italics, Huddart 2006, p.40)
105   As Bhabha proposes, the Other's unwillingness to be quite the same as the colonizer roots in its resistance
106 strategy and the colonizer's reluctance settles in its intimidation of creating a double which tacitly encourages the idea of
107 the colonizer's imitable identity which suggests that the colonizer's identity is not authentic and original. Consequently,
108 Larry is almost the same as the English but he is not quite the same. Likewise, Broadbent imitates the Irish people and
109 becomes almost the same as the Irish men but he does not become quite the same; or more accurately they—Larry and

110 Broadbent—do not let him to become quite the same. However, in this play, Broadben't reluctance settles in his
111 resistance strategy, since he is not just the colonizer but he is the Other when he goes to Ireland. Therefore, the complex
112 power relation, Bhabha proposes, becomes much more complex, since the Other is transformed throughout Shaw's play.
113 In Bhabha's view, the relation between the colonized and the colonizer is mutual and complex but here, George Bernard
114 Shaw's satirical depiction of this colonial relationship and the way Shaw transforms the Other, makes the power
115 relationship much more complex.

116 Entering the Third Space, Broadbent tries to get close to the Irishmen's point of view and looks at the world from
117 their equal stance. Ostensibly he is worried about Ireland and wants to improve the land. He tells Tim Haffigan:

118 I am an Englishman and a Liberal; and now that South Africa has been enslaved and destroyed, there is no
119 country left to me to take an interest in but Ireland. Mind: I dont say that an Englishman has not other duties. He has a
120 duty to Finland and a duty to Macedonia. But what sane man can deny that an Englishman's first duty is his duty to
121 Ireland? Unfortunately, we have politicians here more unscrupulous than Bobrikoff, more bloodthirsty than Abdul the
122 Damned; and it is under their heel that Ireland is now writhing. (Shaw 1964, p.75)

123 Broadbent claims that he wants to develop an estate there for the Land Development Syndicate, but he wants to
124 handle it as "estates are handled in England" (76). Thus, though he tries to assimilate himself with the Irishmen and
125 becomes the same, he does not want to be quite the same; he has his own English methods. In other words, he resists
126 becoming quite the same as the Irish people. "The inconsistency between Broadbent's behavior and his professed
127 motives means that he is a hypocrite of sorts," McDowell maintains (1967, p.547). For Haffigan, who is Irish, Broadbent
128 is the Other who wants to exploit Ireland:
129
130 　　　Broadbent: . . . You know the English plan, Mr. Haffigan, dont you?
131 　　　Tim: Bedad I do, sir. Take all you can out of Ireland and spend it in England: thats it.
132 　　　Broadbent [not quite liking this]: My plan, sir, will be to take a little money out of England and spend it in Ireland. (Shaw
133 　　　1964, p.76)
134
135 Broadbent, the colonizer, knows that when he goes to Ireland, he is treated as the Other. He tells Haffigan: "when I
136 first arrive in Ireland I shall be hated as an Englishman. As a Protestant, I shall be denounced from every altar. My life
137 may be in danger. Well, I am prepared to face that." (Shaw 1964, p.76) Haffigan, as Shaw ironically depicts, is both the
138 colonizer and the Other, while the Irish people are treated as the Other in England and treat the English peopel as the
139 Other in Ireland. Consequently the colonial relationship Bernard Shaw depicts, many years ago in the nineteenth century,
140 is totally different from the traditionally straightforward depiction of the colonized-colonizer relations. What Shaw has
141 satirically depicted is very much like the mutual relationship Homi K. Bhabha suggests for the colonized and the
142 colonizer, many years later. Satire, Rabb agues: "examine [s] national, historical, or ethnic identity. . . . [it] bring[s] objects
143 of fear or danger into our midst by blurring the distinction between the broom and the dirt it sweeps, between us and
144 them, or self and other." (2007, p.582) And this is what Shaw has beautifully portrayed.

145 What is common between the Irish men and the English men is that both can see themselves in the eyes of the
146 Other. In other words, their identities are formed in the presence of the Other and if there is no difference, there would be
147 no identity. Surely in presence of the Other—the difference—identity is shaped. Thus, it is because of the presence of the
148 Other, Broadbent (the English man), that the Irish people can understand themselves and their identities; likewise
149 Broadbent's identity is shaped by the presence of the Other, the Irish men. Huddart articulates: "colonialism is marked by
150 a complex economy of identity in which colonized and colonizer depend on each other." (2006, p.2) The Other is not
151 something outside or beyond the self, as the traditional Cartesian perspective would have it; rather, it is deeply implicated
152 in and with the self (Türkkan 2011, p.369). Put differently, the colonized is shaped by and also shapes the colonizer; it is
153 gazed at and gazes at the colonizer and that is the mutual complex relationship between the colonizer and the Other
154 which Bhabha suggests. Broadbent sees Haffigan differently; he tells Tim Haffigan:
155
156 　　　Broadbent: . . . I saw at once that you are a thorough Irishman, with all the faults and all the qualities of your race: rash
157 　　　and improvident but brave and good-natured; not likely to succeed in business on your own account perhaps, but
158 　　　eloquent, humorous, a lover of freedom, and a true follower of that great Englishman Gladstone.
159 　　　Tim: . . . I mustn't sit here to be praised to me face. But I confess to the goodnature: it's an Irish wakeness. I'd share me
160 　　　last shillin with a friend. (Shaw 1964, p.77)
161
162 Tim Haffigan is seen from the colonizer's point of view as the Other, the Irishman with Irish characteristics. On the
163 other hand, Broadbent wants to project his own desires and fears onto the Other, Tim Haffigan. Broadbent wants to make
164 him almost similar to the English man, though not quite the same. He calls him a true follower of Gladstone, the

165 Englishman. Tim is just a tool in Broadbent's hands. Broadbent tells Larry: "he's [Tim Haffigan] evidently the very man to
166 take with me to Ireland to break the ice for me. He can gain the confidence of the people there, and make them friendly to
167 me." (Shaw 1964, p.80)
168   Broadbent mistakenly takes Haffigan as an Irish man. He is actually deceived by a Scotch, Haffigan. Haffigan
169 imitates Irish behavior and deceives the English man. Bernard Shaw's comic approach to colonial discourse is explicitly
170 revealed in Broadbent and Haffigan's relationship. Following his colonial mimicry strategy, Broadbent—the colonizer and
171 the Other—tries to become like the Irish people to colonize them and exploit them while he is unknowingly deceived by
172 the same strategy exerted on him by a Scotch fellow who pretends to be Irish and takes money from Broadbent. This part
173 of the play overtly highlights Huddart's saying about Bhabha's theory of mimicry strategy. Huddart maintains that "this
174 mimicry is also a form of mockery, and Bhabha's post-colonial theory is a comic approach to colonial discourse." (2006,
175 p.39) Broadbent fooled by Haffigan, unbelievably declares: "but he spoke—he behaved just like an Irishman." (Shaw
176 1964, p.81) Larry Doyle in response to Broadbent very well explains the comic mimicry mechanism, or better to say a
177 comic mimicry business, as Larry calls it:
178
179   Doyle: Like an Irishman!! Man alive, dont you know that all this top-o-the-morning and broth-of-a-boy and more-power-
180   to-your-elbow business is got up in England to fool you, like the Albert Hall concerts of Irish music? No Irishman ever
181   talks like that in Ireland, or ever did, or ever will. But when a thoroughly worthless Irishman comes to England, and finds
182   the whole place full of romantic duffers like you, who will let him loaf and drink and sponge and brag as long as he
183   flatters your sense of moral superiority by playing the fool and degrading himself and his country, he soon learns the
184   antics that take you in. (my italics, Shaw 1964, p.81)
185
186   Larry, the Irishman, ostensibly pretends that he does not like Ireland and does not want to go back to Ireland with
187 Broadbent. But at times, with some words and actions, he is disturbed and defends Ireland. Very much like Broadbent,
188 Larry, as the Other, employs the colonial mimicry strategy and tries to be almost the same as the English but as Homi K.
189 Bhabha believes, he cannot become quite the same which is rooted in his resistance to servitude. Actually based on
190 Bhabha's theory, the Other resists in two ways while imitating the colonizer: it may imperfectly imitate the colonizer or it
191 may too perfectly imitate that it seems ridiculous. The latter resistance strategy is what Larry does, especially in the first
192 act of the play.
193   As Bhabha argues, in *The Location of Culture*, "the discourse of mimicry is constructed around an ambivalence; in
194 order to be effective, mimicry must continually produce its slippage, its excess, its difference" (1994, p.122). Larry goes
195 to extreme and becomes too much English and that is unbelievable for the English man, Broadbent. Seeing Larry's too
196 much resistance not to go back to Ireland and seeing his dissatisfaction of the way the Irish people behave and his too
197 much Englishness, Broadbent warns him that he cannot believe him.
198   Larry is concealing his Irishness under the veneer of being amusing and agreeable to strangers; however his
199 exaggerated English behavior is an emblem of his resistance to servitude as the Other. Larry with his too much
200 Englishness, on one hand, and on the other hand, by his paradoxically verbal defense of Ireland, at some pivotal
201 moments, plays his role as the ambivalent Other. While Larry is paradoxically condemning the Irish for being too
202 imaginative and condemning himself for his Irish conduct of nagging and being dissatisfied and never quite, Broadbent
203 denies his sayings and reminds him that he is very amusing and agreeable to strangers. This saying outrages Larry who
204 does not want to be quite the same and quite agreeable.
205   Larry's reaction rises from his resistance strategy, as the Other. He contends: "yes, to strangers. Perhaps if I was
206 a bit stiffer to strangers, and a bit easier at home, like an Englishman, I'd be better company for you." (Shaw 1964, p.83)
207 Broadbent assures him: "we get on well enough," but then he refers to the difference and reminds Larry that he is
208 different and from another race: "of course you have the melancholy of the Keltic race . . . and also its habit of using
209 strong language when theres nothing the matter." (Shaw 1964, p.83) Larry who resists being quite the same as the
210 English men, rejects Broadbent's saying which highlights Larry's difference: "Nothing the matter! When people talk about
211 the Celtic race, I feel as if I could burn down London. That sort of rot does more harm than ten Coercion Acts. Do you
212 suppose a man need be a Celt to feel melancholy in Russcullen? Why, man, Ireland was peopled just as England was;
213 and its breed was crossed by just the same invaders." (Shaw 1964, p.83)
214   Having defended Ireland, Larry paradoxically condemns the imaginative people of Ireland and derisively condemns
215 his mimicry and his attempt of assimilation. He denounces imagination as the source of all shortcomings and difficulties of
216 Irish people and also their inferiority: "An Irishman's imagination never lets him alone, never convinces him, never
217 satisfies him; but it makes him that he cant face reality nor deal with it nor handle it nor conquer it: he can only sneer at
218 them that do, and [*bitterly, at Broadbent*] be 'agreeable to strangers,' like good-for-nothing woman on the streets."(Shaw
219 1964, pp.84-85)

220   Larry condemns the Irish people's sense of humor and considers humor and imagination as their shortcomings or
221 the cause of their inferiority. On the other hand, Broadbent takes the previous role of Larry and defends Ireland.
222 Broadbent, as the colonizer, employs the colonial mimicry strategy and ensures Larry that there would be great
223 possibilities for Ireland if the Irish people follow the English guidance and imitate the English policy to govern their
224 country: "We English must place our capacity for government without stint at the service of nations who are less
225 fortunately endowed in that respect; so as to allow them to develop in perfect freedom to the English level of self-
226 government." (Shaw 1964, p.86)
227   Broadbent wants to make Ireland almost the same as England with his mimicry strategy. When he tries to
228 persuade Larry to go back to Ireland, he tells Larry that Larry is the same as the English people now and thus his family
229 will be delighted to see him: "now that England has made a man of you." (Shaw 1964, p.86) Broadbent wants Larry
230 almost the same but not quite as he later on repeatedly insists that Larry is an Irishman and the things such as South
231 Africa, Free Trade, and Home Rule are not serious to him as an Irishman as they are to an Englishman. As Bhabha
232 maintains: "colonial discourse wants the colonized to be extremely like the colonizer, but by no means identical." (Huddart
233 2006, p.40) Huddart well represents this ambivalent situation: "the play between equivalence and excess makes the
234 colonized both reassuringly similar and also terrifying." (2006, p.41) And that's why the colonizer does not desire to make
235 the colonized quite the same.
236   Being in the Third Space, Larry, as the Other, gazes at Broadbent, the colonizer, and criticizes him. In Huddart's
237 sense, "the colonized returns the colonizer's gaze." (2006, p.45) Larry, the Other, intimidates Broadbent since Larry is
238 becoming the same as the colonizer or as Broadbent states, England has been making a man of him. Larry, who is
239 gaining power, criticizes the way the English people, as the Others in his view, shrewdly behave when they go to Ireland
240 and also criticizes the camouflage strategy they use to exploit Ireland. Bhabha employs Lacan's psychoanalytic concept,
241 "camouflage" referring to "blending in with something in the background that none the less is not entirely there itself,"
242 (Huddart 2006, p.46) which is very telling of the English man's condition in Ireland. Larry metaphorically calls the
243 Englishman, the caterpillar: "the world is full of fools as a tree is full of leaves. Well, the Englishman does what the
244 caterpillar does. He instinctively makes himself look like a fool, and eats up all the real fools at his ease while his enemies
245 let him alone and laugh at him for being a fool like the rest." (Shaw 1964, p.90)
246   In the second act of the play, Broadbent, and Hodson, go to Ireland. From now on the roles of these characters are
247 changed. Broadbent and Hodson are considered as the Other by Irish people. The presence of these English people
248 provides a good opportunity for the Irish people to know themselves better. Father Keegan very nicely portrays this very
249 concept of the importance of the presence of the Other for the formation of the identity. At the beginning of the second
250 act, Miss Nora Reilly asks Keegan whether he found Ireland very small and backward when he came back to it from his
251 distant journeys, such as his journeys to Oxford, Rome and other great cities. This conversation at the beginning of the
252 second act is truly suitable for this act in which difference makes identity. Keegan very beautifully stipulates: "When I
253 went to those great cities I saw wonders I had never seen in Ireland. But when I came back to Ireland I found all the
254 wonders there waiting for me. You see they had been there all the time; but my eyes had never been opened to them. I
255 did not know what my own house was like, because I had never been outside it." (Shaw 1964, p.101) With the presence
256 of the Englishmen in Ireland, the Irishmen and the Englishmen can understand their identities better because identity is
257 meaningful in the presence of difference; otherwise there would be no identity.
258   In the third act of the play, Larry comes to Ireland and joins the Englishmen. Hodson explicitly announces his
259 hatred of the Irish people; he cannot tolerate them. Though, he is the Other in Ireland, and is the valet, he sees the Irish
260 as the Other. Larry, who is in his homeland, treats Broadbent as the Other and also the colonizer; perceiving Broadbent
261 as the colonizer, Larry rebukes Broadbent for his intimidating colonial ideas leading to the exploitation of Ireland: "thats
262 an Englishman all over! make bad laws and give away all the land, and then, when your economic incompetence
263 produces its natural and inevitable results, get virtuously indignant and kill the people that carry out your laws." (Shaw
264 1964, p.120) Broadbent, as the Other, ties to assimilate himself with the Irishmen and become almost the same and at
265 the same time, he, as the colonizer, does not want to become quite the same as a sign of his resistance to servitude.
266   Entering the Third Space, Broadbent, as the Other, appreciates Ireland and the Irish people. He appreciates Nora's
267 Irish appearance: "a type rare in England, except perhaps in the best of the aristocracy." (Shaw 1964, p.122) As a
268 colonizer, he projects all his fears and desires onto the Irishmen whom he considers as the Other. He desires to marry
269 Nora, Larry's formerly fiancée, to reach his desires. He is paradoxically the Other and the colonizer in Ireland. His status
270 is very much like the status Bhabha portrays for all the colonizers; in Bhabha's view, they are not the absolute power but
271 they are intimidated by the Other's power; that's why the colonizers desire a reformed recognizable Other and not the
272 Other who is quite the same.
273   Cornelius, Larry's father, along with some other Irish men suggest Larry become one of the members of the

Parliament. In contrast to Larry's reluctance, Tom Broadbent is very much interested and some of the Irish people, such as Mathew Haffigan and Larry himself, take Broadbent's side. Father Dempsey and Mathew Haffigan do not believe in the modern Irishman, Larry; Mathew calls Larry a turncoat. Unlike Larry, Broadbent's endeavors for assimilation blossom and he is almost accepted by the Irish people. Broadbent's mottoes of Reformation and Union have been very influential and also very telling of his colonial mimicry strategy a colonizer employs to rule the colonized. Broadbent's Reformation policy of reducing the burden of the rates and taxes very well portrays the colonizer's colonial strategy of keeping the colonized at the level of the reformed but recognizable Other.

Very much like Larry, the Other, who has gone to extreme by too perfectly imitating the English people—which is surely a type of resistance, as Bhabha proposes—Broadbent too enthusiastically advocates Home Rule, even much more than the Irishmen, themselves, which is surely the emblem of his resistance to servitude, to be quite the same as the Irishmen. In response to Cornelius who asks Broadben's opinion about Home Rule, Broadbent, as the stage direction says, rises "*so as to address them more imposingly*": "I really cannot tell you what I feel about Home Rule without using the language of hyperbole." (Shaw 1964, p.133) Broadbent confesses that his too much enthusiasm and anxiety for the Irish people's future is a trick. He, hugely self-satisfied, addresses Larry: "I think Ive done the trick this time. I just gave them a bit of straight talk; and it went home. They were greatly impressed: everyone of those men believe in me and will vote for me when the question of selecting a candidate comes up. After all, whatever you say, Larry, they like an Englishman. They feel they can trust him, I suppose." (Shaw 1964, p.135)

Unlike Broadbent, Hodson, his valet, expresses his abhorrence very explicitly and unwisely. He cannot tolerate the Irish people and for him, they are the Others. He is ignorant of this fact that he is the Other in their land and that he should employ the colonial strategy his master employs. In contrast with Hodson, Broadbent does not show his hatred overtly. His resistance is operating under the veneer of two types of resistance strategy: by too perfectly imitating the Irish people and devoting his life to the cause of Ireland or by his imperfect imitation. The latter strategy is revealed when he shrewdly addresses Mathew as a "yeomanry" while he pretends that he is not familiar with its Irish connotations; however Larry admonishes him that in Rosscullen a yeoman means a sort of Orange Bashi-Bazouk . Larry mitigates Mathew's anger, informing him that in England they call a freehold farmer a yeoman. Therefore, as the Other in Ireland, Broadbent tries to be almost the same and penetrate in Irish people's hearts but not quite the same.

The forth act of the play starts with the talks about the humorous news of the Haffigan's pig and Broadbent's accident. Broadbent is not still accepted by the Irish people as quite the same. This is the very characteristic of "colonial mimicry strategy"; not only the colonizer but also the colonized or the Other, does not desire to become completely the same. The Irish people still consider Broadbent as the Other and derides him for the funny thing he does. But Broadbent wisely turns the story to another direction—not to get far from them—and declares that he is happy that it has happened since: "it has brought out the kindness and sympathy of the Irish character." (Shaw 1964, p.146) He also tells them that "if it were legally possible I should become a naturalized Irishman." (Shaw 1964, p.147) Nora is deceived by his flattery but Cornelius and Larry know that Broadbent is deceiving them. Cornelius assumes that Broadbent is mocking the Irishmen and Larry, who has always been aware that Broadbent can never become quite the same as the Irishmen, believes that Broadbent, as the Other, does not understand the meaning of the Irish people's derisions but he is wise enough to take the seat of the Parliament while the town is teasing him:

> Cornelius: It's all up with his candidature. He'll be laughed out o the town.
> Larry: Oh no he wont: he's not an Irishman. He'll never know theyre laughing at him; and while theyre laughing he'll win
> the seat. (Shaw 1964, p.148)

Very much like Cornelius and Larry, Father Keegan—seeing Braodbent's deceitful attitude towards the Irish people—wisely calls him the hypocrite: "Sir: there was a time, in my ignorant youth, when I should have called you a hypocrite." (Shaw 1964, p.149) Keegan goes further and reveals the identity of the Other, Broadbent, to him. Though Broadbent becomes angry and temporarily loses his confidence, he finds the opportunity of seeing himself differently, from the Other's point of view or generally from a different point of view. Keegan, who is the Other for Broadbent, depicts Broadbent's English identity, as such: "Do not be offended, sir: I know that you are quite sincere. There is a saying in the Scripture which runs—so far as the memory of an oldish man can carry the words—Let not the right side of your brain know what the left side doeth. I learnt at Oxford that this is the secret of the Englishman's strange power of making the best of both worlds." (Shaw 1964, p.150)

What Keegan tells Broadbent metaphorically refers to the way the Englishman "makes the best of both worlds," both the colonizer's world and the Other's. Broadbent well portrays Bhabha's colonizer. He is not the absolute power, when he is the colonizer and not the intimidated, weak, and overwhelmed character when he is the Other. On the other

328 hand, Larry and Keegan, the Irishmen, are not in servitude of the colonizer and when in Ireland, they are not completely
329 in power, as Bhabha proposes. Thus, the colonizer is shaped by and shapes the Other.
330   The Irish identity and the English identity are revealed when each is studied at the presence of the other. Culler
331 believes: "even the idea of personal identity emerges through the discourse of a culture: the "I" is not something given but
332 comes to exist as that which is addressed by and related to others." (qtd. in Ashcroft et al. 2007, p.206) In the presence of
333 the Other, whether the Englishman as the Other or the Irishman, these two identities become meaningful and
334 distinguishable. "In Derrida's words, what we take to be meaning is really only the mental *trace* left behind by the play of
335 signifiers. And that trace consists of the differences by which we define a word." (qtd in Tyson 2006, p. 253) For Father
336 Keegan, the Irishman, this world is a place of torment and penance; while for Broadbent, the Englishman, the world is
337 quite good and rather a jolly place. From a political point of view, Broadbent is satisfied with this world and sees no evils
338 in the world, "except, of course, natural evils that cannot be remedied by freedom, self-government, and English
339 institutions." (Shaw 1964, p. 152) Broadbent feels quite at home in the world while for Keegan it is not so.
340   Keegan thanks Broadbent, the Other, for making him think about his own world and his identity: "you have set me
341 thinking. Thank you." (Shaw 1964, p.153) He thanks Broadbent for making him look at his own identity from another point
342 of view, very much like the time when Keegan comments on the Irish and English features and thus makes Broadbent
343 able to see the differences and to understand his own identity deeper through the eyes of the Other. Consequently,
344 Broadbent believes that articulating his own English ideas stimulates Keegan to think about his own Irish identity: "you
345 find that contact with English ideas is stimulating." (Shaw 1964, p.153) Fanon also asserts that:
346   Man is human only to the extent to which he tries to impose his existence on another man in order to be
347 recognized by him. As long as he has not been effectively recognized by the other, that other will remain the theme of his
348 actions. It is on that other being, on recognition by that other being, that his own human worth and reality depend. It is
349 that other being in whom the meaning of his life is condensed. (2008, pp.168-169)
350   In Homi K. Bhabha's postcolonial theory the colonial stereotypes, stated in Edward Said's *Orientalism*, are
351 deconstructed. In the mutual and complex colonizer-colonized relationships proposed by Bhabah, the Other has the
352 opportunity to gaze at the colonizer from the Third Space and consequently the stereotypes formerly describing the
353 colonizers as the source of power are deconstructed. Very much like the Other, the colonizer has the opportunity to look
354 at the colonized or the Other from the equal point of view from the Third Space, thus the formerly traditional stereotypes
355 are deconstructed through the eyes of the colonizer standing at the almost equal level with the Other.
356   When these different people confront one another, the way they interpret one another's identity deconstructs the
357 formerly traditional stereotypes about the English and the Irish in which the Irish were considered as the people with the
358 strong sense of humor or the English as very serious people with no feelings. Ajtony argues that "on the one hand, the
359 English Broadbent's verbal behavior reveals an Irish identity in so far as his utterances lack humor and irony . . . . On the
360 other hand, on surface level Larry Doyle's utterances reveal a fake English stereotype." (2010, p.257) Broadbent also
361 believes that life is too earthly for Larry, the Irishman. Near the end of the play, when Broadbent once again proposes
362 marriage to Nora and cannot recognize her delicately tacit positive response, he reveals to her, her serious Irish identity
363 as Nora also reveals to him his emotional English identity:
364
365   Broadbent: . . . You think I have no feeling because I am a plain unemotional Englishman, with no powers of
366   expression.
367   Nora: I dont think you know the sort of man you are at all. Whatever may be the matter with you, it's not want of feeling.
368   Broadbent [hurt and petulant]: It's you who have no feeling. Youre as heartless as Larry. (Shaw 1964, p.161)
369
370   Broadbent, as the colonizer, becomes successful to take Nora from Larry. He not only takes Nora from Larry, but
371 he also takes the seat of Parliament from him. Broadbent is not the absolute power and thus cannot get Ireland from the
372 Irish people without assimilation; in other words, he should pay for it. Huddart maintains that, "colonial authority is
373 menaced by the colonized to the extent that it utterly depends on the colonized for its sense of itself." (2006, p.61)
374 Intimidated by the Irishmen, Broadbent, as the Other, has no other choice than assimilating himself to the codes and
375 norms of Ireland to find way among Irishmen and to be almost accepted by them to get ready for his last stroke which is
376 the exploitation of Ireland. He tells Nora: "I get engaged to the most delightful woman in Ireland; and it turns out that I
377 couldnt have done a smarter stroke of electioneering." (Shaw 1964, p.165) Larry also acknowledges that he loses Nora
378 because he is Irish and Broadbent can take her from him since he is English: "Nora, dear, dont you understand that I'm
379 an Irishman, and he's an Englishman. He wants you; and he grabs you. *I* want you; and I quarrel with you and have to go
380 on wanting you." (original italics, Shaw 1964, p.166)
381   Keegan, at the end of the play, objects to Broadbent's deceitful colonial mimicry strategy which leads to his unjust

382 success of grabbing the lands and exploiting Ireland; though for Broadbent it is a reasonable success of the efficient man
383 over the inefficient, apart from the political issues of being English or Irish. As a colonizer, he ensures Larry and Keegan
384 that he will try to improve Ireland, to bring money there and to raise wages and to make it like England. Keegan, looking
385 at this matter from the Third Space, derides Broadbent for thinking about making a very modern prison out of Ireland by
386 projecting his desires onto it. Looking at Broadbent and his desires for Ireland from the Third Space, Keegan calls
387 Broadbent an ass: "the ass, sir, is the most efficient of beasts, matter-of-fact, hardy, friendly when you treat him as a
388 fellow-creature, stubborn when you abuse him, ridiculous only in love, which sets him braying, and in politics, which move
389 him to roll about in the public road and raises a dust about nothing." (Shaw 1964, p.172)
390 Keegan resists Broadbent's colonial mimicry strategy. He does not want to become quite like English people.
391 Broadbent, as the colonizer, wants to make Ireland very much like England, but Keegan contends that Broadbent cannot
392 be successful to make England out of Ireland. Keegan believes that Ireland "produces two kinds of men in strange
393 perfection: saints and traitors," (Shaw 1964, p.172) though in these recent years it is more fitly called the island of the
394 traitors. However he assumes, "the day may come when these islands shall live by the quality of their men rather than by
395 the abundance of their minerals; and then we shall see." (Shaw 1964, p.173) Keegan resorts to his dreams when he sees
396 Ireland in its deplorable condition; however dream, for him is, "a prophecy: every jest is an earnest in the womb of Time."
397 (Shaw 1964, p.176) For Keegan, Ireland is completely different from England. In his dream it is "a country where the
398 State is the Church and the Church the people: three in one and one in three." (Shaw 1964, p.177)

4. Conclusion

402 Looking at Ireland and the Irish people from the Third Space, Keegan sees Ireland still potentially powerful and hopes
403 that one day it gains its lost authority. From that stance, he has the opportunity to gaze at the English people as well.
404 Comparing and contrasting the English people with Irish people, he becomes able to know his own identity and also the
405 identity of his own country much better than before. Actually it is because of these differences that he believes in his own
406 country's potential power more than before. On the other hand, for Broadbent, who is looking at Ireland and England from
407 the Third Space, Ireland is the land of opportunities but he is also intimidated by the Irish power. Therefore, he does not
408 want Ireland to be quite like England with quite the same power and authority. In other words not a quite liberal Ireland,
409 but almost liberal Ireland ruled in the hands of the English, who are, as Broadbent believes, more efficient. Wedeen
410 sarcastically states that in "colonial and modernization discourses people have to move up the evolutionary ladder and
411 become more 'civilized' before they can be free." (2013, p.869) And this is exactly the way Broadbent thinks about
412 Ireland.
413 When Broadbent looks at England from Third Space, England is not that much superior than Ireland. Broadbent
414 likes Ireland and the Irish people, their looks and their accent. Even he likes the stubbornness of Keegan: "if the Church
415 of England contained a few men like Mr. Keegan, I should certainly join it." (Shaw 1964, p.176) However, he does not
416 want to make Ireland quite the same since this action will be a threat for him: it puts the authenticity of his people's
417 identity into question and at the same time, he is consequently encountered by his colonial double who has quite the
418 same power. Thus, the relationship between the colonizer and the colonized or the Other is a mutual relationship in which
419 each is intimidated and also intimidates the other and also is shaped by and shapes the other.

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Transformation of Novel's Genre in Modern Literature

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Abstract

Characteristic features of the genre of novel in literature of late XX – turn of XXI century have been analyzed in the article. Contemporary prose development trends have been revealed on the base of generalization of works covering this problem and analysis of a certain writings. Changes of the genre of novel in writers' works have been revealed and factors that affect development of literary process have been defined. Scientific and technical progress impact on writers' world outlook, authors' concept of being and personality, structure and content of today novels have been revealed. Characteristic features of prose written in late XX – turn of XXI century have been defined. Multilayer, multi-genre nature, polyphony and flexibility of novels have been outlined. Analysis of ideas and topics as well as construction of works of contemporary writers has been paid much attention. Principles and methods of picturing life in prose of late XX – turn of XXI century have been defined. Essence of genre and stylistic originality of contemporary writers have been formulated. Specifics of change of the set of patterns in literature of late XX – turn of XXI century have been revealed. Deepening of psychological insight, authors' attempts to broaden the limits of traditional ideas of the world and reveal hidden sides of characters, pictured phenomena and processes have been stressed.

Keywords: novel, genre, writer, creative work, literature, century, transformation, trend, content, form.

1. Introduction

Literature of late XX – turn of XXI century has been characterized by intensification of the process of genre transformation. It was caused by renewal of ideas and topics of works and writers' will to find new forms to reveal artistic design deeper and fuller and to picture real life with all its multifaceted character. Intensification of genre transformation "is caused by growing of author's "power" over genre, shift of dominance from genre to author in tandem "genre-author". Author's will generate various shifts and changes of established genre models that causes new genre or intragroup formations" (Zvyagina, 2001).

Contemporary culture development trends play important role in changing of formal structure of works, renewal of style and meaning. Contemporary culture is multi-dimensional, contradictory, multi-lingual in its essence. Its impact has caused new genre forms and variations. Deviation from classic traditions is typical for contemporary literature. Widely spread are works that combine elements of different genre forms like essay novel, parable novel, fairy tale novel, etc.

Contemporary prose is characterized by inclusiveness of content, wide-scale epic narration and sophisticated characters. It causes renewal of the genre of novel that was significantly changed in literature of late XX – turn of XXI century. According to some researchers, combination of different forms of composition may be seen now in the structure of this genre (Sharipov, 1984).

Contemporary literature has been undergoing "dramatic transformation of genre way of thinking that was formed by centuries-old tradition. Wide differentiation and at the same time contamination of genre both in the scope of system and inside one separate work may be observed" (Markova, 2012). Experiments with content and forms of novels are typical for writers of late XX – turn of XXI century that explains an interest of researchers to this problem.

The problem of evolution and transformation of literary genre is the topic of works by M.M. Bakhtin (Bakhtin, 2000),

N.L. Leiderman (Leiderman, 2010), P.C. Stone (Stone, 1998), L. Santini (Santini, 2014), M. Stein (Stein, 2004), D. Chandler (Chandler, 1997), M.P. Abasheva, F.A. Kataev (Abasheva, Kataev, 2013). V.I. Tiupa (Tiupa, 2011) and others. Researchers discover factors that impact development of literature. Specific features of genre evolution in contemporary prose have been revealed in their works. They also pay much attention to the problem of interaction of literature and culture.

Pressing character of this research is caused by the necessity of deep analysis of the process of novel's genre transformation in contemporary prose, understanding directions of its development and changes of its content and form.

2. Methods

Historical and functional, comparative and typological methods, complex, system, hermeneutical approaches were used in this research. They allow at first carrying out integral and all-dimensional analysis of works of authors of late XX – turn of XXI century, and secondly revealing patterns and trends of contemporary prose development. Application of these methods allowed significantly widening horizons of understanding of artistic world of novels.

Complex method aimed on understanding of all levels of poetic manner of prose works helped revealing specific features of the system of aesthetic principles of writers that had an impact of originating and development of the genre of novel in late XX – turn of XXI century. Applying it we have defined methods of realization of authors' ides and understood principles of contemporary prose construction.

System approach that requires viewing objects of research in their unity and interrelationship allowed tracking succession of literary traditions and innovation of writers and study the nature of artistic experiments.

Historical and functional method helped to understand the role and importance of works in today society. Application of this method allowed revealing the reasons of transformation of genre of novel in late XX – turn of XXI century and trace connection of literature and historical development of the mankind.

Comparative and typological method that presupposes generalization, analysis and comparison of writers' works allowed revealing typical patterns of these writers. Trends of development of the genre of novel in contemporary literature were defined using his method.

Hermeneutic approach allowed understanding deep essence of processes, phenomena, images, pictured in works of writers by interpreting their semantics, analysis in context of author's concept and historical and cultural process.

3. Results

3.1 Genre and stylistic individuality of contemporary novel

Research allowed us to reveal that the work of numerous contemporary writers is characterized by intensification of experiments with genre and style. Trilogy of A. Zhaksylykov «Dreams of cursed» may be an example of this trend. Psychological drama is combined with social and philosophic and intellectual novel. As a result of this combination the plot is not linear. Things are moving in different dimensions and cover memoirs, dreams, imagination of characters. Sensual world is interlaced with rational and irrational ones. Realms of everyday life are being widened to deep philosophical generalizations (Zhaksylykov, 2005).

The novel "The name of the rose" (*Il nome della Rosa*) written by U. Eco is characterized by combination of detective, historical, intellectual novel. Basing on things of distant past the other construct the plot as an investigation of crime committed in Abbey. But the real aim of the search of the novel's protagonist is truth, knowledge and spiritual experience.

The base of novels by H. Murakami is combination of deep psychological insight, philosophical generalizations, memoirs. Elements of fiction, detective, mystery, thriller and anti-utopia are joined in his works. Thinking over the problems of today life author uses them in the canvas of the most unbelievable events in the lives of his characters.

The prose of late XX — turn of XXI century has multi-style nature. Artistic descriptions are often combined with scientific information about a certain events, publicism with spoken word. For example, in the novel «Dead wonder in sands» written by R. Seisenbaev description of events are accompanied by citations from newspapers. The writer uses publicism in his novel to outline the importance of problems he analyzes in the novel and to strengthen the effect on reader. Scientific, artistic and spoken styles are combined in trilogy by A. Zhaksylykov "Dreams of cursed". Characters are citing the works of scientists and spoke about the problems of everyday life. Their remarks contain citations of artistic works.

3.2 Ideas and topics of novel of late XX — turn of XXI century

Multilayer nature is typical for novels of late XX — turn of XXI century. Such levels as historical, philosophical, psychological, the layer of plot and composition may be defined in words of contemporary writers. These layers are tightly interrelated and form a single whole. This may be easily seen in novels by R. Seisenbaev "Dead wonder in sands", A. Nurpeisov's "Last honour", U. Eco's "The name of the rose", Murakami's The Wind-Up Bird's Chronicle, O. Pamuk's "Dzhevded-bei and sons", Ch. Aitmatov's "When the mountains fall (or Eternal bride)". Analysis of inner life of characters, their emotions, feelings, concerns, contradictions and motivations are interlaced with appeal to the history of people, thoughts about eternal ideas of happiness, good, truth, justice.

Modernization of the genre of novel manifests itself on the level of conflict. It has more complicated and contradictory and sometimes insoluble character. This approach allows opening the new facets in characters of novels, making reader think about the problems of contemporaneity (for example, like novels by A. Nurpeisov "Last honour", A. Zhaksylykov's "Dreams of cursed", D. Nakipov's "The ring of ash", U. Eco's "The name of the rose", H. Murakami's The Wind-Up Bird Chronicle, Ch. Aitmatov "When the mountains fall (or Eternal bride)").

Solving conflict in works of today's writers "tends to open the layer of superpersonal, general". In-depth content of things of life is comprehended via the destinies of characters, from position of artistic world as «the second reality». The conflict defines «the scale of correlation of a person and time in novel» because the reality «grows through the conflict» (Alibaev, 1996). Issues risen by authors are concentrated around one central question that arises contradictions and became the cause of people's opposition. For example, Eco's novel contains the conflict between true and false, «secular and spiritual power», the poverty of Christ and richness; erotic and mystic love (Lem, 2007). In trilogy by A. Zhaksylykov "Dreams of cursed" the opposition lies between eternal and temporal, material and spiritual.

3.3 Principles and approaches of picturing reality

Contemporary novel is characterized by flexibility (Bakhtin, 2000). It combines variability and traditional character. This feature of novel manifests itself in its capability to transfer the logic of historical changes undergoing in society, in intensification of figurative word, value of metaphoric exposition that is so typical for contemporary writers.

Conditional forms of figurativity that serve as «purposeful, aesthetically valuable method of deformation of reality» and being the cause of tools of style used in literature is widely used in prose of late XX — turn of XXI century (Sheyanova, 2013).

Including of symbolic images and extensive metaphors is characteristic feature of contemporary novels. They enrich the content and give a special expressiveness to arisen issues.

Writers often use the method of exaggeration in description of things that allows picturing a certain thing more deep and in scale (for example, novels by A. Nurpeisov "Last honour", A. Zhaksylykov's "Dreams of cursed").

Dreams have a special place in prose of late XX — turn of XXI century. Including dreams in novel allows author firstly to widen boundaries of space-time continuum, secondly, to think over phenomena of reality, thirdly to explain in details inner life of characters and show dynamics of their feelings and emotions (for example, novels by A. Nurpeisov "Last honour", A. Zhaksylykov's "Dreams of cursed", U. Eco's "The name of the rose", Ch. Aitmatov's "Stormy stop").

Synthesis of real and conditional forms allows writers to «develop colorful multilayer content. Social and everyday realities in addition to traditional meanings get additional philosophical semantics due to artistic means of creation of conditionality» (Sheyanova, 2013) and thus help to reveal ideas and topics of works, author's concept of being and personality.

Such method as mythology is widely used by contemporary authors. Approaching individual problem of a certain individual person writers often widen it to universal, general humanistic scale (for example, novels by A. Nurpeisov "Last honour", R. Seisenbaev's "Dead wonder in sands", A. Zhaksylykov's "Dreams of cursed", D. Nakipov's "The ring of ash", D. Amantai's "Flowers and books", O. Pamuk's "Dzhevded-bei and sons", Ch. Aitmatov's "When the mountains fall (or Eternal bride)").

Things of today reality are often rethought in works of writers of late XX – turn of XXI century via folklore images and motives. Writers include proverbs, sayings, myths, legends, fairy tales in their novels (for example, novels by A. Kekilbaev "The end of legend", D. Amantai's "Flowers and books", Ch. Aitmatov's "When the mountains fall (or Eternal bride)", M. Park's "Angels' landing place", G. Belger's "The house of wanderer"). According to researchers they "make artistic structure of works more complicated, forms multi-dimensional nature of meanings, outline forms of circumlocution, make active signs and symbols, saturate novel with associations and reminiscences" (Zhaksylykov, 1999).

The works of folklore enrich the content of genre of novel. Applying for images and plots of ancient legends, myths,

fairy tales writers comprehend moral and aesthetic ideals of contemporaneity. Folklore works give novels special colour, individuality and support deeper analysis of risen issues.

Authors of contemporary novels sometimes apply to religion. In narrations about the ways of their characters and reasoning about the things of reality they use such sources as Bible, Koran and Buddhist sources. Authors want to reflect processes that go on in today world in all their multidimensional nature, understand the reasons of conflicts and contradictions, specifics of human consciousness that is why they include religious images and motives in structure and content of novels (for example, A. Zhaksylykov's "Dreams of cursed", U. Eco's "The name of the rose", Ch. Aitmatov's "Execution block").

3.4 Polyphony of contemporary novel

Prose of late XX — turn of XXI century is characterized also by polyphony. It may be seen in several levels of novels. First of all polyphony characterizes narration in works of contemporary writers. A. Zhaksylykov's "Signing stones" may serve as an example. Writer joins remarks of several characters in one paragraph without indication who is speaking.

Polyphony is also specific feature of composition, time-space continuum of novels. It manifests itself in joining events completely different in place and period in one paragraph or sentence (for example, novels by A. Zhaksylykov "Signing stones", A. Kim "Father forest") (Temirbolat, 2007).

Social and cultural reality of life of characters which the main action of a work goes in plays the most important role in contemporary novels. Writers often analyze the mind of people who are representatives of traditional world outlook. Writers trace the process of spiritual growth of a man by placing characters in the system of reality of today life. Characters "experience existential state of time that moves facing them with centuries-old problems. The present as endless repetition of sensations of the past, as experiencing moral obligations to the memory of predecessors" (Ismailova, 2007). Examples, novels by A. Nurpeisov "Last honour", R. Seisenbaev's "Dead wonder in sands", A. Zhaksylykov's "Dreams of cursed", A. Kim's "Father forest", Ch. Aitmatov's "Stormy stop".

Novels of contemporary writers are characterized by subject multi-facetedness. It is represented mainly in differentiation of characters' speech and author's word. Dominating points of view of participants of events is constantly changing by the way of narration. Events are described and characterized via perception of author, narrator, characters. Subject multi-facetedness is most vividly seen in A. Zhaksylykov's "Dreams of cursed", D. Nakipov's "The ring of ash", D. Amantai's "Flowers and books", A. Kim's "The island of Jonah", Ch. Aitmatov's "When the mountains fall (or Eternal bride)".

The polyphony of genre is typical for novels late XX — turn of XXI century. It has "collage" nature and is represented in "combination of various, sometimes contrast things and at the same time is oriented on mechanical transformation of these contradicting forms making them integral work" (Pesterev, 2001).

Multi-genre nature enriches the structure and content of prose works. It is the source of individuality of artistic world of writers, it deepens conflict, adds dynamics to plotlines.

Genre polyphony is defined by specifics of a novel itself that becomes the form that is characterized by free development and "does not know any law except narration" (Ropars-Wuellennier, 1997).

Different types of narration, genre variations are natively combined in works of contemporary writers. They make integral whole, a single genre due to the presence of "stable semantic core", that is formed due to "aggregate of dominating artistic methods that override all the other methods used to create the single whole" (Sharifova, 2012). At the same time they preserve individual characteristics that are being reflected in all the levels of poetics and content of a novel that in turn provide for communicativeness and syncretism of prose of late XX — turn of XXI century.

3.5 Composition of novel of late XX — turn of XXI century

Genre mixture causes addition of new elements and methods that are realized at the level of narration. Main reasons of this phenomenon are firstly trends of historical and cultural development of today society that cause the necessity of search for new artistic forms, secondly means of communication that have significantly broaden possibilities and horizon of writers, thirdly demand for changes in plot organization, strengthening of intrigue, deepening of life situations and collisions.

Collapsing of social time and space is typical for novels of contemporary writers. As a result their works tend to "move from linear time to cycle time, or to "freezing" of time, to increase of interpenetration of real and surreal" (Sharifova, 2012).

Trend to de-realization of events of works may be seen in novels of late XX — turn of XXI century. It causes

220 transformation of story and plot. "Genre memory volume increases due to strengthening of above-generic forms, trends to
221 extra-genre types, including meta-prose, hypertexts" (Sharifova, 2012). This trend is represented in A. Zhaksylykov's
222 "Dreams of cursed", D. Nakipov's "The ring of ash", D. Amantai «Flowers and books», A. Kim's "The island of Jonah".

223 　　　Game techniques are often used in structure of works of contemporary writers as a "special sort of anti-mimetic
224 strategy that binds author, text and reader" and that is "aimed on overcoming the power that is realized in mechanisms of
225 language". A game "gives full and deepest freedom placing real heteronymia of things in the heart of servile language"
226 (Lipovetski, 1997). Examples of these trends are D. Amantai's «Flowers and books», D. Nakipov's «The ring of ash», U.
227 Eco's "The name of the rose".
228
229 **4. Discussion**
230
231 Historical, social and philosophical layers are key semantic levels of novels of late XX — turn of XXI century. Specifics of
232 development of today society, historical and personal destinies of people, moral and ethical categories, universal and
233 eternal problems of being are comprehended in works of writers.

234 　　　U. Eco, O. Pamuk, H. Murakami, A. Nurpeisov, A. Kim, J. Fowles, R. Seisenbaev, M. Park, G. Belger, D. Nakipov,
235 D. Amantai see reality via the prism of the past. They stress philosophical comprehension of problems of today life.
236 Authors rethink the reasons of contradictions in society. Authors try to reveal the essence of such categories as good and
237 evil, happiness, truth and lie, justice.

238 　　　Viewing private life in the unity with historical destiny of people, in the context of social reformations is typical for
239 novels of late XX — turn of XXI century. This move in writers' work causes complication of time-space organization of
240 their works. Events described in their works go on in the interface of past, present and future. Personal destiny is being
241 interlaced with universal destiny. The history became integral part of personal life. Examples are R. Seisenbaev's «Dead
242 wonder in sands», A. Nurpeisov "Last honour", O. Pamuk "Dzhevded-bei and sons", O. Elubaev "Lone jurt", Ch.
243 Aitmatov's "When the mountains fall (or Eternal bride)", Murakami's "The Wind-Up Bird's Chronicle". Events of these
244 novels happened in a certain historical period and the life of characters goes on this background. Destiny of characters is
245 inseparably tied with twists and turns of things in today society. Characters think over universal and eternal problems of
246 being.

247 　　　Contemporary novel is characterized by deepening of psychological insight. Authors pay much attention to
248 understanding of inner life of personality, spiritual and moral evolution of a person. Authors try to understand deep
249 motivations of people's behaviourm reasons of their contradictions and concerns.

250 　　　Psychological insight defines specific of construction of works because it serves as "active plot-defining and
251 structure-defining factor" (Leites, 1993). In penetrate the reality described by authors, causes the way of things, behaviour
252 and actions of characters. The role of monologue, dialog, lyrical digressions and reasoning in works grows respectfully.
253 Authors pay much attention to details that reveal new facets of characters' nature.

254 　　　Principle of naturalness and method of "weirding" is widely used in novels of late XX — turn of XXI century. To
255 reveal different features of their characters writers place them in situation of choice. They have to make decisions
256 revealing their moral and ethical characteristics and their spiritual potential.

257 　　　Method of "weirding" is inseparably connected with communicative function of the genre that causes specifics of its
258 development. Novel is a sort of a sign of matured literary tradition that influences the way reader perceive the work
259 (Chernets, 1982).

260 　　　Contemporary prose undergoes significant transformations under the influence of communicative situation. The
261 genre of novel is being renewed. Elements of fairy tale, parable, fantasy, essay, stream of consciousness are being
262 included in it. Mixture of elements of different genres of literature and types may be seen in novel of late XX — turn of XXI
263 century. Tragedy, drama, satire are interlaced in structure and content of works of contemporary writers. It causes
264 origination of such genres as novel-essay, novel-drama, novel-fairy tale, novel-parable, etc.

265 　　　Renewal of genre composition of prose of late XX — turn of XXI century is caused by writers' application to spoken
266 word, to myths. They use folklore plot, images and thus widen the boundaries of artistic world. Content and form of novels
267 are also being enriched. Archetype and intertexts becomes important component of works. Novel receives such features
268 as mythologism, folklorism (for example, A. Kim's "Squirrel", Ch. Aitmatov's "Stormy stop", M. Park's "Angels' landing
269 place").

270 　　　Prose of late XX — turn of XXI century is being influenced by science. Its progress has an influence on writers'
271 minds, their world outlook, attitude. Scientific discoveries allow viewing the world from completely new points of view. It
272 leads to enriching the content of novels.

273 　　　Language, image system of artistic works is also changing. Writers use terms and concepts in their works. New

images typical mostly for scientific literature are being used in novels. Writers access and analyze philosophical concepts and theories, principles of quantum physics, psychology (for example, novels by A. Zhaksylykov "Singing stones", Ch. Aitmatov's "The stamp of Cassandra", A. Kim's "Father forest").

Influence of science causes spreading of such genre as pedagogical novel. Plot of such novels is based in the problem of transformation of personality. This genre has been formed as a result of writers' application to pedagogics and psychology. Using achievements of these sciences writers analyze the models of behaviour, specific features of consciousness of a person.

Contemporary prose is characterized by tension, dramatic character of narration. Reality pictured in novels is contradictory, sometimes cruel and indifferent to a person. The problem of alienation plays the special role in novels of late XX — turn of XXI century. It is the central problem of work of R. Seisenbaev, D. Nurpeisov, D. Amantai, A. Zhaksylykov, H. Murakami, O. Pamuk.

Dramatic character of novels of contemporary writers is realized on the level of psychological state of characters. Reasoning about the things of the reality they sometimes contradict with themselves, with habital foundations and values. Former stereotypes are either being crashed with working out new value scale or result in conflict of personality (for example, novels by R. Seisenbaev "The throne of Satan", D. Amantai's "Flowers and books", O. Pamuk's "Snow", H. Murakami's "The Wind-Up Bird's Chronicle").

Dramatic character is being revealed in the level of author's perception of events of novel, assessment of life collisions, social phenomena. Reasoning about the realities of today being author gives his own opinion that reflects his attitude to problem.

Development of genre of novel in contemporary literature goes in several directions caused by specifics of its content and structure. Firstly, time-space organization of works becomes more complicated. Linear character of chronotop is lost. Time-space characteristics are becoming more fragmented. Secondly, gradual decanonization of the genre of novel goes on the manifests itself in "destruction of traditional value centers, amorphism of genre system of novels, active use of absurd methods by authors" (Sharifova, 2011). Thirdly, structural organization of novels becomes more complicated. Novels of contemporary authors are characterized by mom-linearity of plot. Inserts like stories, episodes, hypertexts, meta-prose are widely used in the structure of novels.

System of images is also changes in contemporary novels. Characters of novels of late XX — turn of XXI century combine elements of epic poetics and poetics of a novel. Writers show protagonist in complicated and controversal relations with outer world – nature, society. Imaged of novels are characterized by indeterminacy, multi-facetedness. Sometimes they carry deep symbolic meaning.

Contemporary writers often go beyond the limits of traditional three- or four-dimensional world. Events sometimes go on in two-dimensional time-space system, in unreal world (for example, novels by A. Kim "Squirrel", "The island of Jonah"). Much attention is paid to subconsciousness of characters. Writers research the world beyond the limit of traditional perception. Universe in its numerous realizations is an object of their comprehension and picturing. Events of novels often go in meta-world (for example, in novels by A. Kim "The island of Jonah", Ch. Aitmatov's "The stamp of Cassandra", trilogy of A. Zhaksylykov "Dreams of cursed").

Prose of late XX — turn of XXI century is characterized by usage of different types of writing, including words and expressions of different national languages and languages of spiritual culture that is caused by processes of globalization and integration that go on in today society.

5. Conclusion

Genre of novel in late XX — turn of XXI century has been undergoing significant changes caused by a number of factors, among which there are historical and cultural development of society, scientific and technical progress, will of authors to cover the world in all its multi-facetedness, complicated and controversal character and their interest to deep specific features of character and psychology of a personality.

Words of writers are characterized by growing complexity of time-space organization. Plot loses linearity. Polyphony of time and space becomes specific feature of works.

Literature of late XX – turn of XXI century is characterized by mixture of styles and genres, that causes origination of new form such as detective novel, social and philosophical novel, historical and philosophical novel, fairy tale novel, parable novel, essay novel, etc.

Scientific and technical progress has great impact on literature and on artistic process. That causes continuous transformation of genre. New forms and variations of literary works originate. In recent years such new genres became popular as movie novel, audio-novel, blog novel, comment-novel that requires special research. Technique of narration is

328 being renewed, together with methods of comprehension of reality and revealing character, methods of realization of
329 authors' design.
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Pioneers of "Dawnism" in Victorian Desert

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Abstract

Arnold more than any other Victorian writer sums up for the reader the most typical qualities of the age. He shows the movement of thought in man in relation to the age. Arnold depicts the intellectual, cultural, religious and literary confusion of the age and calls it the "darkling plain. Throughout Arnold's poetic career he tries to connect internal integrity with the social lives of men who are alone in an alien world. "The Scholar Gipsy" brings a sense of contemplation back to the frozen minds of the Victorian Utilitarianism. Although the images of hopes in "The Scholar Gipsy" done by the visionary quest and the Tyrian Trader put an end to the life-long doubt-stricken Victorian men, they are only the demonstrations without any palpable, real application in the wasteland of the age. Sohrab in Sohrab and Rustum is a servant of God who struggles to enter the territory of his father. It is his own lost origin to which he enters and consequently finds peace and joins the 'All.' Here, Sohrab is the son who is under the ageis of Thomas Arnold, the father, a triumphant practical spirit guiding the inhabitants of the darkness to the light. If "The Scholar Gipsy" is the renovation of man's spirit from the uncertainty through the suggestion of a vision, and a 'beacon of hope.' Sohrab and Rustum is Arnold's achieved vision and the real capture of the genuine self through the open involvement of the committed traveller in the way of perfection.

Keywords: *Victorian Desert, Mathew Arnold, Dawnism, "Sohrab and Rustum"*

1. Introduction

The cultural, literary, religious and intellectual confusion and ignorance, that are going on in the "darkling plain" are typical of the Victorian age and they can be traced in the works of other Victorians. The chief element responsible for the materialistic desires was the change of feudal system to democracy and the shift of power from aristocracy to middle class people. They found that they were capable to reach the highest degrees of progress. "Work" became the dominant watchword and Smiles (1965) in his *life in London* says, "life was action, not talk. The speech, the book, the reviews or newspaper article was so much force-expended force lost to practical usefulness" (II, 265). Very soon overwork led to weariness and unrest; and intellectual thought, broad scientific examinations, the collapse of faith and widespread laws of cause and effects caused paradoxical feelings of dismay and hope, happiness and anxiety. Tennyson in his *In Memoriam* shows the unstable situation of minds where there is no certainty to which man can appeal. This is the very reason why Carlyle wrote the story of Teufelsdröckh who is struggling in a world of uncertainties. Victorian victims can be recognized as isolated, alone, and nostalgiac creatures suffering from the melancholic phenomena which resulted in their ineternal conflicts. In the Victorian melancholia there seems no ultimate aim and, as a result, there remains a sense of frustration, isolation, despair, and a pale hope for a unifying belief. In his *Sartur Resartus* Carlyle(1969) points, "A feeble unit in the middle of a threatening Infinitude. The men and women around me, even speaking with me, were but figures ... . In the midst of their crowded streets, I walked solitary" (163). Victorian age witnessed the widespread influence of the higher criticism of the Bible that created religious doubt and unrest. Victorians were proud of change, welfare and progress which are more material than spiritual.

Reflectively, against this background, Arnold reveals his own sensations about Victorian melancholia in his "Scholar Gipsy":

> *for early didst thou leave the world . . .*
> *Free from the sick fatigue, the languid doubt,*
> *which much to have tried, in much been baffled, brings.*
> *......................................*
> *O life unlike to ours!*
> *Yes, we wait it-but it still delays,*
> *And then we suffer ...*

from Shakespeare who in *King Lear* refers to the word "darkling" and then Keats uses it in "Ode to the Nightingale" and applies it to the moment when he loses his half poetic self and returns to the world of reality with which he has no affinity. According to Jerome Hamilton (1964), perhaps more insistently than any other critic Arnold demands moral values and is the severe critic of Victorian inflexibility and high seriousness (26).

Darkness is present in this plain and there are fogs and swirling sands. It is a desert, hot and always barren of any fertility. The inhabitants of the "forest glade" pay their love to their mothers, queens, and nature and are in the mood of innocence belonging to the childhood which in "The future" represent themselves as:

> *A wanderer is man from his birth.*
> *He was born in a ship*
> *On the breast of the river of Time;*
> *Brimming with wonder and joy*
> *He spreads out his arms to the lights,*
> *Rivets his gaze on the banks of the stream.*
> *(1-5)*

1.1 Research Method

Literature can be studied through various lenses; formalism is one of the many approaches that can be applied to any piece of literary work, it was first introduced by a group of Russian scholars in 1915, they "boldly declared the autonomy of literature and poetic language, advocating a scientific approach to literary interpretation" (Bressler 51). Regardless of the author's biography, they paid close attention to the structural features or form, asserting that the reason for the literariness of any text is the devices that are exploited to make literature different from everyday language. In order to look for the devices such as symbols, ambiguities and tensions that, lead to the meaning of the text, close reading was recommended. From the formalists point of view form and content are inseparable, because paying particular attention to the formal aspects of a text would directly contribute to the meaning.Under the scope of Formalistic approach some elements of Arnold's poems such as the title, persona selection, apparent symbols, and recurrent motifs which are in line with the theme of the poems will be analyzed. Formalists whose major focus is on "the autonomous nature of literature" declare that the best way of studying literature is literature itself. In order to have a better understanding of a text's meaning, formalists claim the text should be analyzed as "a self-enclosed, law governed system" (Bressler 51- 52). So, the elements and devices by which Arnold tried to convey meaning becomes important in this study as such elements are highly focused and in a repeated manner as a chain that no other critical approach would reflect any better understanding of the poems. One of the other elements which can help formalists to analyze the text, is the close reading of the characters. "Characters are the persons represented in dramatic or narrative work, who are interpreted by the reader possessing particular moral, intellectual, and emotional qualities. . . ." (Abrams, 1939, 42). Other elements to be considered in this study are title of the poems, symbols and recurrent motifs.The major theme of the poems which is the different manifestation of the quest that the poetic personas reveal as pioneers of dawnism in Victorian darkling plain..

Arnold's letters, essays, and poems delineate a line of development resulted from his keen observation of the events of his time. He depicts man's integral struggle in the "darkling plain" to find his true, hidden self Arnold's poems reflect his attempts to prevail a true self that saves not only his own hidden self, but also those of other victims. Paul F. Baum (1958) believes, "Matthew Arnold was very much a man of the practical world and very much bound to cure its problems" (9). His line of development proves Arnold's final success to find a true self committed to construct the ruined Victorians. *Sohrab and Rustum* and *Obermann Once More* are examples of such a triumph. According to Culler (1966) both Sohrab and Rustum poise their lives by incorporating their opposites within themselves (211). This actually means the imaginative reason which Arnold tried to capture. He gives to his poetic ideal the toughness it needs for survival in the real world and gathers multiplicity to reach a world of unity. According to Culler, "Arnold seems to combine Victorian earnestness with Romantic agony to produce a puzzleheaded poetry in which he solves his personal problems and imposes his solutions upon the world" (75).

1.2 Review of Literature

In "Matthew Arnold and Saint-Beuve" Arnold Whitridge regards Arnold as moralist for whom literature is a matter of ethics (1938). There are critics who trace Arnold's similarities to the French works like Renan's "Essais de morale et de critique". John Harding's "Renan and Arnold" (1938) sees in both of them similar subjects concerning education, Hellensim, Celticism, and the like.

113   Allott (1978) in his annotated edition of Arnold's poems emphasizes Goethe's influence on Arnold (17). It is true,
114 however, that all these writers and philosophers influenced Arnold, but as Houghton (1988) believes they acted only as a
115 source of inspiration (19). One can find out that Carlyle's *Sartus Resartus* influenced Empedocles, but as Arnold rejects
116 his creed, the implication lies in Arnold's rejection of Carlyle's teachings.
117   A line of development is visible in Arnold's poetry. From his early Romantic poems to the end of the "Marguerite"
118 poems where he leaves his beloved to find his soul in solitude, not in the society of his friends and his beloved, and finally
119 in *Sohrab and Rustum* in which his ultimate committed soul ventures to present moral ideas to society. Elliot (1964   )
120 believes that Arnold's course of development depends on his moods which have their source in differentiated emotional
121 currents which gave him a sense of deep oppositions throughout his works (178).
122   Arnold's developing phases lead him culminatingly to particular type of Hellenism. His poems are found to be
123 unified complex myth which becomes visible through different characters, landscapes, and actions. Culler (1966) states,
124 "The thought is the man, whether in his individual life or in human history, moves from chidlhood faith and joy, through a
125 period of skepticism and understanding to a final synthesis that reconciles the two" (3). Dr. Abjadian (1995) believes that
126 Arnold's Preface and his poems reveal his awareness of the chocking atmosphere of the age (7).
127   The sense of a divided self is felt throughout Arnold's works and this shows obviously the conflicting mood of a
128 modern man in the "darkling plain", struggling with his true self and his masked one. In Plotinsky's view (1964) the central
129 problem of all Arnold's poems is the "divided mind", but in his narrative poems, he seems to solve the problem. Arnold's
130 basic starting point in his rendering poetic advancement is the criticism of the darkling plain" reflecting the Victorian age.
131 In "Dover Beach" Arnold shows the dominant phenomena and Delasanta (1959), revealing Arnold's theme in the poem,
132 says," The theme is the melancholy awareness of the incompatibility of the imaginative world and the world of Victorian
133 reality (item 7).
134
135   *One can find Arnold's indebtedness to Newman. In his letters Arnold confesses Newman's influence on him: ". . ." no*
136   *words can be too strong to express my interest which I used to hear you at Oxford, and the pleasure with which I*
137   *continue to read you, writings now . . . (57). In "Poetry with Reference to Arnold's Poetics" (1829) Newman states:*
138
139   *Poetry recreates the imagination by the superhuman loveliness of its views, it provides a solace for the mind broken by*
140   *the disappointments and sufferings of actual life; and becomes the utterance of inward emotions of a moral feelings,*
141   *seeking a purity which this world will not give. (10)*
142
143   Arnold takes pleasure in giving way to his emotions and present his "rebellion and rage" against the age in
144 which Sohrab, for example, seeks a truth which the world "will not give". Frank Kermode in *The Romantic Image* (1957)
145 declares, "The new age excludes Arnold, or rather he excludes himself from the new age" (9). W. Stacey Johnson (1961)
146 identifies Arnold with Empedocles in his "dialogue of the mind with itself" (117). *Tristram and Isuelt* is another
147 manifestation of the world of the conflicting "darkling plain". Tristram engulfed by the power of love is chained in a burning
148 world. He is "Thinned and pale before his time" (I, 108).
149   Hillis Miller (1963) has a chapter on Arnold in *The Disappearance of God*. He states that Arnold is still criticizing his
150 society of its cultural failings, but also waiting for a dawn to come (215)
151
152 *1.3   Objective of the Study*
153
154 This study shows that protagonists in Arnold's poems who suffer from the aridity of the age and undertake different
155 possible ways, such as what madmen, slaves, quietists, and strayed revelers do, to find a healing power for their wounds
156 caused by the empty world of Victorian era. Arnold's sequence of poems and his course of development reveal his
157 maturer ways and his final goal which is his social duty.
158   The sense of utter suffering, the conflict of the soul and the uncontrollable strivings by men in Arnold's poemscome
159 to make him the father of modernism responsible for the future split personalities of modern writers. Empedocles and
160 Tristram are the best examples of suffering victims who struggle to answer their volcanic buried selves but fail to receive
161 them and are fulfilled at the time of their deaths. In his letter to Clough Arnold (1996) says, "yes, congestion of the brain is
162 what we suffer from ... . I always feel it and say it ... and cry for it life my own Empedocles" (130). Sohrab, on the other
163 hand, is the successful protagonist who not only lives with his buried self but also brings the spirit of animation and
164 nobility to the arid society. One can easily find that the battefeld of *Sohrab and Rustum* with its barren life and
165 fragmented Oxus changes to be a calm place with the sound of waves becoming a sea:
166
167

168	*. . . till at last*
169	*The longed-for dash of waves is heard, and wide*
170	*His luminous home of wates opens, bright*
171	*And tranquil, from whose floor the new-bathed stars*
172	*Emerge, and shine upon the Aral Sea.*
173	*(889-892)*

2. Discussion

The possibility of finding man's genuine self in the "Darkling Plain" of Victorian desert through awakening and discovering the dormant faculty of mind is introduced in the guise of an energetic quest, undertaken by Arnold's visionary Scholar Gipsy. "The Scholar Gipsy" suggests a glimmer of hope which has the potentiality of change and creating a prosperous future. This suggestion is also manifested in "The Future." This is the motive which the Scholar seeks and the speakers invoke a dream to prepare an appropriate ground for a better life:

> *Haply the river of time*
> -----------------------------------
> *May acquire; if not the calm*
> *Of its early mountainous shore,*
> *Yet a solemn peace of its own. ("The future" 71-8)*

The revelation of a nobler inward life is what Arnold points out in "The Scholar Gipsy" through the suggestion of the quest. He introduces the suggestion of a positive change which is the first step in changing the doubtful obscurity of a hopeless generation. The emergent introduction of a positive change is something which Arnold finds by the Scholar's quest, hoping that the alienated Victorians could hear and see a dim ray of hope and feel its power within themselves:

> *Thus feeling, gazing, might I grow*
> *Compos'd, refresh'd ennobled, clear;*
> *To work or wait elsewhere or here! ("Awish" 50-4)*

The insistence on the possible fulfillment of hope is shown by inviting people to seek actively for their genuine selves in the "darkling plain." In order to make men believe such a possibility, Arnold describes the image of his Utopian model in the final simile of the Tyrian Trader at the end of "The Scholar Gipsy." After his positive assertion of hope for the future, Arnold needs to show an abstract model of prosperity for which he prescribed the immediate quest. The transfiguration of an imaginary quest to a more real abstract image confirms the possibility of success. After seeing such a brief demonstration of a man determined to find the buried self, naturally a note of optimism emerges: "How fair a lot to fill/ Is left to each man still" ("A Summer Night" 91-2).

From now on, the purposeless people whose lives had been for long without any aim are suddenly pushed aimfully to look for the genuine self. It is the natural by-product of witnessing the Utopia even if it is in a vision or after observing an abstract model. The sense of optimism and the emergence of a purposeful agent are also present in the vision in "Obermann Once More" in which the poet, who speaks to Arnold in a vision, ends his message hopefully:

> *The world's great order dawns in sheen,*
> *After long darkness rude,*
> *Divinelier imaged, clearer seen,*
> *With happier zeal pursued. (295-6)*

R. A. Foakes (1958) considers Arnold's technique in showing his abstract model of hope, as rhetoric of assertion in which he urges men to attain their genuine selves in the "darkling plain." As Foakes declares, "Arnold helps men hope for a new-made world" (18-19).

After finishing "The Scholar Gipsy," in a letter to Clough, Arnold says, "but what does it do for you?" (146) Paul Edwards briefly comments on this sentence and claims that "Arnold meant to insist on the business of learning and knowledge in his "Scholar Gipsy." What he does is to awaken only man's inward potentiality and persuade man to seek for his genuine self. But after writing "The Scholar Gipsy," Arnold feels the necessity of action after the recognition (63).

After the abstract image of assertion conveyed through the Tyrian Trader, the third phase of Arnold's stage in finding the genuine self begins. Here, man purposefully gets involved in an active search and prepares himself to fight

against every possible block present in the battlefield of the waste. Now, he is bound more energetically to find his lost identity and he ventures to destroy everything which wants to stop him in the world of the Victorian social selves. Man is seen crying: "On, to the bounds of the waste,/ On, to the city of God" ("Rugby Chapel" 206-7).

In his *Culture and Anarchy*, Arnold (1960) says, "Religion says: The Kingdom of God is within you; and culture, in like manner, places human perfection in an internal condition" (47). Arnold tries to awaken that "Kingdom" within man through a visionary quest and the demonstration of its final result. But the internal awakening is not enough; it should be guided to some meaningful function.

While "The Scholar Gipsy" is the revival of the internal "Kingdom of God," *Sohrab and Rustum* is a step forward, following that internal recognition.

This study shows how Arnold presents his committed character, Sohrab, who is going "On, to the bounds of the waste" seeking actively his genuine self. While the absolute Utopian world of the Tyrian Trader briefly introduces a successful man seeking his true self, Sohrab endeavors to grasp it. The process of the struggling of the Tyrian Trader is not presented at all, and Arnold swiftly passes from it to the final border line when the Trader is shown passing the "strait" witnessing the fresh air of the Atlantic waves. On the other hand, Sohrab's process of struggle is shown in details connoting the intensive influence of the previous assertion and the manifestation of the spirit of confrontation with the waste.

In *Sohrab and Rustum* Arnold relies on features like movement, energy, youth, and action to make the theme of the quest prevail more concretely. It becomes palpable for every reader who faces openly the decisive, energetic spirit of the quest in finding man's inward sufficiency through direct confrontation with the "darkling plain."

From the very beginning of *Sohrab and Rustum*, one can see a new atmosphere as a result of that decisive, fighting spirit. The active, optimistic spirit of the quest after "The Scholar Gipsy's" positive assertion of hope and its final recognition, is dominant throughout *Sohrab and Rustum*. It has even changed the pole of stress from one stage to another. There are lines in the poem in which Arnold explicitly confesses that the mood of passivity, hesitation, doubt and evaluation has been completely ended as a result of a strong belief in hopeful prospections of the speaker of "The Scholar Gipsy;" and now is the day of bold action, immediacy and bravery in finding one's genuine self; it is the time of heroic confrontation with the "darkling plain."

Gudurz is seen in the tent-door of Rustum inviting him to fight; he openly refers to the point which is the center of attention throughout the poem:

>*"Not now! a time will come to eat and drink,/ But now to-day; today has other needs" (208-9).*

The repetition of the word "to-day" connotes the shift of mood and the need which Rustum ignores. Gudurz's speech refers implicitly to the fact that a day will come when men celebrate their victory over their social selves, but today is the day of action and fighting in addition to a direct involvement in the "darkling plain" to find the genuine self.

Due to its decisive theme, the stage of the poem's world is different from that of "The Scholar Gipsy." The poem begins with daybreak, when the first light of the day fills the scene. Thus, morning comes with its own activity, and darkness, which is the symbol of rest, waiting, and ignorance, has gone. The boring atmosphere of fogs which suggest man's inward blindness, has not been removed yet, perhaps because of Rustum's ignorant self. "And the first grey of morning filled the east,/ And the fog rose out of the Oxus stream" (1-2).

There are other references to the morning light in "Obermann Once More" and in "Stanzas in Memory of the Author of Obermam" which are also suggestive of the appearance of a different stage. The reference to the light in these poems, as in *Sohrab and Rustum*, can be considered as a vital message of the moment.

>*Despair not thou as I despaired,*
>*Nor be cold gloom thy prisonl*
>*Forward the gracious hours have fared,*
>*And see! the sun is risen!*
>*("Obermann Once More" 281-4)*

In "Obermann Once More" one can see Arnold welcoming the breaking light:

>*And glorious there, without a sound,*
>*Across the glimmering lake;*
>*High in the Valais-depth profound,*
>*I saw the morning break. (I. 345-8)*

279   Hugh Kingsmill (1969) calls it a "phase of dawnism." He believes that both *Sohrab and Rustum* and "Obermann
280 Once More" show a departure from depression and ennui to a creative, optimistic poetry (97).
281   Throughout the night, the ghost of Obermann appears on the mountain and insists that the tempests are gone, the
282 new day has come, the sun is rising and the ice is melting. The time of vision is ended and what is left is only action with
283 the connotation of hope and prosperity.
284   Arnold has passed through the period of dissatisfaction and has come to the possibility of hope and the beginning
285 of a new stage. It is true that Arnold was scanning his way in some of his early poems to a practical quest to find the
286 genuine self in the burning desert," but he completes the quest in *Sohrab and Rustum*.
287   Arnold moves from dream to inspirating reality. He feels that things are better than they were, and there must be
288 no more joy in meadows, for it is the time of action. So, Arnold in *Sohrab and Rustum* seeks to reinforce spiritually and
289 realistically his more practical endeavors to cut through what he had merely asserted.
290   He works, as Sohrab does, to see the ideal world realized. That is why Sohrab decides with his alert mind to act
291 hopefully. He is like Obermann here who affirms that "Henceforth man/ Must Labour" (185-86).
292   Sohrab appears at the very beginning restlessly waiting for the combat. It is mentioned that everyone is asleep in
293 his camp except Sohrab: "Sohrab alone, he slept not, all night long/ He had lain wakeful, tossing on his bed" (5-6). Labour
294 and commitment have occupied his mind preventing him to rest in the world of ignorance and passivity. The "dawn" of
295 decision has come and he is determined to begin his quest of self-identity: "When the grey dawn stole into his tent/ He
296 rose, and clad himself, and girt his sword" (7-8).
297   The active and decisive spirit of Sohrab, which suggest his wakeful breast, are in sharp contrast to the ignorant
298 men around him, those who act as a foil for Sohrab to sharpen the intensity of his desirous heart. The Tartar camps are
299 black gathering together like "bee-hives" on the "low flat of Oxus" connoting a calm and immobile life. It goes further to the
300 climax of such a life when "Upon the thick piled carpets in the tents/ And found the old man sleeping on his bed" (24-5).
301 The bed, rugs, and felts upon the thick piled carpets with an old man lying on them, suggest the immobility and
302 fruitlessness.
303   Sohrab is young and wakeful; he sets to work and goes for getting counsel to calm his volcanic breast and his
304 inward discontent. He acts as a mouthpiece of a movement, as a pioneer for the stage of "Dawnism," a practical
305 involvement to find the genuine self.
306
307   *Thou know'st me, Peran-Wisa! It is I.*
308   *The sun is not risen, and the foe*
309   *Sleep; but I sleep not; all night long I lie*
310   *Tossing and wakeful, and I come to thee.*
311   *(Sohrab and Rustum 34-7)*
312
313   Sohrab has left the "forest glade" of his mother town in Aden-baijan and now he is passing his youth in the world of
314 the "darkling plain." Actually he was once in Afrasiab's garden where he learnt the arts of fighting and got to maturity
315 Afrasiab's garden is the woods to which the Scholar ran to find the lore of the Gipsies. It is a learning stage where the
316 necessary lessons are taught and Peran-Wisa, being an old, moderate man, suggests the spirit of that experience. While
317 the Scholar Gipsy is only seen in his learning stage, passing his times following the Gipsies, gathering flowers, and sitting
318 by the brooks, Sohrab is seen at the end of this stage.
319   Afrasiab has allowed Sohrab to gather his experiences and find what he desires: "For so did King Afrasiab bid me
320 seek" (37). Peran-Wisa is the gathered experience of Sohrab's learning stage. This spirit of experience is now asleep
321 suggesting that there is no external outburst in gathering experiences without applying them to some meaningful purpose.
322 The dialogue of Sohrab with Peran-Wisa in taking his counsel and permission seems to be the dialogue of Sohrab with
323 his own learned spirit. He confesses that he has learned enough arts and has proved his aptness in finding what he
324 lacked: "I have still served Afrasiab well, and shown,/ At my boy's years, the courage of a man" (45-6). He continues to
325 say:
326
327   *This too thou know'st, that while I still bear on*
328   *The conquering Tartar ensigns through the world,*
329   *And beat the Persians back on every field.*
330   *(48-9)*
331
332   Now, it is the time to seek energetically what he wants: "Go, I will grant thee what thy heart desires" (93). Sohrab
333 here is another Scholar after the vision of the speaker when after a long time of experience and exposition to the

imaginative world of the Gipsies, he turns to be purposeful: "Thou hast one aim, one business, one desire" ("The Scholar Gipsy" 152). Sohrab also, after being experineced in Afrasiab's garden, finds that the passive, hesitating life of experience and preparation has come to an end and it is time for him to "Labour" practically and achieve his quest: "I seek one man, one man, and one alone/ Rustum, my father; who I hoped should greet" (48-9). Sohrab continues to say: "Should one day greet, upon some well-fought-field/ His not unworthy, not inglorious son" (51-52).

"Some well-fought-field" clearly manifests Sohrab's insistance on action. Later on he also says, "but I/ will challenge forth the bravest Persian Lords" 955-6). His belief about the necessity of being recognized by his father is a motif repeatedly asserted to reinforce the fact that his energy, his courage, and his practical search must be recognized. Arnold wants to introduce the spirit of courage and practical involvement in the guise of Sohrab who is aware of his great mission and decides to handle it properly. Dr. Abjadian says, "he wants to be not in the ivory tower, but part of the waste, he proves that he belongs to that Victorian desert, and should have on active role here"(415).

The internal unrest puts an end to the period of learning, and Sohrab feels that he must find his originality. He has been separated from his real lineage. He was born in Aderbaijan which is not his actual hometown, neither does he belong to Afrasiab's garden. His unrest is due to the lack of compatibility with the places in which he was born and brought up: "O Sohrab, an unquiet heart is thine" (65). He is so dear both to his mother and his friends; he is superficially happy and they love him very much:

> Can thou not rest among the Tartar chiefs
> And share the battle's common chance with us
> Who love thee. (65-7)

Elsewhere Rustum summarizes Sohrab's life in Afrasiab's garden as "Thou art not in Afrasiab's gardens now/ With Tartar girls, with whom thou art wont to come" (460-1). Unfortunately, he does not feel at home there. The process of maturity in his learning stage in Afrasiab's Garden has helped him feel that he has been separated from his origin, from his father, and now he demands it. He has a positive notion of his father as the origin of man is naturlaly good and divine. Sohrab is in Tartar camps in the peak of Pamere connoting his internal energy and passion in finding his origin.

The hesitation and doubt as well as the fact that Peran-Wisa is so cautious to advise Sohrab to seek his father in "peace," delineate the phase of internal passivity which is finally doomed to failure. He confesses that, "In vain; but who can keep the Lion's cub/ From ravening, and who govern Rustum's son" (90-1).

As the opening of the poem begins by Sohrab's wakeful image and the reference to water imagery of Oxus suggesting movement and energy, the advancement of the Tartar horsemen into the open field is also accompanied by the rising of the sun clearing fogs from Oxus: "The sun by this has risen, and cleared the fog/ from the broad Oxus and the glittering sands" (104-5). It is the beginning of Sohrab's active, conscious involvement to find his origin, his father.

The activity witnessed among the Tartar men helps the reader find that the period of passive meditation of "The Scholar Gipsy" in its learning stage of the woods has been replaced by a practical involvement which is a direct result of that imaginative preparation.

Haman, who is now the head of the Tartars after the old Peran-Wisa, is seen in his pick of youth, energy, and practicality; "Haman, who next to Peran-Wisa ruled/ The host, and still was in his lusty prime" (108-9).

The horsemen stream into the field, and the pace of movement is going to be faster as the similes suggesting action intensify the moods. These similes not only mingle with the great action of the poem, but also externalize or objectify the internal energetic states of the character who dares to seek his genuine self. It reflects Sohrab's knowledge that he should have an active role in the Victorian desert and should put an end the ignorant mood.

The first simile is the simile of the long-necked cranes that stream over the Casbian sea and are southward bounds. They are migrating birds that travel from one part of the country to another. They are associated with an active life. Fixity is not applicable to them and the Tartar troops are similar to them as they are also going southwards.

The demonstration of the Tartars as the cranes justifies their internal moods. They are often refered to with epithets like temperate, light, wild, unkempt and bright which imply the notion of activity, decision, passion, and boldness. Arnold ascribes the characteristics of shepherds to most of them. In spite of their spiritual wakefulness, they are the image of daywork. Peran-Wisa, in spite of his being old, threads the "Tartar squadrons to the front" and he himself is described as a shepherd wearing a white cloak and a sheep-skin cap with a ruler's staff in hand. It suggests that the practicality of this side is constructive aiming at a significant end which is finding the truth. They accompany Sohrab who is bold in finding his origin. Sohrab and his friends are the embodiment of a positive action which has a spiritual background.

Unlike the Tartars whose moving spirit and leading energy are impressive, the Persians are depicted as motionless

and without any motives to do anything constructive. While the Tartars are similar to the travelling birds, the Persians are like the Pedlars who are thirsty but incapable of slacking their thirst with "sugared mulberries." They are not only the spirit of laziness but they are recurrently ignoring their needs.

> *But as a troop of pedlars, from Cabool,*
> *Cross underneath the Indian Caucasus,*
> *That vast-neighboring mountain of milksonw;*
> *Crossing so light, that, as they mount, they pass*
> *Long flocks of travelling birds dead on the snow*
> *Chocked by the air, and scarce can they themselves*
> *Slack their parched throats with sugared mulberries.*
> *(160-6)*

The spiritual laziness of the Persians has been attributed to their physical thirst. They scarcely refresh themselves out of fear. They ignore their urgent need which is water. Persian troops are the representatives of the materialistic Victorians who ignore their spirituality and do not enliven it with the inspirating water of virtue and active quest. There is no activity on the side of them. They are slow, single walking men:

> *In single file they move, and stop their breath,*
> *For fear they should dislodge the o'echanging*
> *So the pale Persians held their breath with fear.*
> *(166-8)*

On the contrary, the Tartar troops are shown as drinking milk of mares suggesting their attempts to refresh themselves. They are not ignorant of their essential needs:

> *First, with black sheep-skin caps and with long spears,*
> *Large men, large steeds; who from Bokhara come*
> *And Khiva, and ferment the milk of mares*
> *Next the more temperate Toorkmuns of the south,*
> *---*
> *Light men and on light steeds, who only drink*
> *The acrid milk of camels, and their wells. (119-215)*

In *Culture and Anarchy*, Arnold (1960) alludes to Sohrab's challenge and his entrance into the barren field which can be considered as bringing sweetness and light to the barren and black situation of the opposite side (126). The color of the faces in the Persian side is pale in sharp contrast with the lusty, passionate Tartars who ride lightly and energetically onto the field. They are afraid of finding their essential needs and find it destructive. Arnold beautifully connotes the lack of venture and the boldness of the ignorant Victorians who do not dare to seek energetically their genuine selves.

On the Persian side the focus is on the world of hesitation, caution, fear, separation, and old age which are different aspects of one feature, the lack of action. It is a foil for the committed Sorhab who challenges to bring the spirit of life back to this wasteland. Arnold wants to reinforce the fact that the stage is completely changed and the life of such people is in its end.

Rustum whom Sohrab seeks is isolated and lives a lonely life. He has been a powerful champion but his relationship with the younger generation has been disconnected. He is angry now and has isolated himself from the rest, living in his own black tent. Gudure openly confesses that Sohrab is "young, and Iran's chiefs are old/ Or else too weak; and all eyes turn to thee" (216-17). Rustum is seen in his own solitude ignoring the life outside: "aloof he sits/ And sullen, and has pitched his tent apart" (179-80).

On his first appearance, Rustum emerges in his gloomy, lazy mood, reluctant to have his breakfast: "Rustum; his morning meal was done, but still/ The table stood before him, charged with food" (169-7).

The falcon on his wrist is the representative of a life of a hunter and the fact that Rustum is like the falcon who is not involved in a practical life. Arnold distorts Rustum's heroic grandeur and practicality by depicting him not as a hero who fights, but a hunter who is just looking and waiting for some defenceless creature.

Rustum had certainly had his own heroic days when he was young, but now his heroic days are gone. The insistance on the immobility of Rustum implies that the age of old generation is dead and it is now the outburst of the new

stage, the stage of practical Sorhab.

The following lines suggest that the Victorian victims must desperately accept the change of the stage:

> *Errs strangely; for the king, for Kai Khosro*
> *Himself is young, and honours younger men,*
> *And lets the aged moulder to their graves*
> *Rustum he loves no more, but loves the young-*
> *(223-6)*

The fact that Kai Khosro, pays no attention to the old and respects the young, proves the dominion of the new age and Sohrab's final gratification to find the genuine self through his youth and venture. The Victorian victims find their fault in sitting idle.They confess their failure and a sense of loss:"For what care I, though all speak of Sohrab's fame?" (227)

Really Sohrab is another Rustum who is only aware of his own beating desires and listens to the promptings of the buried life in the "darkling plain" while Rustum willingly sets it aside and knowingly leaves a practical venture leading his solitary life. When lamenting at Sohrab's final breathings Rustum points to this fact:

> *. . . and I might die not thou;*
> *And I, not thou, bo borne to Seistan;*
> *And Zal might weep above my grave, not thine;*
> *And say: O son, I weep thee not too sore,*
> *For willingly, I know, thou met'st thine end!*
> *(819-23)*

Rustum is the perfect model of the Victorian man with the stress on his ignorance. He has tragically left his old father, Zal, in his hometown Seistan, clearly connoting the image of an ignorant Victorian who knowingly ignores his consciousness of the buried origin and his own breast. However, he longs for such a power as one can see him wishing for having a brave son:

> *For would that I myself had such as on,*
> *And not that one slight helpless girl*
> *A son so famed, so brave, to send to war*
> *(228-230)*

Rustum himself is tired of his present life in the passive wasteland and longs for his father land. His desire for power, venture, and energy can be considered as a foretelling of a changing mood. He shows his inward compatibility with his father land and it is the unconscious beatings of his heart, "And I to tarry with the snow-haired Zal" (233). It is his origin which summons but he is bewildered in the "darkling plain."

Sohrab on the other hand, has not knowingly separated himself from his father in the sense of his origin or his true self. As we know he is born in his mother town without witnessing the presence of his father. He has not alienated himself from his fatherland knowingly; rather, he ventures willingly to find his origin. He has not been gratified only by gathering experience in Afrasiab's garden. He has courage to save his lost identity, his father, his genuine self; while Rustum does not dare to protect his father, his origin, or his genuine self. Zal is presented under the attack of foreigners:

> *My father, whom the robbers, Afghans, vex,*
> *And clip his border thort, and drive his heards,*
> *And he has none to guard his weak old age. (233-5)*

Rustum knows the emergency of protecting his father (genuine self), but he is like a slave and quietist who leads a solitary life. The materialistic and chaotic Victorian system captures the true, divine, and spiritual genuine self which is introduced here as Zal, the father figure. The Victorian victim, like Rustum, is powerless to protect it. The fact that Rustum does not know that he has a son and he refers to his child as a girl suggests lack of faith, lack of belief in his own powerful potentiality.

Despite Rustum's ignorance of his father, origin, and the true self, the younger, energetic Sohrab decisively searches for him. He trusts his inward impulse and the youthful openness and willingness to trust his own instinct and decisive heart is the main focal point which Arnold insists in *Sohrab and Rustum*.

James Najarian (1996), who stresses on the youthful energy manifested in Sorhrab, says, "Sorhab is Arnold's

desire to a self-mastery over his dandified Keatsian Arnold to reach a masculine, practical man" (1 of 2). He continues to claim that Sohrab's quest for his father is Arnold's courageous quest for a stronger identification and his last victory is due to his paternal recognition. The vigorous and easy spirit of the youth is freshly presented as a foil to the questioning, hesitant nature of the Victorian victims.

Every image on the side of Rustum implies the death of an ignorant life. The diver image suggests the peak of passivity. The disability and death found in passive, solitary life of Victorian men once more appear in the image of the pale wife who is shown waiting. The pale color of her face points to the failure of such a stage. She is shown as weeping on the sandy shore, implying the lamentation over the ignorant stage:

> And dear as the wet diver to the eyes
> Of his pale wife who waits and weeps on shore,
> By sandy Bahrein, in Persian Gulf, (284-6)

It is going to be clearer in the following line in which Arnold explicitly portrays the agony of the whole ignorant stage:

> "So dear to the pale Persians Rustum came." (290) All of the Persians are pale; there it is time of another phase whose
> values according to Dr. Abjadian (1979), "Sohrab exemplifies" (420).
> While Rustum is a "diver" Sohrab is later seen as a swimmer:
> And though thou thinkest that thou knowest sure
> Thy victory, yet thou canst not surely know.
> For we are all, like swimmers in the sea. (388-90)

While Rustum is now old and can do nothing except waiting. Sohrab believes in active struggle to find his genuine self. He insists on his power which is a mouthpiece for what Arnold cherishes as the true policy: "I am no girl" (381).

Sohrab breaks the immobile atmosphere of the age and is a forerunner of another stage. Arnold repeats a sentence three times to support the spirit of the change: "He has the wild stage's foot, the lion's heart" (215). He comes decisively and armed to put aside every obstacle in his way towards the desired goal. He is among a field of corn with half reaped standing corns. Sohrab's entrance to the battlefield in the season of harvest reveals his job as a reaper who comes to cut what he has already sown in his days of gathering experience and maturity in Afrasiab's garden. He is now in Autumn with half cut corns meaning a mission not done completely. Sohrab is on his mission which is going to be done completely while he has done half of it by entering the new mood of practice to fulfill his breast.

From the very beginning Sohrab senses that his opponent is his father Rustum: "Surely my heart cried out that it was thou/ When I first saw thee, and thy heart spoke too (711-12). He answers to the call of his genuine self which leads him to submit himself to Rustum: "Art thou not Rustum? speak: art thou not he?" (345)

Elsewhere Sorhab says:

> . . . I have seen battles too-
> Have waded foremost in their bloody waves,
> And heard their hollow roar of dyingmen;
> But never was my heart thus touched before. (434-6)
> He feels the genuine self and unarms himself whenever he finds it:
> But that beloved name unnerved my arm-
> That name, and something, I confess, in thee,
> Which troubles all my heart, and made my shield
> Fall. (542-45)

Najarian believes that the allusion to Hyacinthus clearly shows Sohrab's love for his father which in turn tells of Sohrab's love for his origin. He is a lover of genuine self (2 of 2).

Sohrab's active quest is stopped when he finds the object of the quest, the genuine self or his origin. But Rustum from the very beginning denies his presence knowingly: "Man, who art thou who dost deny my words? (655)

Sohrab's actions, courage, and practicality aim at finding his lost identity just in sharp contrast with Rustum's actions which are negative and planned to protect himself from self-recognition. Rustum denies his own identity. He does not put forward one step to accept the truth of Sohrab's identity.

Rustum's first advice to Sorhab connotes a message of "not being". He wants Sohrab to be submissive: "And fight beneath my banner" (332). He appears as a block, huge column "planted on the sand" suggesting protection and

defiance against any awakening raptures. He is refered to as a "giant figures" as a guard to defend the wasteland: "Sole, like some single tower, which a chief/ hath built on the waste in former days against the robbers" (336-7). He says explicitly: "Let me hear thy hateful voice no more!" (459)

The old Victorian creeds of materialism and unpoetic temperament have made Rustum resist against sweetness and light.

Rustum is not only passive and ignorant himself, but also preaches Sohrab not to fight against the Persians. A close study of the lines supports the fact that every step Sohrab takes is to put obstacles aside and to keep himself alive in order to be fresh to continue his mission. Dr. Abjadian says, "throughout the poem there are references to Heaven, life, love, honesty, and truth by Sohrab" (419). Sohrab's springing aside also suggests his protection against destructive elements while Rustum's "not being" mood is against constructive elements.

Sohrab is light and youthful suggesting energy and mobility. He is aware of the danger in the "darkling plain" and quickly protects himself from the spear: "Sohrab saw it come,/ And sprang aside, quick as a flash" (201-2). Rustum's image, on the other hand, suggests the hostile atmosphere of the "darkling plain" and the decline of his power. He carries iron plates, spears, and club which prevent him from any light, quick action. The quickness and enlivening spirit of Sohrab is accompanied by water imagery while Arnold associates the Persians with fire, a destructive elements of death. M. Amiri believes that the dominance of Sohrab's active stage has been mentioned earlier in the poem when Arnold talks about his courage and power which made Persians fearful and trembling. The ignorant side of Victorian culture is introduced in its weakest point which is going to be replaced with an active venture (27).

Sohrab's undermining his opponent suggests his optimistic view of his victory and his hope to change the ignorant "darkling plain" to a wakeful "forest glade":

> Boy as I am, I have seen battles too-
> Have waded foremost in their bloody waves,
> And heard their hollow roar of dying men.
> (432-5)

Sohrab's drawing sword over Rustum is his bold rush to remove the obstacle in the way of finding his genuine self. He is intended to defeat Rustum when he finds him an obstacle in his way to reach the genuine self. In a letter to Jane, Arnold writes, "Man's purpose is to nuture the sense of joy, to nourish the forces that make for freedom, and to resist, wherever he meets it, whatever degrades and causes pain" (149). He fights while encouraged by a great motive and he anticipates a great change and the appearance of the glimmering sea.

The conflict between the practical involvement and hostile ignorance is not a simple task and Arnold calls it "unnatural." The scenery suggests its harshness. It is as dangerous and horryfying as the "sandy whirlwind," "rising wind," and "chrashing trees." But there is finally a suggestion of peace and reconciliation: "And the sun sparkled on the Oxus stream" (489). The revolutionary outburst predicts the final change in the "darkling plain" and its inhabitants. The climactic darkness, thunder, and renting lightning bear the babtismal seeds of rain in themselves which anticipate a great change.

The terror and wonder existing in such a revolution does not frighten Sohrab who is decisive to find his own oring. Besides he wanst to introduce sweetness and light in the "darkling plain."

The committed Sohrab stops fighting when he hears the name of his father. It seems that he has done his mission. His death can be considered as a permanent rest after his great heroic resistance. The breaking sun suggests fulfillment after his inward chaotic darkness: "And then the gloom dispersed, and the windfell/ And the bright sun broke forth, and melted all the cloud; (522-3).

Sohrab openly reminds us that Rustum, not his enemy, has killed him. This means he sacrifices his life to his desired origin, his true self. "No! Rustum slays me, and this filial heart" (543).

From now on fighting ends, the pace of the poem slows down; it is a preparation for Rustum's inward change. After Sohrab's deadly wound, the token of his mother and grandfather make Rustum recapture his lost memory. Now, the boastful, proud, alienated man thinks of his own childhood with stress on the life of a "Shephered," the life of constructive action, moderation, and inward wakefulness. The spirit of a true practicality overwhelms him: Abjadian says, "he becomes a shepherd himself" (421). Earlier in the poem one could find Rustum in his passive, alienated, gloomy and heavy isolation but now there occurs a change of joy, rapture, lightness, and constructive action;

He is washed by stars and we witness the coming change:

> For he remembered his own early youth,
> And all its bounding raptures, as, at dawn,

> *The Shepherd from mountain-lodge descries-*
> *(618-20)*

The "darkling plain" of the Victorian society made Rustum forget his own self and Sohrab's speech at the time of his death awakens his dormant memory. Arnold moves step by step towards the climactic self-recognition. After Sohrab's insistance on his being Rustum's son, he finally understands and reaches the truth. By this time Rustum finds that the child is a son, powerful, courageous, and bold. This is the recognition of the alienated Victorian man of an active, powerful, strong genuine self. Rustum is seen ultimately as refering to his own breast; he finally touches the life-long ignored buried self:

> *He spoke; and all the blood left Rustum's cheeks*
> *And his knees to ttered, and he smote his hand*
> *Against his breast. (661-3)*

Sohrab's venture to verify his power as a son and to announce his energy to his father is once more shown when he is crawling to where Rustum lay. He makes him nearer to his father which means the insertion of action and courage to passive boastfulness: He touches him: "His arms about his neck and kissed his lip" (695).

Sohrab grants the precious wakefulness to Rustum: "Trying to call him back to life" (697).He wants Rustum to take his head and wash them with tears connoting the insistance on accepting courage and he accepts it, "And kissed him" (723).

Sohrab's insistence on being accepted as Rustum's son is the other side of the mission which he undertook. He has not only ventured to find his own lost origin in his lost father, but also after finding him, makes Rustum also acknowledge the truth. In this case his mission is not two dimentional, but deep and dynamic. *Culture and Anarchy* justifies Sohrab's second desire and, according to Bateson (1939), this is what Arnold planed to reveal in *Sohrab and Rustum*:

> *Perfection, as culture conceives it, is not possible while the individual remains isolated. The individual is required, under*
> *pain of being stunted and enfeebled in his own development if he disobeys, to carry others along with him in his march*
> *towards perfection, to be continually doing all he can to enlarge and increase the volume of the human stream sweeping*
> *thither wards. (49)*

The acceptance of Sohrab by Rustum is the acceptance of the spirit of wakefulness and courage to find the genuine self. Sohrab pleas Rustum to carry his corpse to Seistan, the land of his origin and that of the father figure Zal. He has not only found his origin (Rustum) but wants Rustum to find his own origin (Zal) too: "And *quit thee host*, and bear *thee* hence with me/ And carry *thee* away to *Seistan*" (898-99).

Or "But carry me *with thee* to *Seistan*" (787).

Now Rustum is affected and confesses his previous life as a bad one: "What should I do with slaying any more" (807).

He confirms that he is going to go there, the father land "Soon be that day, my son, and deep that sea!" (835). Rustum at this time is actually witnessing the passionate blood which is flowing from Sohrab's side. It is the life which Sohrab lets go and Rustum is taking. He is laying besides Sohrab to regenerate himself by the energy of Sohrab's blood.

In a letter to Clough, Arnold (1996) reveals the strong impulse towards activity, "still, nothing can absolve us from the duty of doing all we can to keep alive our *courage* and *activity*" (122). Sohrab, following this desire, draws the spear from his side and let his enlivening blood refresh Rustum's courage and keep his energy alive. "So thou mightest live too, my son, my son!" (815).

The "far seen Pillar" simile suggests the theme of keeping one's courage alive. Sohrab endeavours to make the spirit of movement towards the genuine self known and universal. He wants to erect a pillar of remembrance to give continuous hints to the blind victims of passivity and ignorance:

> *And thou must lay me in that lovely earth,*
> *And heap a stately mound above my bones,*
> *And plant a far-seen pillar overall.*
> *That so the passing horseman on the waste*
> *May see my tomb a great way off, and cry*
> *Sohrab, the mighty Rustum's son, lies there.*
> *(787-792)*

Really, it is huge pillar of the strong genuine self planted on the origin land of Zal, the father figure who is the symbol of the forgotten truth.

By taking Sohrab's advice and life, Rustum accepts the spirit of courage (his son) and sets to return to his father land. The barren Oxus consequently hears the longed for noise of waves and moves towards its father, the Aral Sea:

> *. . . till at last*
> *The longed-for dash of waves is heared, and wide*
> *His luminous home of waters opens, bright*
> *And tranquil, from whose floor the new-bathed stars*
> *Emerge, and shine upon the Aral Sea.*
> *(888-892)*

The fact that Sorhab's seal on his shoulder turns to be like porecelain vase pricked by a workman in Pekin, beautifully shows what Arnold desired from the very beginning. It is not merely a piece of art but a production of a noble work. Sohrab is a blend of both mental alertness and practical venture. He is the embodiment of the peacemakers in the *Bible* "who find not only peace in themselves, but in others" (James 3: 18)

The image of the workman in Pekin is analogus to the shepherd image palpable by Rustum too. Rustum turns also to an alert agent who ventures finally to a practical travel to his fatherland. It is what Arnold also captures in "Obermann" by refering to the "shepherd's gard" (II. 64-65).

3. Conclusion

By stressing on physical venture and alert mind, *Sohrab and Rustum* aims at showing in details the process of movement, and energy to find the genuine self. It begins with the moving imagery of Oxus and ends at its movement towards the Aral Sea. It begins with life and ends with life. Andrew Lang considering the enlivening function of this peom says, "*Sohrab and Rustum* does more for culture than a world of essays and reviews" (99).

While *Empedocles on Etna* turns on the first switch of inward revolution, and "The Scholar Gipsy" reveals a possibility of that revolution through the vision of a quest, *Sohrab and Rustum* applies the inward revolution to the outward practical world and turns other dormant minds to manifested outburst and wakefulness.

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Psycholinguistic Criteria for Understanding Phraseological Units

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Abstract

This article deals with the problems of mental perception and cultural interpretation of phraseological units in their occasional use in the English and Russian languages. The role of phraseological unit's inner form in ability to undergo any transformations is investigated, imagery associations are compared, functions of stylistic devices in transformation of phraseological units are defined in structurally different languages as English and Russian. The main goal is to investigate the cultural and national specificity of phraseological units in occasional use, to define language standards and stereotypes, as well as the cultural interpretation of phraseological units. The hypothesis stating that phraseological unit possesses a structure of knowledge including denotative, evaluative, emotional, cultural and stylistic components was experimentally confirmed.

Keywords: psycholinguistic experiment; occasional use; imagery associations; archetype; stereotype.

1. Introduction

1.1 The nature of nonce phraseological units

The term "phraseology" was introduced by a prominent Swiss scholar of French origin Charles Bally at the beginning of the twentieth century. The first to raise the question of phraseology as a linguistic subject was Professor Ye. D. Polivanov, a well-known Russian scientist. Academician V. V. Vinogradov was the first to work out the classification of Russian phraseological units, which gave rise to extensive investigation of phraseology in other languages (Vinogradov 1974).

A man is a bearer of national mentality, which can be investigated through language, being the most important means of man's identification (Gvozdarev, 2010). The nature of nonce phraseological units determines the necessity of their investigation in the anthropocentric paradigm. The sources of enriching the phraseological fund of the languages are economic and political activity, sport and show business of native speakers, whose intentions serve as pragmatic background for phraseological transformations.

In comparison with other branches of linguistics with many centuries of development phraseology can be considered a young child though rather intelligent and shrewd. Its domain is constituted by picturesque and vivid elements termed phraseological units (PUs), which are characterized by a certain transference of meaning (Kuiper, 2014).

Phraseology is a special part of wealth of each language in which the originality and uniqueness of the language and the people are shown (Melerovich, 2008). In the light of keen interest in studying of cultures and languages of the different people linguists-lexicographers, translators and teachers of foreign languages are more increasing the need for more exact transfer of semantic volume of this or that language unit. Phraseological creativity is the ability of macro-metaphorical conceptual models, on the one hand, to systemically create phraseological images, on the other hand, to individually adapt any phraseological image to the communicative process (Arsenteva, Safina 2014).

It is the experimental data that gives us reason to highlight the stereotypical comparisons, considered as cliches, characteristic of people of certain language and of certain culture.

57　　　　When we have objective data about typical and stereotypical comparisons, we can understand the ontology and
58　mechanisms of their functioning in a language or a text (Khalikova, 2004).
59
60　　*1.2　Idioms in the works of European and Russian linguists*
61
62　Questions relating to the functioning of phraseological units in a non-standard form in various discourses were considered
63　in the works of Russian scientists as Kunin A. (Kunin, 1996), Mokienko V. (Mokienko, 1995), Alefirenko N., (Alefirenko,
64　2004), Shadrin N. (Shadrin, 1991), Molotkov A. (Molotkov, 1977), Ryzhkina E. (Ryzhkina, 2003), Boldyrev N. (Boldyrev,
65　2007), Bondarenko V. (Bondarenko, 2012) and others. There was identified the community of transformation processes
66　occurring in different languages, the universality and system changes of phraseological units in speech, the nature of
67　occasional changes of language units and its attitude with contextual environment.
68　　　　The study of occasional features of phraseological units was carried out in the framework of functional and stylistic
69　approaches, where the emphasis was given to the identification of the stylistic role of phraseological units in individual
70　style of different authors like in the works of English poets and writers as Byron, Chaucer, Dickens and others.
71　　　　Scientists are investigating psycholinguistic mechanisms of author's creation and transformation of phraseological
72　units, its methods and techniques, revealing the peculiarities of semantic content in a literary text.
73　　　　Scientist Andras Balint defines an idiom as "phraseological unit when the whole meaning can not be singled out of
74　its separate meanings of components" (Balint, 1969). Thus he excludes from consideration of idiomaticity all what is
75　called lexemic idioms. In the field of investigating the idioms, the first place takes semantics, then lexicography and only
76　then goes syntax.
77　　　　The representative of the Prague linguistic school F. Cermak considers that "the peculiarity feature of each idiom is
78　any anomaly, at least one of its components if we touch it paradigmatic and syntagmatic aspects" (Cermak, 1991).
79　　　　B. Frazer offers a rather original and reasonable interpretation of an idiom from the transformational production
80　point of view (Frazer, 1968). He states that idioms, which are classified in seven levels of "freezing", usually symbolize
81　author's dialect and, thus, should be recognized as universally valid. This position is quite clear and includes an idiomatic
82　analysis of all parameters.
83　　　　Thus, in the Western linguistics phraseological unit is considered to be as a unique and fixed combination of at
84　least two elements, some of which do not operate in other situations but act in very limited number.
85　　　　Taking into account the existence of a common word-building base, we are able to explore the material from
86　different perspectives, to identify its similarities and differences by establishing the degree of coincidence of semantic
87　processes in the formation of phraseological units in the English and Russian languages.
88
89　　*1.3　Psycholinguistic experiment as a relevance evaluation and semantics identification of a phraseological transform*
90
91　Series of psycholinguistic experiments intending to find out the specific nature of nonce phrases conceptualization in
92　phraseology (347 questionnaires, more than 1,7 thousand reactions), and also intending to investigate the process of
93　perception of phraseological transforms, were carried out in Russia and England from 2007 to 2014.
94　　　　The form of the psycholinguistic experiment was written and individual. Restriction of phraseological transforms in
95　experimental list (30 units) to illustrate the main points of the research (verbal nature of a phraseological sign, symmetry
96　of form and meaning, established as a result of a phraseological transformation) was held according to the principle of
97　semiotic models variety. These models differ in their degree of standardization and functional load, caused by creation
98　the effect of language sign arbitrariness, stimulating the recipients to use the semiotic code and cognitive models of a
99　language.
100
101　　*1.4　The hypothesis of the experiment*
102
103　The hypothesis of the experiment can be stated in the following way: the mechanisms of cognitive processing of figurative
104　base of a phraseological unit work simultaneously, as they are responsible for different aspects of nonce phraseological
105　unit meaning. Figurative base presents not only base for conceptualization and categorization of objective reality but also
106　the emotion stimulus, motivating stimulus, a "hint" for cultural interpretation of the meaning, causing native speaker's
107　emotive attitude. There upon it is actual to indicate how right the ethnopsychologists are, studying ethnocultural
108　stereotypes, when they state that economically developed nations value intellect, efficiency, industriousness, whereas
109　less developed nations value kindness, heartiness, hospitality.
110

2. Method

2.1 The procedure of the experiment

The aim of the psycholinguistic experiments is to explore cultural and national specific character of nonce phraseological units applied in the languages which are genetically and systematically different, and to reveal the characteristic features of Russian and English cultures reflecting psychological peculiarities of native speakers. In this experiment the following problems have been solved: 1) to define national vision of a man in language models and stereotypes; 2) to ascertain the mechanism of cultural interpretation of nonce phraseological units; 3) to examine the hypothesis experimentally, according to which figurative base of phraseological units represents the structure of knowledge, consisting of denotative, evaluative, emotional, emotive, cultural and stylistic components.

2.2 Participant Characteristics

In the course of the experiment the following requirements were complied: 1) absence of informants' interest in experiment results; 2) anonymity of informants; 3) unlimitedness of associations; 4) limitedness of latent period (30 seconds). The total quantity of informants were 177 English and Russian native speakers.

The experiment was carried out in 3 stages:

On the first stage the informant was offered a stimulus - phraseological transformation, which he was supposed to interpret. He was recommended to use the first reactions, coming to his mind, his choice was not restricted by any classifying features. On the second stage associative and notional field of reactions, received from the given stimulus, was classified according to its notional constituent. On the third stage adequacy of interpretation and author's individual intention in the text was evaluated.

3. Results

3.1 The asymmetry of Russian and English images-associations

The main results of the experiment can be formed in the following way: all the native speakers defined the semantics of phraseological modification. The differences took place when evaluating the connotative, functional and stylistic components of meaning: ironic against humorous, vulgar against abusive, etc.

Informant's answers were characterized by the set of synonyms to the author's nonce phraseological transformation. It should be noticed that nonce phraseological units, taken in a context, were more expressive in informants' answers than those nonce phraseological units without context. Emotions differed too when perceiving phraseological units out of context and nonce phraseological units in context.

Experiment showed that Russian native speakers' images-associations, which occur when perceiving nonce phraseological units, were more various than those of English native speakers. English native speakers use images connected with natural phenomena and mythic characters. Russian native speakers use images from literature and folklore characters. Quantitative analysis of stereotypes, appearing in the text, shows that in Russian linguistic consciousness there are less stereotypes than in English linguistic consciousness (Davletbaeva, 2012).

3.2 Nonce phraseological units as a reflection of stereotypical nature of native speakers

Nonce phraseological units, presented in context, were noticed to be more expressive than those out of context. It should be noticed that emotions varied in course of perceiving phraseological units out of context and nonce phraseological units in context.

Stereotypical nature of native speakers' reactions towards nonce phraseological units allow to make conclusion that typicality of images, underlying phraseological meanings, and involvement of the symbol, models and culture settings, reflecting the understanding, characteristic of the linguocultural unity, brings us to the idea that phraseological unit is the result of a collective thinking (Maslova, 2001). Moreover, the fact that it is impossible to comprehend a phraseological unit only according to the individual experience, figurativeness of these linguistic units and their ability to cause certain feelings, emotions and relations, allows to determine the cultural identity of the speakers. All this makes it possible to assume that phraseological units are the collective representations that belong to the archaic way of thinking, and therefore phraseologisms must be generated and perceived by the archaic structures of consciousness that co-exist

along with the structures of logics. This type of consciousness is characterized by the syncretism of psychic processes, concrete and imaginary nature of nature processes, unique logics that does not presuppose the existence of a cause-and-effect relationship and based on the law of "communion" meaning the identification of the object and the subject.

It was revealed that the acceptability of any construction from recipient's point of view is determined by correlation with a linguistic norm and the corresponding model and ability to its logically correct interpretation. In its formal structure many nonce units are entities, corresponding to an active or passive phrase-generating model created, however, in violation of the laws of the compatibility and interoperability of immediate constituents. Therefore the interpretation in many cases is entirely dependent on the context.

3.3 Phraseological units serve as cultural and linguistic stereotypes

The original PhU is not a product created in the act of communication, in opposition to an occasional phraseological unit. It is reproduced in a speech in its actual form. They have already laid the illocutionary force and perlocutionary effect. The speaker only needs to identify his intentions with that, what is conventionally attached in idioms, in their standard use and perception. This feature of phraseological units determines ability to serve as cultural and linguistic stereotypes.

As for the nonce PhU, their indirect meaning and statement aims are conventionally fixed, prescribed and predetermined by structure and purpose of the context.

Nonce PhU with a positive connotation, denoting the traits, arouse more varied responses than PhU describing negative traits where answers are more monotonous and stereotyped. At first glance, this contradicts the well-known fact: all the negative in the language is recorded in detail, thoroughly and diversely. However, a closer look shows that PhU with a negative evaluation, exceeding positive ones in quantity, divide the continuum picture of the world into smaller segments, that is more accurate.

Comparison of Russian and English material revealed that many meanings of nonce PhU produce similar images-associations, but even in this case their "profiles" are quite different. Because of the remoteness of the cultures and languages national linguistic consciousness in presented ethnic groups have different aesthetic ideals.

It appears that the way of thinking, connected with comprehending PhU, mostly inherits archaic forms of thinking. These forms are characterized by illogicality because it functions on the basis of the law of participation and communion, involving the identification of a subject and an object.

As experimental data showed that national linguistic personality perceives an object not according to space and time, but also according to the meaning, containing cultural stereotypes and models.

As the members of the same national unity see the world and perceive the world through these stereotypes, it is reflected and reserved in language with the help of linguistic stereotypes and model. Model in this case is an idealized stereotype, which represents on social and psychological level a reflection of a person's normative vision about humans, world, society, etc.

As shown in informants' answers, components of personal meaning are present both in the English and the Russian mentalities. Comparative analysis revealed that understanding of nonce PhU meaning and presence of personal meaning are two different, but coexisting levels of meaning representation in native speaker's consciousness. Therefore the image is always open for new interpretations and is subject to semantic transformations.

However in English speakers' answers non-conventional interpretation of the image prevails. This image can be interpreted on the base of nonce transformation of PhU.

The perception of nonce PhU depends on three parallel processes: the first one relates to the native speakers' reaction on a literal interpretation of the image and the actualization of the deep structures of consciousness; the second one relates to the logical structures of consciousness that provide a metaphorical interpretation of the image; the third one relates to the immersion of subjects in the context of cultural meanings, that is suggests some level of cultural and linguistic competence in general.

In its most general form it is possible to represented a scheme reflecting the structure of knowledge, as well as a mechanism of cultural interpretation of nonce PhU:

Table 1:

	Mode of knowledge existence	Reaction on type of knowledge	Level of analysis
1	Attitudes of the culture	Emotivity	Interpretative
2	Denotatum	Evaluation	Rational
3	Image	Emotion	Affective
4	Archetypical image (culture code)	Archetypical relevance of an image	Unconscious interpretation
5	Archetypical attitudes	"Basic feeling"	Deep reflexive

214 Native speakers have the cultural code by which they interpret the meaning of the PhU not only consciously, but also on
215 the level of the unconscious, traces of which are identified in the course of the experiment.
216   As a rating scales, the adjectives covering the whole range of sensations (e.g. hot-warm, fresh - musty, light -
217 heavy, hard - soft, incomprehensible - clear) were used.
218
219 **4. Discussion**
220
221 The data processing procedure was carried out as follows: the individual matrix (protocols) of informants' answers were
222 combined in the total matrix (15h16), which underwent the correlative and factor analysis. The procedure of factor
223 analysis allows us to go from the description of objects (nonce PhU) with the original set of scales (adjectives) to more
224 integral description given by a small number of factors, which are a form of a generalized set of adjectives.
225

kicked the bucket <u>or was otherwise</u>	**breath one's last**
<u>with one foot in the House of Lords</u> **and one in the grave**	**turn up his** <u>toes and day</u> **join the angles** <u>and majority</u>
to cash in your chips <u>and get off</u>	**he must have gone…**<u>west</u> five <u>hundred years ago at least</u>

F1

as dead as Caes<u>ar… and as cold as</u> <u>a church</u>	**his world gone up the** <u>spout</u>
<u>the undiscovered country</u> **from** whose **bourn no traveller returns**	had given up the ghost <u>in despair</u> <u>**blown** to **Kingdom –Come**</u>
cross the Stygian **ferry** and <u>go glory</u>	was gone to her <u>rest</u> beneath <u>Atlantic waves</u> **sup Pluto** and <u>long home</u>

F2

226
227
228 As a result of factor analysis, nonce PhU and adjectives were distributed on two factors having the following factorial
229 weights: F1 (9 , 764) and F2 (2, 812) in English and F1 (7 , 673) and F2 (3, 450) in Russian language .
230   F1, formed by the adjectives: cold (cold), blunt (sharp), musty (musty), heavy (heavy), restraint (bound), etc.
231 corresponded to the following nonce PhU: kicked the bucket or was otherwise; to cash in your chips and get off; as dead
232 as Caesar ... and as cold as a church. Factor F1, formed respectively by the adjectives: soft (soft), light (light), warm
233 (warm), weak (weak), fresh (fresh) and etc. correspond with such nonce PhU as: breath one's last; join the angles; his
234 world gone up the spout; blown to Kingdom-Come.
235   This factor corresponds to the classical Ch.E. Osgood's terms "evaluation" and "activity – passivity." Positive
236 evaluation coincides with the passive vector and the negative evaluation coincides with the active vector. Thus, the
237 following PhU received positive evaluation: join the angles; cross the Stygian ferry and go to glory; was gone to her rest
238 beneath the Atlantic waves. The following PhU received negative evaluation: to cash in your chips and get off; he must
239 have gone ... west five hundred years ago at least.
240   Factor F2 is called "effacement – clarity," which is a variant of the classical factor "strength" (intensity).
241   The pole "effacement" formed by the adjectives: obliterated, indistinct, hollow, deaf, far, corresponded these nonce
242 PhU: the undiscovered country from whose bourn no traveller returns; was gone to her rest beneath the Atlantic waves;
243 sup with Pluto and long home; cross the Stygian ferry and go to glory; he must have gone ... west five hundred years ago
244 at least; had given up the ghost in despair in the English language.
245   The pole "distinctiveness" corresponded the adjectives: distinct (clear), clear (clear), close (close), resounding
246 (ringing) and nonce PhU: with one foot in the House of Lords and one in the grave; turn up his toes and day.
247   Thus, a small weight of factor F2 both in English and in Russian can be explained due to the fact that the semantic
248 content of this factor is less significant for the subjects of the two nations, as the informants did not indicate the nonce
249 PhU, whose figurative base, from their point of view, "it is difficult imagine" or, on the contrary, "very well presented."
250   The experimental data reveals that nonce PhU of ideographic field «death» are perceived and experienced by
251 speakers of both languages in the same way.
252

5. Conclusion

Transforming idioms, the native speaker tries to update the elements of the internal structure of phraseological unit by manipulation of the components. Phraseological transform is perceived then by the recipient by establishing the connection with the original language unit. The new meaning is based on the conventional idiomatic sense.

Comparison of Russian and English of the experimental material, aimed at identifying similar and different reactions in the perception of nonce PhU, helped to identify the cultural and national identity of these two people.

The process of perception of phraseological units in occasional use can be regarded as a process of solving a practical problem: whether this problem is creative for a native speaker or not. Does the native speaker know the conventional meaning of the phraseological unit? It is revealed that native speakers follow different cultural guideline when describing the meaning of imaginative base of phraseological units in occasional use.

It is evident that the way of thinking associated with the perception of phraseological units inherits the archaic forms of thinking, involving the identification of subject and object.

The results can be used to explore the cultural identity of British and Russian phraseological transforms and provide a basis for bilingual dictionaries.

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Resurrection of Words in "Zemestan"(Winter) Poem of Akhavan Sales

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Abstract

Words in everyday language have their dictionary meanings. But as they pass through their ordinary norm, begins resurrection of words. Literature, especially poetry, is associated with deviating from the norm. This feature in the contemporary literature can be analyzed in different ways. Akhavan who is one of the greatest and popular poets has done most resurrection of words in his poems. In this article we have tried to show the resurrection of words in "Zemestan" (winter) which is the name of one of his famous poems. The results of the research which has been done with content analytic method show that the most important aspect of the resurrection of words in "Zemestan" is his tendency to archaism and structures of ancient poetry along with imagery. Omid (Akhavan) has made a construction that is rooted in past times, especially khorasani style. And he has used every day words and phrases to create new compounds and so has caused them to be resurrected. So Akhavan has made a major contribution to the enrichment and development of the Persian language.

Keywords: Akhavan Sales, Zemestan(winter), resurrection of words, Deviation from the norm , defamiliarization, contemporary poetry

1. Introduction

Belief in the resurrection of words originates from Russian Shklovsky views and Czech portraitists particularly Mokarovsky and Harrahek. Russian portraitists recognized two language processes from each other and named these two processes automatization and outstanding. Ninety-five years have passed since the publication of the thesis entitled "The Resurrection of the words" by Shklovsky, but still rereading their theory with respect to the evolution of twentieth-century literary theory of formalism to structuralism and structuralism to post-structuralism is essential. Russian structuralists say when every word goes away from his vocabulary field and is used in a new form and in a virtual concept, resurrection of words have been begun. At the present time, the resurrection of words echoes widely in Akhavan works. He selects a word based on aesthetic and semantic approaches and his beauty switching abilities not merely based on principals and certain rules. Apparent form and music of the words and letters and modulation way of them and their real and virtual meanings and also order of syllables (rhythmic) and phonetics of words (rhyme) have been considered by the poet. Akhavan utilizes his mental power integrity for protecting Persian language and reviving timeworn words and creating new combinations. The most important characteristic of Akhavan's poem is his language that talks with today language while adhering to the traditions. Akhavan has applied a type of historical language instead of another type of live language. It means he has given resurrection to historical and old Iranian words. Akhavan could make his own new thoughts in form of poet by finding independent language. Horras, the famous Roman poet and verbalist, says: "the language is like woods trees that is a collection of old and new leaves" (Shahindezhi, 1999: 134). He has could use words from today spoken language such as *damet garm*, *tipa khordeh*, *najoor* besides communicative and old words and make consistent these types of words and communications skillfully. Akhavan firstly said classic poems imitating Khorasanian poets' style. His first collection entitled Arghanoon has been written in this way. But his poetry path was changed after familiarizing with Nima. He started poetry with new style in winter notebook and in this way he went to where he could found a new style in Nima poetry. Akhavan is both modernist poet and innovator. Many of poets such as *Shiraz Khajeh*,

Khayyam, *Molana*, and *Sanayee* have started innovations in their era. But their innovation, quantity, and quality are different. Therefore, innovation is not against the tradition but it is besides the tradition that has been a new concept in its era. He says in introduction of *Winter* collection: ((I have tried to go from Khorasan to Mazandaran through a shortcut, from yesterday Khorasan to today Mazandaran. I try to link nerves and healthy and correct vessels of a clean and common language that often is a live fabric of a stable bone of the past to today blood, beat, and feeling (Akhavan Sales, 2011: 13). Akhavan turned to innovation through old traditions. This Akhavan's innovation was not a return to the past but his intention was resurrection of Iranian tradition. M. Omid started familiarizing with Nima poetry that is clear at first poem of this collection (Winter) of course which is one of his raw experiences:

> I never forget, never
> That night, the world was world of grace and peace
> I was and Tooran and the world had the pleasure
> And it blinked eagerly and its face was toward us
> The moon through the scrappy clouds (Akhavan Sales, 2011: 21)

The geometrical shae of this poem is as same as Nima fiction shape. However, five hemistiches that second and fourth hemistiches have a same rhyme but third and fifth hemistiches are free. The content is descriptive and romantic. Gradually, the poet learns four pieces and enters to Nima poetry field by saying *Satarvan* poems. *Satarvan* poems are the first Nima poetry of Akhavan. To Winter poet, his language does not has necessary stability but in Winter poem that we read it with a torrent of words, a impact music, and its up righting end, we see some attempts for achieving a particular procedure in some places. Sometimes a purpose is delightful in the poem that causes hopelessness. Gradually and with a caution we see an attitude to broken rhythmic which its perfection is observed in Winter poems. Saying Winter poems was simultaneous with the failure of August 18, 1953 (Mordad 28th, 1332). Undoubtedly, this poem was the most successful attempt of this poet until anuary 1956 (Dey 1334). Akhavan language in this collection is clean and refined. He utilizes a wide range of words and is never affected by a impasse (Shahindezhi, 1999: 155).

2. Resurrection of Words in Akhavan's Poetry

Some papers have been written according to investigations conducted about norm escaping and outstanding in Akhavan's poems. But it seems applicability of the word in Akhavan's poems needs more investigations. We try to investigate the various types of word resurrection in Akhavan's poem regarding Dr. Shafiee Kadkani 's ideas about resurrection of words to find out in what fields, most resurrection has been performed and what useful effects it can have on our literary society. For this purpose, only collection Winter poem has been investigated as a sample. Before investigating the various types of word resurrection, it is necessary to state Dr. Shafiee Kadkani 's idea about resurrection of words. He says: ((words are used in daily language in such a way that they are addictions and dead and do not attract our attention but in a poem these dead are revived just through a brief displacement of words and a word placing in center of a hemistich also results in life of the other words. Dr. Shafiee Kadkani classifies the resurrection of words in two categories:

a) Musical group including rhythmic, rhyme, row, and audio synchronizations
b) Linguistic group including metaphor, figurative language, sensory, metonymy, briefness, omission, archaism, language combinations, defamiliarization, and saying paradox.

From view point of Dr. Shafiee Kadkani, if we say "it's raining", it is a usual application of the language. But if we say "I went to the desert, the love has been rained", the love word has been resurrected because this is an application against the general and usual application of the language (Shafiee Kadkani, 2010: 5-38). Akhavan is one of slight poets that vocabulary field of his speech is to extent of Persian literature history from third century to the contemporary age. And this extent of his vocabularies has been obtained under the effect of research and investigation in works of old poets especially Khorasanian style poets. The art of Akhavan is in this that he selects the words according to initial materials of Persian language and enters them in his own poem as though he causes the resurrection of these vocabularies and has revived them. Selection of these vocabularies has been done in an artistic way that not only does not cause boredom and disgust in the audience but also excites them. Forough Farrokhzad says about the art of Akhavan in applying words: ((he particularly pays attention to purity and originality of words and perceives real concept of words and places each of them in such a way that we cannot replace them with any word else (Nouri Ala, 1969: 204). Akhavan pays attention to all semantic, musical, and emotional aspects of the words and makes them consistent with the other words as though these words have been revived. Akhavan applies various types of ancient and old words, Persian language contemporary

words, slang words, and local dialects and languages with each other and makes intimacy and affection among them. Thus, we can consider Akhavan one of a few Persian language poets. Now, we investigate various types of resurrection words in Akhavan's Winter poem:

3. Word Resurrection

The purpose of word resurrection in Akhavan's poem is innovative words that are a mental figment of Akhavan. Akhavan never has a lack of words in his own poems and invents new words against rules of word construction wherever it is necessary that components and elementary materials of all of them are available in Persian language. This type of pattern can help development and richness of Persian language and even can also be a good pattern to construct a word in the other sciences. Russian structuralists has named this type of word construction, word norm escaping. Kourosh Safavi says about word norm escaping: ((this type of norm escaping is one of methods that a poet highlights his own language through it. Thus he/she creates new words and applies them based on escaping from normative word construction)) (Safavi, 1994: 49). The order of word construction in Akhavan's poem is as follows:

3.1   Construction of combined words

3.1.1 Noun + verb stem

It is hidden into sturdy coffin of the darkness, not into death-line (*Marg Andood*) (Winter, 2010:109)
Or he says in the other place:

>   *Like the world rounding (Donya gard) eagle*
>   *Its hunt in culmination of ether*
>   *Seeks and does not seek (Winter, 2010: 49)*

3.1.2 Adjective + verb stem

>   *Distressing (parishan gard) poet*
>   *Takes home way*
>   *With a rapider step (Winter, 2010: 50)*

    Mohaymeni says: ((poetry language does not comply from available order in its own different aspects and creates a new world, namely poetic world)) (Mohaymeni, 2000: 45). Akhavan has created this world in his own mind. He has constructed a place for a mythical creature, demon, in his own poetic world by adding suffix "*lakh*". Pay attention to the following hemistiches:

>   *And that your clean spring from this plain full of demon (divlakh)*
>   *Was so distant and nobody knows*
>   *that mountains had generosity or it was Toor mountain (Winter, 2010: 90).*

4. Resurrection of Ancient Words

Akhavan's interest to Iranian cultural heritage and his study and investigation in works and poets of the ancients result in development of his word field. One of important indices of Akhavan's poetic language is that he could revive the culture of Iranian original words and give them resurrection. He selects words among old synonym words and places them besides today words as though these words have re-risen and have born again. In selection of ancient words, he chooses words that can induce his expected meaning well. Akhavan creates a new poetic language for himself based on old language tradition and combining ancient words with today ones that are production of his unique mentality and individuality. Akhavan's poetic language is the field of innovation and reviving words. Every artist presents his/her own selections and secessions resulted from facing with outside world and reflection of his/her inside worlds in form of a new and innovative design in artistic raw material that is a portray of his/her art. Akhavan's portray of art is the resurrection of words, the words that are very structured, targeted, complicated and systematic that are originated from today language and even spoken language and dialectic ones. Akhavan is a linking ring between old words and today language that Bahar quotes about it: ((it has found cripple tone and closed, oppressed, and cagily forms after Mongol invasion)) (Bahar, 1991: 198).

166 Akhavan refers to this case in one of his interviews and says: ((I bring the cultured language before Mongol decline into
167 the poet essence and these new approaches and this language became full of perfect novelty for me and placed old
168 rhetorical features from view point of simplicity, health, accuracy, and correctness and the power of this force disposal to
169 this sense and today beat and hesitation (Tahbaz, 1968: 16, 17). A service that Akhavan performed for Persian language
170 words and revived them is very valuable, because he has amplified treasure of Persian language words to create
171 friendship between old words and today ones. Abdul-Ali Dastgheib says: ((he greatly hoped to revive old words and was
172 rightfully very strict about Persian literature heritage. His researches in Iranian literature and recognizing its delicate
173 species and his commitment for keeping prosodic and Nimaian weight makes him different from the other new poets
174 (Dastgheib, 1994: 31-32).
175   We can classified the ancient words used by Akhavan in his poems: 1- noun 2- verb and 3-letter

177 *4.1   Noun*

179 Ancient and old nouns that Akhavan used them in his poems and revived them are classified into two groups: 1-dead
180 words 2-low usage words.

182 *4.1.1 Resurrection of dead words*

184 The purpose of resurrection of dead words is to use words that are not applicable in contemporary Persian language but
185 Akhavan revived them and entered them into Persian language. The use of ancient words also exists in works of the
186 other poets such as Nima, Shamloo, and Shafiee, but Akhavan selects words so artistic due to his perfect familiarization
187 with rich culture of Persian words and places them beside today words that these forgotten words suddenly change their
188 identity, became alive, grow longer, and construct a live and integrated unit with today words. Igelton says: ((the poem
189 makes implication active and places the words in such situations that present their own extreme performance under
190 pressure of around words and release the richest talent of themselves (Igelton, 2001: 140-142). Indeed, the words show
191 their superior performance in Akhavan's poem. Pay attention to the selection of ancient words in the poem below:

193   *Low-spirited earth, short-ceiling sky*
194   *dusty Sun (Mehr) and moon*
195   *it's winter (Igelton, 2001: 109)*

197   the word *Mehr* is an ancient word that has been placed besides today words. If Akhavan used today meaning of
198 *Mehr*, namely sun (*Khorshid*) instead and said:

200   *Low-spirited earth, short-ceiling sky*
201   *dusty Sun (Khorshid) and moon*
202   *it's winter*

204   the order, arrangement, and music of the other words were disrupted and the poem missed its own attraction, but
205 the word *Mehr* has been revived and has caused revival of the other words. Also, pay attention to the resurrection of
206 *Ghariv* (scream) in the couplet below:

208   *I heard a scream (Ghariv) in my ears*
209   *The timpani with infelicitous and irritant song*
210   *is the cursed bell of the low-spirited,*
211   *have risen from the graves for subsistence motivation (Igelton, 2001: 33)*

213   Some of the other ancient words have also been resurrected in this collection: *Blour Ajin* (p. 109), *Dakhmeh* (p.
214 37), *Zamharir* (p. 178), *Safir* (p. 64), *Sala* (p. 64), *Zarvash* (p. 163), *Boghnoudeem* (p. 163), *Hamgenan* (p. 179), *Dorj* (p.
215 30), *Sarir* (p. 30), etc.

217 *4.1.2 Resurrection of low-usage words*

219 Some of words are not dead words but do not have any application in our contemporary language. Dr. Shafiee Kadkani
220 says: ((the concept of archaism in our viewpoint is not related to the usage of dead words even selecting older

221 pronunciation of a word is a type of archaism, however, the poet can utilize various forms of a word according to his/her
222 musical and mental need that only one of them is applicable for public in usual norm of a live language (Shafiee Kadkani,
223 1991:25).

224 Akhavan's familiarization with old texts and his domination on Persian words had caused he necessarily revived
225 these low usage words in his own poem and solved some of word needs. Some of these words are:

226 *Lik* (but) (p. 116), *Nac* (now) (p. 196), *Inak* (just now) (p. 163), *ze ensan ke* (from human that) (p. 200), *Bedan san*
227 (so that) (p. 200), *Alak* (p. 69), *Besan* (like) (p. 142), *Bedin san* (so this) (p. 160) …

228 A typical usage of these words in Akhavan's poem:

229
230 *I prostrated against his/her height but (lik) my heart was beating*
231 *I saw him/her that slowly laughed for my unobtrusiveness (same: 29)*

232
233 The word lik (but) is a low usage one, but correct selection has also caused the resurrection of this word.

234
235 *Or he says in another place:*
236 *Nac (now) I had a gift for you from love city*
237 *To be your confidant in separation-night sorrow (same: 30).*

238
239 *4.2   Resurrection of ancient verbs*
240

241 Akhavan revived the ancient verbs and used them besides today Persian words as though they have resurrected again.
242 In a usual language, a sentence finishes with a verb but in poem language, a sentence starts from the other side of the
243 verb. Akhavan selects these verbs with enormous obsession. One of the reasons of Akhavan's attitude to the selection of
244 ancient verbs is his tendency to mythologies and Iranian epic soul. In importance from aspect of verb archaism, that is
245 enough that the phrases without old structural verbs are less capable to show their own archaistic face, however it is
246 possible to have heavy words and structure (Alipour, 1999: 316).

247 Some usages of these words in Akhavan's poem:

248
249 *We have slept (bogh nou de im) in vicinity of the sky's untrue mercy, man*
250 *That there is not any memory of them*
251 *If there is, it is only in ominous deception of the other clean lives (same: 63).*

252
253 Akhavan creates an epic space in his own poem like Khorasanian style poets by selection of the verb *baramad*
254 (rise).

255
256 *The darkness rose (baramad) from fume straw back of the seas.*
257 *Following it, the other darkness rose with a tricky glance, with a hanging tear (same: 53)*

258
259 One of the significant points in Akhavan's poem is the applying old verbs besides slang words. He applies them
260 besides each other in such a way that both slang words and old ones resurrect together. When Akhavan says in his
261 famous poem of the Winter:

262
263 *I have come (amadastam) tonight to pay back the loan (vam gozaram)*
264 *And to put your debt besides the cup (hesabat ra kenar jam bogzaram) (same: 109)*

265
266 *Vam gozardan* (Payin back the loan) and *hesab ra kenar jam gozardan* (put the debt besides the cup) are slang
267 words that Akhavan has applied them with Neishabour old verbs, *amadastam*, and has given these words an epic space.
268 Akhavan sometimes takes apart the verb to create resurrection and put the main part of the verb at the beginning of the
269 poem and revives the verb in this way. Furthermore, he gives his own poem a kind of archaistic identity. Pay attention to
270 a sample about that in this collection.

271 He takes apart the compound verb *natvanad deed* (cannot see) and to emphasize on the meaning of the *deed*
272 (see), he used it before helping verb, *natvanad* (cannot). The other samples of the ancient verbs in this collection:

273 *Nemiyarast goft* (p. 29), *sar bar keshideh and* (p. 33), *baramad* (p. 53), *nahadastand* (p. 67), *bararad* (p. 71), *sar*
274 *bar niarad kard* (p. 107), *ardha bikht parvizan avikht* (p. 38), *yazi* (p. 108), *bogh nou deh iem* (p. 163).

275
276

4.3 Resurrection of words by selecting ancient letters

Akhavan has also used ancient Khorasanian style letters to resurrect his own words. As well as emphasis on complement, he has given his own poem an epic space. Akhavan has applied ancient and old letters in following forms in this collection.

4.3.1 Applying old preposition alone:

> I remember from (ze) that day and time well
> Every peace and happiness was with (kandar) you (same: 90).

4.3.2 Applying two prepositions for a complement

Akhavan like Khorasanian style poets has applied two prepositions for a complement to emphasize on the complement and its resurrection.

> In to (dar be) pelican beak
> a soft green leaf full of dew (same: 39).

4.3.3 Applying preposition at beginning and the end of the complement

> Written on the stone
> that you don't read a Hadith (same: 154)

5. Resurrection of Slang and Colloquial Words

Yadollah Royaee, a contemporary poet, says: ((one who is busy on the words, a preoccupation before words, has an eternal preoccupation and the word is our eternal guest. Each of us, poets, has a language in the language)) (Royaee, 2002: 25). Akhavan's language is similar. It means slang and colloquial words accompanying with contemporary Persian words and ancient ones also resurrect in his poem. Akhavan's language is not a language in the streets and markets, but there are street and market colloquial words in his poems. Akhavan has applied slang and colloquial words in following forms in rhis collection: 1-slang words 2-slang sounds and 3-interjection noun

5.1 Resurrection of slang words

One of the Akhavan's innovations is the selection of colloquial words in the poem. Akhavan has stated this issue in this form. ((I have taken interests from slang language of the time. I have placed the words that are used in the slang language besides old ones but the incorporation type of them is without any intention)) (Kakhi, 1992: 465-466). Some colloquial words in Akhavan's poem are as follows:

> Your breath be warm (damet garm) and your head be good
> you answer my hello (same: 108)
> in place of harp and wail of reed Ya Abalfazl
> or the wail of the paupers and the poor (same: 67)

5.2 Resurrection of words using slang sounds

Akhavan applies his inducing ability of language and whole of his artistic creation to communicate with the readers by reviving words. He sometimes selects a sound came from public slang language. He has known this ability and uses it well. Some samples of sounds in this collection are: *ve*, *vay*, *ey*, *hoom…*

> Wow (vay) do kind neighbors wake up to help?
> This tyrant fire burns my foundation
> I scream hey! Hey! (same: 86)

5.3   Resurrection of interjection noun

In Akhavan's poem, language phonemes also play a role for inducing meaning, space, emotions, and feelings. Substantially, mysterious and artistic attitude of Akhavan such as world's mysterious one is in inducing property of their points, latency and veils. Phonemes and points are exactly similar to clearness. Interjections indicate sounds such as the special sound of a human or an animal and or colliding something to another thing.

> *There is no sound except pet pet of a wretched candle in vicinity of the death*
> *glum and close to morning and its hand is busy on the death (same: 157)*

or he says in another place:

> *the thirsty fell in whisper (pech pech)*
> *this is that same cloud having thousands of light (same: 54)*

6.   Resurrection of Dialectal Words

In order to use a huge treasure of Persian words, Akhavan also applies words and dialectal words that are special for a region. He takes great care and delicacy and gives resurrection to these words. Examples of dialect words are:

> *and we throw our own boats into the endless, green and velvet-like sea such as almond kol (same: 160)*

akhavan says in one of his interviews that ((*kol e badam*)) is a Yazdi dialect and I heard it from Yazdi people. Another sample of dialectal words, *khosbideh* (asleep), is given:

> *on the asleep ground (khosbideh), the picture of willow branches (same: 28)*

7.   Semantic Resuurection

The purpose of semantic resurrection in Akhavan's poem is artistic usage of types of simile, metaphor, irony-diagnosis, paradox, and creating sense that are stated in spiritual and novel frame. A poet or a writer do not disrupt usual system of word or sentence construction but states an issue by using usual words and imperative sentences which its context is against tradition and habit (Shiri, 2001: 13). Akhavan is also an innovative poet in applying spiritual techniques. He uses these literary arrays in such a way that gives his own speech meaning.

7.1   Simile

Simile remembers similarity that exists between two things from one or more aspects. It has been said that simile is news of likened thing and it is a sharing of two things in one or more adjectives and it has been said that simile is describing a thing to similar and close ones from one or more aspects (Shafiee Kadkani, 2009: 53).
     Also, Akhavan such as Nima is of poet types who is modernist and tradition breaker in applying spiritual arrays. Similes used in Akhavan's poem are sometimes expressive and sometimes widespread that their element needs more mental attempts. Shamisa says: ((it is worth to think that strange similes against trite ones namely stereotypical and repetitive are resulted from poet's creative mind and show his/her novelty. Artists permanently increase world dimensions, fields, and meanings through this way and widen world (Shamisa, 1991: 108). Akhavan also has word resurrection in the field of simile. Pay attention to an example of simile in Winter poem:

> *Rival! Host! Your yearly and monthly guest vibrates like wave at back of the door (same: 108)*

Akhavan similes the vibration of human body due to chill to the vibration of sea waves but he omits sea here and uses wave. The word ((wave)) remembers sea vibration and also vibration of human body. The word ((wave)) has been resurrected here.

8.   Metaphor

Kazzazi says: ((one of the poetry techniques that using it a poet tries to place his/her own speech in the reader's mind

more and more is the metaphor. The metaphor is tighter and more hidden than simile that a poet widens it against a reader or an audience)) (Kazzazi, 1994: 94). In contrary with simile that both sides are clear, in metaphor a reader should be able to discover hidden relations in the poet's words. More mental attempt for an audience to discover these relations, more literary pleasure will be provided. When Akhavan uses a meaning instead of another one, walk into a new field of speech, a speech that power of describing reality will be possible in it. Metaphor in Akhavan's poem is innovative, novel, and is accompanied by artistic creation, so that reader's mind achieves artistic meaning after an attempt and this meaning remains in mind. An example of metaphor in Akhavan's poem is as follows:

> a garden without leaves
> its laugh is a tearful blood
> gallop eternally on the yellow maned horse
> fall is the king of seasons (same: 167)

Yellow maned horse is a metaphor for yellow leaves of trees in autumn. Akhavan is innovative and well-known in constructing novel and new metaphors. Barahani says: ((tongue is forced to say something in a poem that never says them normally (Barahani, 1992: 55). We can see an example in Akhavan's poem.

> the wetted shadow in night beaches
> an old and smoky tower (same: 43)

He similes night to a sea that walls of a tall tower smoked and shadowed due to night darkness are wetted in night sea. It means they have had a greater darkness. About this poem it can be said that the poet has used soaking instead of darkness and has caused its outstanding.

9. Paradox

Paradox means nonsensical and contradictory speech and also means an idea or statement that is in conflict with publicly acceptable ideas. Idiomatically, it is a language containing a contradicted concept apparently so that it seems meaningless at first glance, but behind its apparently absurd meaning, a fact is hidden. This apparent contradiction of sentence concept attracts attention of audience or reader and results in discovering its beautiful hidden concept (Mirsadeqi: paradox). Akhavan has applied paradox in an artistic form that attracts the audience mind to challenge with the issue and forces him/her to exploration. More pleasure has been earned for the audience due to this mind attempt. Thirsty sea is a paradox used by Akhavan in the following poem:

> I come with a thousand great hopes,
> and this my own tiny cup
> I come to go on thirsty sea way
> from this huge Beal … (same: 45)

Logically, a sea cannot be thirsty, but it can help induction of mental concepts form view point of a poet. Here, story has been stated by a small pelican that calls everyone toward own-self and is a guide for the others who have been neglected and while they have blessing are excluded from them. Here, paradox has been applied to emphasize this issue.

10. Making a Sense

Making sense is the mixing two senses in the language in such a way it increases effectiveness of speech by creating spiritual music and causes its beauty. Making sense usually causes thinking about an issue. Akhavan has done this job very well and highlights his own favorite concepts.

> I thirsty of morning so that a world drowns
> in clear lights of its mood, Ah!
> death saddle is red and bitter, my life was on lips (same: 69)

Akhavan mixes red color that is related to sense of sight with bitter that is related to sense of taste and emphasizes on the word (death).

10.1   Music resurrection of the words

Akhavan also has necessary skill and art in the field of poem music. He repeats a word in every where necessary and doing this he causes resurrection of that word as well as creating music in the poem. Repetitive words are divided into two groups in Akhavan's poem: 1-noun 2-verb

10.2   Noun

Akhavan sometimes causes resurrection of a word by repeating a noun as well as emphasis on it.

> *Snow drink! Be flowered, burn*
> *That this blood is our blood, the homeless*
> *That this blood is hungry wolves'*
> *That this blood is desert chlidrens' (same: 77)*

He repeats it in another place for emphasis and resurrecting time:

> *Who was my enemy?*
> *Only world's enemy*
> *Both visible and hidden*
> *A relentless soul*
> *Time, time, time, time*

10.3   Verb

In following poem, Akhavan repeats the verb (come see) twice and causes more emphasis on it and highlighting it as well as creating music.

> *Come see, come see*
> *How I fight*
> *How I make yellow the green blossoms*

11. Resurrectuion of Words Using Language Compounds

Shafiee Kadkani says: ((constructing compound is one of the factors that brings the language out of addicted state from view point of Russian formalists. The reader is already familiarized with the components of one compound and from view point of Russian formalists he/she is addicted with those components, but this compound may be in a form that creates wonder and defamiliarization in readers and outcome of this familiarization is that we discover the fact of things) (Shafiee Kadkani, 2010: 28). Akhavan who is an innovative and creative poet in applying types of new literary arrays also has skill in this field. He sometimes constructs new compounds using words that he is familiarized with them and consequently makes defamiliarization. An example of these compounds in Akhavan's poem is as follows:

> *What does it say, with whom, Ah!*
> *from that resultless flight in this poisonous ruin*
> *like hell, four elements of fire and fire burned six directions and all of its clean feathers*
> *where should distressed innocent bird land? (same: 148)*

Here, Akhavan is previously familiarized with the words (ruin) and (poisonous), but this word usually is used with the other nouns. He constructs a new compound through putting these two words besides them that emphasizes on the word (ruin) as well as creating familiarization and resurrects them among hemistiches.

12. Symbolism in Akhavan's Poem

Various definitions have already been presented for symbolism. These definitions are so disturbed that do not convince any thinkers. Symbolism means a thing that shows another thing through comparison. The relation between them is paraphrastic. In other words, a symbol is a kind of language marker that points to its own evidence with a paraphrastic

relation. Akhavan believes that poem should be targeted and promising. He says: ((I always have given some duties to the literature and they have always been some social and ethical ones… I consider a work as following ones that have social and human being effects. My works are evidence that my purpose have been social, revolutionary, and human being ones)) (Pourjafi, 2005: 245). The hope in using symbolism language is greatly under effect of Nima, but the difference between symbols in Nima's poem with Akhavan's poem is that Nima's symbols are difficult and hard-understanding but Akhavan's symbols are intelligible with a little think. Akhavan has used symbols such as masticatory-Winter-barren in some his own poem in this collection. Some examples of symbols in Akhavan's poem:

> My house has been fired, a heart-rending fire
> This fire burns in every direction
> Curtains and carpets with their warp and woof
> I tearfully run in every direction
> in fearsome and smoky fire.

Akhavan has used house as symbol of fatherland in this poem that has been burned by the fire of cruelty and burning warp and woof and curtains in that house are as symbol of destroying storages and properties of this land that were spoiled by foreigners. He resurrects them through applying them as symbol in his poem.

13. Conclusion

1. According performed investigations on words in Winter collection it can be said that Akhavan is of poets that his word range is extensive. He is an able poet in selecting words because he uses all of his mental ability to select the best word.

2. In selecting ancient words, contemporary Persian words, and dialectal and slang words, Akhavan artistically gathers them in a collection so that he has created friendship between them. He could greatly help treasure of Persian words in this field and revive contemporary Persian language again through Iranian original words.

3. By artistically selecting words, Akhavan revived them and caused resurrection of words in his poem. This resurrection of words can be a proper pattern for the other contemporary poets to use Iranian original words instead of using foreign words.

4. According to investigations performed in Winter collection, Akhavan has done most resurrection of words in the field of archaism. Applying these words is resulted from epic and national soul of the poet and his interest in Iranian nationality and culture. He could be as a connecting ring between old and today contemporary language and this is valuable for contemporary literature.

5. Akhavan never encounter with a lack of words as well as applying ancient and slang words besides contemporary Persian words and invents new words for induction of his mental concepts. The main material of these words is initial Persian language materials. Applying this type of innovation can be a suitable pattern for the other sciences.

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Translation Problems of Phraseological Units:
On the Basis of M. Auezov's Novel "the Way of Abai"

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Abstract

The important ways and methods of transferring phraseological units from source language into target one are considered in the following article. The national and cultural features put in the phraseological unit often becomes the difficult phenomenon throughout the translation of a figurative steady turn from original language into language-analog. The phraseological picture of the world occurring in consciousness of one language community does not always coincide with attitude of another community. To search an acceptable option of understanding in case of contact of different cultures the translator resorts to methods of the descriptive interpretation which systematization is a task of this article. The significance of a translator's personality during translation is also emphasized in the given article.

Keywords: *Phraseological unit, translation language, phraseological translation, non-phraseological translation, interpretation, comparative studies, literary translation, reception, adequate reproduction, equivalent.*

1. Introduction

In recent years, after analyzing the work of our scientists, we can note that interest and significance to rich and informative art of speech, which has been kept by our people for many centuries, has increased. In this connection there are plenty of problems in comparative literature and translation theory, which have been investigated and still are waiting for the research continuation. Consequently, translation questions of phraseological units into other languages, study the level of their presence in general artistic translation are the most significant tasks in Translation Studies Science.

From the 1940s phraseological units have been examined in diverse aspects of Kazakh Linguistics, such as structural-typological, semantic-morphological and thematic. For the first time founder of Kazakh phraseology I.Kenesbayev laid the theoretical foundation for the General Turkic Phraseology Science. Currently, theoretical and practical problems of phraseological units (A.Kaydar, A.Bolganbayev, G.Kaliyev, S.Isabekova, A.Aldasheva, G.Smagulova, S.Satenova and others), their stylistic functions (M.Sergaliyev, G.Kusimova, G.Boranbayeva), their use in work of fiction (O.Aytbayev, B.Shalabay, Kh.Kozhakhmetova, M.Zhanibekov), classification of phraseological units by meaningful, thematic aspects (A.Eleshova, R.Zhaysakova), particular categories of phraseological units (F.Orazbayeva, A.Baytaliyeva, R.Tayeva), phraseological units' dialectical features (Sh.Sarybayev, K.Kalybayeva, S.Mustafauly), comparative research of phraseological units with the data of peculiar languages (A.Amanzholov, Z.Akhmetzhanova, R.Valikhanova, M.Abdigaliyeva, P.Dauletova and others) and other matters have been studied in various prospects of Linguistics. Nevertheless, comprehensive exploring of Kazakh language phrasicon is one of the basic points at the present time» (Avakova, 2009). Translation of phraseological units into other languages is one of the less investigated directions in Translation Studies Science. Among the first O.Aytbayev studied the translation problems of phraseological

units into Kazakh language in M.Gorky' work, in his research work "Phraseological phenomenon in translation" he analyzed theoretical opinions concerning to translation of general set expressions. The scholar divided translation of the phraseological units, proverbs and sayings into 3 ways: "Firstly, if we totally present subject meanings of the words in proverbs and sayings it is possible to translate them exactly. Secondly, to translate subject meanings of some words just a bit changing them. Thirdly, it is necessary to use phraseological units, proverbs and sayings of the translatable language" (Aytbayev, 1975). Critic M.Karatayev studied explicitly the principles of idiom translation relating to translation of the novel "Quietly flows the Don" and expressed his correct solution to the point. Translations of idioms into Kazakh language in the work of N.V.Gogol, different methods of delivering were examined in the book of Candidate of Philological Science S.Talzhanov "About fiction translation". This question was also studied from all sides in the thesis work of prominent researcher R.Sarsenbayev. Besides, the research work and scientific articles of K.Sagyndykov, A.Aldasheva, G.Aytzhanova are devoted to the given problem. As one of the most unique investigation among them we can name a study guide of A.Aldasheva published in 2006 "Translation Studies: linguistic and lingvocultural problems". In the book the language of prose work translated from Russian into Kazakh language is studied from the scholars' views, from the aspects of linguistic and lingvocultural sciences. An accurate scientific analysis was done about translation and Kazakh national culture, the role of translation in the lexical- grammatical system development of Kazakh literary language, national view in translation, singularity of word selection in translation and so on. Apart from this, in the section named "Phraseological units in translation versions", national-ethnic characteristics in the semantics of phraseological units, their functions, equivalent phraseological units and phraseological locution translated word for word are given. The scholar believes that it is significant to pay attention to the semantic structure of fixed phrase in the translation language and after studying other researchers' opinions the author came to a conclusion that: "Word for word, adequate and free translation methods are used to translate phraseological combination. Stylistic functions' transferrings of phraseological units translated word for word, adequate and free differ from each other. The most significant feature of phraseological locution in each language is close connection between set of patterns which can be basis for phraseological combination and material, social and moral culture of the people. In other words, it is quite possible to know cultural-national customs and traditions of the people through meaning and etymology of the basic component of phraseological units. Phraseological locution appeared from the people's worldview experience can have no adequate or close equivalent in the second language. For instance, fixed phrases used to denote symbolic function through the meaning, symbolic word-combinations which have national distinctive indications (rainy day, black envy); phrases concerning to theological-religious concepts and notions (to fill up the cup, the salt of the earth); idioms (Cousin seven times removed, to twirl the goat horn, to tighten one's belt); phrases based on national-daily philosophy (women's brain, goldfish memory); phraseological units centered around customs and traditions (to recruit smb) can have no exact and adequate equivalent meanings in Kazakh language as they are mainly related to the national-cultural entity of Russian people, it is quite common situation" (Aldasheva, 2006).

To translate phraseological units from one language into another is one of the most difficult tasks. It is not enough to transfer complete meaning of the idioms in the translation; a translator should try to convey national spirit of the fixed phrase. Kazakh, Kyrgyz, Turkish scholars have common opinions about the given point. We can prove our view by the conception of certain researchers. Kyrgyz academic N.K.Abdyrakmatova considers that «to translate phraseological units from one language into another one includes national colour peculiarities, author's use of phraseological units in figurative meaning (author's, personal), problems of correct transferring of the phraseological units used in particular historical time. A translator should know basic etymology of each fixed phrase, speech culture of the people and then choose a proper equivalent. In its turn, this equivalent should be equal in grammatical form, emotional-expressive meaning, internal structure and stylistic use» (Abdyrakhmatova, 2011). According to A.Aldasheva, a translator should find suitable equivalent. For this purpose it is very essential to know to the letter and master «background information», «background knowledge», an idea and main content of an original, language-stylistic skill of an author, lexical-grammatical system of both languages. A translator must distinguish 2 languages, his proper and appropriate translation can raise quality level of translation version (Aldasheva, 2006).

2. Materials and Experiment Methods

It follows that a translator's principal duty is complete transferring of full content of an original, as factual resemblance of an original and translation version is very important. Fixed phrases are units which indicate national-cultural coloring of people; this is a reason that it is quite effortful to translate them. To find an applicable substantial closeness between potential equivalence and real parity of an original and translation version is one of the primal tasks of a translator.

Both science and research methods are developing due to the flow of time. To distinguish, to differ phraseological

111 units are rather complicated task for a translator. For example, meaning of the multicomponent set expression can be
112 different; some of them can have historical information. During translation process rigorous meaning of phraseological
113 units can be changed or even mispresented, if a translator does not know full-scale nature of an original language.

114   In order to analyze translation techniques of set expressions from the theoretical side, it is necessary to divide
115 translation methods of all fixed phrases of the given language. Many scholars resort to this linguistic classification as an
116 initiation, which differentiate phraseological units as translatable and not transferable, in accordance with a number of
117 compound parts and their metaphorical distinctions. We are aware of the following phrases: contraction fixed phrases
118 (idioms), combined phraseological locutions (metaphorical units), accordant and phraseological words (In compliance
119 with the classification of Sh.Bally, V.V.Vinogradov, B.A.Laryn, N.M.Shanskiy). In accordance with Ya.I.Rescker, this
120 classification is convenient method in translation theory and practice. However, he considers only contraction fixed
121 phrases and combined phraseological locutions. He contemplates that we should use complete variation method while
122 translating contraction fixed phrases and image alteration way during interpretation of combined phraseological locutions.

123   S.Vlahov and S.Floryn show the following ways of translation of phraseological units from an original language into
124 translation language:

1)   To translate fixed phrases with the help of equivalents in translation language;
2)   To translate phraseological units by means of variant (analog) in translation language;
3)   To translate set expressions with the use of non-phraseological language means, If there is neither equivalent nor other version of the phraseological units in an original language (Vlakhov S.I. and Florin S.P., 2006).

129   Throughout studying special literature on translation phraseological units we have met the next types of them.
130 They are phraseological translation and non-phraseological interpretation. Phraseological translation is interpretation of
131 set expressions of one language into another by means of those fixed phrases which exist in the second language,
132 finding meaningful closeness between an original language and translation one, then presenting suitable phraseological
133 equivalent. In other words, to translate set expressions in an original language with phraseological units of a translation
134 language or to interpret phraseological locutions with phraseological units. We can find such appropriateness in both
135 languages. By way of example: To leave Koryk they hurried to ride horses at the crack of dawn. *At dawn* he himself woke
136 up Baytas, who came to the city to take him with. All day long he did not get off the horse and was skipping ahead than
137 other wayfarers (Auezov, 2007). Translation version: Last light transition was in prospect, and a boy, a pupil at medrese
138 woke up all his fellow travelers *with the first rays of the sun*. They got on horses and left Koryk *at first light*, and the rest of
139 the way the boy galloped ahead of all, at a distance of *arm bullet* (Auezov, 2007). The translation is exact.

140   Semi phraseological equivalent is existence of several versions of phraseological units translated from original
141 language into translation one, namely if there are few components of the fixed phrase in an original language, then there
142 will be many elements in a translation language and on the contrary, if there are a lot of units in a phraseological locution,
143 in a translation language they can be just a few. This kind of interpretation can often be met.

144   To take one example: *Baylayin bayladin* (*Байлауың байладың*) - You said you did. Now, hey, *talabin zher*
145 *kilmandar* (*талабын жер қылмаңдар*) do not put in shame the intention of my young children in front of strange people.
146 You will not derogate from dignity if you serve the deceased. Forget quarrel and dissension, as soon as you are a man!
147 *Tirisinde algys almasan, endi, tym kurisa, oli aruaginan kargys alma* (*Тірісінде алғыс алмасаң, енді, тым құрыса, өлі*
148 *аруағынан қарғыс алма*) If you did not receive gratitude during their lifetime of, do not get damn from ancestors' spirits.
149 Sons and my daughters-in-law, be attentive to people! *Otymen kyr, kulimen shyk konaginnin!* (*Отымен кір, күлімен*
150 *шық қонағының!*) Be affable and courteous to your guests! True trial comes not in a battle and in a temper, but in an
151 open-heartedness and benevolence! Even you are exhausted do not knit your brows! *Kabak shytpa! (қабақ шытпа)* Be
152 glad and treat your guests properly! Do not become conceited and get worked up! Treat your guests silently and gently!
153 Otherwise while all relatives are here *«tort kozi tugel otyr goy» (төрт көзі түгел отыр ғой)* I am telling you, better I
154 will die! One of you are called an idle talker, second is named like an ill-bred person, others are boasters, dare-devil,
155 braggarts, many of you get drunk during such assembly and gathering, show rudeness and tactlessness and then get
156 fame like this! (Auezov, 2007). Translation: - *You have made a decision.* Now, my children, *do not lose your face* in front
157 of people, when they come from a distance. One and all help my children, who try to make as many good deeds as
158 possible. Be human-beings; do not lose your dignity, forget your altercation and discord, show your respect for the
159 departed. *If you had not done anything kind to him during the lifetime of, do it now, after his death.* Do not incur curse of
160 the late's spirit. My children, *be attentive and well-mannered to your guests! True man manifests his prowess not in a*
161 *battle with enemies, but in noble communication with friends. Die from tiredness, but do not frown!* Treat your guests with
162 merry faces, smile, cheerfully and deftly. But do not lose your merit. Be well-wishing, do not be boasters and chatter-
163 boxes. Show modesty and generosity! If not, I am telling you in front of all relatives, better I will pass away (Auezov,
164 2007).

165   Relative phraseological equivalent is the same in meaning but differ in syntactical structure, synonymous
166 components, and morphological compound. Relative phraseological equivalent is not frequently met in translation. For
167 instance: - Shukiman, *erulige karuli bar* (*ерүлге қарулы бар*) *There is always someone better for that who thinks he is*
168 *the best.* Both I and Erbol do not forget song «Topaykok» sang in that house. Translation: - Nonetheless, one good turn
169 deserves another. Now you should sing. Both I and Erbol request you to sing «Topaykok» like you did it in that house.
170   Phraseological analog (adequacy) is a fixed phrase which is quite adequate to the phraseological unit in original
171 language, but this phraseological locution keeps its own characteristics. For instance, *Kadalyp kaldy* (*Қадалып қалды*) –
172 he stared at him, *aktarila tusty* (*ақтарыла түсті*) – to tumble out, to have a heart-to-heart talk; *zhurekti, kayratty*
173 (*жүректі, қайратты*) – courageous, brave.
174   Non-phraseological translation is a type of interpretation done by non-phraseological means. In such cases these
175 translation methods are used like lexical equivalent, loan translation, description, combined translation. These types of
176 interpretation are used when no phraseological equivalent is found. Shortcomings of this kind of translation are that
177 phraseological figurativeness, expressivity, informative colouring can be lost. Besides, antonymous translation and word
178 for word translation can be also applied.
179
180 ## 3. Results and Discussion
181
182 Consequently, we have considered several methods of phraseological units' translation from one language into second
183 one. According to translation order they can be divided in the following way. The first one is a fixed phrase which can be
184 met in both languages. There is no need to translate them; it is enough to find suitable and proper phraseological locution
185 from mother tongue's treasure. Sometimes they can match both in meaning and form. The second one is set expression
186 that does not have ready samples in Kazakh language. We have to use free translation to interpret them, but keep their
187 content and shape. But all peculiarities of proverbs and sayings should be kept. In other words, proportionality,
188 consonance, richness of content, impression should be fully given; they all must impact on a reader. The third is
189 translation of phraseological units with the help of word for word interpretation. The forth is to turn set expressions by
190 means of equivalents (adequate). The fifth is to use free translation to interpret fixed phrases.
191   Undoubtedly, problem of interpretation of phraseological units from one language to another is very significant and
192 complicated task. We do think that it is possible and necessary to translate phraseological units. Usage rate of fixed
193 phrases in creativity of each writer also shows to use translation ways as much as possible. We can name the next types
194 of translation methods of phraseological units in epopee of M.Auezov «The way of Abai». The first: a translator tried to
195 transfer completely content and form, expressive-emotional impression; the second: even the meaning of idioms is
196 presented correctly, but there are some changes in lexical-grammatical structure of phraseological units. It implies that
197 substantial- figurative meaning is kept not fully but half. The third: we can use fixed phrases as ready equivalents
198 appeared as a result of life and situational similarity of two nations. There are plenty of such lexical-semantic groups in
199 each nation. Just we will have to find them. There are also phrases which cannot abide by these rules. These idioms
200 have national distinct colouring. If they are translated they can lose their national singularity, on the other hand we cannot
201 leave them without translation. Judging by these features they can be added to idioms. A. Kim also considered different
202 methods of them. By and large, he tried to convey various difficult set expressions of Kazakh language by means of
203 Russian language materials. .
204   Whilst analyzing features peculiar to M.Auezov's work, we have noticed that there are plentiful lingual devices that
205 distinguish clearly his proper singularity and also that Russian language has sufficient opportunity to translate them into
206 Russian. It is vital to determine stylistic functions of phraseological units in the text. This translation played significant role
207 in increasing of Russian Language Culture.
208   But not all translation is in exemplary level. Even there are enough disadvantages in transferring of the specific
209 problem which we are studying currently. That is the reason that we should reconsider the translation and do it again
210 appropriate to the present time.
211   To translate phraseological units in «The Way of Abai» it is essential to define their ranges, types, purposes.
212 Because in accordance with main aim of a writer, fixed phrases fulfill stylistic functions. In that case we should examine
213 the translation in concordance with stylistic intentions of a writer.
214
215 ## 4. Conclusions
216
217 M.Auezov used phraseological units to identify clearly his characters' images. We can mention the following types of that
218 usage. M.Auezov sometimes used simple aphorisms of people without any changing, but according to the personages'

219 actions, characters the author occasionally apply fixed phrases, vary and brighten them. He introduced a change into
220 lexical-grammatical structure of the phraseological units. All in a breath, author's heroes speak in specific way, with
221 absolutely new aphorisms. It is not easy to distinguish fixed phrases' form, kind, and emotional- esthetic effect. Judging
222 by the translation, sometimes it is impossible to convey these peculiarities with the help of Russian language. According
223 to A. Pushkin, a translator should transfer a writer's ideas, views. As for Gogol's opinion about translation, he believes
224 that in order to become closer to an original text, sometimes a translator should move aside from original text's words.
225 L.Tolstoy assumes that it is not enough to translate words and meaning, it is significant to convey an impression of the
226 text. K.I.Chukovskiy appealed to interpret laughter into laughter, smile into smile. Nevertheless, all the opinions above do
227 not contradict general rules of a translation. There are text parts in each work that cannot be translated conventionally. I
228 call it conventionally as sometimes it is quite impossible to translate some parts. These untranslatable parts are called
229 like phraseological units.

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Innovation in the Language of *Coca Cola* Television Advertisements

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Abstract

Recent technological advancements have led to great innovations in language use in electronic mass media. Innovation is one way of transforming the resources of an enterprise through the creativity of people into new resources and wealth. Advertisements on television are a rich site for data on language, innovations and scientific development. Language in television advertisements uses verbal and visual modes of signification to craft the advertisement message. This poses challenges to viewers because in multimodal discourses, viewers are faced with the changing phenomenon in which language per se is being displaced by sound and image, taking over tasks associated with the role of language. This paper investigates the synergy across semiotic modalities in one Coca Cola advertisement that appeared on Kenyan television channels in the years 2011-2012. The objectives of this study are: to examine the modes of signification in the Coca Cola advertisement, to determine how the language of the Coca Cola advertisement appeals to viewers and to explain the innovations in language use in the Coca Cola advertisement. This paper uses Kress and Van Leeuwen's theory of Multimodal Discourse Analysis to examine the modes of signification in the Coca Cola advertisement in relation to consumer reactions to the advertisement. Findings reveal that modes of signification include color, distance, face-work, gestures, graphics and music, all of which work in complementarity to craft the advertisement discourse. In this paper we posit that television advertisements create meaning through the careful manipulation of verbal and visual modes of signification so as to craft the desired interpretations that are advantageous to the advertisers.

Keywords: advertisements, innovation, modes of signification, multimodality, visual semiotics

1. Introduction

Innovation and invention are closely related in meaning in that invention refers to new concepts or products that derive from individuals' ideas or scientific research whereas innovation, on the other hand, is the commercialization of the invention itself (Scocco, 2006). Innovation involves the application of new ideas or scientific research into commercial enterprises. Thus, innovation is a way of transforming the resources of an enterprise through the creativity of people into new resources and wealth (Schumann, 2001). In television advertisements innovation entails the application of ingenious creativity in crafting the discourses that manipulate consumer behavior.

Modern technological advancements have stretched all forms of communication and even created new modes of communication. Communication in the mass media is no longer a mono-modal phenomenon but a combination of various modes hence innovation in multimedia. The aim of innovation in advertisements is to promote the sale or consumption of goods and ideas. Roberts (1987) posits that the debate about the influence of advertising in most societies, especially the developing nations, revolves around the reinforcement of the consumption habits of the capitalistic aspects of the world. With globalization, certain technological developments have a way of changing, controlling and dictating societal behavior. Globalization therefore, is the process by which regional economies, societies and cultures become integrated through a globe-spanning network of communication and trade (Bhagwati, 2004). It is the integration of national economies into the international economy through trade, foreign direct investment, capital flows, migration and the spread of technology. Television advertisements employ technological innovations in shaping communication models.

Advertisement is one channel that promotes consumerism and globalization and there is need to study this wheel

58 of societal transformation. Advertisements on television are an ideal site in which to observe the innovations in language
59 use in multimodal communication which effectively serve the advertisers' interests. Multimodality poses challenges to
60 viewers who have to negotiate the preferred interpretations as designed by copywriters. This paper examines the
61 innovations in the language of a *Coca Cola* advertisement which ran in the Kenyan television channels in the years 2011-
62 2012 to commemorate the African population hitting the 1billion mark in the year 2011 (Population Reference Bureau,
63 2013).

64
65 1.1   The Coca Cola Advertisement
66
67 *Coca Cola* is an international soft drink for refreshment. Participants in the *Coca Cola* advertisements include boys, girls
68 and a male adult all of whom participate in the choir. They sing under a tree in the open field. Steve Kekana, an
69 international music star from South Africa leads the choir of boys and girls in singing the song which is the main verbal
70 mode of signification in the advert. Action starts with Steve Kekana, the lead singer approaching the television viewer in a
71 close-up shot that reveals his face as he starts to sing. Two girls join him, walking and singing. They are then joined by a
72 group of boys, walking and singing the song:

73
74   *I will pray for the people of this land.*
75   *And I will hold them close to me, yeah.*
76   *Eeih, yeah!*
77   *All I need is right here in Africa.*
78   *love you Africa.*
79   *I love you yeah.*
80   *I love you Africa, I love you yeah.*

81
82   Once the choir forms under the big tree, the camera zooms out and a far-distance relation is created. The choir
83 fades out but the song continues in the background. This paves way for dramatization and graphics in which the episodes
84 of African achievements are juxtaposed against the failures of the western world. The choir appears again towards the
85 end of the advert when they sing the chorus in: *I love you Africa, I love you, yeah!*
86   The advertisement above can be transcribed using Thibault's (2000) model of multimodal transcription in which the
87 visual frame described by Baldry (2000) is analyzed in terms of time in seconds, visual frame, kinetic action, sound track
88 and phases and metafunctions as can be seen in Table 1 below:

89
90 **Table 1.** Transcript of the *Coke* advertisement.
91

Time in Seconds	Visual Frame	Kinetic Action	Sound Track	Phases and Metafunctions
0-1	Man walks as he sings.	Walking, slow	Singing	Compositional Representational
2	Two girls join, walking and singing.	Walking, slow	Singing	Representational Interactional
3	Three boys join, walking and singing.	Walking, slow	Singing	Representational Interactional
4	Choir forms under tree.	Walking, slow	Singing	Representational Interactional
5	Close-up video of choir singing, hands across chest.	Gesture	Singing	Compositional, Representational
6-14	Singing, exalting African values and achievements	Dancing, relaxed	Singing	Compositional, Interactional
15-18	African youth set up a businesses	Walking, pushing door open, gestures	Singing	Interactional
19-23	World economy crumbles as African woman and her children receive money from Diaspora	Sitting, reading message from a mobile phone	Singing	Representational Interactional
24-26	White pigeon flies away to freedom.	Flying, slow	Singing	Compositional
27-28	African woman crowned beauty queen.	Curtsying Gesture	Singing	Compositional, Representational
29-35	Choir singing and dancing.	Dancing, walking, running, jumping, staccato	Singing	Compositional, Interactional
36-39	Close-up video of African girl sharing *Coke* with boyfriend.	Gestures, sitting	Singing	Compositional, Representational Interactional
40-45	*Coca Cola* bottle and trade mark colours.	_____	Singing Ambient sound	Compositional

92
93 The graphics in the advertisements extol the African dream of taking off in the economic, social, environmental,
94 entertainment, sports and political spheres. The African population is estimated at 1 billion and this is reason enough for

multinational investors to believe in Africa. The graphics enumerate the successes of Africa compared to the rest of the world. *Coca Cola* is a multinational company with establishments in all continents of the world. This advertisement basically promotes the *Coke* soft drink by instilling a sense of pride in the African and calling upon Africans to identify their successes with *Coke* as illustrated in Clip 1.

Clip 1: A Clip from the Coca Cola TV advertisement

2. Innovation in Television Advertisements

Innovation in the language of television advertisements involves the employment of multiple modes of communication in one discourse. Advertisements draw attention when they are positioned strategically (Roberts, 1987). Television advertisements employ verbal and visual modes of signification and offer specific strategies for viewers to infer meanings. One such strategy is to craft visually intense and highly persuasive discourses in the television advertisements, which can be manipulated to lead viewers into making interpretations that are in the advertisers' favor. The verbal and visual modes are co-deployed in such a way that they complement each other in the construction of the advertisement message. Advertisements enable consumers to be aware of the existence of a product or service.

Advertisement is one avenue through which consumerism and globalization can be perpetuated. The melting of national boundaries is impacting on the nation state and communal cultures, and advertisement is one avenue through which this change is taking place hence scholars need to study the wheels of this social transformation. Advertisement is a vehicle for promoting social modernization and trade in developing society.

3. Multimodal Discourse Analysis Theory

This paper uses the Kress and Van Leeuwen (1996) Multimodal Discourse Analysis theory as its analytical tool. Multimodal Discourse Analysis is a theory of reading images, in which Kress and Van Leeuwen highlight the importance of taking into account semiotics other than language-in-use. Multimodal discourse analysis is an emerging paradigm in discourse studies which extends the study of language *per se* to the study of language in combination with other resources, such as images, scientific symbolism, gesture, action, soundtracks and music. The theory is relevant in examining the innovations in the language of television advertisements.

On watching television advertisements, both verbal and visual entities come into the viewers' eyes and ears as images. A comprehensive interpretation of the advertisements therefore calls for employment of more than just one mode of interpretation, hence innovations in the language of television advertisements. Multimodal typically refers to the multiple modes of communication (for example spoken, written, printed and digital media, embodied action, and three-dimensional material objects and sites) through which social semiosis takes place. It provides the means to describe a practice or representation in all its semiotic complexity and richness. This paper analyzes the verbal and visual features of *Coca Cola* advertisement on Kenyan television. We explore the construction and negotiation of the overall message of a television advertisement by the producer and viewer respectively through the interplay of the various modes of communication.

4. Methodology

This descriptive research was carried out amongst supermarket shoppers who are also the television viewers and consumers of advertised products in Kisumu city, Kenya. The research used 100 respondents to whom the *Coca Cola* advertisement and a related questionnaire were administered so as to elicit the desired responses. A further 20 interviewees formed the focus group from whom responses were drawn on their opinion about the influence of television advertisements on consumer behavior. The *Coca Cola* advertisement was the stimulus from which the multimodal phenomena described comprised the primary data. The multimodal phenomena were qualitatively and quantitatively described by the researchers as part of content analysis. The analysis of the multimodal features elicited secondary data from which further inferences were made. Content analysis entailed using Thibault's (2000) table for Analysis of Layers of Meaning and Baldry's (2000) Visual Frame in Table 1 above. According to Baldry (2000), multimodal transcription allows a television advertisement to be reconstructed in terms of a table containing a chronological sequence of frames. This technique goes a long way to resolving the difficulties of taking linguistic, musical and pictorial modes into account.

5. Results and Discussions

In this section we present an analysis of the data in line with the three objectives of our study namely: to examine the modes of signification in the *Coca Cola* advertisement, to determine how the language of the *Coca Cola* advertisement appeals to viewers and to explain the innovations and language use in the *Coca Cola* advertisement. The section explores how television viewers interact with the advertisement discourses to negotiate the desired interpretations and examines whether viewers make decisions to buy products on the basis of how they are advertised.

For the purposes of this paper, six modes of signification were identified in the advertisements and a related questionnaire presented to the respondents. The modes were: color, face-work, gaze, graphics, lighting and music. The modes of signification were thereafter analyzed against the viewer responses.This section also explains how innovation blends the multi-modes in crafting the advert discourse.

5.1 Visual Semiotics

Visual semiotics in television advertisements includes color, gaze, gestures and lighting. The *Coca Cola* advert was presented in the brand colors of *Coke* that is red, black and white which are the dominant colors in the advertisement. The people who form the choir wear white-and-red uniform. The graphics are presented in the white color, the containers are red and the *Coke* bottle is black. Advertisements use different colors to achieve special effects with regard to the symbolic meanings and significations associated with the colors. Colors are culture-dependent in that different cultures associate certain colors with certain symbolic meanings (Berlin and Kay, 1996). There are brand colors and dominant colors that are associated with certain products. Copywriters innovatively employ color to appeal to viewers' emotions and create the desire to purchase products. According to McIntyre (2009) the colors you use for an advertisement are more important than the actual wording of the advertisement. The reason for this is that colors (and graphics) capture the consumers' attention then cause them to read the advertisement. McIntyre (Ibid) also posits that color impression can account for 60% of the acceptance or rejection of that product or service. Innovation in the language of television advertisement entails the careful integration of brand colors in the advert discourse by blending it with other modes of signification.

In this research, respondents were asked to state whether they would buy *Coca Cola* on the basis of the colors in the advertisement. A total of 82% of the respondents said they liked the advertisement because of colors therein. The *Coca Cola* advertisement had the white-and-red colors of the choir uniform reported as appealing enough to make respondents buy the product. White color symbolically stands for cleanliness, innocence and purity while red stands for love and it is said to increase heart rate (Marsland, 2006). This explains why respondents found the *Coca Cola* advertisement appealing enough to make them buy the product.

The setting of this *Coca Cola* advert is under a tree in the open grounds. Natural daylight illuminates the scenery. Lighting is a mode of signification that reveals phases and scenes in the plot of an advertisement. It is used to signal the start and end of scenes. It depicts the setting of a scene in the advertisement. Lighting is also used to highlight density by concentrating and focusing on the items and episodes for emphasis (Hutchison, J et al, 2011). There is a natural preference by viewers for a leftward bias in luminosity for frame composition. Daylight scenes are marked with bright natural sunlight. A strong vertical gradient of luminance reflects natural daylight distribution.Lighting appeals to viewers by focusing on certain episodes in the advertisements. A total of 71% of respondents reported that the daylight scenes of the

190   *Coca Cola* advertisement appealed to them in a way that would make them buy the product. Lighting blends in with other
191   modes such as colors, songs, speech and graphics to construct the advertisement discourse.
192   Innovation in television advertisements involves creatively using lighting as a mode of signification to manipulate
193   viewer preferences by focusing on episodes that highlight the advert claims and promises. Kress and van Leeuwen
194   (1996) posit that compositional meaning helps to organize any text into a coherent whole. Textual meaning refers to the
195   way lighting in visual space is used in terms of distribution of meaning. Lighting focuses on what visual elements appear
196   in what part of visual space with what kind of meaning. Advertisements cast in the open space present viewers with a
197   sense of freedom unlike those set inside the house where lighting is poor and gives a feeling of confinement to a small
198   space. Kress and van Leeuwen (1996) further posit that salience achieved through the use of lighting creates viewer
199   preferences. Lighting creates salience by focusing attention to certain episodes in the advertisements and thus making
200   them appeal to viewers. They further point out that regardless of where the elements are placed, salience can create a
201   hierarchy of importance among the elements selecting some as more important, more worthy of attention than others.
202   The compositional metafunction as propounded by Kress and van Leeuwen (1996) draws from salience of components in
203   advertisements. This study establishes that salience in television advertisements is created by lighting as well other
204   modes of signification such as colors, music, speech, graphics and voice-overs. All these modes of signification have a
205   role to play in creating the compositional meaning in television advertisements.
206   Participants in the *Coca Cola* advertisements include boys, girls and a male adult all of whom participate in the
207   choir. They sing under a tree in the open field. Kress and Van Leeuwen (1996) posit that at far social distance we see the
208   whole figure "with space around it" thus the impersonal relationship is more formal. The choir is presented at far personal
209   distance with the vast grassland and sky around them. We see the whole figure of participants from a distance.
210   Occasionally, the camera zooms in on some of the participants and we see their faces in close-up positions. Camera
211   techniques blend with lighting to create reading paths for the viewer to follow. This brings the image of close personal
212   relationship with the viewer. The use of face-work and distance go a long way in crafting the compositional meanings in
213   television advertisements (Kress and van Leeuwen, 1996).Advertisements on television employ the use of actors and
214   goals, carriers and attributes or sensors and receivers to "tell the story". Participants speak and act with a view to
215   convincing television viewers to take up the advertisement message and buy the advertised products. They are the ones
216   who present the advertisement narrative through their actions and speeches (Kress and van Leeuwen, 1996) and where
217   the viewer is addressed directly, he/she becomes the goal of the discourse.
218   In the *Coca Cola* advert analysed in this paper, we see the choir facing the viewer directly, and distance is used to
219   change interpersonal relations as the story unfolds. According to Kress and van Leeuwen (1996), at close personal
220   distance we take in the head and the shoulders and these imply that we consider an intimate relationship between the
221   viewer and the represented participants. This is what unfolds in the first two seconds of the advert where the lead singer,
222   Steve is presented in a close-up shot of head-and-shoulders only as he starts singing. The intimate relationship between
223   the viewer, who in this case is the goal, and the actors is further enhanced by the vectors and gestures that originate from
224   the actors in the advertisement and are directed at the viewer. Vectors are in the form of imaginary lines that emanate
225   from members of the choir as they gaze and gesture at the viewer. Representational meaning arises when there is direct
226   address aimed at the viewer, direct eye contact between viewer and actors and gestures aimed at the viewer. Kress and
227   van Leeuwen (1996) adopt the Systemic Functional Linguistics (Halliday, 1978; Fairclough, 1989) model in analysis of
228   images, and they posit that representational meaning is developed in television advertisements through use of face-work,
229   gesture and direct address aimed at goals and attributes. Kress and van Leeuwen (1996) posit that in SFL, language
230   represents and constructs our perception of reality in the form of "goings-on" or processes of various types (for example,
231   doing, being, happening*)* which incorporate different categories of participants (for example, actors, goals, receivers,
232   sensors, attributes).
233   The *Coca Cola* advert in this paper employed the use of a celebrity figure to appeal to television viewers. A
234   celebrity figure is a character who acts as a role model to the television viewers. This creates the star power where the
235   celebrity is associated with a product and is fitted into the viewers' value system. Steve Kekana, the lead singer, is the
236   celebrity figure in this particular advertisement. Steve is a South African music icon of the 1980s hit song *I Love You*
237   *Africa.* He presents the same song in this advertisement with a group of young boys and girls.The song extols African
238   achievements and attributes it to the fact that Africans love *Coca Cola*. Viewers find musicians appealing because they
239   are celebrities. Celebrities lead glamorous lives and viewers admire them. They would use the advertised product in the
240   belief that the celebrities also use them. Celebrity appeals were reported by 83% of the respondents who identified Steve
241   as the person who would influence them to buy *Coca Cola*. A celebrity figure is a participant who has qualities which the
242   viewer wishes to emulate because of the perceived benefits that accrue from the association with the celebrity or out of
243   aspiring to become another celebrity in their own rights (*Osho Times* 6th May 2001). Advertisements present a world of

244 glamour and viewers are conditioned into believing that it is possible for them to live like the participants when they use
245 the advertised products.
246   The children in the choir are agreeable to most viewers as they represent innocence and hope for a bright future.
247 This is in line with the message of the song which promotes pride in the abilities and qualities of Africans. African
248 achievements are juxtaposed against the rest of the world and Africa is portrayed as the best place to live in. This
249 advertisement relies on the fact that people naturally like being praised and when they are praised they give positive
250 response. In this case, the *Coca Cola* advertisement is appealing to the African market by praising Africans and asking
251 them to take *Coca Cola* because it is the drink for great people.
252
253 *5.2   Verbal Semiotics*
254
255 Verbal semiotics in the *Coca Cola* advert includes graphics and music. Television advertisements use words, phrases
256 and sentences both graphic and spoken to illustrate the action in the discourses. Words generally construct the slogans,
257 messages and songs that create the narrative paths in advertisements. They have a direct relation with the other modes
258 of signification as each blend with the other to construct the narrative processes that create the interpretive paths in
259 advertisements. Advertisements require highly direct representations within a sparse textual framework because they
260 have to take care of costs while aiming to reach the audience with the right message (Jones, 1998). Striking phrases and
261 sentences include slogans, advertisement claims and advertisement promises. They are an ideal site from which to
262 observe the constructive function of linguistic labeling and categorization.
263   Music is the main verbal mode of signification in the *Coca Cola* advert. The whole advert is rendered in the song: *I*
264 *will pray for the people of this land, And I will hold them close to me, yeah ...* The narrative process in this particular
265 advert is constructed by the choir who address the viewer as they sing the song. Graphology is the other mode of
266 signification that work in complementarity with music to render the narrative process. The advert starts with Steve
267 Kekana, the lead singer approaching the television viewer in a close-up shot that reveals his face as he starts to sing.
268   Graphics are superimposed on the television screen to illustrate the advert claims as contained in the song. Thus
269 we see innovation in the deliberate use of graphics and sound to construct the advertisement discourse. Graphics in
270 television advertisements manipulate viewers into watching, reading and even singing along. This creates an interactional
271 metafunction in which the viewer becomes part of the participants. Singing with the choir gives the viewer an actor role.
272 Yet as a television viewer, one is at the same time the goal of their actions. Thus multiple roles are crafted for the viewer.
273 Kress and van Leeuwen (1996) explain that in television discourses, interactional meaning is created when the viewer
274 feels that he is being addressed as a member of the in-group. Graphics are used to illustrate the African achievements in
275 contrast to the rest of the world. It enhances the narrative processes in the advertisement and is an effective stylistic
276 device in its own right.
277   This study sought viewer responses on how the modes of signification appealed to them. The respondents were
278 asked to identify phrases or sentences that they found particularly striking and memorable. The most striking graphics in
279 the *Coca Cola* advertisement is found in the song line: *I love you Africa*, with 54% of respondents preferring it to the other
280 phrases and sentences identified. This is a line in the *Coca Cola* song in which the choir, led by Steve Kekana, invokes
281 the pride of Africans by espousing the achievements and dreams of Africa. Steve is a music celebrity who has great
282 influence on television viewers and the fact that he presents the song with the most striking phrase attests to the fact that
283 celebrities influence consumer behaviors (*Osho Times*, 2001). The use of celebrities in advertisements is a common
284 practice. The inclusion of icons in advertisements creates an advert appeal as viewers tend to identify with them and use
285 the products they promote in the hope that they will become celebrities on their own, they aspire to emulate their lifestyles
286 and viewers tend to believe in them as their role models. Celebrities are appropriately used in advertisements since they
287 appeal to a wide section of television viewers. The *Coca Cola* advertisement had other graphics such as: *There are a*
288 *billion reasons to believe in Africa* (preferred by 28% respondents) and *The most admired man is African and so is the*
289 *most beautiful woman* (preferred by 18% of respondents). These are promotional campaign words in which the African is
290 challenged to be proud of his/her continent and the values and virtues therein. The African population is believed to have
291 reached one billion by the year 2011 and the reference to *a billion reasons* implies that one billion Africans drink *Coca*
292 *Cola*.
293   The striking phrases and sentences are the advertisement claims and slogans that are used for effective
294 communication. Shrank (1990) observes that advertisements use memorable words, phrases or sentences to endear the
295 advert message to readers or viewers. Innovation here entails superimposing the graphics on scenes described by the
296 song to further illustrate the advert claims.
297   This paper also sought to determine how the language of the *Coca Cola* advertisement appeals to viewers. The

298 paper sought viewer opinions on the modes of signification in the advert and how these modes appealed to them.
299 Respondents were supplied with adjectives to use to describe the overall impressions on the *Coca Cola* advertisement.
300 The adjectives were: appealing, appropriate, inappropriate, exaggerated, decent, indecent, realistic and unrealistic.
301 These are adjectives which describe the overall impressions created by the advertisements on television viewers, and
302 were arrived at after carefully analyzing the individual qualities of some other 10 advertisements on 4 Kenyan television
303 channels such as the use of multi-modes to craft the advertisement discourse. Table 2 presents their responses:
304
305 **Table 2:** Overall comments on advertisements
306

Advert	Appeal	Approp	Inaprop	Real	Unreal	Dec	Indec	Exag	Total
Coca Cola	72%	11%	4%	8%	0%	0%	0%	5%	100%

307 **Key**: **Advert** - Advertisement **Appeal.** - Appealing **Exag.** - Exaggerated **Inaprop.**– Inappropriate**Real.** - Realistic
308 **Unreal.** - Unrealistic **Indec.** - Indecent.
309
310 A total of 72% of respondents described this particular advertisement as appealing; 11% found it appropriate; 5%
311 described it as exaggerated and 4% thought it is inappropriate. No one found it unrealistic, decent or indecent.
312 Advertisements elicit mixed reactions from viewers. They are an ideal site from which to observe the sometimes
313 ambiguous and contradictory nature of advertisements (Jones, 1998). Crystal (1997) argues that in most cases, it is the
314 visual content and design of an advertisement that makes the initial impact and causes the audience to identify with the
315 product, remember its name (or at least make them feel that it is familiar) and persuade them that it is worth buying.
316 Advertisements appeal to viewers through the careful manipulation of the verbal and visual modes of signification.
317 The creation of discourses in advertisements is an "identity project" in which each player- the advertiser,
318 copywriter, consumers and viewers bring in their "theories" about the nature of advertisements. When theories of the
319 "self" and communication among the parties in this project are at odds, contradictory, ambiguous or problematic
320 discourses can arise in the presentation of public identity of advertisement viewers and consumers of advertised products
321 (Harre, 1994). Sites of contention between the self as presented by the individual and the self portrayed by the media and
322 perceived by the public can reflect not just differences in agenda or ideology, but also deeper differences in
323 conceptualization of identity itself: what it means to be a "viewer" and how to transform into a "consumer". When the
324 players in the construction hold shared assumptions about the nature of the self and the role of communication in
325 enacting it, harmonious discourses arise, but when the cultural models among the players differ, contradictory or
326 ambiguous constructions result (Halliday, 1985).The language of advertisement is generally laudatory, positive,
327 unreserved and emphasizing the uniqueness of the product.
328
329 **6. Conclusion**
330
331 The main aim of this paper was to investigate how the multiple modes of signification are manipulated in television
332 advertisements to serve their intended goals, which is to appeal to viewers and motivate them to buy the advertised
333 products. The specific objectives of this paper were to examine the modes of signification in the *Coca Cola*
334 advertisement, to determine how the language of the *Coca Cola* advertisement appeals to viewers and to explain the
335 innovations in language use in the *Coca Cola* advertisement.
336 The multi-modes in television advertisements coalesce into a single piece of discourse that carries the
337 advertisement message. They are crafted to create the story that runs throughout the advertisement in the form of
338 narrative processes. This paper posits that television advertisements   appeal to viewers to a large extent and influence
339 majority viewers to make decisions to purchase advertised products. Television advertisements rely on both verbal and
340 visual modes of signification to create advertisement appeals.
341 The *Coca Cola* television advertisement uses modes of signification such as color, gaze, gestures, graphics,
342 lighting and music to construct manipulative interpretive paths for viewers. Innovation in the language of television
343 advertisements is seen in how the modes of signification are cleverly manipulated so as to project the desired images
344 which serve the best interests of the advertisers. Television viewers do not receive advertisements passively. They are
345 actively involved in the reading and interpretations of advertisements and this leads to them making certain
346 interpretations. Advertisements on television are created to appeal to viewers' sense of appreciation of the products. The
347 locus of interpretation is placed on the viewer. The advertisers assume that the modes of signification are applied
348 appropriately and this should lead to a positive feedback from the viewers, which is to buy their products. From a
349 linguist's point of view, the blending in of multi-modes in advertisements works effectively as viewers reported that they

350 would buy goods based on the advert messages and advert appeals.
351
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The Internal Landscape of My Mysterious Body:
Burger's Daughter in the Mirror of Lacanian Psychoanalysis

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Abstract

In the novel Burger's Daughter, Nadine Gordimer's (1923 -2014) treatment of Rosa after her return to her country-a character who repudiates the Law of the father- is an account in which the phallocentric ideology and desire reenact the tenets of Lacanian theory. In order to proclaim her autonomy Rosa can revolt only against another insurgent because her father is a political activist and fights for freedom in a strictly racist ideology. In their home children have few rights to express themselves. In such a complicated situation Rosa is able to reach her subjectivity only when she gains a boyfriend, and stays away from her father's ideology. Her parents are blind to the fact that her role as a partner denies the reality of her emotions. All in all, Rosa who is introduced as "Little Rosa Burger" at the beginning of the novel becomes once again a child at the final section of the novel. She lives a destiny which has been prepared for her. In the novel women either white or black who want to get beyond the bounds of the Law are trapped; their belief in the ideology leads them to shun or annihilate anything that might endanger that ideology, leaving them no way out. Rosa runs up against the boundaries of a white male hegemony, underscoring her inability to find any space outside the ideology that defines her. The aim of this paper is to see in what ways Rosa is the embodiment of the psyche of her society. It focuses on the ways in which Rosa negotiates subjectivity. Where she internalize the law-of-the-Father, and when she rejects her imposed identity.

Keywords: Law of the Father, Subjectivity, selfhood, phallocenteric ideology,

1. Introduction

A fractured personality is the dominant theme in the first chapter of Gordimer's *Burger's Daughter.* Nevertheless, there are some differences between Rosa, a person introduced as Mr. Burger's daughter, and Rosa Burger in the third part. If the Law of the father forces her to negotiate the recognition-presence of the paternal authority, along with repression of desire-then acquiring passport, familiarity with Conrad, and escaping to Europe enables Rosa to understand herself in relation to society. In course of time she feels a pervading sense of Lack and absence. She realizes that living in Europe dose not respond to her every need and quest. This traumatizes her narcissistic illusion. Her coming to terms with father's ideology is significant because it causes her to assume to the symbolic register of language that is the law of the father. However, before attempting this line of discussion, that is a Lacanian exegesis, I would like to consider some of major critical readings of the novel.

Critics have presented different analysis for Rosa's personality. Karen Halil (1994) scrutinizes Rosa's search for selfhood. Such a challenging search for Rosa is "to understand her body's paradoxical relationship to discourse" (Halil, 1994, p. 31). Halil believes Rosa has a multiple positioned personality. Rosa finds her way to the subjectivity only in the latter part of the novel when she assimilates with the ideology.

Her journey is an arduous one, for she must establish her textual flexibility not only between the oppositions of personal and political discourses, but also between the complex network of political discourses which construct her. As an Afrikaner woman she must explore race and gender; she must travel the world "round as a navel" to learn to be at "home" in her body as a private woman and to find her "home" as a political subject in South Africa. (Halil, 1994, p. 32)

Another critic Thomas Knipp (1993) also acquires a psychoanalytic approach in his paper, "Going All The Way: Eros and Polis in the Novels of Nadine Gordimer." He brings into focus family relationship within a historically turbulent period. The novel has been analyzed in the mirror of Frederic Jameson's notion of sociopolitical ideology. Characters lives were analyzed in details and in connection with the impacts of the social and political superstructures. How these characters act and interact in their fictional role in a fabricated time that is accessible to them only in their fictional world.

The novel's structure and its interplay have been considered in Susan Barrett's (2004) "What I say will not be Understood": Intertextuality as a Subversive Force in Nadine Gordimer's *Burger's Daughter*. Susan discusses the usage

of quotation in the novel and discusses this technique with reference to Genette's ideas about intertextuality. Barrett believes,

In Gardimer's case, the aim of the novel is to arouse people's consciousness and being aware of the origins of the hypotexts is of little importance. When *Burger's Daughter* was published, none of the works quoted could be obtained legally within South Africa. (Barrett, 2004, p. 116)

In Barrette's view point Gordimer made use of intertextuality for promulgating of ideas and interrogating the prevailed ideology. Gordimer has voiced blacks in a brilliant way in a time when whites were speaking in their place. "In *Burger's Daughter* Gordimer solves this problem in a unique way by withdrawing completely and allowing blacks to speak in their own voice." Stephen Clingman (1986) in The Novels of Nadine Gordimer: History from the Inside pays attention to Gordimer's usage of history in her novels. In a chapter entitled The Subject of Revolution: Burger's Daughter and July's People, Stephen discusses Gordimer's close monitoring of present and the past.

Not only has she made direct use of basic political and historical texts … but she also undertook interviews with people connected with Fischer and his times. So the figure of Burger acts as a bridge in the novel between fact and fiction, and past and present, as the methods of the novelist and a more orthodox historian coincide. (Clingman, 1986, p. 172)

It is impossible to comment on all the multifarious readings of The *Burger's Daughter*. However, it is interesting to bear in mind that thirty five years after its publication, the novel keeps on to attract critics of different schools of thought.

This paper is one of very few studies which have investigated the novel by providing a Lacanian reading. Rosa Burger's struggle for self definition raises some fundamental questions: How she passes the crucial mirror stage to assume the gender? And how her experiences exemplify Lacan's understanding of subjectivity? However, before proceeding with a Lacanian reading of *Burger's Daughter*, a reading which resolves the above questions, it is useful to summarize Lacan's views in this regard.

Jacques Lacan (1901-1981) in his magnum opus *Ecrits* remarks unconscious is "the discourse of the Other" (Lacan, 1977, p. 285). From Lacan's view point this Other stems from the symbolic presence of paternal authority that is responsible for the repression of desire. This Other, in each of its incarnations it is that which introduces 'lack' and 'gap' into the operations of the subject and which, in doing so, incapacitates the subject for selfhood, or inwardness, or apperception, of plentitude; it guarantees the indestructibility of desire by keeping the goal of desire in perpetual flight. (Sturrock, 1979, p. 134)

In Lacanian psychoanalysis subject's lack of being also results from his dependence to the Other. As such Malcolm Bowie remarks, "the human subject is divided; the unconscious has a linguistic structure; the subject is inhabited by the Other" (Bowie, 1991, p. 82). It is necessary to say that this Other cannot be necessarily the father. Lots of other significant ideal can play the role of the Other. "A father, a place, a point, any dialectical partner, a horizon within the subject, a horizon beyond the subject, the unconscious, language, the singnifier" (Bowie, 1987, p. 119). As a matter of fact subject's dependence to the other is a sort of subverting the authority from the I to the Other. Such subversion originates during the crucial mirror stage. In this period, the sense of wholeness that generally child receives is illusory. The infant looks in the mirror and confuses his own image with reality. In his or her search for the supporting image behind the mirror child negotiates the subjectivity. The child learns that mother does not respond to its every need. This recognition shatters his illusion. In this significant moment of his life the father enters into the realm of acquiring of subjectivity. His entrance is considered significant for the reason that it impels the subject to assume the Symbolic register of the law of the father.

This important stage is called castration that in Lacanian psychology has nothing to do with the biological definition. The moment in which father shatters child's illusory dyad with the mother is symbolized with the term phallus. The phallus resembles the name of the father which mediates the law. In this crucial moment Jonathan S. Lee (1990) believes, "language is acquired, the fact that children do grow up in a world richly structured by various symbolic (and castrating) systems" (Lee, 1990, p. 174). This concept is of great significance because of its symbolic function not its physical one. It functions for both sexes while residing in symbolic order. Lacanian subject is deprived of the phallus and for this reason his/ her desire can never be fulfilled. The phallus is not only the representative of the name of the father but also an indication of lack. Lacan focuses on the subject in society and its relation to language. That is why the unconscious in Lacanian view is, "discourse of the Other". Here he is hinting that the "I" that thinks cannot be presumed to be the subject who knows every utterance it speaks.

This form would have to be called the Ideal-I, if we wished to incorporate it into our usual register, in the sense that it will also be the source of secondary identifications, under which term I would place the functions of libidinal normalization. (Lacan, 1977, p. 2)

Burger's Daughter is the result of its political circumstances. In this paper it is approached through Lacanian

111 principles. The novel represents significant functions like mirror stage and the real as well as a character whose
112 experiences exemplify Lacanian subjectivity. The reader is informed about a critical moment in the history of South
113 African people's fight for subjectivity. It narrates a cultural resistance. The novel grows from The Soweto Revolt in which
114 the role of school children is very important. Rosa's relation with her father also is formed in between. Anyway it seems
115 that new circumstances are needed for the growth of new ideology. In the light of fight for political self definition we can
116 trace Rosa's struggle for subjectivity.

2. Discussion

120 Rosa Burger's story, in Lacanian terms, is the most principal of those represented in the subject consciousness of *The*
121 *Burger's Daughter*. It is possible to follow her passage from infancy through the crucial mirror stage, to the action of
122 assuming of gender. This process also goes beyond the resolution of the Oedipus complex in her interjection of the
123 Name-of-the-Father. Each of these steps clarifies the Lacanian constitution of subjectivity. It is mostly for the reason that
124 Rosa experiences the world which Lacan exemplifies. These images are the mother, the objects which symbolize the
125 Other, and Other's presence in the Name-of-the-Father. In her struggle for self-scrutiny we can follow the constitution of
126 her personality as a normative subject. Her passage through the mirror stage and her acceptance of the father are
127 significant for the analysis of this paper. Her endeavor for reconstituting the subjectivity by comparing her present and the
128 legacy of the past is accomplished through the interactions of Rosa and three other characters. It is conveyed through the
129 interactions between Rosa from one side and Conrad, Katya, and Lionel Burger from the other side. Each of these
130 characters is considered important in protagonist progress towards subjectivity. Conrad plays the role of a surrogate
131 brother; Katya as a mother and Lionel is the father to whom she finally cedes.
132   Rosa's entrance into the cultural dominance of the-law-of-the-father is simultaneous with her awareness of the
133 change in body. In this way racism is understood as a result of sexual repression. Gordimer in this novel is concerned
134 with the idea of a quest. In the overall atmosphere of the novel it is about the quest of people for social emancipation from
135 a racist ideology and on the personal level it is about the Rosa's quest for encountering the real. Even a cursory look at
136 the title of the novel justifies that Rosa has not been given an identity. She is called Burger's daughter. As such it shows
137 her dependency to the-Name-of-the-Father. This title immediately brings to the mind Lacanian conception in the exact
138 sense of the word that the father is the principle of the law, and acceptance of the name-of-the-father is to accept
139 subordination to an order which is grounded in society. We are introduced to the protagonist along with the ideology
140 which she inherits from her father. She rejects the same in the favor of her personal subjectivity and finally she comes to
141 terms with the inheritance. This can be seen as a self probation process.
142   In the novel Rosa repudiates her dependence on the father in order to enter in a world of fantasy. She does this
143 because of her own ambivalence towards her body. Her personality is formed through the constant reference to her own
144 body. Awareness of her gender is in close connection with her physical and social changes. In the novel Rosa remarks,
145   But real awareness is all focused in the lower part of my pelvis, in the leaden, dragging, wringing pain there. Can
146 anyone describe the forces in the menstruation of early puberty? The bleeding began just after my father had the internal
147 landscape of my body turns me inside out in that public place on that public physically I had one (Gordimer, 1979, p. 16).
148   It shows that her entrance into the realm of imaginary happens with delay. Due to the loss of her mother she finds
149 an image of bodily unity in Marisa Kgosana. I should say for Rosa, the process of constitution of subjectivity is shown in
150 two stages: first with Rosa's loss of her imposed subjectivity as a result of her father's death in prison, and, second, her
151 acquaintance with Conrad. It is in this step that she learns to care for her personal life. She takes distance from her
152 father's ideological aims. The impact of Dhladhla's ideas persuades her to provide a passport for departure to a new land.
153 Rosa's entrance to France can be taken as a way into the realm of the real. Rosa's visits of Marisa Kgosana clearly
154 portrayed as a step through the mirror stage.
155   *Burger's Daughter* foregrounds issues of female identity. Pramod K. Nayar (2013) believes, "One should not
156 immediately assume that such writing ignores social and political problems in favour psychological explorations of the
157 'women condition'" (p. 118). Gordimer's strategy is to single out a white woman who attempts to achieve autonomy by
158 emerging from her father's dominance. Characterization of Rosa is complex because we can see her in different angles
159 such as her position in the society in terms of sex, class struggle, and race. In terms of sex she has been desexualized
160 and infantilized. She is kept in the image of a dedicated daughter for the reason that she is depicted as, "giving loving
161 support" to her father. In order to feel sense of subject hood she is permitted to have boyfriend. Then her father ridicules
162 them for "not knowing she was not for them." Her father is happy of indulging her in a surrogate relationship and role but
163 they are unaware of damaging her sense of self hood. As a matter of fact they are repudiating her emotions and sense of
164 individuality and she remains inactive in her quest of subjectivity.

165 Didn't you understand that everything that child, that girl [Rosa] did was out of what is between daughter and
166 mother, daughter and brother, daughter and father. When I was passive, in that cottage, if you had known – I was
167 struggling with a monstrous resentment against the claim – not of the communist party! – of blood, shared genes, the
168 semen from which I had issued and the body in which I had grown. (Gordimer, 1979, p. 62)

169 Rosa is incapacitated because of the law expressed within the symbolic. Her desire is also shaped by the same
170 law. In reality Lionel is backing up the structure of the law within the symbolic. Since desire is Rosa's primary motivation,
171 then to control her desire is in fact to control Rosa and curbing her quest. Law which has been maintained by Lionel is
172 part of the prevailed ideology. In turn Rosa is shaped by ideology. The dominant ideology in *Burger's Daughter* is phallo-
173 race centric and can be detected to the exploitative ideology of a racist regime. In this novel the-Name-of-the-Father from
174 which Lionel is controlling his daughter shows the power behind the structure. Rosa tries to reject the legacy of her
175 parents but she is unable to escape the reality of her own society.

176 What would you do if you were me? What is to be done? … Lionel – my mother and father – and the people in that
177 house, had a connection with blacks that was completely personal. … I have lost the connection. It's the memory of
178 childhood warmth for me. (Gordimer, 1979, p. 172)

179 In *Burger's Daughter*, the Name of the Father is equivalent with the name of Lionel Burger. Lionel is an
180 encouraging name for many people in the novel. His name shapes and influence lives of many others such as Rosa,
181 Bassie, Conrad, Katya, the Swedish journalist, and Chabalier. Lionel is a hero in the eyes of many. These characters
182 either admire him or doubted his opinions in particular by Rosa and Bassie. Rosa tells about the father,

183 I'm told even people who have no religious beliefs sometimes have the experience of being strongly aware of the
184 dead person. An absence fills again-that sums up how they describe it. It has never happened to me, with you; perhaps
185 one needs to be in the close surroundings where one expects to find that person anyway-and our house was sold long
186 ago. I didn't ask them for your ashes, contrary to the apocryphal story the faithful put around and I don't deny, that these
187 were refused me. After all, you were also a doctor, and to sweep together a handful of potash . . . futile relic of the human
188 body you regarded as such a superb example of functionalism. (Gordimer, 1979, p. 328)

189 Lionel emerges as a possible threat to the racist system but he remains a threat to Rosa's subjectivity as well. As a
190 matter of fact, confusion about identity caused by her parents suffocates her, obstructing her growth. That's the reason
191 why Rosa tries to sakes off the burdens of traumatic experiences by departure to France. As a Lacanian would say the
192 father is the principle of the law, the language system, and acceptance of the name-of-the-father is to accept
193 subordination to an order which is grounded in society.

194 In Lacanian principle, the normative subject is supposed to come at last under the authority of the symbolic father
195 who is the inaugurating agent of law in the Oedipal passage. In this context, the "Name-of-the-Father," says Malcolm
196 Bowie (1991) , "was the symbol of an authority at once legislative and punitive. It represented, within the Symbolic that
197 which made the Symbolic possible-all those agencies that placed enduring restrictions on the infant's desire and
198 threatened to punish, by castration, infringements of the law" (Bowie, 1991, p. 108). It is argued by Lacan that as the
199 subject is subjugated to language, she or he is inserted into a Symbolic order. Without this insertion, the two levels of
200 signification are not co-present, and the subject may suffer from psychosis. Conscious and unconscious discourses are
201 asymmetrical but co-present because points of contact exist between the two, *points de cushion,* paternal signifiers.

202 Rosa as his daughter has to deal with this ideology. For the purpose of asserting her independence she has to
203 resist the ideology. Since Lionel himself is also an insurgent Rosa has to fight with another fighter. Lionel expects Rosa to
204 take her mother's role in household. As a young woman she is able to highlight her role in life only when she acquires a
205 boyfriend. It means if she is intended to sway away from her father's name she has to come under the shadow of Noel de
206 Witt. It is only through this she can have her parents approval. This role again denies her subjectivity. During her course
207 of life she has not change at all. She is still Burger's daughter. The idea of prison in the novel juxtaposes with Rosa's
208 psyche. It gives us access to the depth of her inner life. It shows that Rosa abandons her father in her revolt against the
209 law of the father by her departure to France but unable to satisfy her inner voice returns to country to be once again
210 Burger's daughter.

211 The moments Rosa spend with Clare Terblanche and her parents Dick and Ivy to receive their welcome and
212 recognition clarifies this idea further, "In the enveloping acceptance of Ivy's motherly arms-she feels as if I were her own
213 child-there is expectance, even authority. To her warm breast one could come home again and do as you said I would, go
214 to prison" (Gordimer, 1979, p. 39). Clare has the same psychic condition as Rosa. Both suffer from being repudiated
215 subjectivity. They have been ignored in the shadow of parent's resistance for their cause. Clare is depicted, "as a body
216 that had no signals and a woman without sexual pride" (Gordimer, p. 45). In this condition once again Rosa tries to signify
217 by not conforming to the parents, "Other people break away. They live completely different lives. Parents and children
218 don't understand each other... not us. We live as they lived." (Gordimer, p. 56)

In her attempts to escape from the name of the father she seeks refuge to other male characters generally are named as "brothers" such as Brandt Vermeulenn and Conrad and Baasie. For a time she resides with Conrad during which she experiences a private erotic world in which no one is permitted to interfere, "We had in common such terrible secrets in the tin house: you can fuck your mother and wish your father dead" (Gordimer, p. 145). By the death of her father Rosa is given sexual freedom. "I know I must have wished him to die." It is possible for Rose to encounter the real only after a lapse of some years. Although in Europe she is on the verge of acquiring personal fulfillment she has never had but the real stage for Rosa is coming into terms with South African Political climate. She describes this stage as such,

Can anyone describe the peculiar fierce concentration of the body's forces in the menstruation of early puberty? The bleeding began just after my father had made me go back to bed after my mother had been taken … I am within that monthly crisis of destruction, the purging, tearing, draining of my own structure. I am my womb, and a year ago I wasn't aware – physically – I had one. (Gordimer, pp. 15-16)

In the first part of the novel we are introduced to a Rosa who has her revolutionary inheritance. In the second part Rosa repudiates this inheritance in favor of personal subjectivity but in the third part she re-unites with the law and the same inheritance. So, it is Lionel's name and desire that shapes their identity. He is the primal father and responsible in repudiating Rosa's subjectivity but he inherits this from his father as well. So when Rosa is introduced to us as Burger's daughter it means the law of repudiating Rosa's subjectivity is the law of race and gender.

3. Conclusion

In the novel Rosa has been called by different names in crucial situations. From the title that clearly identifies Rosa with her father's name to other characters' indications as such at the outset she is depicted as a "school girl" (Gordimer, p. 9); from an onlooker's view point as a lady of "remarkable maturity" (p. 11) and in Liscio's view point she is "her mother's daughter" (p. 249). This shows that Rosa initially perceives herself to be in a state of seamless unity with her father. As a whole, this impression has been fostered by the law of the father. Only later on while residing in France she comes to recognize the name of the father. It shows that she never grasps hold of the reality and her real identity for the reason that Lionel backs up the structure of the law within the symbolic and curbs Rosa's desire. The law that is maintained by Lionel is part of prevailed ideology.

Rosa's return to her country is in point of fact her encountering with the real. In this stage although Rosa has been given a chance to become a subject but she is controlled through the law. In Slavoj Zizek's terms, this ideology is "*a kind of reality whose very ontological consistency implies a certain non-knowledge of its participants* – if we come to 'know too much,' to pierce the true functioning of social reality, this reality would dissolve itself" (Zizek, 1989, p. 21). Rosa can be taken as the embodiment of the psyche of her society that runs up against the boundaries of a white male hegemony, underscoring her inability to find any space outside the ideology that defines her.

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Delving into the Speech Act of Accusation:
A Case of Persian and English Newspapers and Magazines

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Abstract

The study of speech acts, which investigates an utterance as a functional unit in communication, began to influence greatly the teaching of language use. Numerous studies have been conducted on different kinds of speech acts in previous years. However, regarding literature, just one study has examined accusation speech act; therefore, this study intends to investigate the different types of accusation speech act used in Persian and English newspapers and magazines. To this end, 100 excerpts of reliable and popular newspapers and magazines in English and Persian, published from 2004 to 2014 were selected with the purpose of discovering the accusation units in them. Accusation units are the parts of excerpts which contains accusation sentences. The researchers used the Aristotle's (1954, as cited in Demirdogen, 2010) modes of persuasion for coding the accusation units. It consists of three modes: Ethos, Pathos and Logos. The researchers also, employed the Kairos element in addition to Aristotle's (1954) model in order to make the study more comprehensive. The chi-square formula was then utilized to find out whether there are any significant differences among the observed units. The findings revealed that there are significant differences between Persian and English newspapers and magazines in using accusation speech act. It was thus indicated that pathos was the most frequent accusation unit used in Persian newspapers and magazines while in English ones, logos was the most frequent one. Finally, the results were discussed and pedagogical implications were suggested in the context of second language learning.

Keywords: accusation, culture, pragmatics, speech acts, chi-square

1. Introduction

Learners of a new language need to be competent in linguistic and pragmatic aspects of a language in order to be able to communicate effectively with the speakers of that language. Taavitsainen and Jucker (2008) stated that speech act analysis could be a fundamental part in pragmatic history of the English language.

Although speech act patterns are to some extent universal but the rules of appropriateness vary in different languages. Since each speech act offers a variety of possible language samples, learners may respond in the way they would in their native language and culture and make inappropriate utterances. Therefore, language learners need to be informed which speech acts cause implicature in the target culture. Schmidt and Richards (1980) pointed out that learners should be aware of the certain contexts concerned with certain speech acts.

Chen (1996) discussed that some speech acts require a higher level of pragmatic competence than others because they tend to cause the pragmatic failure. He continued mentioning that speech acts such as complaint, request, disapproval, refusal, and accusation are often face-threatening acts. According to Brown and Levinson (1987), in communication and interaction, two aspects of people's feelings are involved with face: one is the desire of the individual not to be forced, which is the "negative face", and the other, the "positive face" is the desire of individual to be approved of (p.60). In cross-linguistic and cross-cultural communication, people of different communities employ different language

58 uses. When a face-threatening speech act is used in such a situation, pragmatic failure is likely to occur. Accusation as a
59 face-threatening speech act has received scant attention in comparison with other speech acts; therefore, it would be of
60 great benefit to be examined.
61   According to Kauffeld (1998), "someone has been accused of something when just those conditions are satisfied
62 by what a speaker says and does" (p.7). He pointed out that, it would be possible to think that underlying the ordinary
63 concept of accusing is a practical pattern in which the fundamental parts of this illocutionary act are the components of
64 potentially successful interactions.
65   Since newspapers and magazines are replete with different cases of accusations, dealing with everyday issues;
66 therefore, they could serve as a comprehensive source of gathering data on accusation speech act. The present study
67 was thus motivated to examine the speech act of accusation in Persian and English newspapers and magazines. In fact,
68 this study intends to explore the accusation units employed in Persian and English newspapers and magazines in order
69 to find the different types of accusation speech act in these two languages. Moreover it aims at finding any significant
70 differences between Persian and English language in utilizing this speech act.

71
72 ## 2. Theoretical Background
73
74 Schmidt and Richards (1980) described pragmatics as the study of how utterances are employed in communication,
75 especially the relationship between sentences, context, and the situation in which the utterances are deployed. In fact,
76 pragmatics explains the underlying patterns in a conversation that speakers should follow in order to cooperate and be
77 socially acceptable to each other (Cutting, 2005).
78   In pragmatic competence, the definition expansion of Canale (1983) is notable which stated that pragmatic
79 competence includes illocutionary competence, and sociolinguistic competence not only the ability speakers have to use
80 language in an appropriate manner but also the ability to choose communicative acts and appropriate strategies to use
81 based on the context given (as cited in Eslami-Rasekh, 2005). One of the most vital factors in intercultural pragmatics is
82 pragmatic transfer (Kasper, 1984). Pragmatic transfer accounts for the transfer of pragmatic knowledge in situations of
83 intercultural communication (Alkhateeb, 2009). Many studies demonstrated non-native learners' gap in their pragmatic
84 performance in comparison with native speakers (e.g. Alcon Soler & CodinaSpurz, 2002; Bardovi-Harlig, 2001;
85 Wannaruk, 2008) which may be due to their incompetence in L2 sociolinguistic rules (Wannaruk, 2008). They
86 compensate this gap employing their native linguistic patterns while communicating in second language; therefore,
87 pragmatic transfer may occur.
88   Speech act is probably the central focus of pragmatic analysis. As Sadock (1974) discussed that the understanding
89 of speech acts and the context in which they occur is essential for recognizing the utterance and its meaning. According
90 to Austin (1962) and Searle (1976) speech acts operate by universal principles but some researchers (Cohen & Olshtain,
91 1993; Koike, 1986) illustrated in their studies that because of the lack of sociopragmatic competence, learners may have
92 some difficulties in using speech acts and different cultures vary in using the strategies.
93   Speech act theory was first introduced by Austin (1962), and then modified by Searl (1976). Austin (1962)
94 classified illocutionary act into five types:
95   1. Verdictives: giving of a verdict by a jury, arbitrator, or umpire (e.g. convict, value, grade, assess).
96   2. Exercitives: making a decision in favor of or against a certain course of action, or advocacy of it (e.g. advise,
97   warn, claim, grant).
98   3. Commissives: committing the speaker to a certain course of action (e.g. plan, promise, swear, vow).
99   4. Behabitives: reacting to other people's behavior (congratulate, apologize, welcome, bless).
100   5. Expositives: expounding on views, the conducting of arguments (e.g. mention, remark, cite, describe).
101   Searle (1976) proposed a classification of basic kinds of meaningful utterances based on the notion of illocutionary
102 point. He distinguished a five part classification of speech acts:
103   1. Commissives: when the speaker is committed to do something (e.g. vow).
104   2. Declaratives: when the speaker's utterance cause an external change (e.g. declare).
105   3. Directives: when the speaker get people to do something (e.g. suggest).
106   4. Expressives: when the speaker express his feelings and attitudes (e.g. thank).
107   5. Representatives: when the speaker inform others about the truth (e.g. report).
108   There are some studies in Persian in this field: Pishghadam and Zarei (2012) compared the use of speech act of
109 gratitude in Persian and Chinese EFL learners and English native speakers to identify their existing patterns. The results
110 revealed that each language has the same set of strategies for performing a given illocutionary act, but the preference of
111 choosing strategies is culture-bound. In another study, Pishghadam and Norouz Kermanshahi (2012) focused on how

Iranian EFL teachers correct the learners. They concluded that teachers were not tolerant of mistakes and used immediate corrections. Moreover, it revealed that teachers' experience played a crucial role in the applied correction method and speech act. Pishghadam and Attaran (2012) tried to uncover the underlying rhetorical patterns and strategies utilized in establishing argumentation of EFL articles written by Iranians both in English and Persian and those written by native speakers of English. Farrokhi and Atashian (2013) sought to investigate the extent to which explicit vs. implicit instruction affect Iranian EFL learners in expressing apology. The results indicated that pragmatic instruction improved learners' ability in expressing apology. Moreover, it revealed that explicit instruction was more effective in promoting learners' pragmatic ability. Kia and Salehi (2013) explored the effect of explicit and implicit instruction on developing Iranian EFL learners' pragmatic competence of two speech acts of thanking and complimenting.

In English language also, there are some similar subjects which were studied by scholars; for instance, Kauffeld (1998) compared and contrasted proposing and accusing speech acts. The findings revealed interesting differences in the ways presumptions incite accusers and proposers to accept probative responsibilities and, also, points to differences in their probative duties. Chen and Chen (2007) compared the production of requestive speech acts used by Taiwanese EFL learners and American native speakers. The results of this study revealed that the conventionally indirect strategies were the mostly employed ones by both groups. Al-Eryani (2007) investigated refusal speech act among Yemeni EFL learners. Yemeni Arabic native speakers were indirect in their refusals while American native speakers were more direct in their refusals. Tang and Zhang (2009) compared variations in forming compliment responses between Mandarin Chinese and Australian English. The results illuminated that Chinese show less appreciation for a compliment and they impugn themselves more. Al-Fattah (2010) observed apology samples of Yemeni EFL university students. The study findings indicated that the participants intended to use expressions of regret in each response which reveals that participants regard this apology type as a compulsory component. In other languages also we can point to some other researches which were performed in this regard: Agyekum (2008) conducted a study on the speech act of greeting in Akan. He introduced the major functions and forms of Akan greetings in terms of formality, events, periods and activities. Hardin and Hardin (2010) investigated the speech act of persuasion among Spanish learners. Data indicated some interesting results about types of speech acts which were mostly preferred by Spanish learners. Tabar and Malek (2013) investigated indirectness among native speakers of Iranian Turkish. The results indicated that Blum-Kulka's scale and Brown and Levinson's classification were not complete to measure all the responses made by this study informants. At the end, the study introduced a finer scale to overcome the mentioned shortcomings. Burdelski (2013) examined children's socialization to a culture of apology as evidenced by a large corpus of audiovisual recordings in households, playgrounds, and a preschool in Japan. The results revealed that while children utilize strategies in ways that reflect the socialization process, they also use them in ways that make this process in creative ways.

Moreover, numerous studies have been conducted across different languages to hypothesize the universality and variation of different speech acts and their impact on language learning such as apology (Farrokhi & Atashian, 2013), complaint (Ghahraman & Nakhle, 2013), compliment (Karimnia & Afghari, 2010), direction (Pishghadam & Saboori, 2011), refusal (Allami & Naeimi, 2010), request (Abdolrezapour & Eslami-Rasekh, 2010), suggestion (Pishghadam & Sharafadini, 2011) among which accusation has received scant attention; therefore, this study intends to focus on this speech act to explore similarities and differences between English and Persian in employing accusation units.

3. Purpose of the Study

Since there was just one study done which has examined accusation speech act (Kauffeld, 1998), this study aims at exploring the existing accusation units in English and Persian newspapers and magazines. Moreover, it tries to examine the difference between accusation speech act in English and Persian newspapers and magazines.

Therefore this study is seeking to answer these questions:
1. What types of accusation sentences do Persian speakers use in newspapers and magazines?
2. What types of accusation sentences do English speakers use in newspapers and magazines?
3. Are there any significant differences between accusation sentences in Persian and English?

4. Methodology

Since in this study we aimed to uncover the accusation patterns in Persian and English cultures, we tried to find a representative corpus which can fulfill our aim:

5. Corpus

The quantitative phase of this study was carried out on a corpus of 100 English and Persian newspapers and magazines. The data was selected randomly from popular and reliable newspapers and magazine: the English ones such as Guardian, New York Times, USA Today, etc., and the Persian ones such as Keyhan, Ettelaat, Resalat, Etemad, Iran, etc. They have been chosen from 2004 to 2014 publications. The qualitative phase uses this corpus as well.

6. Procedure

The random selection of 100 Persian and English excerpts of the world reliable newspapers and magazines took two month to be completed. The selection of the excerpts was based on whether their topic was accusation. To provide a valid comparison, the first 800 words of each excerpt formed the basis of comparison. In the qualitative phase of this study, the data was examined through content analysis in order to find the different types of accusation units in Persian and English. Then, in the quantitative phase, in order to check the significance of difference in both sets of units, the results were analyzed using a Chi-Square test. And finally, the results were compared and contrasted with each other to explore the differences between two languages.

There was no framework for accusation speech act and thus, the researchers tried to apply Aristotle's (1954, as cited in Demirdogen, 2010) modes of persuasion for coding the accusation speech act in Persian and English newspapers and magazines as it has been used in some other previous studies (e.g. Demirdogen, 2010; Derian, 2005; English, Sweetser, & Ancu, 2011; Gottweis, 2007; Higgins & Walker, 2012). Then, the data was examined through content analysis in order to find the different types of accusation units in Persian and English newspapers and magazines. Afterwards, in the quantitative phase, in order to check the significance of difference in both sets of sentences, the results were analyzed using a Chi-Square test. And finally, the results were compared and contrasted to explore the differences between the two languages.

Aristotle's (1954, as cited in Demirdogen, 2012; English et al., 2011) modes of persuasion, consists of three elements: (a) Ethos, (b) Pathos, (c) Logos

   (a) **Ethos**: The charisma and the credibility of the speaker. It involves persuasion achieved by the speaker's personal character, which makes him believable (Aristotle, 1954, as cited in Timmerman, 1995, p. 4). It is the "appeal to the author's credibility" (Kemp, 2001, p. 5).
   (b) **Pathos:** The speech that appeals to the passions or the will of the audience. It is emphasizing on the "importance of feelings and passions in the mobilization of opinion" (Gottweis, 2007, p. 242). Gottweis (2007) argued that pathos refers to the fact that the "knowledge of other people's emotions" is crucial for persuasion (p. 241).
   (c) **Logos:** The speech that appeals to the intellect or to reason, logical argument. Logos in Aristotle's words, was a "persuasive tactic that employed the arguments or reasons for actions that the populace deemed most logical" (Larson, 1992, p. 54). English et al. (2011) discussed that, a common approach to making arguments is using a logical appeal, or logos. They described that by using a logical appeal, an individual provides factual information and arguments to support his position on an issue.

The researchers also utilized the Kairos element in addition to Aristotle's (1954, as cited in Demirdogen, 2012) modes of persuasion in order to make the study more comprehensive. It was thus applied in exploring the accusation units in Persian and English excerpts too. The Kairos element has been used in some previous studies (e.g. Carter, 1988; Smith, 1986; Wardle, 2013).

Carter (1988) discussed that Kairos is associated with the rhetoric of the sophists, an earlier and more illusive rhetoric than Aristotelian-Ciceronian tradition. He continued that Kairos was a major principle of sophistic rhetoric, especially the rhetoric of Gorgias, since it provided the foundation of rhetoric within a relativistic epistemology. Guthrie (1962) and Untersteiner (1954) believed that Kairos is "a way of seizing the opportunity of the moment" (as cited in Carter, 1988, p.104). According to Kinneavy (1986), Kairos is the "irrational power of the situation" to allow the rhetor to persuade others of the difference between right and wrong" (as cited in Carter, 1988, p.104).

7. Results

7.1   Investigating the difference between accusation speech act used in Persian and English excerpts

The quantitative phase of this study deals with the possibility of any significant difference between Persian and English

newspapers and magazines with respect to the speech act of accusation. The statistical chi-square test used to investigate this research question. Table 1 represents the Persian accusation speech act chi-square test:

Table 1. Frequency of accusation units used in Persian and English excerpts

Accusations	Kairos	Pathos	Ethos	Logos	Total
Persian	33	197	58	5	293
English	4	2	128	167	301

As it is seen in Table 1, almost the same number of accusation units were employed in both Persian and English newspaper and magazines' excerpts (N=293, N=301). Moreover, the table illustrates that among Persian accusation excerpts, pathos sentences (N=197) were the most frequently used ones while logos sentences (N=167) were employed most frequently in English accusation excerpts.

Table 2. Results of chi-square test for Persian excerpts

	Accusations	Observed N	Expected N	x^2	Df	Sig.
Persian	Kairos	33	73.3	297.949	3	0.000
	Pathos	197	73.3		3	
	Ethos	58	73.3		3	
	Logos	5	73.3		3	

As illustrated in Table 2, there was a significant difference between the accusation units used in Persian excerpts (x^2 = 297.949, p <.05). Table 2 indicates that pathos (N=197) was employed more than expected (N=73.3). The results also revealed that kairos (N=33), ethos (N=58) and logos (N=5) were used less than expected (N=73.3). Therefore, the findings revealed that while Persian excerpts concentrate on pathos, other units of accusation like kairos, ethos, and logos were used less. Logos was used the least in Persian accusation excerpts.
Pathos >Ethos>Kairos>Logos

Table 3. Results of chi-square test for English excerpts

	Accusations	Observed N	Expected N	x^2	Df	Sig.
English	Kairos	4	75.3	287.611	3	0.000
	Pathos	2	75.3		3	
	Ethos	128	75.3		3	
	Logos	167	75.3		3	

The results of chi-square test presented in Table 3 revealed a significant difference between the accusation units utilized in the English excerpts (x^2=287.611, p<.05). Table 3 also indicated that ethos (N=128) and logos (N=167) were used more than expected (N=75.3) and kairos (N=4) and pathos (N=2) were used less than expected (N=75.3). In fact, the results showed that unlike the Persian excerpts in which pathos was used more, in the English excerpts logos was given more priority.
Logos>Ethos>Kairos >Pathos

Table 4. Results of chi-square test for Persian and English excerpts

	Accusations	Observed N	Expected N	x^2	df	Sig.
Kairos	Persian	33	17.5	27.457	1	0.000
	English	4	17.5		1	
Pathos	Persian	197	100.5	185.318	1	0.000
	English	2	100.5		1	
Logos	Persian	5	86	152.581	1	0.000
	English	167	86		1	
Ethos	Persian	58	93	26.344	1	0.000
	English	128	93		1	

According to Table 4 there was a significant difference between Persian and English accusation excerpts with respect to pathos (x^2= 185.318, p<.05). The table showed that pathos (N=197) was employed more often than expected (N=100.5) in Persian excerpts. The statistical procedure further showed that pathos was employed most frequently (N=198) in Persian excerpts and was the least frequently used element (N=2) in English excerpts.

In addition, Table 4 illustrated that there was a significant difference between Persian and English accusation excerpts in the use of logos (x^2 = 152.581, p<.05). The table indicated that logos (N=167) was employed more often than expected (N=86.0) in English excerpts. The statistical procedure further showed that pathos was employed most frequently (N=198) in Persian excerpts and the least frequently (N=2) by English excerpts.

Moreover, the results in Table 4 revealed that there was a significant difference between Persian and English accusation excerpts with respect to ethos (x^2 = 27.457, p<.05). The table showed that ethos (N=128) was employed more often than expected (N=100.5) in English excerpts.

Finally, Table 4 showed that the same as the other three units, there was a significant difference between Persian and English accusation excerpts in the use of kairos (x^2= 26.344, p<.05). The table also indicated that kairos (N=33) was employed more often than expected (N=17.5) in Persian excerpts.

7.2   Investigating the types of accusation units

The qualitative phase of this study investigates to come up with different types of accusation units; therefore, English and Persian newspapers and magazines were analyzed. These two presented excerpts were chosen as samples to illustrate the most common existing accusation patterns.

Considering English excerpts, they mostly begin with an accusation and then the accusation is usually expanded in the next paragraph. Then, in the following paragraphs ethos and logos are employed to support the accusation. In English excerpts kairos and pathos are used rarely.

A group of doctors who performed unusually high rates of heart procedures on patients at a community hospital in Ohio settled with the Justice Department over accusations that some of the procedures were medically unnecessary, federal regulators announced on Friday **(Accusation)**.

The settlement covered accusations that the doctors and the hospital, then known as the EMH Regional Medical Center, had billed Medicare for unnecessary medical care from 2001 to 2006. The hospital agreed to pay $3.9 million to settle the accusations, and the physician group, the North Ohio Heart Center, agreed to pay $541,870, according to a Justice Department statement **(More explanation)**.

Federal regulators had accused the doctors and the hospital of performing unnecessary procedures known as angioplasties, in which a clogged blood vessel is opened. The procedure often requires insertion of a device called a stent to keep the blood vessel from closing again **(Ethos)**.

The high rate of heart procedures at the hospital was the subject of a front-page article in The New York Times in August 2006. Medicare patients in Elyria, Ohio, where the hospital is located, were receiving angioplasties at a rate nearly four times the national average, a figure that prompted questions from insurers and raised concerns about overtreatment **(Logos)**.

The first paragraph is an accusation since, it has been stated that the doctors are guilty of doing something wrong or maybe even committing a crime. In the second paragraph the accusation has been expanded. In the third paragraph the accusation has been supported by expressing the federal regulators' announcement. It gives the accusation credibility, since an attorney is a notable figure and an authority; therefore, it can be concluded that this paragraph is an instance of ethos. The fourth paragraph is an instance of logos. It has presented some information, data and facts that have supported the accusation. It has been tried to provoke the logical appeal in the readers in order to make the accusation credible logically.

The analysis of Persian excerpts revealed that Persian accusation excerpts normally start with a kairos. Then in the middle of the sentences the accusation is discussed. The accusation is developed mostly by pathos. In Persian excerpts few logos and ethos can be seen.

حتما دیده‌اید یا شنیده‌اید که وقتی یک گروه سارق حرفه‌ای، قصد انجام سرقت مهم و بزرگی دارند، ترفندهای مختلفی به کار می‌برند تا هرچه بیشتر موفقیت‌شان را تضمین کند. یکی از این ترفندها، صحنه‌سازی و ایجاد حوادث صوری و ساختگی است. حوادثی که باعث می‌شود حواس مردم و نگهبانان محل مورد نظر به سوی آن حادثه ساختگی پرت شده و سارقان با بهره‌گیری از این غفلت، به راحتی مقصود خود را عملی کنند. در این روش معمولا فرد یا افرادی از باند سارقان در قالب مردم عادی و حتی در هیات مامور محافظ به قصد کمک کردن و حل مشکل یا برقراری نظم و ... در بین مردم عادی و در محل حضور دارند و اتفاقا همانها هستند که هدایت جریان و افکار عمومی را بر عهده می‌گیرند و با زرنگی صحنه را برای حلقه اصلی ماجرا آماده می‌کنند **(Kairos)**. این شگرد، تنها در سرقت‌ها و فیلم‌های ژانر پلیسی و کارآگاهی کاربرد ندارد، بلکه کاربرد بسیار مهم و اصلی آن در عالم سیاست، بمنظور جهت دادن و در اصل انحراف افکار عمومی و مسئولان کشورهاست. شگردی که غرب به خاطر سابقه استعماری و سراسر خباثت و جنایتش **(Pathos)** در آن متبحر و کارکشته است و بارها و بارها آن را در جهان به کار گرفته و در بسیاری از موارد نیز، به نتیجه مطلوب رسیده است **(Accusation)**. برخی

308 خواص و جریانات با همراهی مطبوعات و رسانه‌های آلوده، نقش همان کسانی را ایفا می‌کنند که با صحنه‌سازی حواس مردم را پرت می‌کنند تا دزدان
309 (Pathos) به راحتی به غارت و دستبرد دست بزنند (Accusation). مذاکرات هسته‌ای به حساس‌ترین روزهای خود نزدیک می‌شود و بهانه‌های غرب
310 وحشی برای پنجه کشیدن به روی انقلاب هر روز جدی و جدی‌تر می‌شود (Accusation). رویکرد به اقتصاد مقاومتی برای مقابله با توطئه‌های دشمن و
311 گشایش و رونق اقتصادی کشور ضرورتی حیاتی دارد و... باید برای آن روزها و آن صحنه‌ها مهیا باشیم و فریب صحنه‌سازی‌ها را نخوریم و از یاد نبریم که
312 شیطانک‌های بنده شیطان بزرگ(Pathos) ، اگرچه از داخل و خارج به حرکت درآمده‌اند، اما لشکر کلاغ‌ها را سنگی کافی است.
313
314 *7.3   Rough translation of the Persian newspaper excerpt*
315
316 You have certainly heard or seen, when a gang of professional thieves are going to commit a grand theft, they employ
317 various tricks to ensure greater success. One of these tricks is establishing spurious events. Such a kind of events that
318 distract people and guards, and consequently the thieves can easily fulfill their purpose. In this method, usually some
319 people from the gang of the thieves come among people as ordinary people or as security board in order to help people
320 or to establish order. These are the people who shape the ordinary people's thoughts and set the scene for fulfilling their
321 purpose **(Kairos)**. This technique is not just employed in detective movies but also it's very effective in the real world and
322 in distracting the people and officials' thoughts. Western countries are very conversant with this technique, considering
323 their totally colonial, malicious, and criminal background **(Pathos)** and they have used these techniques many times in
324 different countries and have reached their desired results **(Accusation)**. Some political movements and some officials
325 with the help of the deceived press and media play the role of those people who try to distract ordinary people's attention
326 so that the thieves **(Pathos)** can loot easily **(Accusation)**. The most important days for nuclear talks are coming and west
327 excuses for clawing into our revolution are growing **(Accusation)**. We must be ready for those days and we shouldn't be
328 deceived by these tricks and we should remember though these impostors who are devil's slaves **(Pathos)** are moving,
329 we need just a stone to defeat the crow army.
330   In the first paragraph, the writer intends to prepare the readers' mind in order to make them accept the writer's
331 accusations in the following paragraphs. The writer discusses an appropriate story in the right time to persuade the
332 readers that his accusations are credible and right, hence the first paragraph is an instance of kairos. In the second
333 paragraph accusation is discussed. It has been accompanied with a lot of labelings. These labelings are instances of
334 pathos. The writer tries to be effective and credible by stating issues that are compatible with underlying values of the
335 Iranian people.
336
337 **8.   Discussion**
338
339 This study attempted to delve into the types of accusation units used in Persian newspapers and magazines, and the
340 types of accusation units employed in English newspapers and magazines, and to compare the observed accusation
341 units to find any significant difference between Persian and English language.
342   With regard to the first aim of the study, the findings exhibited that Iranian journalists used pathos and ethos more
343 than logos and kairos in accusation excerpts. The utmost importance was attached to pathos and the least to logos.
344 Moreover, the results revealed that Persian writers mostly discuss the accusation in the middle of sentences, after many
345 pathos sentences. It can be concluded that Persian journalists by using pathos try to create a mood that appeal to the
346 passions or will of the readers. Before using these psychological appeals the writers had to assess the emotional state of
347 their readers (Demirdogen, 2010). In Iran people's passions are mostly their religion and their country; therefore, the
348 writers try to use a kind of speech that are compatible with these values in order to make their accusations credible. As
349 Gottweis (2007) suggested that the conceptualization of passion has important implications for opening up argumentative
350 speech toward a new understanding of that speech.
351   Considering the second objective of the study, the findings illustrated a major tendency towards logos and ethos in
352 English accusation excerpts. Moreover, results showed that English journalists used few kairos and pathos in their
353 accusation excerpts and the most frequently used accusation unit was logos. Accordingly, we may come up to the
354 conclusion that English journalists target the reason or the intellect of the readers. The findings may be in line with
355 Aristotle's (1954) advice to the writers to use syllogistic arguments in which the major premise was already believed by
356 the audience. Demirdogen (2010) pointed out that it is dependent on the reader's ability to process information in logical
357 ways; therefore, the writer has to assess their information-processing patterns in order to appeal to the rationale side of
358 the readers.
359   According to Aristotle (1954), logos or appeals to reason have to do with the arguments, "provided by the words of
360 the speech itself" (as cited in Timmerman, 1995, p.7). He explained that there are two main tools with which we can
361 argue logically, enthymeme (a type of syllogism) and example. Each of these Aristotelian concepts are evident in several

362 specific elements of effective speech. According to the results of this study, it can be deduced that English journalists use
363 logos in order to make the accusation credible by effectively clarifying main points of their accusation and providing
364 appropriate examples and substantiation for these main points (Schnell, 1992). It is probably in line with Timmerman's
365 (1995) findings who argued that examples function to help the readers understand the concepts, they also convince the
366 reader that the concept holds up in a variety of instances and is, therefore, acceptable.

367   With respect to the third goal of this study, it should be mentioned that English and Persian newspapers and
368 magazines vary significantly in using accusation speech act. Persian journalists used pathos most frequently while their
369 English counterparts used logos as the most frequent unit of accusation. Moreover, while in English excerpts logos was
370 the most frequent unit of accusation used, in Persian excerpts it was the least one and also in English excerpts pathos
371 was the least unit used, exactly the opposite to Persian. This was the most notable difference between English and
372 Persian excerpts. These findings can be consistent with those of Motlagh (2009) who stated that Iranian culture generally
373 prefer PEE paradigm while western culture prefer PPL paradigm. He discussed that a writer must be aware of the
374 readers' favor paradigm in order to make a credible excerpt. Pishghadam and Navari (2012) also proposed that despite
375 inadequate essential factors in Persian advertisements, they would be successful if they make close connections with
376 their customers.

377   Moreover, it was seen that English excerpts pay scant attention to phenomena such as passion and emotion,
378 probably because of an understanding of discourse to be just the operation of logos not pathos. As Gottweis (2007)
379 pointed out that in English excerpts there seems to be a tendency in argumentation analysis to confine reasoning to
380 deliberative and judicial reasoning, as apart and separated from manipulative rhetoric.

381   Furthermore, it was shown that, kairos has not received enough attention in both languages proportionate to its
382 importance. This finding confirms that of Schwartzman, 1987 arguing that kairos, or timeliness, particularly as it applies to
383 rhetoric, has not received scholarly attention. Smith (1986) also discussed that while kairos has important philosophical
384 implications, it has been neglected not only by students of rhetoric but also in reference books. Smith (1986) believed
385 that, the term kairos points to a qualitative character of time, to a situation when something appropriately happens that
386 cannot happen just at any time, but only at that time, to a time that makes an opportunity which may not occur again.

387   Finally, it can be inferred as Kauffeld (1998) explained, that underlying the ordinary concept of accusing there
388 would be practical patterns in which the conceptual essentials of this illocutionary act are the components of potentially
389 successful performances. He continued that in difficult circumstances one must do more than just the initial necessities, if
390 one is to have a successful accusation.

391   This discussion is not intended to offer any criticism; rather it tries to illustrate the existing nature of English and
392 Persian accusation units in newspapers and magazines. The results show that Persian and English excerpts are
393 significantly different in using accusation speech act.

394   The outcomes of this research can be helpful in different ways. First, it can be useful for EFL teachers, to make
395 students familiar with the employment of accusation speech act. Second, it makes EFL learners aware of the different
396 accusation units in English and Persian language and they can utilize them in their writing and speech. Third, this study
397 may be of interest to syllabus designers and material developers to prepare course books and activities for students
398 including pragmatic knowledge in order to develop their pragmatic competence; therefore they can overcome pragmatic
399 failure. Fourth, the results of the study can provide information for non-native speaker journalists. They can employ this
400 information in advertisements and article writing. The field of translation would also benefit from the awareness of
401 translators regarding the differences between Persian and English in using accusation speech act and as a result have
402 richer translated works. Finally, regarding literature rare studies have been found on accusation speech act, further
403 studies on this speech act especially at cross-cultural level is recommended.

404   The readers should keep in mind that this study has some limitations. We suggest that accusation speech act be
405 investigated through analyzing spoken medium, since this study just examined the written medium. Moreover, the
406 instrument of gathering data in this study was newspapers and magazines; therefore, it can be analyzed using other
407 kinds of instruments as well. Furthermore, the corpus of this study contained a small number of newspapers and
408 magazines, it is thus suggested a larger corpus in future studies.
409
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411

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A Comparison of Equality in Kazakh and Turkic Languages of Siberia

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Abstract

The paper is devoted to a category of comparison in Kazakh and Turkic languages of Siberia. Kazakh is one of the Turkic languages of the Kipchak subgroup according to Baskakov's classification, or the Northwestern branch, Kipchak Turkic according to Lars Johanson's classification. Comparison is a mental act by which two objects are assigned a position on a predicative scale. In a semantic aspect all the languages express the same meaning of comparison: a comparison of equality or a comparison of inequality, but the forms expressing comparison in the world languages are quite different. Researchers have expressed a common opinion that comparison is a complex structural system of multi-level means of expression: lexical, morphological, syntatic. In the Turkic languages, the most productive way of expressing comparative relations of equality is the affix - dAy that can be represented in the forms N- dAy and V-GAn-dAy. In the Kazakh language comparative marker –dAy can follow i) Nouns N- dAy and ii) Actional Nominal Verb form V-GAn- dAy. In our paper we will show the peculiarities of comparisons of equality in Kazakh, Altay Turkic, Khakass and Sakha Turkic.

Keywords: a comparison, a subject of comparison, a comparee, a standard of comparison, a module of comparison, a parameter.

1. Introduction

A comparison is known as a multidimensional and multi-level phenomenon. Comparison is an object of study of various disciplines.

Category of comparison is studied in philosophy as a scientific and philosophical method aimed at a single way of knowing the particular and universal; and plays a role in cognition and movement of item changes, but also in discovering causes of certain events: it is a way of classifying and ordering objects and phenomena, a necessary component of any inferences that one employs as evidence (Maslennikov, 1968).

In linguistics, a comparison is a fact of language. In most cases it is considered as syntactic or stylistic category. Comparison also reflects the results of cognitive human activities (Samoylenko, 2010).

Comparison is a consideration or estimate of the similarities or dissimilarities between two things or people (Dixon, 2005).

Comparison is a rhetorical strategy and method of organization in which a writer examines similarities and/or differences between two people, places, ideas, or things (Nordquist, 2014). Comparison is a mental act by which two objects are assigned a position on a predicative scale (Leon Stassen, 1984).

Comparison as the language category has been studied as the material of Indo-European languages by Russel Ultan (1972), M. Cheremisina (1976), Paul Andersen (1983), Leon Stassen (1984), Martin Haspelmath and Oda Buchholz (1998), Huddleston, R. and G. Pullum (2002), Pierluigi Cuzzolin and Christian Lehmann (2004), Dixon (2005), Eleni Bužarovska (2005), Alan C. Bale (2006), Sigrid Beck *et al. (*2009), Jessica Rett (2013), and others.

In Turkology, comparative constructions are been examined in Kazakh by T. Konyrov (1985) in Yakut (Sakha Turkic) language by Yu. Vassiliev (1986), in Altai language by L.N. Tybykova (1989), in Khakass by E.V. Kyrzhinakova (2010).

Researchers on the data of the languages of different typological families have expressed a common opinion that comparison is a complex structural system of multi-level means of expression: lexical, morphological (in most cases these include the degrees of comparison of adjectives and adverbs), syntax (comparative prepositions and conjunctions , case endings, comparative speed , etc., with which comparison becomes part of a simple / complicated comparative

57 turnover offered by a complex sentence).
58
59 **2.   Materials and Methods**
60
61 The objective of this study is to describe the grammatical ways of expressing the comparative relations by means of the
62 affixes -day/ dey in Kazakh. These comparative affixes are the most productive and contribute to the formation of both
63 simple and complex syntactic units (with the help of these affixes both simple and complex syntactic units are formed).
64 The number of examples with this affix is over 1,500. The examples have been taken from Kazakh fiction and nonfiction.
65   We have applied various linguistic and general scientific methods and techniques: comparative method identified
66 various meanings of lexis in all Turkic languages, with descriptive as well as method of component analysis making it
67 possible to collect the data.
68   During the research a variety of methods and techniques of analysis has been used. The primary method of
69 research is descriptive. When processing the empirical data we used methods of component and transformational
70 analysis, comparative-typological method, and the method of structural modeling.
71   In the analysis of the data, we used the concepts that used in comparative semantics: the object of comparison,
72 the standard of comparison and comparison module.
73
74 **3.   Problem Statement**
75
76 It is well known that comparison (Latin 'comparatio') as a category of formal logic, suggests the presence of three
77 elements: a) a concept that requires explanation (comparandum); b) a concept, that serves to illustrate (comparatum); c)
78 a concept that serves as a "bridge" between two concepts (tertium comparationis) (Potebnya,1976).
79   Comparisons can be represented in simple and extended forms. In the simple comparison only two objects or
80 phenomenon are compared under one common ground. In the extended comparison two or more objects are compared
81 for many common features. The analysis of our data shows that the most frequent type of comparison in Kazakh are
82 simple comparisons, they constitute about 80%. The model of simple comparison can be represented in Kazakh and
83 other Turkic Languages (Altay Turkic, Sakha Turkic, Khakass etc.) by the model N-*dAy.* Whereas, the model of a
84 complex comparison is represented by the form V-GAn-dAy.
85   In our study we will pay special attention to the peculiarity of the N-*dAy* form in Kazakh and Turkic languages of
86 Siberia (Altay Turkic, Sakha Turkic, Khakass).
87   Kazakh is one of the Turkic languages of Kipchak subgroup (Baskakov, 2006) or Northwestern branch, Kipchak
88 Turkic according to Lars Johanson's classification (Johanson, 1998).
89   The Altay Turkic language belongs to Kirgiz-Kipchak group. The Khakass language belongs to the Kahass
90 subgroup in the Uighur group. The Yakut language is one of the Turkic languages of the Yakut subgroup in the Uighur
91 group (Baskakov, 2006).
92
93 **4.   The Ways of Expressing Comparative Relations by Means of the Model N-*dAy* in the Kazakh Language**
94
95 In Turkic languages, the most productive way of expressing comparative relations is the affix - *dAy* that can be
96 represented in the form N- *dAy*.
97   Comparison constitutes a proposition of comparison that can be encoded in various types of comparative syntactic
98 constructions (CC). Following Maya Cheremisina (1976), we understand CC as constructions involving a module of
99 comparison, i.e. a predicative scale, which is usually encoded as a gradable predicate, and two objects:
100   1)   the object of comparison (the comparee NP), and
101   2)   the standard of comparison, i.e. the object that serves as the "yard-stick" for comparison
102   Comparison is expressed by various syntactic constructions consisting of several components expressing a
103 comparee, a standard, and a parameter.
104   Each component, which is mentioned above, means the following:
105   e.g *She is sly as a fox*
106   •   1) Comparee, i.e. the entity which is compared – 'she';
107   •   2) Standard, i.e. the entity serving for comparison – 'fox';
108   •   3) Standard Marker, i.e.the indicator of a standard –'as';
109   •   4) Parameter, the common ground on which items are compared – 'sly'
110

111   In our research we use the following abbreviations:
112   CMP–Comparee
113   STAN-Standard
114   STM-Standard marker
115   PARA-Parameter
116   PAM-Parameter marker
117   e.g.
118   'Ayzhan is as beautiful as Zhanar.'
119

Ayžan	Žanar-day	sulw
NP	NP-CMPR	beautiful
CMP	**STAN-STM**	**PARA**

120
121
122   *4.1   Canonical and non-canonical CC*
123
124   Comparison is expressed by Canonical and non-canonical CC.
125
126   *4.1.1 Canonical comparative constructions*
127
128   The comparative relations are usually expressed in canonical comparative constructions i.e. in a standardized way, by
129   grammatical means.
130   'His car is as expensive as (his) house.'
131

Onïn	mašina-si	üy-dey	qïmbat
His	car-POSS3	house-CMPR	expensive
	CMP	**STAN-STM**	**PARA**

132
133   'Houses look like an egg'
134

Üy-ler	žumïrtqa-day	bolïp	körinedi
house-PL	egg-CMPR	be-AUX-CVB	overspread–PST3
CMP	**STAN-STM**		**PARA**

135
136   'He danced like Samat danced'
137

Ol	Samal	bile-gen-dey	bile-di
He	Samal	dance-PP-CMPR	dance-PST3
CMP		**STAN-STM**	**PARA**

138
139   The STM-Standard marker is expressed in a canonical way: by a special comparative morphological marker, or a
140   comparative postposition. Here it is expressed morphologically by the affix - *dAy*
141   The CMP is normally the subject of a canonical CC.
142   The PARA is its predicate.
143
144   *4.1.2 Non-canonical CC*
145
146   In non-canonical constructions, the comparative relations in Kazakh are expressed lexically with words as 'ten' – equal,
147   by means of verbs as 'uqsa=w'- with a lexical semantics in English as 'be alike', 'resemble', 'look like'.
148   e.g.
149   'The price of the car is equal to the price of the house' ≈
150   'The car is as expensive as the house.'
151

Mašina-niŋ	baɣa-sï	üy-din	baɣas ï- na	ten
car-GEN	price-POSS3	house-GEN	price-POSS3-ABL	equal

	CMP	**PARA**	**STAN**	**PARA**	**STM**
152					
153	'His eyes resemble your eyes.'				
154					

	Onin	köz-i	senin	köz-in-e	uqsa-idï
	car-GEN	eye-POSS3	your	eye-POSS2SG-DAT	resemble-PRS3
	CMP	**PARA**	**STAN**	**PARA**	**STM**

155

156 'He resembles (looks like) his father.'

157

	Ol	äkesi-ne	uqsai-dï
	he	father-DAT	resemble-PRS3
	CMP	**STAN**	**STM**

158

159 **4.2   Proposition of comparison in simple and complex sentences**

160

161 Comparison constitutes a **proposition of comparison** that can be encoded in various types of comparative syntactic
162 constructions (CC). Proposition of comparison can be expressed by simple sentences built according to various patterns:
163 'Her eyes shone like stars.'

164

	Közderi	žuldïz-day	žarqïra-dï
	eye-PL-POSS3	star-CMPR	shine-PST3
	CMP	**STAN-STM**	**PARA**

165

166 'She's beautiful like the moon.'

167

	Ol	ay-day	sulw
	she	moon-CMPR	beautiful
	CMP	**STAN-STM**	**PARA**

168

169 'The hard months stretched like the year.'

170

	Awïr	ay-lar	žïl-day	sozïl-dï
	hard	month-PL	year-CMPR	stretch-PST3
		CMP	**STAN-STM**	**PARA**

171

172 'He roared like a lion'

173

	Ol	arïstan-ša	aqïr-dï
	he	lion-CMPR	roar-PST3
	CMP	**STAN-STM**	**PARA**

174

175 A proposition of comparison can be expressed in complex sentences where the patterns of simple comparative clauses
176 undergo reductions and transformations:
177 'We heard that he was roaring like a lion.' ≈ 'We heard he roared like a lion.'

178

	Biz	ONIN	ARYSTAN-ŠA	AQYRYΓANÏN	estidik
	We	he-GEN	lion-CMPR	roar-ACC	hear-PST1
		CMP	**STAN-STM**	**PARA**	

179

180 'The mirage rose glowing in the sun white villages and some houses look like an egg.'

181

	Žarïq künde **š**aŋqiyïp köringen aq awldardï sayïm köterip keybir			
	ÜYLER	ŽUMÏRTQA-DAY	BOLÏP	KÖRINEDI
	house-PL	egg-CMPR	be-CVB	look-PRS3
	CMP	**STAN-STM**		**PARA**

182

183   'Having met in a dark cemetery we clashed like two angry bears.'
184

Qaraŋyï beyittiŋ išinde **ekewmiz** šappa-šap kelip qapsïra qušaqtasïp, talasqan eki
CMP

AYUW-DAY	SIRESIP	QATÏP	QALDÏQ
bear-CMPR	stretch-CVB	curdle-CVB	stay-PST1
STAN-STM	**PARA**	**PARA**	**PARA**

185
186   ## 5. Semantic Types of Constructions of Comparison
187
188   A logical operation of comparison results either in similarity (equality), or difference of two entities. There are only two
189   basic results that can be expressed in a construction of comparison:
190   (a) identity or similarity,
191   (b) difference.
192   If the result shows that the two entities in question do not differ with respect to the quality or property, we are
193   dealing with a *comparison of equality:*
194
195   *John is as tall as Mary.*
196
197   On the other hand, if two entities do indeed differ, then the result will be termed as a *comparison of inequality:*
198   • *John is taller than Mary. (Andersen, 1983)*
199   Relations of identity are expressed in the following types of constructions of comparison:
200   • equative
201   • similative
202   Martin Haspelmath and Oda Buchholz (1983) consider simulative constructions together with equative as they
203   have close semantic and formal similarities with equatives. Equatives express equal extent, and similatives express an
204   equal manner.
205
206   *5.1   Comparison of equality in Turkic Languages.*
207
208   The term **equative** is applied to comparative-like constructions in which the degrees compared are identical rather than
209   distinct. The parameter here is expressed by a nominal.
210   Equative constructions in Kazakh:
211
212   *'Ayzhan (is) as beautiful as Zhanar.'* ≈
213   *'Ayzhan is beautiful to the same extent as Zhanar.' (the equal extent of the quality "beautiful" is expressed)*
214   *The standard marker is expressed by the affix - day.*
215

Ayžan	Žanar-day	sulw
NP	NP-CMPR	beautiful
CMP	**STAN-STM**	**PARA**

216
217   Altay Turkic (Tybykova 1989):
218
219   *Ie Wgar ta neniyn de wčwn ol sÿt-tiyy ak kwlwn-dï sÿÿgen.*
220   *'Ie Ugar loved that foal white as milk.'*
221   *The standard marker is expressed by the affix - tiyy.*
222

	Ie Wgar ta neniyn de wčwn ol		
sÿt-tiyy	Ak	*kwlwn-dï*	*sÿÿgen*
milk–CMPR	white	foal-ACC	look-PRS3
STAN-STM	**PARA**	**CMP**	

223
224   Khakass (Kyrzhinakova 2010):
225
226   *Xaraŋyï xoy xaraŋ-ïn-dag.*
227   *'Her eyes are as sheep's eyes.'*

Xaraɣï	xoy	xaraɣ-ïn-dag
eye-POSS3	sheep	eye-POSS3-CMPR
CMP	**STAN**	**STAN-STM**

228

229 Tiz-i xozan tiz-in-deg.

230

231   *'Her teeth are as a hare's teeth.'*

232

Tiz-i	xozan	tiz-in-deg
tooth-POSS3	hare	tooth-POSS3-CMPR
CMP	**STAN**	**STAN-STM**

233

234 *Petya Kolya osxas tabïrax.*

235

236   *'Peter is as quick as Kolya.'*

237

Petya	Kolya	osxas	tabïrax
NP	NP	PSTP	beautiful
CMP	**STAN**	**STM**	**PARA**

238

239 *Sïrayï izig kös osxas hïzïl.*

240

241   *'Face is as red as hot coals.'*

242

Sïrayï	izig	kös	osxas	hïzïl
Face-POSS3	hot	coal	PSTP	red
CMP		**STAN**	**STM**	**PARA**

243

244 *Tiyrek-če sïn-nïɣ.*

245

246   *'The height is like a poplar.'*

247

Tiyrek-če	sïn-nïɣ
poplar-CMPR	height-PROL
STAN-STM	**CMP**

248

249 *Tiykpe-če aɣïl-ï čox.*

250

251   *'Stupid as a stand.'*

252

Tiykpe-če	aɣïl-ï čox
stand-CMPR	mind-POSS3-NEG
STAN-STM	**CMP**

253

254 Sakha Turkic (Vasileyv 1986):

255

256   *Marba siyre'ye' bwspwt alaadï kwrdwk tögürük.*

257   *'Marbach's face (is) round like a fried pancake.'*

258

Marba	siyre'ye'	bwspwt	alaadï	kwrdwk	tögürük
Marbach	face-POSS3	fried	pancake	PSTP	round
	CMP		**STAN**	**STM**	**PARA**

259

260   *Asfalt taas wwlwssa ostwol nwwrw kwrdwk kiyle'rke'y.*

261   *'A paved street is like the smooth surface of a table.'*

262

Asfalt taas	wwlwssa	ostwol	nwwrw	kwrdwk	kiyle'rke'y
paved	street	table	surface	PSTP	smooth
CMP	**STAN**	**STAN**		**STM**	**PARA**

263 *Taŋïraqa olws sïtïï, de'gıye' kwrdwk ïnïrïk.*
264 *'Her terrible claws are very sharp, like a hook.'*
265

Taŋïraqa	olws	sïtïï,	de'gıye'	kwrdwk	ïnïrïk
CMP	**STAN**			**STM**	**PARA**

266
267 5.2   *Comparison of similarity in Turkic Languages.*
268
269 A Similative construction is a construction expressing sameness or similarity of manner or being.
270   The parameter here is expressed by a verb.
271   Similative constructions in Kazakh:
272   Ol arïstan-day soyïs-t-ï.
273
274   *'He fought like a lion .'* ≈ *'He fought in the same way as a lion.' (equal manner is expressed)*
275

Ol	arïstan-day	soyïs-t-ï
he	lion-CMPR	fight-PST3
CMP	**STAN-STM**	**PARA**

276
277 Altay Turkic (Tybykova 1989):
278
279 *Iïlamaštïn iÿregiy, kenerte ÿrkiydiyp iyügen kwčkaš čïlap, sert e'diyp kalgan.*
280 *'Dylamash's heart shuddered like a suddenly frightened bird.'*
281

iÿregiy	kwčka**š**	čïlap	sert
heart-POSS3	bird	PSTP	shudder
CMP	**STAN**	**-STM**	**PARA**

282
283 Khakass (Kyrzhinakova 2010):
284
285 *Siyn miyni aŋ-ïҷax-tï čiliy in-de twd-arya xïn-ča-zïŋ.*
286 *'You want to keep me in a hole as a little animal.'*
287

miyni	aŋ-ïҷax-tï	čiliy
I-ACC	beast-ACC	PSTP
CMP	**STAN**	**STM**

288
289 *Ariyna! Čoylan-ma! – wdwr atïya tÿs-ken, xoosxa kÿske-zer chiliy.*
290 *'Arina! Do not lie! – jumped to her like a cat on a mouse.'*
291

atïya	xoosxa	čiliy
jump-CVB	cat	PSTP
PARA	**STAN**	**STM**

292
293 *Hartï ča ҷaxaala-p, ol tÿrle-en.*
294 *'He was flying and flitting like a hawk.'*
295

Hartï ča	ҷaxaala-p	ol	tÿrle-en
hawk-PROL	fly-CVB	he	flit-PST3
STAN-STM	PARA	CMR	PARA

296
297 5.3   *Standard markers in equative and simulative constructions.*
298
299 In Kazakh, Altay Turkic and Khakass equative and simulative constructions are formed by the same means, and are
300 closely related to each other. In such languages (where they are expressed in a very similar way) we may distinguish
301 equative constructions from simulative by analyzing their structural features and determining whether the construction
302 expresses sameness of extent or sameness of manner.
303

Compare:

Kazakh

'Ayzhan (is) as beautiful as Zhanar.' – equative construction

Ayžan	Žanar-day	sulw
NP	NP-CMPR	beautiful
CMP	**STAN-STM**	**PARA**

'He is shining like a star.' – similative construction

Ol	žuldïz-day	žarkïra-y-dï.
he	star-CMPR	shine-PRS3
CMP	**STAN-STM**	**PARA**

The standard marker in both constructions in Kazakh is the affix – **day/-dey.**

Altay Turkic (Tybykova 1989):

> *Ie Wgar ta neniyn de wčwn ol sÿt-tiyy ak kwlwn-dï sÿÿgen.*
> *'Ie Ugar loved that foal white as milk.' (equative)*

Karakwy kiyriyp Ie kelerde, tïndanïp, **kiyske-diyy** lïmjan altaganïs, örko körgön **iyyt-tiyy**, čeber ön öl ög öniys.

'As soon as it got dark, treading softly, like a cat, carefully making his way as a dog when she saw a gopher, we listened.' (similative)

The standard marker in both constructions in Altay Turkic is the affix – **tiyy/ diyy.**

The marker of standard is one of the obligatory components as it expresses a comparison. The marker of standard in equative and similative constructions can be formed in synthetic and analytical ways.

5.3.1 The standard marker in Kazak equative constructions.

A synthetic marker of standard in Kazakh equative constructions is formed with the help of a comparative affix –day/-dey. As in:

'Ayzhan (is) as beautiful as Zhanar.'

Ayžan	Žanar-day	sulw
NP	NP-CMPR	beautiful
CMP	**STAN-STM**	**PARA**

'He (is) as strong as you.'

Ol	sen-dey	küšti
he	you-CMPR	strong
CMP	**STAN-STM**	**PARA**

An analytical marker of standard in Kazakh is formed with the help of a postpositions siyaqtï / sekildi. See:

'Ayzhan (is) as beautiful as Zhanar.'

Ayžan	Žanar	siyaqtï/sekildi	sulw
NP	NP	PSTP	beautiful
CMP	**STAN**	**STM**	**PARA**

'He (is) as strong as you.'

Ol	sen	siyaqtï/sekildi	küšti
he	you	PSTP	strong
CMP	**STAN**	**STM**	**PARA**

• • •

345 Both synthetic and analytical markers follow a standard of comparison.
346
347 *5.3.2 The standard marker in Kazak similative constructions.*
348
349 The marker of standard in Kazak similative constructions like equative constructions is formed in synthetic and analytical
350 ways.
351   The affix -day/-dey is frequently used as a synthetic marker for standard in similative constructions. See:
352
353   *'He shines like a star.'*
354

Ol	žuldïz-day	žarqïra-y-dï
he	star-CMPR	shine-PRS3
CMP	**STAN-STM**	**PARA**

355
356   *'His hands became frozen like ice because of the frost.'*
357

Qol-dar-ï	ayaz-dan	m*uz*-day	qatïp	qalyan
hand-PL-POSS3	frost-ABL	ice-CMPR	freeze-CVB	stay-PTCP
CMP		**STAN-STM**	**PARA**	**PARA**

358
359 One more affix serving as a synthetic marker of standard in similative constructions is the affix – ša/- še. Look at the
360 examples:
361
362 *'He roared like a lion'*
363

Ol	arïstan-ša	aqïrdï
he	lion-CMPR	roar-PST3
CMP	**STAN-STM**	**PARA**

364
365 *'He began to understand many things as (like) an adult.'*
366

Ol	köp	närse-ni	ulken-der-še	payïmda-y	basta-dï.
he	many	thing-ACC	adult-PL-CMPR	understand-CVB	begin-PST3
CMP			**STAN-STM**	**PARA**	

367
368 Similative constructions are formed in an analytical way with the help of postpositions siyaqtï / sekildi:
369
370 *'He went jumping like a little boy.'*
371

Ol	kiškentay	bala	siyaqtï/sekildi	sekir-ip	ket-t-i.
he	little	boy	PSTP	jump-CVB	go-PST3
CMP	**STAN**	**STM**	**PARA**		

372
373 *5.3.3 The standard markers in Altay Turkic, Khakass, and Sakha Turkic equative and similative constructions.*
374
375 The equative constructions in Altay Turkic can be expressed by the affix – tiyy/ diyy (synthetically). In Khakass such
376 constructions can also be formed synthetically with the help of the affixes –dag/-deg; –*ča/ -če* or analytically by the
377 postposition '*osxas' - 'as,like'*. In Sakha Turkic comparison of equality is represented by the 'kwrdwk' - *'as,like'.*
378   The similative constructions in Altay Turkic can be expressed synthetically by affix – tiyy/ diyy or analytically by the
379 postposition 'čïlap' – *'as,like'.* In Khakass similative constructions can be formed also synthetically with the help of the
380 affix –*ča/-če* or analytically by the postposition '*chiliy' - 'as,like'.*
381   The result of our analysis is outlined in the table below:
382

Language	Equative Constructions		Similative Constructions	
	Synthetic STM	Analytical STM	Synthetic STM	Analytical STM
Kazakh	–day/-dey	siyaqtï/sekildi	–day/-dey; –ša/-še	siyaqtï/sekildi
Altay Turkic	tiyy/diyy		tiyy/diyy	čïlap
Khakass	–dag/-deg; –ča/-če	osxas	–ča/ -če	chiliy
Sakha Turkic		kwrdwk		

6. Conclusion

In this study we have examined the comparison of equality in Kazakh and the Turkic languages of Siberia. The comparison of equality is expressed in equative and similative constructions. Equatives and similatives in Kazakh language are expressed in the same way, i.e. they have the same standard markers. The standard marker can be synthetic or analytic. The synthetic standard markers in Kazakh comparisons of equality are expressed with the help of affixes day/dey,tay/tey, ša/še. The affix of comparison –day/dey is used in both constructions, whereas the affix – ša/ še is used only in simulative ones. The affix -day/dey can be attached to any noun, the affix – ša/ še only to animate nouns. The analytic standard marker in Kazakh comparisons of equality is expressed with the help of postpositions 'siyaqti', 'sekildi'. The postpositions 'siyaqti', 'sekildi' form the standard NP in both constructions.

Kazakh and Turkic languages of Siberia have common features when expressing the comparison of equality. In Kazakh, Altay Turkic and Khahass variations of the same affixes are used. The standard marker in these languages can be formed in synthetic and analytic ways.

Equative and similative constructions are very similar and closely related. Only the parameter helps us to distinguish them, as the parameters in these constructions are different. The parameter in the equative construction is expressed by an adjective. In equative constructions, the adjective does not bear any special marker of equality of the compared entities. However, the parameter may have an adverb expressing the grade of quality which is shared by both the comparee and the standard. The parameter in the simulative constructions may be expressed by any finite or non-finite verb form. Equatives express equal extent of a parameter, and similatives express equal manner of a parameter. Therefore the presence of a parameter is obligatory as it differentiates equatives from similatives.

The analysis shows that all constructions of equality possess common features. They constitute the same components such as a comparee, a standard, a standard marker and a parameter.

Abbreviations

- 1- first person
- 2- second person
- 3- third person
- ABL - ablative
- ACC - accusative
- AUX - auxiliary
- CMPR - comparison
- CVB - converb
- DAT - dative
- GEN – genitive
- NEG - negative
- NOM – nominative
- NP – nominal phrase
- PL – plural
- POSS – possessive
- PRS – present
- PP – past participle
- PST - past
- SG – singular

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Investigating Voice and Agency in Caryl Churchill's Selected Plays

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Abstract

Caryl Churchill's plays have been studied from a number of perspectives. However, there have been few concerted attempts to investigate how the marginalized characters are given voice and agency to resist gender and class oppression as well as the issue of resistance to different kinds of oppression in her plays. Accordingly, this study aims to investigate these issue in two selected plays of Caryl Churchill Vinegar Tom (1976) and Top Girls (1982). This study employed Judith Butler's definition of agency to examine whether the characters are able to exercise agency and overcome oppressive forces. Their granted voice in criticizing oppressive forces is also examined as a tool to identify their resistance against patriarchal agents. It is found that each of Churchill's plays have revolutionary characters who resist oppressive forces in patriarchal societies that disadvantage them. Furthermore, this study extended the literature by discussing different forms of resistance to oppression in each play, and highlighting the fact that Churchill's plays have similarities and differences in the strategies that the characters take in resisting oppression. It also noted that not all the characters are able to overcome oppression.

Keywords: Agency, voice, Judith Butler, oppression, resistance

1. Introduction

The blatant abuse of women in male dominated societies had resulted in a continuous struggle by women throughout history who fought and are still fighting for equal opportunities as they attempt to improve their positions in the society they live in. Indeed, with the advent of globalization and information technology, women in many parts of the world have begun to fight for equality in the various domains of social life including politics, education and in the domestic sphere.

Different scholars and theorists have positive impact on illustrating women's oppression in different areas of societies including political as well as non-governmental spheres. In this regard, feminist scholars have made concerted attempts to destabilise the patriarchal system and men's systematic violence of women with an aim to "radically transform social, cultural, economic, and gender based systems of oppression" (Aston, 1999: 126). Among the scholars who had dealt with the issue of gender oppression and inequality are Juliet Mitchell (1974), Zillah Eisenstein (1979), Iris Young (1981), Linda Hartmann (1981), Allison Jaggar (1983), Lise Vogel (1983), bell Hooks (1984), Michele Barrett (1988), Judith Butler (1990), Chandra Talpade Mohanty, (1991), Mary Langan and Lesley Day (1992), and Lorna Fitzsimmons (1997). These scholars, who had struggled to end oppression in their respective ways, have the same opinion that the experience of oppression "transcends the boundaries of race, class, gender, and culture" (Hibbard 2005).

Non-governmental organizations and creative writers have also played their part in this struggle by challenging prevailing assumptions and stereotypes about women. For instance, creative literary writers have highlighted women's suffering by providing them a space so that their voices can be heard and the views listened to. Accordingly, the development of theatre had also played its part: women playwrights helped to foreground issues about women's struggle against patriarchal dominance in their plays. It is worthwhile to note that theatre had provided an avenue for women's voices to be heard in the public arena. In other words, theatre was not just a performance to be appreciated aesthetically but incorporated social criticism. Elaine Aston (1999) declares that "theatre can help women to see their lives politically: to raise awareness of oppression and to encourage women's creativity" (2).

There are several playwrights who worked on women's oppression. For example, Michelene Wandor's plays focus on chief feminist issues such as women and work, concern for children, custody and divorce. Her *Care and Control,* (1977) for example, deals with motherhood under attack and attempts to "challenge those who are socially empowered and use their roles to uphold the heterosexual, nuclear family above many other human values and it must fight to assure that women are treated as full and equal human beings" (Keyssar , 1984:137). Another writer, Megan Terry explores the relationships between males and females, the notion of power and traditional gender roles. Basically, the play is about

57   the condemnation of traditional social and gender roles in contemporary society. This is undertaken in a manner that
58   diverges from traditional plays: the actors and actresses in the play shift roles. Thus, it becomes 'impossible' to detect the
59   unequal power relations between men and women because both sexes are illustrated in the same manner. In other
60   words, men are characterised in terms of traditional female activities.
61   　　　Caryl Churchill is a pioneer woman playwright. Her *Vinegar Tom*, *Light shining in Buckinghamshire*, and *Cloud*
62   *Nine* are examples of plays that highlight the social roles of women through history. Churchill's collaboration with Joint
63   Stock Theatre group had provided an avenue for her to use innovative theatrical devices that helped to conceptualize the
64   internal dialogue related to women issues of her characters.
65   　　　In addition, women in her plays are not just depicted as victims in a patriarchal society but as fighters and
66   survivors. Churchill wrote her plays when Margaret Thatcher was elected as Prime Minister of England; as such her plays
67   depict the dilemmas and conflicts of women living in the late seventies and eighties under the rule of the "Iron Lady". In
68   essence, her plays explore issues surrounding gender. In addition, she also examined the complexities surrounding the
69   relationships among family members, gender stereotyping and class struggles.
70   　　　Caryl Churchill's plays have been studied from a number of perspectives . However, there have been few
71   concerted attempts to examine women's resistance to oppressive forces which has not been given adequate attention in
72   related studies. Previous studies have examined Ebtehal's "Women's Bodies in Dramatic Confrontations with Patriarchal
73   Logic: The Representation of Violence against the Female Body in Contemporary Drama by Women" (2003) examines
74   the violence against women's body but does not investigate their resistance. Similarly, Swanson's "Mother/Daughter
75   Relationships in Three Plays by Caryl Churchill" (1986) brings up the oppressed situation of daughters caused by
76   mothers without dealing with their attempts to resist such oppression. Fitzsimmons's "I Won't Turn Back for You or
77   Anyone': Caryl Churchill's Socialist-Feminist Theatre" (1987) is another study that scrutinises the miserable life of women
78   as a result of their socio-economic condition but does not dwell on the characters resistance against oppresive forces.
79   Acordingly then, this study aims to investigate the resistance of women against their oppression and oppresive forces. In
80   relation to this, the current study will look at the characters' voice and agency and how these factors play a role in the
81   resistance of the women characters in Churchill's plays. This will help the researcher determine which characters are able
82   to resist patriarchal and capitalist forces.
83
84   2.　Agency
85
86   Normally, agency refers to the capacity of subjects to cause an event or action to happen. According to Monique
87   Deveaux in "Agency" (2000) agency is central to feminist theorists because it indicates the extent to which women have
88   the freedom and ability of action independently. On the other hand, the extent to which women are not able to exercise
89   agency reveal their oppression and subordination. As one of the feminist theorists, Butler claims that subjects can just
90   exercise agency when they are not restricted by society. Butler further posits that even a subject's free will might be
91   constructed by society. Thus, a subject's agency might not even be representative of his/her real individual will. In this
92   study, Butler's definition as the Agency of the marginalized characters in plays of Caryl Churchill can be best understood
93   using her definition of Agency. A subject's agency might not even be representative of his/her real individual will.
94   Consequently, Butler views one's agency as being limited within the realm of society and argues that a subject is only
95   able to exercise agency if there is repetition of behaviours by him/her. It is through this variation that a subject can make
96   sure his/her habits and behaviours are not affected and shaped by the surrounding society (2003).
97   　　　In Butler's definition, agency is extremely dependent on the subject's surrounding society. To put it simply Butler
98   does not separate a subject from society. As Fiona Webster in "The Politics of Sex and Gender: Benhabib and Butler
99   Debate Subjectivity" (2000) argues, Butler is unlike De Beauvoir who believes that "agency is clearly a capacity of the
100   subject" (12). For Butler agency is an effect of the subject and "not a quality or attribute which subjects somehow possess
101   and deliberately exercise, but rather is an effect of the very processes through which they are constituted as subjects"
102   (12). In other words, Butler does not separate the 'doer' from the 'deed' and hence the 'doer' is always constituted in and
103   through the 'deed' as far as Butler is concerned.
104   　　　Besides agency, the extent to which the characters are granted voice is also examined. Specifically, the voice and
105   agency of the characters are scrutinized to examine the extent to which they are able to defend their rights and/or oppose
106   their oppressive forces. This will help to identify the strategies taken by women and marginalized groups to resist,
107   question and challenge the dominant patriarchal discourse prevalent in society. Voice and Agency of characters will be
108   examined to observe whether Churchill's characters have voice and are able to exercise agency or not. This will help the
109   researcher determine which characters are able to resist patriarchal and capitalist forces. The study relies on the ideas of
110   Judith Butler, the post-modern feminist theorist from the Third Wave of Feminism. For the sake of methodology, it will be

discussed that agency is used to show how marginalized characters challenge both gender and class oppression. Churchill has provided agency to some of her characters to resist gender and class oppression. Hence, Agency of the marginalized characters in plays of Caryl Churchill can be best understood using Butler's definition of Agency.

3. Review of Related Literature

Churchill's concern with issues related to women and their situation in society as reflected in her plays has been a subject of much discussion. An early example is Alisa Solomon (1981) which deals with this issue in four of Churchill's plays: Owners, Vinegar Tom, Light Shining in Buckinghamshire, and Traps. In her study, she labels Churchill as a feminist and socialist writer who has the ability to "interweave historical data, dramatic representation, and the non-illusionistic theatricality of that representation" (54). Solomon also claims that Churchill is a political playwright, who uses her plays to showcase the effects of particular political and social policies on the lives of members of the society. In her view, Churchill's plays make us think deeply about issues pertaining to the objectification of women, the values related to bourgeois life and western society's desire for material possession.

In another study Linda Fitzsimmons (1988) explores Churchill's socialist feminism trends through the lens of Heidi Hartmann. She argues that Churchill's plays portray some financially successful women. However, despite the presence of sucessful women, her plays draw our attention to the miserable life that women experience because of their poverty. According to Fitzsimmons, Churchill's awareness of the political climate of Britain in the 1980s that had disadvantaged women economically had acted as a catalyst for her to showcase the plight of women in her country and elsewhere. In addition, she claims that Churchill also had portrayed the struggle of such women either individually or collectively to challenge gender inequality.

Joan Teresa Hamilton (1991) dissects a number of Churchill's plays such as Fen, Soft Cops, light shining in Buckinghamshire, Top Girls, Hot Fudge, Ice Cream and Serious Money to tease out the notions of subjectivity via concepts from Louis Althusser, Michel Foucault as well as Jean Baudrillard. Basically, she attempts to highlight the extent to which Churchill tries to present the possibility of social changes in society. Her study's main concern is whether the women characters in the plays are subjected to male ideology via language and how they challenge this. In doing so, she draws inspiration from Althusser's idea of interpellation and Foucault's ideas on the relationship between discourse and power. She claims that some characters, in fact, are afraid to challenge the prevailing social order, while some are shown to desire social changes in their individual lives and subsequently in the wider society. Hamilton, however, notes that the characters in each play find their struggle for change difficult as they are controlled by the power of authorities (Foucault), making their struggle an uphill battle (Althusser).

Lisa Merrill (2001) investigates Churchill's critique of societies built on capitalist values which confine and restrict human moralities. For example, in her analysis of Owners, she highlights the character of Marion, who is depicted as a financially successful woman who is not dependent on others. She claims that Marion exhibits capitalistic values as she exploits the poor for her own financial gains. She further describes Marion as a 'monster' who can be equated with "a male-identified notion of power" (62). She adds that in Churchill's plays the success of women can only be possible if women take on the established male-notion of power and disregard their traditional stereotypical roles of a wife or mother.

Ebtehal A. Ahmad (2003) examines three types of violence against women's bodies in terms of "the political, the medical, and the social violations" (iii) in the works of several dramatists including Caryl Churchill's Vinegar Tom. She argues that women in Churchill's plays suffer from sexual abuse, isolation, feelings of fear and guilt. Meanwhile, Danelle Rowe in "Power and Oppression: a Study of Materialism and Gender in Selected Drama of Caryl Churchill" (2003) investigates how Vinegar Tom (1976), Cloud Nine (1979), Top Girls (1982), Fen (1982), and Serious Money (1987) offer a socialist feminist critique of women's oppression. He concludes that "traditional relations of power" (142) are the cause of women's oppression.

Carin Bigrigg (2004) compares the work of several playwrights in their historical contexts. In her opinion, Churchill's Light Shining in Buckinghamshire (1976) provides a link between history and the present time in which individuals attempt and fail to create more social equality through revolution or riot. She also claims that the miserable life of women who surrender willingly to the roles assigned to them is a reflection of the social roles accorded to women in present-day society. Hence, she believes that such works are actually a manipulation of the past to critique the present especially in their portrayal of violence and power by men against women.

Laura Leigh Whitaker's work (2007) which is pegged on Butler's Gender Trouble (1990) and Bodies that Matter (1993), investigates subjectivity and agency in the characters of Cloud Nine. She asserts that through the challenges of gender and normative behavior, Cloud Nine reveals Butler's concept of agency. She claims that by reading Cloud Nine

through Butler, the reader is able to "question the process by which the destabilized subject gains and exercises agency" (v). The author affirms that Butler's and Churchill's ideas coincide with regard to the   issue of subjectivity and agency. In analyzing Cloud Nine, Whitaker uses Butler's claim that gender or sex on its own does not determine one's subjectivity. Instead, it is derived from the many intersecting characteristics, such as ethnicity, class, and race. Society demands that subjects are defined by gender roles and no one questions the assignments of these roles or act against them. In other words, it is society that mandates "a gender role that the subject becomes or assumes" without any resistance. (16). Throughout the play the audience can recognize that the character's subjectivity is not based on their gender or sex because these characteristics are socially constructed. Based on these concepts, Whitaker focuses on each character individually and investigates which characters exercised agency in the play and which do not.

Georgiana Vasile (2010) tries to examine whether Caryl Churchill offers any solution for women's oppression in Top Girls. She also examines whether the women in the play can be labelled as friends or enemies. Accordingly, she concentrates on the conversations among women in different parts of the play. She shows how the women of the dinner party interrupt each other's talks, show their disagreement and have conflicts with each other. She concludes that Caryl Churchill in Top Girls does not suggest any "cause nor solutions for women oppression...but simply records the voices of different women" (256).

4. Analysis

The main aim of this study is to show how marginalized characters are given voice and agency to resist gender and class oppression. In order to achieve this goal, the researcher examines the characters' free will and whether the society they lived in allowed them to fulfil their desires. This was undertaken by examining the ability of characters to act differently in various situations. The researcher also discusses the situation of women in order to examine the characters' resistance.

4.1   Vinegar Tom

Vinegar Tom begins with a definition of witches in England during the earlier centuries. It shows Churchill's portrayal of witches who are harmed by people of their community. There are five women in the play who are accused of being witches: Joan, an old beggar widow who does not associate with the other villagers; Alice, a promiscuous single mother who has sex outside of marriage and rejects the moral order of the society; Susan, a mother who had experienced several miscarriages and attempts birth control; Ellen, a midwife and a "cunning woman" who practices healing and Betty an unmarried rebellious girl who does not want to get married. Joan and Ellen are hanged, Alice and Susan will probably face the same fate, and Betty is tortured until she agrees to be wed. Churchill questions the oppression of women of Britain in the twentieth century by alluding to witches.

Vinegar Tom is a play about the oppression of women which has continued throughout history. The play reminds us of Johnson's assertion that "for women, gender oppression is linked to a cultural devaluing of femaleness itself. Women are subordinated and treated as inferior because they are culturally defined as inferior as women" (24). Churchill cleverly uses the history of persecuting witches in England in the seventeenth century to illustrate this. In other words, she merges the idea of witchcraft from the seventeenth century with the patriarchal and capitalist oppression being practised in the modern time; all to denote the ever-existing marginality of women. I opine that she has successfully combined historical events with the notion of women's oppression in this play.

In *Vinegar Tom* there are both men and women who are patriarchal agents who victimise women, some who endure their situation without resistance. For instance, Susan showcases the characteristics of a 'typical' woman who does not resist the oppressive forces at all.

However, Churchill's aim is not only to illustrate the plight of muted marginalized groups, but also to create revolutionary characters to criticize patriarchy and capitalism. This is established through Betty who primarily does not accept her father's decision to marry the person she does not like, through Joan who struggles to convince the witch finders that she is not a witch but eventually succumbs in scene eighteen and through Alice who opposes the witch finders and never accepts that she is a witch. Through these characters, Churchill questions the subjugation of women in patriarchal societies. The characters' degree of resistance is determined by their voices and the ability to exercise agency. Thus resisting oppression in Churchill's *Vinegar Tom* takes various forms. For instance, through questions (Betty and Alice), revelation of unhappiness (Betty) or by escaping from authority (Betty). These characters exemplify that they have voices to resist the accepted norms of their society, although their agency is limited.

The miserable life of these characters is not a result of their sex but also because of their social class. In other words, in *Vinegar Tom* the intersection of gender and class oppression creates a 'double oppression' for women. The

power and injustice practised by both patriarchy and capitalism are seen in relation to four working class women and one middle class woman in the play. The working class women are economically poor and disadvantaged because of this while the middle class girl is forced to surrender to the decision of patriarchal agents to stay alive. The lives of these women are not only shaped by men but also by women. It is where Margery, the first oppressor recognizes and introduces the stereotypical witches and Goody; the second oppressor, catches and hangs them. Kramer and Sprenger, the two other oppressors confirm this action by saying, "All witchcraft/comes from carnal lust/ which is in woman/ insatiable" (*Plays One* 178). *Vinegar Tom* further displays how people with socially constructed genders can be agents of patriarchy and consequently, oppress women.

In this play Churchill has attempted to highlight the patriarchal and capitalist behaviours which have made women's oppression and subjugation commonplace. She also has illustrated the powerlessness of marginalized groups while at the same time created subversive characters through whom she criticizes patriarchy and capitalism.

Resistance to oppression in *Vinegar Tom* is reflected via Alice who is the only rebellious character in the play who attempts to resist oppressive forces from the beginning to the end. Alice, the revolutionary character of the play, lives pleasurably with men and has an illegitimate child. She is given a voice to re-delineate patriarchal conventional terms more than the other stereotypical women. Her expressed need for freedom makes Alice different from a stereotypical woman in such a society. Although she is unable to escape from society's expectations in relation to womanhood, she, nevertheless, openly condemns them. In return, she is condemned by the community for her actions and beliefs. In relation to Butler's notion of agency, the researcher concludes that Alice's agency is limited by the boundaries of her society. Thus, she is unable to exercise agency freely even though she is granted a voice to defend herself.

Patriarchal societies regard women as subordinates to deny them their agency, as seen via Alice. In relation to this, Lloyd in *Beyond Identity Politics Feminism, Power & Politics* (2005) asserts that "Women's agency is effaced; their negotiation of gendered identity and practices of femininity occluded; and they are presented, instead, as creatures upon which gender stamps its imprint" (91). As these statements illustrate, lacking the right to voice and agency makes women subordinates.

Alice, the revolutionary character, can be regarded as the feminist voice in general and Churchill's voice in particular. In fact, in my opinion all of the oppressed characters of the play are Churchill's voice. Even though some like Susan or Ellen are less active and do not directly criticize the patriarchal oppressors, and some other like Alice and Betty do not simply accept what is imposed on them, all of them direct the readers' minds to the oppressive role of women in society. Churchill transmits her feminist voice to condemn patriarchal and capitalist forces through these characters. However, Alice is the only one of these women who does not accept the witch finders' rules in identification of witches.

Alice is also more inspiring than the other women characters as she struggles against oppressive forces from the beginning to the end. Her statements at the end of the play can be regarded as a starting point for women's revolution against society's oppressive agents. It is believed that Churchill wants to portray that women can still have a voice even if they are oppressed. In fact, by casting Alice Churchill provides her with subjectivity. Salih (2000) proposes, "the idea that the subject is not a pre-existing, essential entity and that our identities are constructed, means that it is possible for identities to be reconstructed in ways that challenge and subvert existing power structures" (11).

With reference to Butler's theory of gender Alice and other witches of the play are unable to exercise agency, as according to Butler when a subject is confined with his/her society, his/her agency is limited. Churchill's aim is not only to illustrate the plight of muted marginalized groups, but also to create revolutionary characters to criticize patriarchy and capitalism. This is established through Betty who primarily does not accept her father's decision to marry the person she does not like, through Joan who struggles to convince the witch finders that she is not a witch but eventually succumbs in scene eighteen and through Alice who opposes the witch finders and never accepts that she is a witch. Through these characters, Churchill questions the subjugation of women in patriarchal societies. The characters' degree of resistance is determined by their voices and the ability to exercise agency. Thus resisting oppression in Churchill's *Vinegar Tom* takes various forms. For instance, through questions (Betty and Alice), revelation of unhappiness (Betty) or by escaping from authority (Betty). These characters exemplify that they have voices to resist the accepted norms of their society, although their agency is limited.

It can be concluded that the witches in *Vinegar Tom* are unable to exercise agency because of the boundaries set by society. In the sense, Churchill's aim was to illustrate how marginalized groups cannot exercise agency. At the same time, Churchill also creates 'revolutionary' characters such as Alice, Betty and Joan who criticize patriarchy and capitalism by giving them voices. Resistance to oppression in the play takes various forms: via questions (Betty and Alice), articulating their unhappiness (Betty) or by escaping from the oppressive forces authority (Betty).

4.2   Top Girls

The other play in which voice and agency can be applied is *Top Girls.* The play depicts the story of different women of the past and present who have unsuccessfully struggled against patriarchal norms. Top Girls is a play about two classes of women in society and how middle class women oppress working class ones in the patriarchal/capitalist society of Margaret Thatcher's time. The play shows that the oppression of women is rooted in the fact that we live in a society with distinct class hierarchies. So, some women who are successful within these class hierarchies have to victimize the members of their own sex. This class hierarchy had an impact on women's social and familial relationships. Although class brings wealth, predominance, and reputation to women, it breaks the familial relationships especially when the middle class ones do not pay attention to the working class members.

There are class hierarchies between Marlene and other women around her. Marlene is on top while Nell and Win are lower than her in the hierarchy, Mrs. Kidd is lower than Nell and Win, the interviewees are lower than Mrs. Kidd and finally Joyce and Angie are at the bottom of the hierarchy. Indeed, Marlene, her sister, and her daughter are on the two extremes, on top of and at the bottom of the hierarchy.

In the play, Churchill demonstrates that class is the source of oppression of marginalized communities. Consequently, working class women are dominated and repressed by middle class ones who benefit from the society's strategies which discriminate different classes. She tends to criticize Thatcher's policies and defend socialist ideas by showing how working class characters are trapped in a system of economical and familial relationships. In addition, the play illustrates and criticizes Thatcher's other policies such as privatization in economy and education as well as Individualism. *Top Girls* also illustrates Butler's gender perspective, in which a person with female sex, does not necessarily own a feminine gender. As a result, Marlene owns a masculine gender, due to her male behaviour which are repeated and shapes her gender.

On a final note, I wish to note that the title of the play is itself an irony as there is a disconnection between "Top" (a pinnacle) and "Girls" (a diminutive suggesting immaturity and helplessness). All the historical women who attend Marlene's celebration dinner are famous (or infamous) for having done things socially permissible only for men, or for the things that men did to them. For example, as Pope Joan explains, "women, children, and lunatics can't be Pope" (*Plays Two* 69). Each had the ability to do that for which she is remembered, but each was punished by her society for the affront. In Marlene's world (just as in those of her dinner party guests) "success" is measured by male standards. Thus, advancement in the capitalist business world is possible only for those women who forsake "feminine virtues" (raising children, nurturing family members, etc.). Marlene could become a managing director only because Joyce raised her daughter, but that sacrifice and caring for their widowed father provides no societal respect or protection for Joyce, who was abandoned by her husband and hated by Angie.

Top Girls like *Vinegar Tom* portrays characters who resist oppression through different means. Lady Nijo resists authority in a direct manner by leaving the oppressive forces of authority (the palace). Dull Gret, on the other hand, becomes aggressive while Joyce questions and criticizes patriarchal and capitalist behaviour. Pope Joan attempts to resist patriarchy subtly by adhering to patriarchal norms and values. Besides, there are also characters who simply endure oppression without any resistance or struggle which is exhibited by Griselda and the interviewees who sought jobs at the Agency.

Analyzing this play for investigating the voice and agency, the researcher focuses on a more biting satirical look at Thatcher's policies and her great socio-political influence on working class women in *Top Girls*. As Langan asserts,

The term 'mixed economy of welfare' implies a false counter-position between the (private) sphere of the capitalist economy which operates according to rigorous free market principles and the (public) world of welfare which caters simply to social need (88).

So, as a member of a marginalized group in Thatcher's time, Churchill criticizes the mixed economy of welfare, privatisation, and capitalist economy proposed by the Right wing party in this play. Writing the play she questions the personal achievement of a limited number of members of society. *Top Girls* was written three years after Thatcher won the election. It shows Thatcher's strategies regarding two classes of women: those from the working class who suffered from the lack of welfare benefits as well as those who belonged to the middle class who enjoyed the opportunities to have business careers. As Andy Williams in *UK Government & Politics* (1998) asserts, in Britain the way people vote largely explains their social class. He argues that the middle class people vote for the Conservative party while the working class support the Labour party. In *Top Girls* two groups of people are identified: those who are marginalized and deprived can be labelled as working class and those who gain the benefits can be labelled as middle class.

The play concentrates on the life of a successful Conservative business woman during Thatcher's reign who loses her humanity in order to attain power in a male dominated society. The researcher argues how Churchill strictly and

closely criticizes Thatcher's economic policies which undermined and disadvantaged working class women. As a member of the marginalized group in Thatcher's time, Churchill criticizes her economic policies via the play. In this respect, Churchill criticizes bourgeois feminism in which a successful woman does not pay attention to working class ones. In this play also the researcher will examine which characters have voice and excersice agency to examine how they are able to resist oppression.

In their examination of voice, in *Top Girls* the researcher found that the guests of the surreal dinner party Isabella Bird, Lady Nijo, Dull Gret, Pope Joan, of Act One are granted voice to criticize their societies. In Act Two there is only one working class woman, Joyce, who is granted voice to criticize the patriarchal society and is, thus, able to exercise agency. Even Marlene, the top manager of the employment agency is unable to exercise agency. This is because she is portrayed as a patriarchal agent and is, thus, unable to change her behaviour in different situations. Resistance to oppression also takes different forms in this play: from a more direct manner like completely abandoning the oppressive forces of authority (Lady Nijo), getting aggressive (Dull Gret) and questioning patriarchal and capitalist behaviours (Joyce). Pope Joan tries to overcome oppression by 'transforming' into what is acceptable in patriarchal societies. Besides, there are also characters who simply endure oppression and do not even complain about their situation (Griselda (Act One) and the interviewees (Act Two)).

Churchill in the guise of this aggressive character expresses herself. Joyce is granted voice, while the interviewees as marginalized groups remain silent and submissive. At first it seems Marlene is more impressive to the audience in comparison to the marginalized characters including Joyce, as unlike the other women in the play, she is successful in business, is dominant, wealthy, and repudiates women and struggles for her rights in a patriarchal and capitalist society. However, as the play proceeds, it becomes obvious that Joyce is more impressive. The character of Joyce embodies Churchill's giving voice, superiority and priority to subverted and muted groups by making them subversive.

The findings here are in tandem with Fitzsimmons' (1988) claim that Churchill had portrayed the struggle of such women as a means to challenge gender inequality. Additionally, the findings supports Hamilton's (1991) argument that Churchill's characters are depicted in a bipolar fashion – either as being afraid to challenge the prevailing social order or being brave to desire changes in the social structure. The findings are also similar to Hamilton, who notes that the characters find their struggle for change difficult as they are controlled by the power of the authorities.

5. Conclusion

This article contributes to the body of literature by examining the resistance to gender and class oppression. Accordingly, it employed Butler's definition of agency to examine whether the characters are able to exercise agency and overcome oppressive forces. Their granted voice in criticizing oppressive forces is also examined as a tool to identify their resistance against patriarchal agents. Our study extended the literature by discussing different forms of resistance to oppression in each play, and highlighting the fact that Churchill's plays have similarities and differences in the strategies that the characters take in resisting oppression. It also noted that not all the characters are able to overcome oppression.

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Theoretical-pedagogical Issues of Forming Professional Competence of Future Philology Specialists on the Basis of Kazakh Language Historical Grammar and Terms

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Abstract

In modern economical state the issue of improvement of future specialist's professional competence comes from requirements of the era. In state program of the RK 2020 about education, improvement of professional competence is among important problems that need to be solved. Also increase the demands for teachers who can develop their actions by creative and resourceful side and can use scientific achievements and best pedagogical experiences. This kind of teacher is responsible for development and education of schoolchildren.

Keywords: *historical grammar, competence, professional competence, morphology, Turkic languages, classification, ancient writing monuments;*

1. Introduction

Requirements to our country to correspond world standards are directly related to teachers. Researchers offer the following 5 direction in formation of competence:

1 administrative, 2 pedagogical, 3 professional, 4 educational, 5 informational. The most complex among them is professional direction.

Russian scientists V.A.Adolf, N.V.Kuzmina, A.K.Markova, E.F.Zeer and etc. in their pedagogical study say that the issue of professional competence of teachers is interesting.

Foreign philosophers like D. Dewey, W.Waller. M.Meed considered professional competence as actions those human needs to adapt the environment. And said that person's profession leads to his interest in something, loyalty to his job and determination to reach his aims.

The term "competence" is often used in connection with the owner of certain social-professional status and his notion in doing his job, knowledge described through correspondence of his solutions of the problems on its level.

In "Glossary of methodological terms" it's said "Competence (from Latin competentis "coinciding") is a knowledge formed in the process of teaching certain subjects, set of skills as well as ability to perform any work."

In Russian glossary, the term "competence" is given as "person's being well aware in certain area."

The word "compete" in Latin means "to know", "to be able to do", "achieve". In wide range it defines the meaning of

58 competence. To define categories of professional competence it's necessary to change them, specify and unite in
59 general logical notion.
60   "Competence" in literature means the integration of knowledge and possibility, results of researches, person's
61 capability to implement his features through general cultural and complex units, his ability to create necessary
62 communication with others and etc. It's direction of realization of young researchers' competence in scientific researches
63 and individual's psychological, theoretic, methodological, technological preparedness in meeting its requirements.
64   According to new view in modern pedagogic, its aim is not giving the basic knowledge but to teach to use that
65 knowledge creatively in real life situations, and also to prepare them for self-development through forming subject
66 competence, to understand environmental truth, to feel their individuality, to acquire basic learning and communication
67 skills.
68   In this inconstant time, state of education is full of contrasts around the world too. Development of society has
69 always been ahead of education, sometimes this gap is measured in decades. Each day human receives lots if
70 information, but content of learning and methods of teaching is left behind. That's why contrasts in education between
71 social necessity and satisfaction of those these necessities resulted in crisis in education. For this reason we need to
72 organize development of teachers' skills on the basis of their professional competence.
73
2. Main Part
75
76 As for term competence, I.N. Schpilrain, S.G.Gellerstein, E.A.Klimov (Klimov, 2003) and other psychologists said that it's
77 an ability to solve problems that we face on everyday life.
78   According to A.K.Markova professional competence is future specialist's psychological function on high level, his
79 achievements in teaching children, professional; mastery and etc (Markova, 1996).
80   We think that professional competence is specialist's efficiency not only in his own sphere but in educational,
81 pedagogical, psychological spheres, and being able to teach them as a basic knowledge and to use them in real life
82 situation, inspire to achieve the goals. From professional it's required to methodological and theoretical knowledge based
83 on pedagogics. Young specialist forms professional knowledge and professional skills through experience.
84   Future philologists' professional competence need to be taken in connection with historical grammar in Kazakh
85 linguistics. The main object of historical grammar is structure of language in the process of formation of the Kazakh
86 nation. Any problem of the language history, especially history of phonetics system and grammar structure relies on the
87 notion of differences of the modern language structure's new phase and traces of ancient times. If a certain regularity is
88 settled systematically, in another language it left as episodic intention, that's why comparison of language of old heritage
89 and modern language facts can't fully show the road that grammar have went. And it leads to the necessity to compare
90 the facts of kindred languages. These comparisons are not going to destroy language's significance in the society.
91   Nowadays formation of Kazakh language history, its development from informative and service sides connected
92 with the distribution of nominal words and verbs. M.Tomanov, who found the main reason of distribution says "phonetic
93 similarity created in the process of historical development". These is why similar words were not single separate words in
94 the ancient time, but were syntactical elements that differed from each other within the context. The researcher not only
95 names the nominal words, but also explains their origin, evolution and grammatical categories.
96   M.Tomanov was the first to write grammatical history of Kazakh language relying on scientific opinions and
97 conception in Turkic language. His work is still recognized as unique and distinctive.
98   Markhabat Tomanov also wrote comparative grammar of Turkic languages and confirmed in Turkology. He
99 showed the main features of phonetic and morphologic structure in Turkic languages by complex and comparative study
100 of old data and could find main systemic peculiarities of Turkic languages, as well as common features. Given the
101 modern Turkic nations formed from tribes that spoke in different dialects according to their social, historical features, he
102 determined main track that started the literary language, the main linguistic regularities. He also could prove that in the
103 last 1500 year, Turkic people frequently communicated with other countries, populated wide range of lands, assimilated
104 languages of non-Turkic speaking countries and gave them Turkic characteristics.
105   Kazakh language became known as young language among group of Turkic languages. Despite the fact5 that it
106 has grammatical structure that went through complex process of formation and has a history of formation, a well-known
107 scientist of Turkology in Soviet time S.Malov has grouped age of languages as following:
108   -   the oldest languages
109   -   old languages
110   -   new languages
111   -   the newest languages

112   He included Kazakh language in the group of the newest languages. Despite considering it as the newest
113 language, he has researches on the grammatical history of Kazakh language. Even though M.Tomanov says that in order
114 to deeply study writing works. This opinion is widely supported in the latest works.
115   At anytime, opposing the opinions of respective scientist and giving new point of view was not an easy thing.
116 M.Tomanov was the one who proved, with detailed scientific studies and historical evidences that Kazakh language can't
117 be the newest language in comparison with other Turkic languages, because their root is common and has the same way
118 of development. The researcher used the fact that our words often start with hard consonants as basis and opposed the
119 idea that Kazakh is the newest language, because hard consonants are old historical process. He admits his
120 disagreement with Malov's idea and concludes: "…in Kazakh language ration between hard and voiced consonants is
121 approximately equal, old sounds combinations like rt, lt, nt are preserved in words. But these features are not new in
122 Kazakh language, it can be the evidence that it started to be formed in early years" (Tomanov, 1988).
123   As for formation of Kazakh language grammar, professor Tomanov studied ancient Turkic monuments not only
124 from linguistic perspective, but also as literary, historical and archeological heritage. Now this issue is addressed from
125 complex perspective. For example, during the systematization if a research written in X-XV centuries, the scientist says;
126 "it's a time when Kazakh's rich oral literature was born and written literature started to form". Thus, he studies oral and
127 written literature in succession and determines their place and own features. These thoughts lead latest researches to
128 build their own relation regarding to folklore. Also works of oral literature gain significance in determining language
129 history. He didn't only make Kazakh and old Turkic languages word speak, but also studied linguistic evidences
130 comparing in a real direction and altaistic level.
131   Tomaniv uses Kashgari's "Diwani lugat at Turik" as collection of oral language. We think that it's a fair evaluation,
132 because we know that proverbs and sayings used as examples on Kashgari's work are the instances or oral literature.
133 Studying Kashgari's work scientist says: "Kypshak materials given in Kashgari's book displays first descriptions of
134 modern Kazakh language". For the first time this was a very bold opinion. So each language place in Turkic language
135 group starts from Kashgari's glossary. In addition turkologist A.N.Samoilov divided Turkic languages into 6 groups:
136   1.   Bulgar or Chuvash group;
137   2.   Uygyr or North-east group;
138   3.   Mountain group, kypshak or north-west group;
139   4.   Tagylyk group, shagatai, south-east group;
140   5.   Tagly group, kypshak-turkmen or middle group;
141   6.   Ol group, turkmen or south-west group (Amanzholov, 1997).
142   Quoting Akhmet Baitursynov, who left significant trace in any field of Kazakh linguistics, "Aim of the language to
143 serve to express from mind's observations, fantasy's wanders and mood's conclusions" (Baitursynov, 1991). In order to
144 find important objectives of the language we need to study achievements from people's spiritual experience and writing
145 monuments from historical heritage. Thus writing monuments of Orhon-Yenisey shouldn't only be compared to Kazakh
146 language, but also developed and it's another important task. A.Saadi concludes his opinion regarding to Kazakh
147 language: "If there's the clearest, richest, the most natural language that saved in its initial state it is Kazakh language
148 and Kazakh literature, and we should announce it to the science" (Saadi, 1926). So to show the beauty of this clear and
149 rich language we seek for the history of language written materials that show the state of language in every historical
150 period is the basis and lineage of language history. For example, archetypes of some of the auxiliary words in Kazakh
151 language can be found some of the Orhon-Yenisey writing monuments. Now, especially when studying language's old
152 heritage, we need to study it in its initial form, without altering anything. They weren't written for experiments of modern
153 specialists (Zhubanov, 1978). And for the substantiation of object of research by theoretical conclusion, we need to
154 consider them not as construction material but as one of the scientific principles. Only when lexical-grammatical
155 description of auxiliary words in old Turkic writing monuments will be scaled together with theoretical basis of modern
156 Kazakh language development, its principal importance and cumulative features will increase. Within this, the main
157 principle of study is to consider lexical-grammatical features of auxiliary words in writing monuments. The aim is to find
158 differences and similarities between auxiliary words in Kazakh language and the level of part of speech. This is not only
159 the problem in Kazakh language history but also in separate Turkic languages. Auxiliary words as categories rely on
160 ancient Turkic runic writing monuments. It's supported by written evidences of Orhon-Yenisey, Talas, and until this time
161 we couldn't identify their root, suffix, affix. But time requires studying it and evaluating, because Orhon-Yenisey is a
162 heritage common for Turkic languages and interest foreign scientists. They know that discoveries should be made not out
163 of from nothing but from something existent. Further we pay attention to signs in monuments. We need to review works in
164 Orhon-Yenisey writing monuments language's role in syntax from collocation point of view, because collocation is the first
165 step in syntax levels. Syntactical relations first of all can be observed in collocation. And in order to create collocation

,separate words must serve each other. Only this kind of coherence helps to create phraseological (collocation) unit. In ancient writing monuments of old Turkic language these units of auxiliary words have lexical-grammatical meanings. There we need to understand that syntactical relation is the connection between main words and auxiliary words, interactions of words in a sentence and the connection of separate sentences. In sentence combination of words is achieved through various grammatical methods. As a result, they create additional grammatical meaning, define the sentence's function and harmonize with it. It's known that auxiliary words don't only connect one words with others but also give it grammatical tones. M.I.Steblin-Kamensky it: "Grammatical meaning should be considered in connection with the function of the word in the act of speech. Each group plays has different functions in thinking: lexical meaning give material for the thinking process, and forms its grammatical meaning" (Steblin-Kamensky, 1974). These features can be observed in auxiliary words in ancient Turkic runic language. For example: I indifferently faced iron door – I encountered Iron Gate. From syntactical and morphological points, this sentence fits the norm of modern language. Within it, to show the overall syntactical level of auxiliary words we take it as example and analyze. So, firstly, "faced door" is an analytical formant that connects nominal word and verb. Which means it connects word and verb with the help of affix. Secondly, this collocation means that action spreads, finishes. Thirdly, it has a function in a sentence. Scientists have their conclusions on these monuments from historical grammar side.

In our language lots of words are used with additional meaning and have a function of grammatical tool. In the whole history of language development they've lost lexical meanings in various levels and gained some grammatical meanings. Even though lexical-grammatical meanings of auxiliary words are abstract when they are individual words, but among other word it become concrete. Commonly grammatical meaning of auxiliary words surpasses its lexical meanings. In monuments of Talass and Orhon-Yenisey functions of auxiliary words are shown in different levels. Some of them determine grammatical connections between words, and others are used to define words, add something to it or give various tones.

Also, as we observed in ancient writings, in development of morphological structure, there're shifts of morphological figures. Even if morphemes in word divided keeping its initial form, as time passes, it started to divide differently according to frequency of usage. In such cases, it's often the shift of sound to the root. Other times, it can be vice versa, and sound from root shift to the affix. Some affixes are kept in south-west languages, and in north-west languages they're replaced. In words "men, sen" in Kazakh language and "ben, sen" in Turkic language, the last sound shifted to affix and affix itself kept in that way (Kononov, 1956). This system is also repeated in nouns. In some languages, last elements of words shifted to previous affix (Kotvish, 1962).

In language structure that has been developing for centuries there're elements of dynamic development as well as factors of ancient times. In works of aforementioned scientists linguistic units of ancient Turkic languages have undergone changes. Scientists have said that historical development of language is defined not only by its comparison to related languages but also by study of its linguistic units. The modern verbs that we use now start off from ancient Turkic writings. M. Tomanov writes: "…in "Kutadgu bilik" the verb "qartaiu" (to get old) used in form "qary" (as definite verb). Thou in modern word "qartai" the letter "t" is an affix that joined with old root. It's also clear when compared to adjective "qariya" (old man.) Also the words "qaldyk, tasqyn, kerek, baq, qaiyq, qysqash" in Kazakh language can be analyzed as initial root and "dead" affix" (Tomanov, 2010) therefore stating that the letter "q" together with the root of dead affix creates one word. Young specialist in his experience can teach morphological development if mother tongue through explanatory and research method.

Changes and innovations in educational system need constant improvement of specialist's professional competence. Our modern educational system need specialists, who keep our history, help to develop and update society and country and engage in self-improvement. This is why the formation of teacher's competence is paid special attention. And teachers with high professional skills and creative thinking are in demand.

3. Concluding Remarks

In this philological research we learned that well-known scientist M.Tomanov's study of ancient Turkic languages contributed to the formation of historical grammar, S.Maslov classified language life by their age, A.N.Samoilovich classified by tribal and geographical place. We also learned from theoretical aspect that each language's place in Turkic language bases on M.Kashgari's glossary and verbs, which we use now are come from the conjunction of root and dead affix in Orhon-Yenisey writing monuments. In connection with this, to improve future specialists' professional competence through teaching grammar, the following requirements should be given:
-    study of linguistic units in ancient Turkic languages in comparison with modern usage of words;
-    to teach learners how to name indicators of morphological development;

220   -   professional knowledge and skills;
221   -   ability to systematize historical grammar of Kazakh language;
222   -   ability to make conclusions on classification of Turkic languages
223   So we found out that in the process of grammatical formation various variants of one unit can differentiate from
224 grammatical meaning, and each of them may have grammatical and semantic meaning. These facts often met in Kazakh
225 language too. The words like: "qystaq, qystau, baq, bau, taq, tau, adyr, aiyr" are in one grammatical row but sound
226 different. Observing grammar from historical point of view, we see that if sounds are similar to each other, words that
227 derivate from them are nouns and verbs.
228
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The Serpent as a Pan-Mediterranean Myth[1]

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Abstract

In this article it is introduced the connections between the archetype of the snake (in it's pure or hybrids forms, as the serpent-woman) and other myths related to the Mediterranean sea, from Preclassics, Christians and Postmodern lectures. It is also introduced the transpersonification mechanisms, which allow the exchange of this legends between snakes and other mythological personifications (enchanted ones, moors, etc.). It is analyzed cases and examples of this archetype in the myths of the Mediterranean narrative, including tales, legends, toponymy, etc. It is also analyzed the projection and modern lectures of this topic, specially its relation with the cultural and tourist patrimony.

Keywords: snake, dragon, imaginary, transpersonification.

1. Investigational Hypothesis: The Snake as a Legendize Ecotype in the Mediterranean Folklore

The snake and its related symbols, like the dragon, constitute a fascinating myth in every culture. It is without a doubt a transcultural myth, but if it's observed the tradition in concrete areas and periods of time, we can talk about special forms of certain areas or ecotypes (Von Sydow 1934), like the case of the snake in the Mediterranean countries. As a fact, from near orient to Morocco or the Iberian peninsula, the Snake is an outstanding topic, and beyond the Mediterranean streams, it can be said that the dragon is a Pan-European symbol, so it is present in different countries and European culture areas, and even UNESCO has recognized the importance of the representation of dragons in France and the Netherlands as a singular part of the Intangible Cultural Heritage of Humanity.

Given the fact that the Mediterranean basin includes countries, cultures, and heterogeneous periods of time, we are going to formulate the hypothesis that the lateral or peripheral areas (as what it would be the Iberian peninsula and what M. Gimbutas names as the Old Europe) would be archaic, this means that they would be the most conservatives vestiges of a matriarchal vision where the snake is benevolent.

In the other hand, in the patriarchal society that is extended all over the Mediterranean sea and particularly in the Semitic areas, the snake is a source of evilness, even turning into a symbol of de devil in the Jewish-Christian culture, and against the representations of the Mother Goddess, which one of its avatars is the snake, appears a representation where the idea of the offering and benefit obtained from this "lord of the water" results opaque, and the "kidnapper" becomes into the aggressor that must be killed. Actually, as Propp illustrates, the figure of the snake/dragon is a symbol of polyvalent because is Cosmogonal, which means that represents the nature in all its cosmic sources, that's why it is linked both to the water and fire, to the mount and to the cave (the earth).

53   In the mythical narrative it is always linked to actions like swallowing, kidnapping or keeping treasures and
54 thresholds (borders), meaning that it suits into the role of *predator* but also *guardian*. Meaning this, the snake prevents
55 the path across the bridge which is over the burning river that leads into the Underworld, it also claims tributes or feeds
56 from the preys. The snake represents el cyclic flow of nature, as it can be appreciate in the figure of the *Ouroboros*. The
57 way of gobbling up is the most archaic, and derives from a maieutic myth: the *predator snake* transfers its wisdom to the
58 gobbled one (legend of Saint Margarita), who is vomited after the process. A reminiscence of this archaic pattern is the
59 archetype of the allied snake, which is fed and in return it is obtained benefits or favors.

60   As the myth gets opaque, it is extinguished the notion of benefit and the gobbler is seen just as an enemy or an
61 aggressor, the hero does not obtain any kind of gift or magical virtue from the inside of the snake, and the hero ends up
62 killing it. We also have the archetype or pattern of the *duel with the snake*. According to Propp, the ritualized duel -
63 summoned by the king, for example, in the legend of Saint George- is characteristic from the old Mediterranean world -
64 with French, German and Anglo-Saxon Versions also- where there was states (polis) already. In this legends new cultural
65 changes are introduced: a young lady is sacrificed annually to the snake, the gobbler is killed from the outside by the hero
66 (Matzke, 1902).

67   The students of the symbolism have recognized the survival of *myths of fights* between solar and lunar beginnings,
68 as J. Eslava Galán demonstrated (1991) according to the Jiennense legend *The Lizard of La Malena*, which is, on the
69 other side, applicable to the Valencian legend of *The Dragon of the Patriarch.* According to Propp (1928), the
70 international form is always an indication of the archaism according to the local and national forms.

71   Synthesizing, we can say that the fight for the hegemony between gods, the comparison between, for example, the
72 heavenly god of thunder and the snakes or dragons, it is a recurrent element in the ancient cosmogonies and represents
73 in many cases the antinomy between Olympic gods and old gods of the Ancient Europe. It is, as an example, Thor
74 fighting the Midgard Serpent, and in the Greek myths it would be the fight of Apollo against Python, Heracles against the
75 Hydra of Lerna; in the Hittite mythology, the god Teshub and the dragon serpent Illuyanka, and in the Hindu mythology
76 the fight of the god Indra against the dragon Vritra. It should not be inferred that there is just a conflict of gods and
77 worships searching the destruction of the opponent, in fact, in the myth of Thor, the god ends up dying when he breathes
78 the poison of the moribund snake, as a hint that one of the powers can not defeat the other, both powers must coexist
79 (*coincidentia oppositorum,* Otto 1958).

80   There is a third pattern, related to the others, which is *the enchanted ones*, where it often appears the figure of the
81 serpent-woman, which, as the dragon, represent according to Propp an anthropomorphic form that starts form the totem
82 animal, and by its definitions it is more modern and it is associated to local oracle cults, people went to the oracles to ask
83 and throw offerings. That's why the enchanted ones appear as local divinities, linked to a singular place, to a holly place
84 inhabited by a "genius loci": the function of it is to keep the place where the power was hold, as a place to cross to the
85 other world (a cave, a well...) and which sometimes holds a treasure (Norberg 1995). Although the modernized legends
86 offer this elements as "loose parts", we know that they all are connected and linked (Calasso 2008).

87   In the case of the Ancient History in the Iberian Peninsula, we find a primitive state, this land was known by the
88 name of *Ofiusa*, land of snakes (Morais 2007). That is the origin of the amount of legends about serpents, dragons, and
89 *mouras* along Spain and Portugal. The hybrid forms (serpent woman) appear as moras queens or *mouras*, and they are
90 always connected with water (fountains, caves, etc), because water, which is the environment of the snake, is like the
91 blood and fluids of the body of the Great Goddess. In every case, the serpent behaves as a *benevolent creature*
92 (Gimbutas 1989)*,* sometimes giver of goods. In every case, this figures act following the first or third pattern (predator or
93 enchanted serpent). The ritual form of duel, in fact, would be more common to impose some kind of cultural heroes who
94 destroy those residual focuses of cult to the Mother Goddess.

95   In Italy, the *ofita cult* appears attested in manifestations like the Cocullo festival or in myths like the *aguane* ones,
96 who keep the woods of the northern Italy, and in Crete according to the minoan goddess of serpents, so there are several
97 legends of serpents in every stream of the Mediterranean sea (Giancristofaro, 2010). The Greek culture used to place in
98 the end of the known earth, which is the Western World, monstrous figures as the Geryon, and in this case,
99 representations close to the witchcraft, mermaids, basilisks, dragons... this means figures half beast and half woman.
100 Love between humans and serpent were part of several legends, that in the Middle Ages would create the myth of
101 Melusine, but it has an archaic base, between the hunt, the abduction or kidnapping and the amorousness and
102 fecundation.

103   All of this must be put in the context of a matriarchal religion, prior to the imposition of the patriarchal that was
104 produced because of the Indo-European invasion. Only in that way the change of polarity can be understood: the
105 divinities that emanate from the Great Goddess appear with a monstrous appearance, like the Hydra or Medusa, who
106 must be defeated by solar heroes, like Hercules or Perseus. In the European folklore the tale of *the murderer Dragon* (T.

107 300) perpetuate this model of dragon-predator, which is developed later in other pattern, the one where the dragon must
108 be defeated or killed by the hero. It is true that this bipolarity between *solar/lunar*, *patriarchal/matriarchal* or *dragon* vs
109 *hero dragon killer*, must be nuanced, because the hypothesis of the matriarchal religion, despite the Bachofen, Graves
110 (2011) and Gimbutas (1989) formulations or the modern followers of the Goddess Movement, is an object of controversy.
111 In tales and legends there are cases were these oppositions are not so clear: in the tale *John the Bear*, the power
112 of the hero comes precisely from the kidnapping of his mother by a bear. In the case of the legends, we certainly have the
113 prototype imported from Saint George and other where there is annihilation and bloodshed, but it is more common the
114 benevolent figure, like in Santa Marta, were the woman is the one who masters or chains the wild beast without killing it
115 (here it is fulfilled the principle of coalescence of Calasso, actually the serpent and the woman are the same, like the
116 Cretan version). Another group of stories reveal even more ancient stadiums, like the legend of Santa Margarita, who is
117 vomited from the inside of the serpent, which means, it is a maieutic myth, of delivery, with clear shamanic and mystical
118 reminiscences. As we said, it is clearly related with the ouroboros (serpent that bites its own tale) as a cosmogony myth,
119 it is the nature which regenerate continuously.
120 Therefore, it seems clear that the *demonization* of women, the dragon and nature go in the same direction,
121 according to Gimbutas (1989) it is because of the triumphant ideology of the Olympic Gods, and that the power to
122 command, contain and dominate the powerful forces is assigned to the heroes, for example, the stories associated to
123 floods, storms -Ulises facing Escylla and Charybdis- etc. The great variety of European or Mediterranean mythologies it is
124 due to what Cardigos (1996) calls "local costume of the legends": in some places the name *mouras* is used, in others,
125 names like xanas or nymphs are used.
126 We do not know how exactly this theory of the two historical periods -a lunar and matriarchal period, with the cult of
127 the serpent as a base, and the solar and patriarchal period- can be. But we can accept the generational factor and the
128 regenerative capacity of the serpent (always associated to cosmogony and primordial myths) and its link to water, without
129 a doubt.
130 The fight between, for example, Olympians and Titans is more than a fight between the forces of order and chaos
131 that are alternated in nature, they do not have the negative connotations that previously were given to serpents, the
132 Semite vision of the snake as a genius of evilness took an influence on it. Also, the bull is exclusively a solar symbol, it
133 must be remembered that in this way a river god used to be represented, which means the natural energy in its maximum
134 degree.
135 The theories of Graves (2011) about the distortions that a religion suffers, and the concept of Montanari (1988)
136 about the "risplamazione coerente", warns us about the inherited stereotypes: the sea dragon and princess Andromeda,
137 or the kidnapped princess and the dragon of the spring, can be interpreted as a unity, separated in two aspects (that in
138 other cases merge, as in Melusine or the serpent-woman). Something similar can be said about the myth of Medusa
139 (Hoys, 2004), maid turned into a monster that holds a magical power -used in the *gorgeneion*- that justified that in the
140 classic world she was represented as lady of water.

141
142 **2. Exchangeable Archetypes and Prosopographies of the Serpent in the European Mythology**
143
144 If the general overview created is correct, what remains to do is to describe an alpha matrix which is not recognized as an
145 avatar of the Great Goddess but as a construction of variabilities, that can be represented in this scales:
146   a) *wet.....................dry*
147   b) *animal...............................human*
148   c) *clawed.............................clawless*
149   d) *female............................. male*
150   e) *to cure (life/health/medicine).........killing/disease/poison*
151   f) *wise...........................ignorant*
152   g) *power........................powerless*
153   h) *hunter...........................prey*
154   i) *sly,cunning...........................innocent, accomplice*
155   j) *fertile........................esterile*
156   k) *invisible........................visible*
157   l) *with power in the eyes........... without power in the eyes*
158   m) *lunar...........................solar*
159   n) *(under,inside, into) the earth......sky*
160   o) *singing, music..........................silence*

161   Many of the Mediterranean aquatic genies are characterized by the features of the left side of this table, but many
162 others have intermediate features. What happen is that many of this features are used to create a counterpoint to the
163 hero and serve the basic law of dualism (epic law of two scenes).

164   Hybrid prosopography is used all over Europe in order to build different kind of myths that are no longer a reflection
165 of the Mother Goddess and neither it is of the Christian interpretation of devil, it is a cultural hero, a joker or player, a
166 trickster, with a grotesque appearance. It clearly appears in the most archaic mythologies, as the Slavic: Veles is the
167 good of the earth, water and the underworld, associated to magic and mischief (Jakobson 1969). It makes a counterpoint
168 to Perun, god of thunder, therefore, it reproduces an ancient Indo-European myth, the battle between the thunder god,
169 who represents the sky and fire, and the Veles dragon, who represents the earth and water. So here we see a battle
170 between good and evil, like it happens in other mythologies (Ivanov & Toporov 1970).

171   Another feature of Veles, which make it close to the perception of the serpent in the Mediterranean mythology, is
172 its relation with cattle and wealth, in fact, Veles is a knitter god, like the spinners of the Mediterranean tradition, Veles is
173 the protector of farmers and harvest. So, Veles gives wealth and sometimes acts like a joker/cheater, which means, a
174 trickster. The complexity of this Slavic god is similar to the Celtic god Cernnunos, god of nature and magic, he was
175 represented with an anthropomorphic appearance and as a snake with ram's horns.

176   This basic concept is also seen in the Nordic mythology, with the battle between Jord, the sea serpent... and Thor,
177 the thunder god, or in the Greek one, with the battle between Apollo and Pyton, but in this case, features that can be
178 seen in Veles become part of different gods: Pan (music and cattle), Hermes (magic and mischief), Hades (death and
179 underworld) and Typhon (enemy in serpent form of the thunder Greek god, Zeus).

180   In any case, European serpent seems like a polyvalent god, from the kingdom of the underworld and dead ones, of
181 the music and magic, of the cattle and wealth, and all of this is linked to the ophidians rites in the continent. In France and
182 the Netherlands we can also see the dragon processions, *guivre (vouivre)* reveal their function as heroes or cultural
183 antecessors, as Melusine.

184   The geographical-historical method has marked known Types and Motive Tables, that set up exchangeable
185 stories, as the Saint George or Saint Martha in their battle against the dragon, similar to other primitive fights against
186 serpents, lizards or Tarasques who killed herds. In the case of Spain, for example, starting from the studies of A.M.
187 Espinosa (1946), a prototype is built with this sequence:

188   •   Beginning of Aarne-Thompson 327A (it means, Hansel and Gretel).
189   •   The brother leaves, and on the way, he obtains marvelous dogs as an exchange of his cattle.
190   •   A donor gives him an invincible sword.
191   Sub-variants:
192   •   C1. He comes to the kingdom where the princess is going to be devoured by the serpent.
193   •   C2. He kills the snake, picks up its tongues and leaves far away with the princess, who is going to marry him.
194   •   C3. A usurper cuts the snake's heads and because he saves the princess, he is about to marry her.
195   •   AC5.The return of the hero with the tongues of the serpent clear the situation. It is followed by the wedding of
196   the hero and the princess.

197   It is significant the archaic pattern of the primordial serpent. Later, Church Fathers, following the Semitic tradition,
198 will identified this *serpens anticuus* or dragon with the devil, and the fights of Saints and knights against it. But there is
199 nothing explained about the triad *serpent-killer-heroine victim* variants in legends, for example, the *serpent-woman*, or the
200 linked between *cuélebres* and *xanas* in the Asturian folklore.

201   *Xanas* and *cuélebres* are not hostile to each other, they are first of all protectors of some places and treasures
202 (ayalgas). The same happens with other *genius loci*, as the *Tragantía* of Carloza (Jaén), which is actually an avatar of
203 lamia, as it is in Morocco *Aisha Kandisha*, a female genie devourer of men.

204   As C. Cabal (1983) announces, the parallelism between *xanas and deceased* is almost the same, and it can not be
205 unlinked from the fact that the majority of this fairies, known as *banshees*, washerwoman, white ladies, etc, are ghosts
206 who lament and warn the livings, it means, they have oracular functions. So ancestors, dead ones and enchanted ones
207 are confused each one with the others, because fairies, just like the dead ones, live in sacred places and walk the paths.
208 In that way, nymphs are anchored to the same places that snakes, forts, dolmens and other megalithic constructions are,
209 known as fairy houses, fairy stones, fairy caves...

210   Moreover, the discovery of what it is called "soul holes" in many of this constructions justify topics like the
211 *estantigua* or procession of the deceased, which is the complementary sequence: the xana who is visited vs the xana
212 who visits, since the ancient paths are sign by the dead ones (that is where the *psychopomp* character of gods like
213 Hermes/Mercury comes from).

214　　　　It is not necessary to analyze the related topics, as the enchanted ones, the dragon killers and others. Now we
215 will focus in the *status* and attributes of the *gobbler serpent*, even though in many legends -unlike the Asturian myth of
216 the cuélebre and the xana- serpents and woman are overlapped, the xana acts in fact as a serpent-woman, following the
217 tradition of Melusine; it is, as a fact, a hybrid that can get marry and have children but it always returns to its "natural
218 environment". The "prey", the human with who it interacts has also two faces, or it is just a prey that falls into its claws
219 and can be a disenchanter, who tries to free it in the night of Saint John's eve. However, the classification of Aarne
220　　　　Thompson (1971) of the marvelous tales determines two different subgroups at the beginning of itself:
221　　　1. Supernatural adversaries (300-399).
222　　　2. Husband, wife or any other enchanted supernatural relative (400- 459).
223　　　　Group 1 englobes tales about the dragon, the ogre or other supernatural adversary and group 2 includes those
224 tales about the enchanted ones, who are intimately connected, but are posteriors, it means, the primal myth, previous to
225 the fighting myths, is the primal or cosmogonal serpent, so the leadership of the story belongs to the serpent/aggressor
226 and its actions, while the other group of Types the hero/heroine and the casuistic of the enchantment are the main
227 interest point.
228　　　　We focus in those types that refer to the image of the primordial serpent, to the Ancient Serpent, a predator. In
229 Espinosa (1946) and the Love Tales of the Light by A.R. Almodóvar (1986) it is included the named *The serpent of the*
230 *seven heads* and *The castle of going and not returning*, texts where the serpent obtains the value of being evil and
231 annihilator. This form of the serpent also appears hidden in other well known tales that have nothing to do with snakes, as
232 John the Bear. In the Andalusian version which J.L. Agúndez (1998) examines, in addition to the extraordinary strength of
233 Lucifer, it also appears the descent from the fireplace, the cauldron or the well where the treasure is, all of them are
234 equivalent elements to "being swallowed" and to the initiation tests, being the ear of the devil the gift which the serpent
235 grants in other tales.
236
237 **3. The Serpent with Two Faces: Devourer and Ally Which Gives Wealth and Gifts. The Three Patterns of the**
238 　　 **Serpent in the Mediterranean Area.**
239
240 Indeed, the known scheme of Saint George and the Dragon, widely Christianized and with quite modern connotations,
241 must not make us loose the point on the personification of the ancient serpent or deity of the protean representation of
242 Nature, which later is extended in different avatars, from snakes to enchanted ones. The essential is what lies in the
243 initiation myth, since the knowledge and the "charismatic gift" can only be acquired after overcoming this sacred
244 experience which is always a regeneration experience, of redemption, of "being born twice". We can see it in every
245 legend where appear a dragon and a lady - duplicated forms of the ancestral representation of the Mother Goddess- but it
246 is something that also happens in many popular tales.
247　　　　To sum up, all of this means that the *ancient serpent* is an ancestral initiation snake, and the *predator serpent*
248 comes from it, and for its shocking myths (as the myth of Santa Margarita, cf. Pedros, 1986) we can interpret it in
249 maieutic key, which means, the disciple was illustrated by the master. Coming out of the dragon's bowels is the same as
250 when John the Bear wants to come out of the well where he went to rescue the princess or to find a treasure, according
251 to different versions. The way to be "vomited" or "being born" to the "new life" can be anecdotic, the hero can be vomited
252 by the monster after a substance (as in the myth of Chronos, where he regurgitate his own children) or it can be by a
253 magical object, as the ear of the devil.
254　　　　The important is that this teaching must be done "into the depths" (in a cave, in a well...) which reveals its
255 connection to the infernal chthonic deity, and with water, and to sum up, with the underworld where the powers of Nature
256 appear in all their glory. The chapter of the gobbler serpent it is always linked to a powerful place, like the named ones,
257 and to an act of power, of apotheosis or "hit" (which is the old notion of "plague"), which holds the human being (Otto
258 1958). Otherwise are the intentions with those numens, the fights between them (comparative mythology) or between
259 them and the human beings, like its seen in the labours of Heracles.
260　　　　Finally, our theory is that, historically, three kind of successive Patterns are established, but all of them are later
261 mixed because of the importance of the Christian traditions, which would be:
262　　　A. *the primordial/predator serpent- Predator myths and introductory ritual myths: the Serpent that devastate the*
263　　　　　*region... Often seen as allied serpent.*
264　　　B. *Duel with the serpent - Fighting myths. Duels against enemies of the same level as the serpent: Gods,*
265　　　　　*Saints... or duels against human enemies: mortal hero who kills the dragon.*
266　　　C. *Enchanted one (Serpent) - Disenchanter- Local Myths, oracles.*
267

268   Narratological Patterns about Serpents (Martos, 2011)

269

270

271

272   The multiple habitat of the serpent supports its nature of linking the cosmic plans; it is especially important the connection
273   *water-mount-cave*, which confirms what it is seen in legends: it lives into the water, in shores, caves or mounts with no
274   continuity solution, they all are enclaves which mark the entrance to the underworld. Water is seen as the limit of the
275   Hades, the frontier with the other world, as the medieval ocean. Normally it is the place located in this linked habitats,
276   since the shore is the usual territory that agglutinate this spaces, it is beside the river or the lake, which is the entrance to
277   it and to caves and close mounts: it is what can be seen in many legends of the enchanted ones. The essential is the
278   amphibian behavior of the monster, its den is between some levels and others, it can be a cave next to a river, a cave
279   into the mountain, etc.

280   The *Ancient Serpent* is similar to the primordial monsters, and that is where it is different from the enchanted one,
281   which is its human form origin, and the prey is similar to the hero. The contaminations and amalgams explain this scheme
282   *Serpent and/or enchanted one + Prey and/or Killer/Disenchanter.*

283   In the three patterns there is a "seizure" of the victims. The serpent is seen as a primordial animal, and for that
284   reason it is seen dual -beneficial and dangerous- and linked to the water and regeneration. The difference is that in the
285   first pattern the raptor acts as in the pure predation myth, that is why it is seen as a rite test from what it is obtain a
286   benefit, for that reason it is the most archaic. In the posterior vision the benefit gets darker, it is introduced the woman as
287   a prize or object of a kidnapping process, and it is spoken clearly about the hybrid monster generation, which means, a
288   crossbreed with humans. The underlying ecological model is the fight for the possession of females, in fact, Greek gods
289   used to rapt and rape nymphs and princesses, for example, Medusa (Goldman, 1961).

290   In pattern C it can be seen that the serpent becomes the background of the enchantment, it becomes the motive of
291   the enchantment (kidnapping, seclusion in a cave or a tower...). Anyway, what is important is that this enchanted ones
292   are the human transformation that is attributed to this mythological beings, for example, turning the enchanted one or
293   xana into a serpent-woman, a hybrid, as it can be seen in the *La Tragantía* and many other legends. The hypotheses
294   studied are many; the most plausible is that they are *shades* or deceased souls and therefore places of power linked to
295   the cult of the ancestors, the ancient kings or local wizards, who also used to interact in a dangerous way with tricks when
296   the intruders bothered them.

297   In any case, the Gobbler Serpent of the first pattern acts with the forcefulness of a plague that is about to come, it
298   is an uncontrollable fact that threats the community. It appears as primal and protean beings, as the ancestral serpents.
299   We already said that its primal sense is to hit, and this, as in the chapter of the Jacob's fight against the angel, also
300   implies to be granted with a mark or a gift, that can be outsourced (the seven tongues of the serpent that the hero carries
301   with him) or internalized, as the Jacob's wound. The initiation-maieutic myth is about it, who survives the test receives a
302   gift, which gives a superior reason to the simple act of dismembering the victim, as the "Chupacabras". In fact, even
303   though the duel is not dramatized as in the legend of Saint George, it is also possible here to beat the giant ancestral
304   serpent that devours cattle and demands tributes or human sacrifices, and there is often anonymous heroes who try to
305   eliminate it subtly, like throwing bread filled with pins (agricultural topic + metallurgy, magical smiths).

306   Why do we know that this pattern is so important and archaic? First of all, because of its ambivalent sense of the
307   relation between the local people and the wild beast, the ambiguity between valor and fear, the feeling of being a prey,
308   the feeling of calming the beast with offerings. We also know by the rites of initiation that an important element is the ritual

death, which means, the act of gobbling followed by the monster, which matches with this pattern. This part would not be logical if the swallow were not followed by a "resurrection", a reborn, and that is what can be seen in scenes where the sea monster regurgitates the "swallowed one", like Jonah and the Whale.

In conclusion, we can see an archaic monomyth where the snake, transfiguration of these figures of the modern myths (anunnaki, reptilians, ancient astronauts...), is associated to the rapt and the predation but also to the prosperity and the absolute otherness, that is where the triple dimension of the *trickster* comes from, as a hero or cultural antecessor, as a cheater and a buffoon; so the three mythical sequences are linked, and this gift is only acquired by being "swallowed" and the aspect of the serpent is always grotesque. The serpent is, in fact, a fecundity symbol, a creation symbol, and those wealth are associated to its mouth, since it is what guarantees wealth. It should be noticed the egyptian idea of the mother earth with form of snake, where it is produced the alchemy. Wealth obtained by the lady of *Frau Holle* come from the "well's mouth", and they come out from it, in shape of gold and pearls. In China, the generator power is also associated to the mouth of the snake, to the spittle of the dragon that has the power to fecundate women, and sometimes in tales, the hero must introduce his own hands into the mouth of the snake, where the wealth come from.

Therefore, this ancestral figure has two faces, it is equivalent to the "mythical ancestor and civilizing hero" that "sacrifice himself for the human beings, that is the ritual death, and at the same time it is his predator, which demands tributes. This ambivalence to what is sacred appears in numerous texts, it is respected, venerated, feared, and it is begged for favors as an exchange to offerings. Little by little, the obsolescence of this codes ends up reverting its relation into a malefic one, it is something that appears in many legends, where someone raises a serpent or plays with it, having a friendly relationship with it, and when it grows up and faces again the peasant, it kills him because it does not recognize him (like the Valencian legend of *The Peasant of the Albufera*).

To sum up, it can be seen that this ancestral figure that embodies so many different forms (angels, demons, fairies, genies...) could be understood in a metaphoric or symbolic way, as the defenders of the myth's critic want (Lecounteux, with his theory of the shamanic double we are able to project), or as well in a literal form, linked to a lived experience, if it is linked to the theories of Evemero. The ancient astronauts thesis is one of them, and of course it clears up many of the phenomena treated and gives them a new perspective.

4. Sacrifice as a Substitute Form of Predation

From the point of view of hunting, the tramp is one of the basic ways of interaction between the hunter and the victim, and the tramp is not just about the prey being reached by the predator in advantageous conditions but it being offered in a immolated way.

The ritual sacrifices are an essential part of the elements of religions, but in the Abrahamic religions the blood ritual seals the alliance and establishes the *keringa*, which means, the revelation, and it is also linked to gifts and charms. If we follow this Mediterranean mythologies (berbers, canaanites...) and we made from them genies, demons or *tricksters* the main figures, then it is logical that the predation offers a deceptive form both in the aspect and prosopography and the fight strategies.

That is how the model of the Jewish Easter is a blood ritual used as a protectoral and blessing ceremony, as it correspond to the ambiguous nature of the *Trickster*. This protectoral ritual has a supernatural nature (Otto 1958), and as the angel of death, it also has a blessing feature, as the blessing mark that Jacob receives.

The story of *The Pied Piper of Hamelin* is related to the model of sacrifice, according to the number of implicit and explicit features that contains. Expressly, appears the wizard or shaman who takes the children, the importance of music and drums, the connection to the mount or the heights (*tofet*) of the molok rites, and the extravagant aspect (clothing) of the Piper. Implicitly, the collective disappearance leads this ritual to Moloc and all the biblical sacrifices and holocausts.

It is also truth that this gothic and dark lecture, which sees in this rites murders of execrable children, contrast with the esoteric vision that extends the ritual as a palingenesis, the soul is offered to be reborn, as the phoenix bird. Borges explains it perfectly in the tale of The rose of Paracelsus, where appear the similarities between the wizard and the cheater. The folklore offers many other similar stories, as the Jacobean legend of the rooster of saint Domingo, who sang after being cooked.

5. Enchantments and Enchanted Ones

The enchantments are linked to magical processes related not only to an archetype of fight but a local danger, in fact, the charms take place in places of power or memory, that are especial in each environment, and it has a bigger impact in the mythology of the nomadic people, when they walk through the countryside, the *oros* (according to the greek concept), is

about getting into the lands of these *genius loci*, who must be conciliated.

In the Mediterranean mythology, genies are constant threats for pastors, and it seems that the *Pesaj* or Jewish Easter has as an origin this ritual which is at the same time a protectoral, salvation and blessing ritual against genies. Genies cheat, harm and manipulate mortals unless these are wise and known what to do. Mythology is full of the taboos: bread of the dead should not be eaten, the offering must be left to be accepted by the god, and its messages must be known how to be interpreted, for example, not following its music (Odysseus, *The pied piper of Hamelin*...) or knowing its sacred name (*Rumpelstiltskin*).

On the other hand, the metamorphosis is linked to the grotesque character of the *trickster*, related to what is monstrous or extraordinary. It is also true that the legends of the enchanted ones sometimes belong with the tales of the enchanted boyfriend or girlfriend, what Bettelheim (1977) calls the *animal-boyfriend cycle*, not only because of its thematic affinity of the enchantment, but because of deeply structural correlations. We also explain what it is called the magical-identity *chronotope* according to the Segovian tale "*The wild beast of the garden*", it should be know that these stories actually show places/events of memory, and fabling about places of power and their impact into the community is actually an act of building a communal monument or symbol to be shared, according to the expression of Keith Basso.

The *maraboutisme* from the Maghreb is one of the evident codes, because, as it is said in the Bible, it is characterized for defining sacred places and mystic-ascetics practices that follow certain patterns, different to those used by the druids. It is not a religion of Nature, the meeting place to practice the cult was the place where the hermit used to become the "spokesman" of the revelation -understood as a chain- and used to bless the place (Ferchiou, 1972). Therefore, we have two key elements: a sacred place linked to water and the perpetuation of the tradition, using a intermediary, which is a sacred man, who is gifted with the *baraka* and make miracles, even when he is dead, using his grave and the veneration of his devotees.

It is therefore a religion of the *genius loci* and at the same time it is a cult which has been compared to the Christian cult to saints, and encloses elements like the saint's burials, peregrinations, recoveries...

Such places of power are consecrated spaces, surrounded by a sacred wood, which is in heights, where the profane action is a taboo. All the expert link this group of elements not as much with the Islam as with the Berber culture, with its primitive paganism. It must be taken into account that in the Berber mythology existed an autochthonous cult to the dead ones and the graves that made the soothsayers and wise men go to sleep to receive in their dreams messages from them. The genies of the place are those who can bless, bring the *baraka*. On the other hand, for Muslims, genies or *djins* are beings created by God, intermediates between men and angels. These are spirits of light, but genies are spirits of fire, who share the physic world of humans, even though they can become invisible or adopt diverse forms. There are those who are obedient to God, others are obedient to devil, and there are those who do not eat, drink or engender and others who do have human necessities. In general, these genies, in every variety, are able to do both benign and maleficent actions, and many of them are full of resentment against men. Genies' metamorphic character is also difficult to distinguish, they can be presented with a male or female physiognomy, beautiful or monstrous, and sometimes they grant a curse related to family, as the locked ifrit in the tale of Aladdin. Therefore, when they appear linked to a place, their diversity of natures and intentions shows up, many of them are thirsty from human blood and hungry for meat, even though there is a group of genies who are beneficial and try to protect humans from those who do try to harm them.

A wife of one of these genies is Aicha Kandicha, a *djinn* with woman body and feet of lambs, who lives next to water, fountains or woods, and appears in lonely paths. She is a very attractive and insinuating woman who subjugates the unwary ones, normally young men, getting them sunken and drowned.

This *ghula* or genie is the arabic equivalent of the lamia, Lilith, with its evil habits of kidnapping children or sleeping with men as a succubus, because genies, as we suggested, can have sexual relationships with human beings, men or women, as they can also change its own children with human's children (v.gr trolls' supplanting actions in the nordic folklore). Genies surround places and spaces like the ones we already mention, and people can only try to appease them and avoid them, appearing many different superstitions about it.

The nexus with all the Indo-European myths is clear, for Berbers serpents are just terrible *djinns*, but, Berbers' autochthonous traditions are different from the Indo-European myths, as what we said about going to a wise man's grave to obtain in dreams the knowledge about divination. It should be remembered, for example, the Galician legend of "The invited skull", which accentuate the opposite, the taboo about the dead ones and the punishment for profaning its space.

Legends about the enchanted ones are oracular myths, myths of communication with the dead ones which actually is a test, the waters (the enchanted ones) know how to discriminate between those who are fair and those who are unfair, the waters, as A. Silvia Karacic says, punish and denounce the fault. This is the topic of the background, the atonement of a fault, the legend of the expiatory target (R. Girard 1982) in shape of a character who is sent to sacrifice. The fabled way is to do a research, to fix a harm or a fault, but in deed is a mediator of the community, which links violence and what

417 is sacred. The enchantment can only be undone by some kind of sacrifice.

418 In the pattern of the serpent lies the collective violence, which is reciprocal. On the other hand, Jarramplas,
419 Carantoñas and other suspicious ways of theriomorphism assume the role of the athenian *pharmakós*, a cripple or
420 another unfortunate individual, who was taken through the streets and people used to throw all kind of elements, the
421 victim was the target of every joke and anger (in that is analogous to the Peropalo), but at the same time was target of
422 veneration as a central part of the rite, since at dying he turns unhealthy violence into beneficial violence, peace and
423 fecundity.

424 So, from our point of view, the myth/rite of the enchanted one has a double spectacular shape, it means, inverted:
425 if it is presented as a figure that comes to the community, which is the case of the *Jarramplas* of Piornal and many other
426 figures of the folklore, it adopts the form of the deceased's masks that visit the village and are objects of "offerings", even
427 if they adopt the form of thrown objects, since it would take part in apotropaic rituals with all the screams, jokes, and
428 laughs. The symmetrical rite consist in a villager who goes to the place of the dead ones, the place of the enchanted one
429 and the rite inverts: he is the one who offers and who, eventually, is pursued, as in many versions.

430 It means oneiromancy was usual, they used to believe in communication with the dead ones in dreams, just the
431 same as the Berbers used to do. Death did not interrupt the dialogue with the livings and it was not necessary an
432 expulsion to the periphery, in the necropolis. People from El Algar's culture also used to bury their dead in tubs, under the
433 floor of their houses, in caves or in natural cracks closed to their houses. Those kind of funerary practices fix with the
434 pattern's distribution we have been defending.

435 Grotesque features, which try to scare, etc. leave no doubt: Carantoñas are the collective reverse of the enchanted
436 one, or this one is the "banished" copy of the Carantoñas, representations or masks that, as Gorgon, are endowed with a
437 great magical power, and they are linked to the myths already referred: death-moon-serpent-water...

6. Conclusions

441 We have revised many cases where it can be seen how the Mother Goddess of the Paleolithic and Neolithic, who was
442 venerated and found the serpent as a significant avatar, evolved into a dangerous and maleficent representation of an
443 animal. All of these opposites to what it can be found in Crete, Cocullo or Portugal, citing some examples. The connection
444 lady-serpent became disastrous and negative, the most important example are the Gorgons. The disdain to what is
445 hybrid, for example, the Chimera, would represent the superiority meaning of the patriarchal culture to all these mixed
446 representations between what is animal and what is feminine, the grotesque intensification features in Medusa would be
447 connected with the male's fear to this female's ancients values, the self-sufficiency or its deep connection with fertility and
448 what is chthonic (DuBois, 1988). This idea is forced by the paradoxical used of the *gorgoneion* in a positive and
449 apotropaic function, as an antidote to the evil.

450 Adorno (2001) highlights the relation between myths and stereotypes, in fact, the popularity of legends like the
451 Saint George's one have instilled a canonical lecture where the dragon is the murderer, the heroine is a passive victim
452 and the conflict is just solved by killing the serpent. In the same way, we have shown de demonization of women in greek
453 myths, such as harpies, Fates, sirens, lamias, etc. Nevertheless, the recurring myth of the serpent-women all over the
454 Mediterranean area (Giallongo) shows this double pole between repulsion and attraction which overflows the stereotype
455 that links women to monsters, because the demonization of women is an operation of censure and fear to the
456 contamination of the diversity that women and serpent represent. In fact, the connection between the serpent and the
457 female menstruation (both Medusa and the menstruating woman have the power in their eyes) feeds this superstitions
458 that link menstrual blood, serpent, poison, mirror, lethal look and death (Cardigos 1996).

459 The change from the gynocentric model to an androcentric model that is documented by Gimbutas generated all
460 this theories about the serpent-woman -with recurring myths as the sacrifice-, but at the same time the new cultural
461 movements -ecocriticism, feminism...- are leading to a new emergency for the *gylanic* culture (Eisler), which means, it is
462 leading to an androcratic model's crisis.

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"Animalistic Context" of Elias Canetti

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Abstract

The article describes the originality of the artistic world, created by an Austrian writer, a Nobel Prize winner Elias Canetti (1905-1994), the author of the unique "animal context". Animalism in the most general sense is a sentient human relationship to animals. The author of this article uses the term 'anthropological animalistic' because Canetti explores human nature through the prism of the animal world. The attitude of the writer towards animals is multifaceted: from sympathy to a special kind of reverence. The work uses an extensive literary material, which allows studying the animal images in the works of various genres. It is noted, that in Elias Canetti's novels different manifestations of animalism are shown. On the one hand, Canetti's story-telling about animals has the mythological character, animals' figures can be attributed to the category of representative symbols. On the other hand, the writer appeals to the world of animals to illustrate the modern society. Special attention is paid to the research of transformation category, because a person's ability to transform, according to Canetti, is the main feature that distinguishes him/her from the animal.

Keywords: *animalism, autobiographical myth, biographical myth, animalistic context, anthropological animalistic, transformation, mythologization, authoring myth.*

1. Introduction

The book, published after Elias Canetti's death "About animals" ("Über Tiere") (Canetti, 2002) is a collection of fragments from the works of different genres: the novel "Auto-da-Fe" ("Die Blendung"), the notes that had been created throughout his life, a philosophical research "Crowds and Power" ("Masse und Macht"), the collection of miniatures «Unsleeping ear. 50 characters "("Der Ohrenzeuge. 50 Charaktere"), the book "The Voices of Marrakesh "("Die Stimmen von Marrakesch "), an autobiographical trilogy "The Tongue Set Free. Story of my Youth " ("Die gerettete Zunge. Geschichte einer Jugend "), "The Torch in My Ear. Life Story. 1921-1931" ("Die Fackel im Ohr. Lebensgeschichte. 1921-1931"), "The Play of the Eyes. Life Story. 1931-1937" ("Das Augenspiel. Lebensgeschichte. 1931-1937"). The appearance of this unusual book wasn't left without the critics' attention (Macho, 2002; Reiterer, 2002, etc.) who appreciated the idea of the "literary encyclopedia of animals" compilation. The epigraph to the book is Canetti's words: "Immer wenn man ein Tier betrachtet, genau hat man das Gefühl, ein Mensch, der drin sitzt, macht sich über einen lustig" (Each time one observes animals, there is a feeling that the man who sit in it, chuckles over you) (Canetti, 2002, p. 10).

The writer, who managed to surprise the readers when he was alive, now, years later, intrigues the fans of his work as well. The biographical myth existing in the time of Canetti's life, nowadays came to the stage of demythologizing. A brief review of the works, published after Elias Canetti's death and books about him were presented earlier by the author of this article (Shastina, 2014). In 2014, another book was published, on which pages Canetti, in his specific way, speaks about the eternal. "The book against the death" ("Das Buch gegen den Tod") is dedicated to the rejection of death: a theme, which became a key theme in Canetti's original mythology (Canetti, 2014), the book also includes notes from different periods of his life. The book editors used the writer's archive, based in the Central Library of Zurich— the city, where Canetti spent the last years of his life and was buried.

The idea to bring together the thoughts, confirming the strong rejection of the death, was not fully implemented during the life of the writer. Of course, addressing animals is also present on the pages of this book, for example: "Certainly the animals are conscious of a very real uneasiness in the presence of the death of one of their own kind. None of them, however, make any pretense of burying their dead ceremonially. The first recorded examples of the latter come from the age of the so-called Neanderthal men, some fifty to one hundred thousand years B. C. (Canetti, 2014, p. 10).

2. Methodology

Methodological bases, used by the author of the article, follows the traditional historical-cultural approach to literature, which combines the experience of classical literature, domestic and foreign. These are, above all, the biographical method, as well as the methods of comparative literature and lingvo-stylistical analysis.

Biographical method allows setting the relationship between the writer's biography and "the animal context" features, created by him. An (auto)biography is seen as a defining moment of creativity. Special attention is paid to the disclosure of such terms as "autobiographical myth" and "biographical myth". Basing on the autobiographical myth, a biographical one is born, pinning the facts of the writer's life presented by the author himself into the mass consciousness of the popular readers. Consideration of some new publications about Canetti, as well as the analysis of previously unpublished books of the Austrian writer, lets the author of the article study his biography from a new point of view.

The comparative-historical method (comparativism) involves the identification of common elements in various national literatures for a sufficiently long period. Animalism, rooted in mythology, is a characteristic phenomenon of literary works of different epochs and cultures representatives.

For the comparative literature, unlike the traditional comparative-historical one, on the one hand, the process of updating terminology is typical. The vocabulary is enriched with universal concepts and categories (anthropological animalistic, animalism, author's myth, etc.). On the other hand, an active assimilation of modern techniques, in particular, of intertextual ones, is obvious.

Linguistic methods of analysis traditionally refer to various methods of analysis of the text and its language. Beside the general linguistic methods, its own stylistics produces, corresponding to the subject of the study and the analysis purposes. Keeping records of Canetti's individual style promotes a more thoughtful reading of his works.

3. Results

The perception of reality through the animal world lets one talk about the artist's worldview: "Er denkt in Tieren, wie andere in Begriffen" (He thinks by means of animals like by means of other concepts) (Canetti, 2002, p. 95). Animal figures add to human traits typification, making the author "free" from excessive detail. Canetti is an artist-animalist in the sense that he treats animals as creatures standing in one row with a man, moreover, his animals are "more human" than people. Admiring the 'younger brothers' immensely, he creates his "animal context". His fiction world has its own specific character, because the writer with a particular mythological thinking filled the created context with mythical animals. "Having mixed" various mythological systems in his different in genre works—from Sumer-Akkadian mythology to Greek-Roman and Eastern ones, Canetti demonstrated the efficiency of myth-poetical method of depicting reality not only in literature, but also on the pages of his philosophical study "Crowds and Power", as well as in flash fiction—"Jottings". "Anthropological animalistic" by Canetti is a unique phenomenon, as the animal world in the works of the Austrian writer appears not just in a "personified form". When the animal world is depicted, anthropomorphic and animalistic traits "compete" with each other depending on the situation and the author's intent.

4. Discussion

In the world literature there are many examples where the writers, showing the "truth of life", describe animals, that's why the topicality of the art animalism problems in modern literature is undeniable. The famous fairy tale-parable of the English writer J. Orwell's "Animal farm" (Orwell, 2012), full of humor and sarcasm, foreshadowed the post-war social experience. The example of a modest farm shows the model of dictatorship, because the laws dominating the "barnyard" are taken from human life, the totalitarian society sends its "citizens"—animals— to the slaughter. Canetti is far from simple socialization, although in some cases his criticism of homo sapiens is no less urgent than the J. Orwell's.

4.1 Animalism and mythology

As you know, in the most general form of animalism represents a sensible human relationship to the animal world, it is therefore natural that the animalism roots go back to the primitive society, in which depths myths are formed. The role of animals, as well as of the animalistic element in world mythology, is great. It is determined by the value the animal had at the early stage of the humankind development. That's why the mythologized animals are present in the mythological system of different world peoples.

As for his "biased" attitude to myths, Canetti repeatedly claimed that myths are wisdom treasury for him, which has

111   the inexhaustible potential, "the myths are more amusing as they are full of transformations" (Canetti, 1990, p. 288). The
112   world, seen "through the myths ", according to Canetti, appears in complete truthfulness, in the myth, there is no
113   opposition between the world and the human perception of it. Thus, Canetti formulates his own approach to myth, the
114   study of which is necessary for the comprehension of the author's artistic world. Addressing the myth became the writer's
115   method of reality cognition, because he understands not only the "the old myth", descriptions of customs, rituals and
116   ceremonies of primitive peoples and disappeared cultures but also historical messages about travels, diaries,
117   biographies, as well as psychiatric practice descriptions. Such a wide range of myth interpretations is another feature of
118   Canetti, which distinguishes him from many "mythologizing" authors. In the work "Jottings", dated by1947, he wrote:
119   "Myths mean more than words to me, and this is the deepest difference between me and Joyce. But my piety to the
120   words is of another kind, too. Their sovereign integrity is almost holy for me "(Canetti, 1990, p. 268).
121   According to K.-P. Zepp, all Canetti's works are filled with myths, and this allows to speak about the special type of
122   the author's mythological thinking, according to which the recreated mythopoetic world model fills the text space,
123   becoming one of the dominant principles of poetics (Zepp, 1990, 42).
124   Canetti's system of the world perception is based on "myth making", according to P. Angelova, (Mythos von der
125   Verwandlung) (Angelova, 2005, p. 131). As a kind of "myth-man" (Mythoman) (Hornik, 2006), Canetti believed that "bad
126   poets erase traces of transformations, while good ones openly demonstrate them" (Canetti, 1990, p. 262). It's necessary
127   to dwell upon what Canetti calls "transformation". In his opinion, the poet is the keeper of the transformations, the keeper
128   in a double sense. First, he absorbs literary heritage of humankind, so rich in transformations, at the same time, he is
129   prone to transforming himself. The biographer of the Austrian writer S. Hanuschek, notes that the creation of the protean
130   artist's biography, which is undoubtedly true about Canetti, is a risky thing, since it is difficult to grasp the essence of the
131   individual, performing different roles, riven by transformations (Hanuschek, 2005, p. 15).

132
133   *4.2   "Anthropological animalistic" of Elias Canetti*
134
135   Oxymoron "anthropologic animalistic", in our view, perfectly reflects the originality of Canetti's artistic world, in which quite
136   real animals live and carry the burden of human problems. According to H. Timmermann, Canetti creates such sketches,
137   whereby "each animal can be perceived as a man" (jedes Tier als ein potentieller Mensch angesehen worden wäre)
138   (Timmermann, 1985).
139   Contrasting a human versus an animal, with the latter being better, is another feature of Canetti's artistic thinking.
140   His animals are creatures, without which a human life is impossible to the full: "You haven't any friends among the
141   animals. Do you think that this is a life? "(Canetti, 1990, p. 352).
142   Staring at a human through the eyes of an animal, he frequently gives a verdict to the humankind: "Es ist nicht
143   auszudenken, wie gefährlich die Welt ohne Tiere sein wird" (It is hard to imagine how dangerous a world will become
144   where there are no animals) (Canetti, 2002, p. 13). Animals are able to watch with the human eyes, while a person is able
145   to transform into an animal: "Von den Tieren sind wir abhängiger als sie von uns: sie unsere Geschichte, wir ihr Tod.
146   Wenn es sie nicht mehr gibt, werden wir sie alle mühselig aus uns erfinden "(We are more dependent on animals, than
147   they are on us: they are our history, we are their deaths. If they disappear, we will look for them in ourselves) (Canetti,
148   2002, p. 45).
149   In the "Jottings" by Canetti there are so-called "changelings" (Umkehrungen), in which this opposition is absolute: "
150   Der Hund nahm seinem Herrn den Maulkorb ab, behielt ihn aber an der Leine" (The dog took off its owner's muzzle, but
151   left him on a leash) (Canetti, 2002, p. 59).
152   Elias Canetti tried to find in world religions the answer to an important question—what should be the attitude of a
153   person to death. Buddhism does not satisfy him because it refuses too much, but does not answer the question about
154   death. Christianity is much closer to him, because here, at least, dying is central, the theme of the cross and crucifix is
155   present in all forms of Christianity. There is not a single Indian teaching, according to Canetti, which really would be about
156   death, so Canetti creates his own religion. He is against death itself as death is horrible, he denies it the right to have any
157   positive sense, deprives death of its attractiveness and false glitter ".
158   "The main brevity of life is that it hates death and those religions that tend to obscure this hate, are contemptible
159   and hopeless in their desperation." (Canetti, 1990, p. 257). However, the rejection of death requires continuous
160   awareness of its existence, so Canetti creates his own author's myth of death, criticizing fashionable at that time theories.
161   So, Freud's "instinct of death", according to Canetti is the sibling of ancient and gloomy philosophical teachings, which is
162   much more dangerous, "as it is camouflaged by biological terms with the attraction of modernity "(Canetti, 1990, p. 307).
163   Canetti includes animals into the process of thinking about the human life sense: " Wir sind *ernster* als die Tiere.
164   Was wissen die Tiere vom Tod!" (We are *more serious* than animals. What do animals know about death! (italics

165 hereinafter belongs to Canetti) (Canetti, 2014, p. 10)
166   Experience accumulated by humankind during the two world wars, had a great influence on the formation of the
167 writer's artistic thinking. Canetti's rejection of death should not be understood literally, he speaks, first of all, about death
168 as a social phenomenon. The majority of humanity is passively watching the death of the warring parties, thereby
169 supporting the death. In "The book of death" (Totenbuch), which includes a thematic compilation of notes, one of the
170 sketches is called "Ants and death" (Ameisen und Tod), which starts with the words: "An ant knows nothing about
171 epidemic and all of our diseases" (Canetti, 2014, p. 7-8). People are experimenting, checking the "ant" 's persistence in
172 "inhumane" conditions, eventually coming to the conclusion that learning about death is the "event" of human history
173 ("Die Erkenntnis des Todes scheint das folgenschwerste Ereignis der menschlichen Geschichte zu sein. ") (Canetti,
174 2014, p. 7-8), so people should learn from insects that are humane, even when fighting: «Er will in die satte und
175 wunderbare Welt wiederkehren, wenn niemand mehr stirbt und die Menschen ihre Kriege durch Ameisen, die sehr
176 human sind, austragen lassen» (Canetti, 2014, p. 17) (He will return to this wonderful and well-fed world, if no one else is
177 dying and people show their war on the ants, which are very humane).
178   In 1936, Canetti's speech on the occasion of the fiftieth anniversary of Hermann Broch contained important ideas
179 on the writer's mission, the relationship of the artist with the time in which he lives, his responsibility to the time, as a real
180 writer is always at the mercy of his time, he his its "last slave" (ihr niederster Knecht) and " its dog" (Hund seiner Zeit). It is
181 clear that the word "slave" carries fewer positive connotations than "a dog" that is indefatigable, his wet nose poking
182 around, missing nothing, it is unsaturated (Canetti, 1990, p. 24).

4.3 Canetti's animalistic motives

186 On the pages of the first book of his autobiographical trilogy, "The Tongue Set Free", Canetti outlines a series of events
187 where there is such an animal as a wolf. It is known, that a wolf is a mythical animal in many cultures, it is connected with
188 the idea of the werewolf, fearful for the humans. The totemic myth about a werewolf is transformed in the child's minds
189 into the fairy-tales about the werewolf, heard in Ruŝuk (Rustschuk) the hometown of the writer, located on the lower
190 reaches of the Danube in Bulgaria (today's name is Rousse) (Canetti, Die gerettete Zunge, 1994, p. 16-18). In addition,
191 these tales are complimented by the scary stories related to wolves' attacking people, the memorable image of a father
192 under a wolf mask is associated with fear (Canetti, 2002, p. 63-64).
193   In the afterword to the book "About animals" a famous German writer B. Kronauèr writes about Canetti's two-
194 dimensional attitude to the world of "younger brothers"—helpless sympathy and distanced admiration (Canetti, 2002, p.
195 109). Telling the story of his childhood, Canetti uses opposition, which explains his attachment to the world of animals
196 and the lack of understanding between mother and son, evolving over the years. Two worlds—"the world of mother
197 without animals" "(tierlose Welt der Mutter) and the world of the child who is experiencing "hunger", yearning for an
198 animal (ausgehundert nach Tieren)—do not intersect. In this case, it is difficult to overestimate the role of animals in the
199 writer's inner world, animals show his associative perception of reality: the world, which has a place for the animals, is
200 filled with kindness and, on the other hand, the absence of animals indicates a lack of emotion.
201   It is noteworthy that in the novel "Die Blendung" the descriptions of nature are practically absent, animals are also
202 almost unmentioned. This is hardly by chance, if to take into account how Canetti treated animals. The idea of the novel
203 was to show "the world in a state of collapse," at this the writer assumed that "the world is no longer possible to depict like
204 in previous novels" (Canetti, 1990, p. 126). The poetics of the novel, which in 1981 was awarded the highest award— the
205 Nobel Prize, deserves a separate discussion, beyond the scope of this article. The inhumanity of the world in the
206 approach to the anthropological disaster represented by the Second World War, is reflected in the "new reality", where a
207 person as a part of nature, is actually alone. The human world without animals is, according to Canetti, deprived of
208 humanity.
209   At the same time, the author "compensates" the lack of animals' real images" in the text of the novel, widely using
210 metaphors involving animal images. For the main character Peter Kien, his wife Teresa is the "angry cat", "the
211 bloodthirsty Tiger", in her eyes, he is "a beaten dog". A retired police officer, a sadist Pfaff, who beat his wife to death, is
212 calling itself "a red cat", ready to destroy the entire district: "Let them know their mouse hole! I'm a red cat. I'll bite and eat
213 them» (Canetti, 2000, p. 461). In the eyes of George, Peter Kien's brother, a successful psychiatrist, he is a "ravenous
214 beast", "a lion in his den", which does not speak but growls. Eventually, Pfaff becomes the owner of the Zoo, which is
215 logical.
216   An allegorical figure of the cat is transformed on the pages of the novel "Die Blendung" into the image of a tiger, a
217 jaguar, a red cat. George on the eve of the meeting with his brother dreams about two cocks" the bigger one was red and
218 weak, the smaller one was sleek and sly" (Canetti, 2000, pp. 517-518). It is obvious that it is about the two brothers. The

"dream" script describes further events development—the elder brother's disputes—the red cock— with the younger brother, the smaller cock, the denouement of the novel is logical, which is described in the chapter "the Red cock" ("Der rote Hahn") (Canetti, 1999, pp. 502-510). The red cock is burnt, a predicted outcome, guessed in a dream, it becomes a cruel reality. A red cock for Peter Kien, who is a sinologist, the "main China specialist" of his time, according to the Chinese tradition should serve as a talisman against fire, but the plot makes it a symbol of fire.

Canetti often uses metaphors in naming the animals in various comparisons—when describing the appearance of the person and his character, when characterizing the phenomena of social life, since "a man" is not a miracle for him anymore. Miracle for him is "the animal" (Canetti, 1990, p. 356).

In the third book of his autobiography "The Play of the Eyes" Canetti writes about G. Broch. When describing the great contemporary, Canetti uses a visible comparison with "a big and beautiful bird"—"every poet - has his own animalistic heraldry" (Averintsev, 1996, p. 327) but this is a bird with clipped wings, looking at which, you see that it lives by memories of that past time when it still could fly (Canetti, 1994, Das Augenspiel, p. 28).

In 1954 year Canetti took a trip to Marrakesh, a city located in Southwest Morocco, in the foothills of the High Atlas. The impressions of this journey are the fourteen sketches—different in the size and in the content. He published them only thirteen years later, as reflected in the title: "The Notes after One Trip" ("Aufzeichnungen nach einer Reise "). Thus, Canetti emphasizes that the book appeared later, that it was not based on the traveler's notes meeting the exotics of a faraway African country, but the book is the thoughts of what he saw and heard. The author being distanced in time reveals the nature of impressions—only the most important things are worthy of mentioning. The book "The Voices of Marrakesh" (Canetti, 2004) takes a special place among the works of Elias Canetti. Unlike all the prose, here real people are described, not the 'figures' which only replace human images. Canetti was looking for the traces of the ancient culture his ancestors belonged to, in the variety of Eastern life.

Canetti is prone to grotesque imagery, his grotesque in in the accentuated perception of reality, nothing is smoothed, on the contrary, it is dramatized, a special voltage is created and passed to the reader. The first chapter in the book is called "Meetings with the Camels" ("Begegnungen mit Kamelen"), it is dedicated to human abuse of frightened animals, which feel the approach of death. Their destiny is clear - they all have to be slaughtered. The man is strong and cruel at the same time, he defines the fate of others. The crowd, which has no rights, in this case - a herds of camels-, and unlimited power over it exercised by a some people - isn't it the main conflict of humanity, present in all cultures. Canetti devoted a study, which took him almost thirty years, to the dichotomy of "crowds vs power" ("Crowds and Power").

V. K. Donahue writes: "What we witness in "Begegnungen mit Kamelen "(Meetings with the Camels), and, mutatis mutandis, in the book as a whole, is the very process of narrative displacement. While "Canetti" the tourist is adamantly fixated on fulfilling his escapist fantasy of gazing upon the enigmatic camels bathed in the dusky orange light of a North African sunset, the author enters retrospective enough "extraneous" data into the story that in the end the camels themselves transmogrify into haunting icons of human suffering "(Donahue, 2007, p. XII).

For Canetti the central paradigm of human activity is "hunting", which is a projection of all major anthropological categories, such as "mass", "power", "transformation", "survival". The human ability to transform, according to Canetti, became the main feature that distinguishes the human from the animal. At the same time, the animals had been exposed to transformation earlier than the humans, however, it took a man a century to come out of the world of animals and to become "a homo sapiens".

The artist also "hunts", but his trophies are different. He hunts for impressions—seen and heard, he is "a keeper of transformations".

In the book "Crowds and Power" Canetti dwells on the mechanisms of transmutation, he relies on numerous myths and tales involving animals and insects. Discourse on the nature of authority is also supported by using animals' images. For example, the difference between violence and power Canetti illustrates with the relationship between a cat and a mouse: "The cat, which caught the mouse, is expressing violence towards it. She overtook her, grabbed and will now kill. But if the cat begins to play with the mouse, a new situation arises. <...> Space, blocked by the cat, moments of hope, given to the mouse, though the cat follows it carefully, cherishing the thought to destroy it, all this together—space, hope and intention of destruction—is the true body of the power or the power itself."(Canetti, 2012, p. 346-347).

In the novel "Die Blendung" the author himself speaks via psychiatrist George Kien's words: "Monstrous, untamed, mighty and sweaty beast, it wanders in us all, it boils in the depths, much deeper than the mother's womb. Despite its antiquity, it is the youngest living creature, the most important creation of the Earth, its purpose and its future (Canetti, 2000, p. 440). Thus, Canetti created a unique image of the mass, using vivid metaphors, which let us imagine the "beast" personally: it is inseparable from human nature.

To our mind, right is the idea that in the "Jottings" animals play a special role. Thus, the book of notes " The Pain of

the Flies" ("Die Fliegenpein") Canetti describes an insect's "sufferings" after becoming a human's "victim" (Canetti, 1995). Canetti, telling the terrible story of a "living necklace of flies" on the neck of some lady, once again draws attention to the problem of man's inhuman attitude to nature, the problem of so-called "mind outlay". Canetti remains true to himself here, his permanent attitude to animals—worship, call for humanity, as well as a look into the depth of human nature: "He tore off the spiders' legs and threw them, helpless, to their own net". Animals are taking places carefully around the edge and watching the men caught."(Canetti, 1990, p. 312).

5. Conclusion

When describing the "anthropological animalistic" the question is the uniqueness of the writer's art, his ability to learn and show animal images. Canetti's «animalistic» worldview is similar to myth, since it contains the features of the eternal, imperishable. Canetti convinces humanity to save humaneness, the measure of which will be the animal: "Der Mensch ist das Maß aller Tiere" (Human is the measure of all animals) (Canetti, 2005, p. 47). The presence of animalistic images in Canetti's texts indicates genetic affinity of his attitude to mythological poetic traditions. Anthropological animalistics is a system of images and motifs of the fauna, which includes animalism as artistic interpretation of reality. The study of the artistic world of the Austrian writer, Nobel prize laureate Elias Canetti opens new perspectives of studying his work and art specifics.

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The Rejuvenation of Equivalence Paradigm in Literary Texts: Equimediation as the *Seul et Alleiniges* Paradigm in Translation

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Abstract

Currently, conferring a durable and fix definition of "Equivalence" is a drudgery task and activity in Translation Studies (TS). That is owing to the fact that the former demarcations substantiate as unworkable, unexploitable, and inefficient in this area. Equivalence in TS is a cardinal facet which needs to be paid much more heed. To ratify the essence of equivalence in translation, some paradigms vulgarized for their functionality. Paradigms such as Equivalence, Purpose, and Description are the core ones in the intended field. On the flipside, their fame never continue to exist so as to verify the very nature of equivalence. This is due to the fact that these paradigms did not work well on the whole facets of equivalence. The present study seeks to investigate on one fresh paradigm in equivalence known as Equimediation Paradigm (EP). This paradigm is made of five major phases as Strong Equivalents (SE), Weak Equivalents (WE), Brittle Equivalents (BE), Degree of Intensity (DI), and Degree of Occurrence (DO) to show its feasibility and speakability of the concealed rationale behind the literary text. In the circle of translation, translator is treated as a robust mediator in order to interlink the source rationality to the target one. Equimediation paradigm spies out the void and x-areas in TS to substantiate the vital particularities of equivalence in diverse fields. As time elapses, Equimediation Paradigm seeks to peruse Source-Target Reconciliation and Deep-Surface Layer of language so that the translator can meet the needs of the source-target reader as part of the team in this paradigm.

Keywords: Equivalence, Equimediation Paradigm, Source-Target Reconciliation, Deep-Surface Layer of language

1. Introduction

Nowadays, New Translation Studies concentrates more on cross-cultural or inter-cultural communications. It is completely natural to say that communication requires establishing one stable paradigm so as to transmit the approximate function, form, and meaning of the source language into the target one. In this process, Equivalence Paradigm is notably worth noticing. Establishing and functionalizing Equivalence Paradigm in translation is an ordeal task despite its feasibility and practicality. As Catford (1965) points out that:

> "The central problem of translation practice is that of finding target language equivalents. A central task of translation theory is that of defining the nature and condition of the translation equivalence (p.21)."

Generally speaking, replacing the textual material of the source into the textual material of the target one requires familiarizing with the two poles (Source Language and Target Language) in translation. However, in recent decades; most of the translators or interpreters distort and neglect the validity of equivalence in their translations just so as to convey the essence of the text.

Prior to the act of translating, translator should consider two aspects of equivalence namely: (1) Equivalence is definitional and (2) Equivalence is feasible. The former alludes to translator's options to opt for the near and proximate equivalents to ameliorate the process of translation. And the latter refers to the effects on readers. It means that choosing suitable and appropriate equivalent causes the text to convince the reader which is the ultimate aim of equivalence paradigm in Translation Studies. However, most of the translators cover the first trait of equivalence due to the fact that they are unable to schedule their time to opt for the right and convincing equivalent. In this case, mutually agreement amongst the source language, the translator as the mediator, target language, and target readers will be violated and

58 labeled the translation as an artificial or business rendering. Therefore, attempts should be made to connect the two
59 facets of equivalents simultaneously.
60   In the second half of twentieth century, theorists of translation faced with choosing the right and proper equivalents
61 for their renderings. One of the most and robust frontiers against equivalence paradigm was Structural Linguistics. The
62 real and fix notion of structuralism comes from the viewpoint of Wilhelm Von Humboldt, Edward Sapir and Benjamin
63 Whorf observing diverse worlds along with different languages. Mostly, they scrutinize language as some sets of relation
64 and they do not pay attention to the meaning, form, and function of language. According to structuralism's notion, the text
65 by nature is untranslatable and no one cannot discover the same value or function in the target language. Nevertheless,
66 in the long run; Equivalence Paradigm gave rise to its climax in that it inspects the equal values in source and target
67 languages. Therefore, most of the translation turned to be artificial since the reader could not persuade him or herself as
68 the persuasive translation. As the time goes by; equivalence paradigm progressed and ameliorated since it could answer
69 some of the translators' queries on natural equivalence. Then Equivalence Paradigm came to the scene as Natural
70 Equivalence.
71   Nida and Taber defined Natural Equivalence as *"reproducing in the receptor language the closest natural
72 equivalent of the source language message* (1969, p.12)." In this direction, translation equivalence would be regarded as
73 one-to-one correspondence. It means that one element of the source is translated by one corresponding element in the
74 target language. Andrew Chesterman (1996/2005) argues that natural equivalence will be treated as convergent
75 similarities in which it conveys same qualities of the source text and later he depicts natural equivalence as A↔B. This
76 interaction is completely reversible as source and target language will be treated the same. But, the problem is that how
77 can natural or convergent equivalents verify new terminologies/information in translation? Or how can convergent
78 similarities corroborate the psychological nature of the source language text?
79   Due to unworkability of the natural equivalence, most of the translators propose the directional equivalence in their
80 translations. Directional equivalence can be defined as "*a source language text to a target language text which is as close
81 an equivalent as possible and presupposes an understanding of the content and style of the original* (Wills, 1982, p.32)."
82   Noteworthy, directional equivalence behaves as one-to-two correspondence as one textual material in the source
83 language can be utilized by two or more textual materials in the target language. In this respect, Andrew Chesterman
84 (1996/2005) addressed this kind of equivalence as "divergent similarities" since its relation is asymmetric along with
85 various roles and expectations. He represents divergent similarities as A→B, C, and D... Divergent similarities positions
86 itself in irreversible way in which the translator cannot render the target language text like that of the source at the same
87 time.
88   Directional equivalence suffers from some shortcomings such as source-target asymmetries and superiority of the
89 source text. Equivalence paradigm would be investigated on the other paradigms such as Purpose paradigm (Skopos),
90 Description Paradigm, and Localization Paradigm which will be expatiated thoroughly in literature review of this article.
91   Finally, there are some challenges on Equivalence Paradigm which puts this paradigm in the lowest position
92 amongst others. This present study seeks to investigate on unworkabilities of translational paradigms in New Translation
93 Studies and then proposes one new paradigm known as "Equimediation Paradigm" to show void and ambiguous areas in
94 translation. Equimediation paradigm inspects the higher and lowest positions (outcomes) of the words in order to saturate
95 the needs of the reader. In this process, Equimediation paradigm considers all possibilities in translation such as
96 comprehensibility, translatability, and untranslatability. It is tried to depict the well-balanced scheme and explain the
97 nature and subcategories of the intended paradigm in Translation Studies.

99 **2. Review of Literature**

101 *2.1 Equivalence Paradigm*

103 Equivalence is a term in translation which broadly covers information outside the field of enquiry. Therefore, it is better to
104 depict and explain the general definition of this term so as to get acquainted with the nature of equivalence. According to
105 House (1997):

107   *"The notion of equivalence is the conceptual basis of translation and, to quote Catford (1965), 'the central problem of
108   translation practice is that of finding the TL (Target Language) equivalents. A central task of translation theory is
109   therefore that of defining the nature of conditions of translation equivalence' (p. 21)" (p.25)."*

111   In this sentence, one has to discover the suitable and appropriate element in the target language having the same

112 potentials as the source language elements in this regard. Therefore, replacing textual material of the source text into the
113 target language textual material is of great importance in equivalence paradigm. Equivalents in translation cause the
114 renderings more to be operationalized as they inspects the superficial aspects of the equivalents. Operationalizing the
115 translation needs to schedule equivalence via Machine Translation since it scrutinizes the possible range of equivalents
116 in the target language.
117 In this connection, Jäger (1989) explains that:

119 *"Auf dem Hintergrund der modernen übersetzungstheoretischen Konzeptionen, die darauf abzilen, den Text in der*
120 *Sprachmittlung ganzheitlich zu erfassen, entsteht zwangsläufig die Frage, ob die auf die Aufdeckung und Beschreibung*
121 *von Äquivalenz betziehungen gerichtenen Untersuchungen überhaupt einen Sinn haben. Wir würden diese Frage*
122 *ubedingt positiv beantworten und haben dabei einen besonders ansprochsvollen Bewährungsfall der*
123 *übersetzungswissenschaft vor Augen, das automatische Übersetzen. (p.33)."*

125 From the mentioned definition, one can conclude that the ultimate aim of equivalence paradigm is to deal with
126 Machine Translation covering the surface structure of the source and target language text. However, the problem is that,
127 equivalence paradigm will not be able to saturate the needs of the reader via machine translation. According to Akbari
128 (2014a, p. 5-8) Machine Translation cannot cover the whole framework of equivalence such as (1) Syntactic Problem, (2)
129 Natural Language Inter-translatability, (3) Idioms, Slangs, and Expressions, (4) Lexical Ambiguity, (5) Paralinguistic
130 Problems, and (6) Stylistic Effects of Translation. Therefore, equivalence paradigm in Machine Translation is just utilized
131 for superficial renderings of the text to convey near concepts of the source language into the target one.
132 It is necessary to explain that equivalence in Equivalence Paradigm is relational since no two equivalents can
133 cover the same topics in the target language. Every equivalent has its own potential to be used in the target language to
134 transfer the meaning. But, the important fact is that language patterning and language sensitivity are of great important to
135 shape the real nature of equivalents in translation (Akbari, 2014b, p).
136 In this connection, Nida (1986) expressed that:

138 *"There are no two stones alike, no flowers the same, and no two people who are identical. Although the structure of*
139 *DNA in the nucleus of their cells may be the same, such persons nevertheless differ as the result of certain*
140 *developmental factors. No two sounds are ever exactly alike, and even the same person pronouncing the same words*
141 *will never utter it in an absolutely identical manner (p.60)."*

143 Everything in this world is in state of suspense, and one cannot expound it by ins and outs. This is completely true
144 of equivalence in Translation Studies. But, the important issue here is what Nida says "*Although the structure of DNA in*
145 *the nucleus of their cells may be the same*". Every word emanates from the same source of comprehension and
146 utilization. In spite the fact that no two equivalents are the same, the translator can approximate to the deep layer of the
147 words in order to decipher the point of similarities. Therefore, establishing the well-defined procedures in equivalence
148 paradigm to find the same equivalents is an arduous task yet possible.

150 *2.2   Purpose Paradigm*

152 Equivalence in this paradigm will be treated differently in compared with Equivalence Paradigm. In this category,
153 equivalence will be treated via its purpose, message, and data-driven based. One of the first precursor of this paradigm
154 dates back to Hans Vermeer (1978) who proposed this paradigm to corroborate the nature of target language text. He
155 sees translation and equivalence in a circle of function in this direction. Apart from Hans Vermeer, the founder of Skopos
156 theory, Christian Nord (1988), Margaret Amman (1989), Hans Hönig and Paul Kussmaul (1982), and Holz Mänttäri (1984)
157 are other scholars who work in this area to corroborate the nature of function and purpose in translation.
158 In purpose paradigm, some elements should be mentioned as the basis. First, the translator should get acquainted
159 to the term of Purpose in translation. According to Skopos theory, purpose will be defined as aim, goal, or intended
160 function of the text. It means that the translator should consider the text type or intended function of the source text prior
161 to the act of translating. Every text has its own function to be transferred. Therefore, equivalence should be treated
162 functionally in order to persuade the reader to get the gist of the source text. But, some scholars in this paradigm are in
163 state of disagreement which puts this category/paradigm into jeopardy. Some treat equivalence on the source based,
164 whereas others treat it as the target-sided notion. The second element to be taken into account is the role of the client.
165 Client plays the most important role in this paradigm in which he/she gives some instructions to the translator about the
166 way of translating. Saturating the needs of the reader is of high performable. Client in the target text decides on

167 functionality of translation. Naturally, equivalence in this paradigm will be influenced by the clear instruction of the client.
168 Therefore, text types, target-sidedness, the role of the client, and the clear instruction or translation brief are the key
169 components in this paradigm. So, the translator acts like an expert who seeks to establish cross-cultural communication.
170   Purpose paradigm determines equivalents in a professional situation as the translator should get familiar to all
171 rules of the target language texts in order to do well in this paradigm. Professional situation refers to the role of the client,
172 translation brief or instruction, commission, and translation target-sidedness discussed before. Therefore, unlike the
173 equivalence paradigm which considers just the two poles in translation (source and target languages sides), purpose
174 paradigm regards many factors in equivalence process which covers all aspects of translation such as translator's
175 liberation, empowerment, or even repression of translator's individuality (Amman, 1994). The other note is that purpose
176 paradigm addresses ethical rule in target translation as it respects to the needs of the target reader. In this connection,
177 Christiane Nord (1997, p123) introduces the term of "loyalty" which the translator has ethical obligation in two parties: (1)
178 to the texts and (2) to the people. Nord (1997) then defines the term of loyalty as:

180   *"This responsibility translators have toward their patterns in translational interaction. Loyalty commits the translator*
181   *bilaterally to the source and the target sides. It must not be mixed up with fidelity or faithfulness, concepts that usually*
182   *refer to the relationship holding between the source and the target texts. Loyalty is an interpersonal category referring to*
183   *social relationship between people. (p. 125)."*

185   In this connection, whether the translator sees the unworkability or impracticality of the equivalence into the target
186 language, he or she can refuse to produce the translation. Therefore, it must be concluded that purpose paradigm
187 concentrates fully on the role of client and the translator [expert] and it gives the right of rejection of translation to the
188 translator. Equivalence in this paradigm covers superficial aspects of translation which meets the needs of the reader to
189 get the overall gist of translation and equivalence will be treated just on target side aspects. Considering the role of the
190 target language equivalents is the ultimate aim of this paradigm in this regard.

192 *2.3   Description Paradigm*

194 Description as its name suggests, it aims is describing rather than prescribing. Description Translation Studies (DTS) is
195 the new perspective on translation during the 1970s by Gideon Toury (1995) investigated solutions of the Translation
196 Studies. Toury (1985) expressed his rationality of DTS as:

198   *"Semiotically speaking, it will be clear that it is the target or recipient culture, or a certain section of it, which serves as*
199   *the initiator of the decision to translate and of the translating process. Translating as the teleological activity par*
200   *excellence is to large extent conditioned by the goals it is designed to serve, and these goals are set in, and by, the*
201   *prospective receptor system. Consequently, translators operate first and foremost in the interest of the culture into*
202   *which they are translating, and not in the interest of the source text, let alone the source culture (p. 18-19)."*

204   Generally speaking, Toury puts his effort in the target language text and he more fully concentrates on the solution
205 rather than the problem itself. Target-sidedness like purpose paradigm is the sole trait of description paradigm as it
206 scrutinizes the function, product, and the process of the translation and translator.
207   Toury (1995) determines three levels of analysis for translation to approximate DTS more on the target level: (1) *all*
208 *that translation.......... can involve*, (2) *what it does involve under various set of circumstances*, and (3) *what it is likely to*
209 *involve*. This is quite clear that Toury pays more attention to the function of the translation since it involves some special
210 conditions to be taken as granted. Therefore, Delabastita (2008, p. 234) explains more about Toury's three level of
211 analysis as follows:
212   (1) Level of System: theoretical possibilities *(can be)*
213   For each translation problem or source text, it is possible to envisage a whole range possible or theoretical solution
214 or target texts.
215   (2) Level of norms: culture bound constraints *(should be)*
216   On the intermediate level of norms, some of these possible relationships will be recommended or even required as
217 being the only ones that can generate genuine translations, whereas others will be dismissed or even simply ignored.
218   (3) Level of performance: empirical discursive practice *(is)*
219   We can then observe which relationships have actually materialized in a given cultural settings. By definition, these
220 empirical relationships constitute the subset of the possible relationships; their degree of frequency in a given cultural
221 situation is the crucial indication that certain norms have been at work.

3. Discussion

As it was explained previously, translation paradigms treat differently to the equivalence. None of the intended paradigms utilize equivalence in-between the source and target language. Localization paradigm treats cross-culturally but the product of this interaction results in a super-artificial equivalence in this direction. Any appropriate equivalence should consider the deep and surface structure of both source and target languages. The important note is how the renderer can utilize equivalents in source-target amalgamation? And will it be possible to do so? To what degree the translator can forward in making an acceptable equivalent in the target language. Saturating the needs of the reader will be the ultimate goal of equivalence paradigm in New Translation Studies. New Translation Studies concentrate more fully on the void and unclear spots in translation. New Translation Studies emanated from the impossibilities in translation.

In New Translation Studies, the translator encounter two way of thinking: (1) Source-Target Amalgamation and (2) Source-Target Dispersion. The former refers to the mixing and conglomerating the source and target languages such as culture, way of thinking, and way of translation utilized. And the latter alludes to discrepancies between the source and the target language contexts. The latter step is utilized from the inception of translation era. But, the former stage is the new scope in translation as it seeks to find out the possibilities and opportunities in translation. Translation will be understood easily by means of its homogeneity. It is the time to pass the red lines in translation studies, it is the time to decipher the impossibilities and make them possible in translation. And finally, it is the time to be in between the big poles in translation: the source and target languages contexts.

This study seeks to present a new paradigm of equivalence in translation "Equimediation Paradigm". Equimediation is the blending term composed of equivalence and intermediation. As it is clear, the translation will be treated between the equivalence paradigms (e.g. purpose, description paradigms) and intermediary step in translation. Prior to the act of translating, the translator should put him/herself in the gray spot. The final aim of the translator is to conglomerate the deep-surface and source-target with each other to saturate the needs of either source or target readers. In every field of study, there are some gray spots which are neglected by the researcher. These spots contain some pivotal and charted information which are able to direct the outcome of the research. In Translation Studies, these spots have been forgotten and yet they have not been used to clarify and divulge the extraordinary relations and factors. This study seeks to reveal one of the many shaded spots in translation in order to direct the translator to opt for the best equivalents in the target language context.

To help understanding the essence of study, the following terms should be expatiated.

(1) Weak Equivalents: any equivalents which are subject to forgetting and are in low level of usage. These kinds of equivalents are exposed to be cliché and temporary utilized in either source or target language such as cliché metaphors, slangs, expressions, allusions, simile, and temporal conversational slangs. For instance, *avoid like the plague*, *acid test, alive and kicking, and Achilles heel.*

(2) Strong Equivalents: these sorts of equivalents are not exposed to change, that is due to the fact that the backgrounds of the intended equivalents are extremely valuable in nature. Cultural terms such as adages, proverbs, moral maxims, fixed expressions, frozen expressions, and collocations. For examples, *no pain no gain, "Always do what is right", the mule has more horse sense than a horse, and you can push people just so far*.

(3) Brittle Equivalents: these types of equivalents are the most sensitive equivalents in the target language. Sensitive in cases which are completely pertained to the belief, creeds, and personality of people. This category should be taken cautiously in New Translation Studies. The important fact is that brittle equivalence is sometimes inclines to the source and sometimes to the target language context. This is possible when the target and source readers are completely aware of their language patterning and try to find some ways to connect them altogether. Euphemism (sweet talking), dysphemism (speaking offensively), and orthophemism (straight talking), and derogatories are in this category. For instance, *loo, poo, Christ, Jesus, Lord, cur, and dopy.*

(4) Degree of Intensity: degree of intensity refers to the power of the equivalents in the target language. Power of equivalents or equivalence potential is the particular situation either in the source or the target language which the reader hierarchize the power of the words. One of the most important factor in this item will be Wafting (e.g. Total Wafting, Partial Wafting, and Nativized Wafting) (Akbari, 2013) which scrutinizes the function of deep and surface structure at the same time. For instance, *alpenglow, degauss, glitz, angst, Anschluss, blitz, Anglicism, and Seifenoper.*

(5) Degree of Occurrence: degree of occurrence refers to the repetition of the equivalents in the context. It is labeled as degree of frequency. This factor is pertained to the number of words or equivalents which the

276   translator utilizes in the target language context. Weak equivalents will be turned into low degree of
277   occurrence and strong equivalents will be treated as high degree of occurrence in this essence.
278
279 To clarify the function of Equimediation paradigm in translation, it is better to reveal one important scheme so that a
280 translator can be convinced to understand the fundamental aspects of this paradigm.
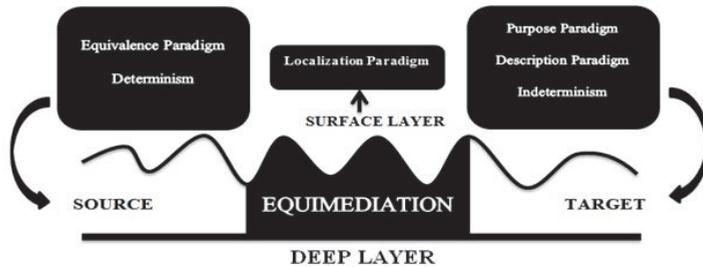
281
282
283 **Figure 1:** Equimediation Paradigm
284
285 As explained before, Equimediation is the kind of paradigm which inspects equivalents into two rudimental factors: (1)
286 Source-Target Amalgamation and (2) Deep-Surface Layer. These items play key roles in New Translation Studies aiming
287 at clarifying the deep and surface layer of the translation either in the source or target language contexts. It should be
288 noted that strong equivalents incline more to the deep layer source-target amalgamation and the weak one more on
289 surface layer source-target amalgamation. Brittle equivalents sometimes incline to be strong enough and sometimes to
290 be weak equivalents in this direction. Brittle equivalents are contextual-temporal-based in which they are used in different
291 contexts along with various purposes.
292   One of the important factors in Equimediation paradigm is to determine the decision maker on the product of the
293 translation. As expatiated early in the article, some said that the role of the client was of great importance and the process
294 and product of the translation should be in accordance with the client's instructions. One the other hand some argued that
295 role of a translator is the foremost part in rendering process and the translation should be twirled in the axle of the
296 translator. The translator in this group may call an expert who knows ins and outs of the context in the target language.
297 But, Equimediation Paradigm utilizes source, target, reader or client, translator, and the translation at the same time so as
298 to persuade the reader on feasibility, applicability, and appropriateness of the translation. Needless to say, Equimediation
299 paradigm is more coincided to the 'job specification' of Daniel Gouadec (2007) who explained client and the translator.
300 Every person has the right to judge the translation. Therefore, the translator and the client should come in touch with
301 each other. It is necessary to say that a translator as an expert in Equimediation paradigm should be knowledgeable and
302 skilful in all field. This is due to the fact that saturating the needs of the target reader will be of great importance and the
303 translator should observe the spirit and faith of the source text. And finally, it is important to say that the agreement on the
304 suitability of translation should not result in falsifying the content of the translation in this direction. Falsifying the content
305 of the source text causes to eliminate the rationale of the equivalents and it makes the translation be completely
306 superficial and fake in nature.
307   Equimediation paradigm uses such deep-superficial equivalents to explain the root and core of the either source or
308 target language context. New Translation Studies seeks to conglomerate the two poles in translation. Shaded area in
309 translation consists of some rudimental and fundamental aspects of translation. Translation is like crossing the road. It
310 means that the translator should be in between two lines of water so as to pass the river. In translation, the renderer
311 should consider the nature of the source text in order to clarify the nature of the target language. The translator acts like
312 the catalyzer who seeks to connect the source to the target language context. Connecting the two bridges should be
313 carried out cautiously because the risk of falsifying the source text is at high stake. Unlike passing the river, the translator
314 should hybridize the source to the target languages to find out the common points in these poles. Therefore, inclination to
315 the source and target languages should be performed equally at the same time. Whether the translator inclines more to
316 either source-target or deep-surface, she/he will walk on the rim of falsification issue in translation.
317   Equivalents in Equimediation paradigm are in contact with one another. For example, in description paradigm, the
318 translator encounters the various equivalents in the target language but she/he does not know the situation of the

319 intended equivalents. Multiplicity of equivalents is not the sole factor in translation of the source language. All proposed
320 equivalents should be context-based. In Equimediation paradigm, the relevant multitude of equivalents in gray areas is
321 proposed in order to make translation in accordance with the target regulations. In these kinds of situations, brittle
322 equivalents will be suggestible in essence. This is due to the fact that some equivalents carry the essence of the source
323 in the target language and some others are target-based in nature. Keeping these sorts of equivalents leads to producing
324 high quality translation at final stage.
325   One example to reveal the real function of Equimediation paradigm is Godard's (1995) experience. Goddard (1995)
326 experienced translating one title of novel in the target language. He utilizes one unbelievable technique to transfer the
327 main essence of the source language text. His technique is in accordance with the Equimediation paradigm. However,
328 most of the translators are not aware of the fact that translation involves some various equivalents which are completely
329 applicable and feasible for the target reader. It is better to note that translation of titles differs from the text per se. Every
330 title covers some aspects of equivalence paradigm including more than one equivalent in the target language. Goddard
331 translated a French novel into English. The name of the novel was "*L'amer*". During the translation of the intended novel,
332 the translator pay attention to the fact that "L'amer" could be rendered by more than one equivalent in the target
333 language. Goddard seeks to establish an agreement amongst the source, target languages, client, and the translator.
334 Therefore, he infers that the title includes other equivalents such as "*mere* (mother)", "*mer* (sea)", and the "*amer* (bitter)".
335 In order to show the feasibility of the translation of the title into the target language, he utilizes the schematic figure to
336 transfer the translation impossibility. This schematic figure is as follows:
337

338
339
340   As inferred, this scheme contains some source-target equivalents namely: (1) *These Our Mothers*, (2) *The Sour*
341 *Mothers*, and (3) *The Sea Smothers*. The term Mother and Mere share some common parts in translation. They emanate
342 from the same source. They are categorized in partial wafting in New Translation Studies. Akbari (2014a) defines wafting
343 as "*a direct and intense translation process, it has a connection with rendering or transferring as the original SL by*
344 *inserting or absorbing the SL words or phrases form into the RL's in accordance with prestigious, frequency, and intensity*
345 *of the intended words* (p. 27)." In this example, 'mere' and 'mother' are treated partially and they carry the same sense in
346 source-target translation. This technique puts translation in between. Translator can exploit source-target amalgamation
347 terms in his/her translation.
348   It is important to say that in the circle of translation, translator and the client are the two decision makers
349 respectively. New Translation Studies let the reader decide the feasibility and practicability of the target text. As another
350 example, "*ogni paese sa di diritto umano*" will be translated as "every country knows the huMan right". In this example,
351 the translator utilizes the capital "M" to show that "man" in human is not pertained to the masculine sex. But, the translator
352 prefers to address the man and woman. Therefore, he puts himself in Equimediation paradigm to show the equality of
353 rights both deep and surface layer of the language. In this direction, positioning the reader in the circle of translation is a
354 technique which Equimediation paradigm tries to achieve.
355   Currently, good translation utilizes the technique of ambiguity in translation. It should be noted that ambiguity is not
356 the means of content falsification. Ambiguity alludes to the different inference but related to the text. This is because of
357 the fact that the reader and the translator are the primary element in Equimediation paradigm. Ambiguity in a sense lets
358 the reader infer what he/she seeks to ruminate about the text. Spirit, content, and faithfulness to the source and target
359 language are three items which should be observed during the act of translating. Therefore, ambiguity scrutinizes these
360 elements in translation so as to make an indelible translation. Needless to say, multiplicity of meaning of an item makes
361 translation more meaningful. Afterward, the reader ponders about the multitudes of meaning and equivalents in the target
362 language context and he/she can judge easily on workability of Equimediation paradigm in this direction.
363   There might be the question which occupies the reader's mind in which why the surface layer of Equimediation
364 paradigm is wavy and the deep layer is linear in essence. It should be noted that every translation has some void and
365 shaded areas which plays the role of translation decoration. For instance, cliché metaphors, slangs, colloquial
366 conversations, and so forth are temporal in nature and the speaker uses them for a short period of time. They never last
367 long in translation or daily conversation. Therefore, they might be used for translation decoration as well. That is because

368 of this reason that the surface layer is wavy. Everything in the surface layer is exposed to change to beautify the target
369 text. In this direction, weak equivalents and brittle equivalents along with low intensity of equivalents are used as the
370 surface layer of the target text. This does not mean to say that weak and brittle equivalents are not useful or drastic in
371 translation. But, it should be said that weak and brittle will be replaced by the other weak and brittle equivalents in a short
372 period of time. It is like the circle which the old equivalents are replaced by the new ones. On the other hand, the deep
373 layer is linear in nature. One has to say that strong equivalents are not exposed to change. Some items in either source
374 or target language context are never changed during the time. For instance, beliefs, creeds, nobility, and dignity play the
375 key roles in translation and the translator should observe their way of translating. Overall speaking, the translator has to
376 deal with the deep structure and then deals with the surface layer of the target text. An example is given to clarify the
377 nature of the surface and deep layer of the source and target language contexts. This is the poem rendered by the
378 Persian translator. The former observes the deep-surface amalgamation and the latter utilized literal meaning of the
379 source text. The English poem is as follow:

380
381   *Be sure it's true*
382   *When you say 'I love you'*
383   *It's a sin to tell a lie*
384   *Millions of hearts have been broken*
385   *Just because these words were spoken*
386   *I love you*
387   *Yes, I do,*
388   *I love you!*
389   *If you break my heart I'll die,*
390   *So be sure it is true,*
391   *When you say 'I love you'*
392   *It's a sin to tell a lie,*
393   *(Billy Mayhew, 1936)*
394
395   The intended Persian rendering by Sohofi (2014) with observance both deep-surface and source-target
396 amalgamation is as follows:

397
398   *Gonahe Doruq'guyee*
399   *Tanha be xatere bayane in jomalat, qalb'haye besiyari as adamiayan be dard amade ast*
400   *Dustat daram*
401   *Man niz beto eshq mivarzam*
402   *Dustat daram*
403   *Agar qalbam ra beranjani, be kaame marg foru'xaham raft*
404   *Pas in haqiqat ra enkar nakon*
405   *Ke vaqti jomle dustat daram ra bar labanat jariee mikoni*
406   *Gonahat doruq'guyeest.*

407
408   The intended translation first considers the role of the source text in the target context. Second, it regards the deep
409 layer of the content since she translates the foundation of the source text. For the decoration of the target translation, the
410 translator utilizes the technique of amplification in that she adds some elements in order for the readers depict the whole
411 framework of the source text. Another point is that the translator uses fewer sentences than the original version of the
412 poem. The original poem includes twelve sentences to convey the sense of the source text. On the other hand, the
413 Persian rendering is translated by ten sentences and it convinces the target reader by its clarity, brevity, and feasibility. It
414 can be stated that the ultimate aim of Equimediation paradigm is to produce high quality of translation. High quality of
415 translation means that the translator covers the source, target languages and intention of the reader and context as the
416 core elements in the translation.
417   Las but not least, Equimediation paradigm in translation treats source and target language at the same time. It is
418 thoroughly a synchronous activity which inspects the characteristics of both source and target with each other. The
419 translator is always a mediator since he/she is not allowed to incline more to one side. The translator always walks
420 exactly between the two poles. Source-Target priority is always utilized so that the translator is able to create high quality
421 of translation. It is better to recommend that Equimediation paradigm is quietly applicable in the new terms or information
422 in translation. For instance, some new words in English might be rendered correctly via the process of Equimediation
423 paradigm. New information might be new terms in the other language which enter English culture and communication.
424 The translator is also free to opt for wafting procedure as the sole base in Equimediation paradigm. Wafting procedure

inspects both the deep and surface layer of the target equivalents. The terms such as soap opera, Seifenoper, Gegenschein, Ersatz, and Levi's® are the examples of the Source-Target priority.

Equimediation paradigm in translation might be feasible in Machine Translation since it scrutinizes the frequency of occurrence and the degree of intensity of the words. Repetition of the intended equivalents to be strong enough in nature and most of the Machine translation Softwares use it for most part of the target translation. And the degree of intensity shows the rational and functions of the equivalent in the target language. Function should be translated prior to the act of translating. Machine Translation and the translator should first render the abstract idea of the source text and then walk on the road of visible parts in translation. Overall speaking, Equimediation paradigm in translation might be used in every field of study. Every field has its own decoding ability in which Equimediation paradigm can be a drastic tool so that the translator is able to persuade the reader on feasibility, practicability and functionality of the target text.

4. Conclusion

Choosing an approximate equivalent is an ordeal task for the translator in Translation Studies. Generally speaking, the translator's product is to persuade the reader about feasibility, applicability, and practicability of the target text. Therefore, the translator should consider the role of source text in his/her translation as well as target language context. However, most of the translators without considering the intention and rationale behind the intended equivalents, translate literally so that the reader encounters the superficial understanding of the source text. Intention and rationale behind the text transfer the rationale behind the words [equivalents]. So, the translator should make his/her efforts to convey the essence of the text prior to act of translating.

In the light of these explanations, this study seeks to introduce an equivalence paradigm known as Equimediation Paradigm. Equimediation paradigm inspects equivalents into two ways: (1) Deep-Surface layer of language and (2) Source-Target amalgamation language context. The intended paradigm pays special attention to the role of the client, the decoding ability, the translator, and the source-text function. It aims at clarifying the concealed rationale and intention of the source-target language text. The translator will be treated as an expert seeking to substantiate the nature of homogeneity in translation.

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Antonymic Opposition as a Reflection of the Universal and National Linguistic Picture of the World (On the Material of Kazakh Language)

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Abstract

This article defines universal and national directions of oppositional cognition. If we consider that life itself consists of opposites, it is understandable why researchers search for the picture of the universe in oppositions. In the article we discuss universal notion that is common to the whole humanity as well as each nation's own picture of the world appropriate to their culture and cognition. For the first time we prove that linguistic that linguistic units with opposite meanings is a tool that helps to convey common and national picture of the universe on the basis of materials in Kazakh language.

Keywords: opposition, universal picture, contrast, antonym, national cognition;

1. Introduction

Picture of the world in human's cognition is the complex of his personal life experience and contrasting features in his notion. Contrasts forms from the results of cognition of the world, creation, things and events in life.

Enormous contribution to the theory of antonomy were made by A.I.Alehina, Y.D.Apresyan, N.B.Boyeva, L.A.Vvedenskaya, V.A.Ivanova, V.N.Kommisarov, I.L.Medvedeva, E.N.Miller, V.A.Mikhailov, M.V.Nikitin, L.A.Novikov, E.I.Rodicheva, N.L.Sokolova, M.M.Halikov, D.A.Cruse, S.Jones, J.S.Justeson, S.M.Katz, G.Leech, J.Lyons, A.Mettinger and etc.

Y.O.Novikova states that speech antonomy is a reflection of ordinary picture of the world which is interpreted as "integral reflection of the world on the level on the level of common sense. Ordinary picture of the world comes from life principles, which are accepted by subjects as self-obvious truth. Ordinary picture of the world is created by human's needs to comprehend and use centuries-old experience, gained by generations and reflects in his speech activities. Often researches use the term 'naïve picture of the world" (Novikova 2010).

According to the results of cultural and linguistic researches we can assume that the original forms of thinking are binary structures that are expressed in language in form of semantic oppositions. In turn, they reflect substantial for human contrasting sides of events from national and social world around him.

Researchers involved in the reconstruction of picture of the world of various ethnos use "set of basic semantic opposition that have practically cross functional nature for people of the world" (Anikina 1988). This way of description of picture of the world was not chosen accidentally. Significance of binary oppositions is very high for any culture, because they reflects fundamental categories of existence (space, time, number, evaluation categories) and reveals its internal contraries. These categories are universal: they are inherent to human in all stages of historical development and they become basis of special model of world unique to each culture (Anikina 1988).

Reconstructing model of the world with the help of linguistic tools, researchers of ancient texts advanced a suggestion that this model presents a set of basic oppositions that have practically universal character for all human societies. For example V.V.Ivanov and V.N.Toporov, recreating model of Slavic world suggested semanticals oppositions such as: 'happiness-unhappiness', 'right-left', 'up-down', 'day-night', 'friend-foe' and etc. Authors came to the conclusion that such oppositions, independently reconstructed for pro-Slavic language, essentially coincide with oppositions of Finno-Ugric and some Turkic languages (Ivanov and Toporov 1965).

To the text, which reflects the traditional spiritual and material culture of the peoples, paremias can be included. They can be considered as fixed in the language consciousness stereotypes of the ethnic group associated with different forms of communication. A fundamental study of the structure of paremias that reflect the process of learning about the

world by people in far away times, undertaken by G.L.Permyakov showed that genuine theme of any proverbs or sayings is some invariant pair of opposing entities, to which the meaning of images used in the paremias are reduced (Permyakov 1988). As a criterion for classifying a large folklore material of different nations of the world the author put forward schematic types of such invariant pairs that let to eliminate the disadvantages of the existing collections of paremias based on alphabetical, lexical, thematic and other principles. A common feature of uniting paremias in one group or another is the type of opposition between the components of semantic oppositions.

Sharing the view G.L.Permyakov that each proverb or saying contains a hidden or overt opposition, we have chosen the object of study only those paremias that contain actualized antonymous pairs.

For the analysis, we selected 426 Kazakh proverbs and sayings drawn from the collections paremias (Akkozin 1990), and 290 sentences with antonymous oppositions extracted from modern fiction.

2. Literature Review

2.1 Universal and national antonymous oppositions

Antonymic opposition, on which paremias are based, versatile for different languages, as based on unified laws common to all mankind thinking. The differences are expressed in lexemes, which reflect the specific features of national life, economic structure, due to historical, geographical, cultural and other factors, affected the course of development and formation of the ethnic group.

Thus, universal for all languages opposition Friend or Foe implemented in the Kazakh paremias:

'Kisi elinde Sultan bolgansha, oz elinde ultan bol'
(lit .: Than being the Sultan in a foreign country, it is better to be the sole at home);

Here to the main usual opposition they added additional contextual: sultan - ultan. The latest reflects the realities (sultan - ultan) that are specific for the life of the Kazakh people in the recent past. In generalized form, the opposition sultan - ultan manifest a couple of usual better-worse and relate to the main antonymic pair friend-foe.

"Excessive selfish cruelty is when person does appreciate neither others, nor himself" (Zhumadilov 2003).

The thing that warmed his heart about his neighbours was that they were talking not in foreign language but in their mother tongue (Batyr 2008). These examples show that opposition friend-foe has its own place in literature.

Oppositions in the paremias are often based on observations of the realities of life, on understanding the single entities of opposite phenomena:

'Stallion is sometimes nourished and sometimes not,
A man sometimes has money and sometimes not'

Frequent parallels with the life of animals and humans in the Kazakh proverbs and sayings are based on the awareness of the unity of Nature and Human. This attitude evolved over many centuries of life of the Kazakh people, 'immersed' in nature.

Among the proverbs containing gradual opposition, we can distinguish a subgroup of antonymous pairs in which the relationships between the components are characterized by semantic asymmetry. One of the oppositions has additional connotations, which strengthen or weaken the value of the symmetric antonym, such as 'wealth-poorness', 'many-loneliness':

"Do not boast about wealth,
When there is poor.
Do not boast about being among many,
When there is loneliness".

In this proverb, as we think, the essence of such method as the intentional use of asymmetric antonyms is expressed. Counter-term of any feature may be characterized not just with reducing the quality, but also with its minimal decrease. Thus, the reverse side of wealth /'baylyk'/ can be not only poverty /'kedeylik'/, but also poorness /'zharlylyk'/, as well as large number of close relatives /'koptik'/ can turn not only into decreasing of their number, but also to complete loneliness /'zhalgyzdyk'/. Therefore, the proverb teaches, do not boast what you have now /'maktanba'/ since you can lose everything later.

111   For example: "Will a poor man, who does not own even a scrag, wake up one day with paddock full of sheep and
112 horses?" (Akpanbet 1994).
113   "Even a rich man with thousands of cattle, and a poor man with skinny horse, a hapless destitute or aristocrat with
114 more gold than one can count survive as they can and meet their fate"(Bakbergenov 2000).
115   From these examples we see that gradual members of semantic asymmetry have feature to be able to move in
116 opposite direction in traditional increase-decrease scale. Due to the fact that livestock raising was main occupation of
117 Kazakh people, wealth was measured by how much stock does someone own.
118   One pole of asymmetric scale can be represented by zero quality, and the other one be open and able to increase,
119 for example, in paremia 'Silent wins over the chatterbox' states that silence is better than inappropriate verbosity.
120   Asymmetry in proverbs can be expressed on the grammatical level of actualization by inter-part of speech
121 antonymy:
122
123   *'What's the use of wide world if your own shoes are tightly fitting";*
124   *'Seam clothes loose,*
125   *It's easy to make it fit.*
126   *Cut iron short,*
127   *It's easy to lengthen it'*
128   *There are lots of oppositions for every part of speech from literature:*
129   *"His peace of mind was contaminated, like the water to which a stone was thrown"(Zhumadilov 2004).*
130   *"Depending on the results of his work, he either glows with happiness or grimmer than a storm cloud" (Zhumadilov*
131   *2003).*
132   *"I could find anything light in this brawler's heart, it's completely dark" (Zhumadilov 2003). In this sentence opposition*
133   *pair 'bright and dark' used figuratively, so they are contextual antonyms.*
134
135 **2.2**   *Contextual antonyms as a tool of creating universal image in national cognition*
136
137 In Kazakh paremias there is a large amount of contextual antonymous pairs. This is explained, apparently, by the fact
138 that in the tradition of Kazakh oral poetry improvisation has a main role. The ability to speak and sing in poetic form has
139 always been recognized as the basis of rhetoric. This method of transmitting thoughts perceived as bright, unusually
140 strong artistic means of impacting the audience, which, in turn, easily memorized rhyming lines. Thus, the creation of
141 opposition was motivated not only by logical, but also by linguistic reasons.
142   The similarity of the sound form of the word united them in pairs: 'kop-dop'(many-pithily: 'Kop soylegen bilimdi
143 emes, dop soylegen bilimdi' – 'Clever not who speaks many, but those who speak pithily'), 'tor-kor' (honorable place –
144 grave: 'Dostyn orny - tor, dushpannyn orny – kor' – 'Friend's place is honorable place, enemy's place at grave'), kozi-ozi
145 (eyes-himself: 'Bireudin kozi sokyr, bireudin ozi sokyr'- 'One has coward eyes, the other is coward himself').
146   Such kinds of contextual antonyms were masterfully used by authors of following examples:
147
148   *"He seemed to me as rude, unstable, weasel person, who depending on his mood, could be either cheerful as child, or*
149   *grumpy as an old man" (Bakbergenov 2000).*
150   *"It's a time when ones are fresh, and others are shabby" (Zhumadilov 2004).*
151   *"Autumn's days are sometimes harsh and sometimes cozy" (Akpanbet 1994).*
152
153   Here each contextual opposition can be qualified as a manifestation of a certain type of usual. In Kazakh proverbs
154 they can be easily seen occupying similar positions in the parallel syntactic structures:
155
156   *'One may have heavy stick,*
157   *And the other has crushing words'*
158
159   Let's take a famous proverb 'If father have good son, he will drag him from threshold to honorable place. If father
160 has bad son, he will drag him from honorable place to the threshold'. Here we want to pay close attention to the symbol of
161 honorable place (tor) in national understanding. 'Honorable place' and 'threshold' as opposites shows dynamic
162 development by model up-down, by age it shows the path of life, the model by which youngsters sit near the door and
163 elders sit further. However in the article above, 'honorable place' is a symbol of respect and 'threshold' is a symbol of
164 losing that respect and honor.
165   Contextual oppositions can be used in one text in one way, but have another meaning in other texts:
166

"Syrym could not understand how someone could have such beauty and tenderness along with such cruelty and hard-heartedness" (Zhumadilov 2004).
"The house may be crowded, but mind is spacious, we will fit in"(Zhumadilov 2003).

To contextual pair we include: 'silk-wool', 'soft-hard', 'silver-gold', 'coal-gold', 'cheap-expensive', 'many-little' and etc.

'Few words are gold, many words are coal.
The one, who can't handle silk, will make it wool,
The one, who can't handle daughter-in-law, will make her slave'.

Good and bad, wise and hapless, they all have one dream: to create a happy family and have children (Batyr 2008). In this example, words wise and hapless are contextual antonyms that used with the meaning clever and fool.

Specific images of things and animals have generalizing value in proverbs. Thus, in the proverb:

'You may steal camel or button, you are thief in any case' contextual antonyms 'camel-button' also represent gradual pair 'big-little', 'expensive-cheap'. And the didactic significance of it is that the theft can not be justified by sizes or value of things.

"An old woman may have shaban walk but her words are nimble" (Zhumadilov 2003). Kazakh people use word 'shaban' ('sluggish') referring to walk of animal, and here it used figuratively. However, any Kazakh that knows horse's sluggish walk will immediately understand the metaphor in proverb and slowness of old woman's walk.

A shepherd's place is empty two seasons in a year, because in summer he pastures at zhailau, and at kystau in winter (Batyr 2008). Due to the width of land, Kazakh people tend to graze cattle in one place(kystau) in winter, and change it in summer to place where grass grows thick (zhailau).

It doesn't matter whether we're lamb or wolf-cub, if we were not inured (Bakbergenov 2000). For Kazakh people, who are very familiar with livestock, lamb is a baby of meek animal sheep, wolf-cup is an offspring of wild wolf that attacks livestock and kills it.

Contextual opposition often used with common usage:
He started his live in boundless steppe, but going to die in a small cage (Zhumadilov 2004).

2.3   *Appearance of universal and national linguistic image of the universe through concepts*

Intermediate position between common usage and contextual occupied by such opposition, in which one component of usual antonymic pair contrasted words in the lexical-semantic after the second antonym, for example: 'evil – humaneness' /'evil – good'/, 'to get old – to get stronger' /'to get old – to get young'/.

'I am thankful for all good and bad days that I have lived through' (Akhmetzhan 2008). If in this sentence good and bad are usual opposition, following sentence is an example of intermediate opposition:
'You can expect from life not only good things but also a danger!' (Zhumadilov 2004).

In words with contrast meanings lies the people's worldview. We can prove that lexemes good/evil as pair is used very often with next examples:

'The most difficult time for human when either good or evil grabs you by the throat.
Anything bad has its own good side.
If we think about it, there is neither evil nor good without actual owner' (Zhumadilov 2003).

Elders may say 'If you extend a helping hand to person in his difficult times, or harm and disserve him, you will not get away with it. One day you will answer for it' (Akanbet 1994). While soul, heart, beauty, right side, bright sunray, white color are used as symbol as goodness, callousness, ugliness, left side, darkness and black color are used as opposite and represent evilness.

"Concept of good/evil is universal category in each ethnical culture, and at the same time, it has national features that can be observed in conceptual and other components"(Shalbayeva 2010).

Among Kazakh people respect, appreciation and admiration for parents is considered as goodness. It shows

heartiness, kindness and respect for elders in people's worldview. Phrases like 'kind word', 'good thoughts', 'good wish', 'sincere intentions' that share the meaning of good are frequent in Kazakh language, which certainly shows that people pay special attention to words and understand their power. And evilness is used with words such as: lying, tricking someone, sadness, sorrow, bad words, death and betrayal in equal level.

B.K.Akberdieva claims that people after dividing the world around by the principle of good and evil, helpful and harmful search for the link between them, and names the trio white – black-n-white – black as the main icon of the world. She states: "Black-n-white has an important role in many national cultures as the symbol of the existence, creation on the surface of the planet" (Akberdieva 2000).

> White color is the upper world, mansion of gods, symbol of pureness and innocence;
> Black-n-white is the Earth, mediator between two utmost worlds, it's an existence that absorbed nature and features of white and black, of upper and underworld; it's a commotion;
> Black color is underworld, abyss, centre of depravity, death.
> Pair white-black is gradual opposition, because black-n-white is its intermediate.

Systematic usage of colors 'white' and 'black' as oppositions is a special phenomenon that peculiar only to them. In literature they are constantly being used as oppositions:

> 'Now you can not draw a picture using only white and black.
> White sheet of paper is your conscience, black ink is your blood' (Zhumadilov 2004).

U.B. Serikbayeva shares her opinion: "This phenomenon is a pair concept that was created in particular logical system. It's a factor that has crucial part in uncovering secrets of events which were always perceived as mottled in natural and social life and described as contrast and opposite"(Serikbayeva 2005). According to U.B. Serikbayeva human's perception of the world are connected with these colors from the early beginning. She states that: "these colors are the most suitable for dividing and allocating things and events in the world and act as catalyst for other colors" and equals colors 'black' and 'white' to the symbols of night and day (Serikbayeva 2005).

Most of additional (cognitive) meanings that are attached to 'white' and 'black' can be met in one language, but be absent in other language or does not be appropriate. In Kazakh language 'white' (ak) can mean dairy produce both separately and within the text. Color 'white' used as opposite to color 'black' in almost all Turkic languages. In Kazakh language there are hundreds of phraseologisms and proverbs where white is used with nominative meaning. Among researchers who wrote about relation of 'white' to the life of ethnos, their traditions and worldview, we want to name A.Kaidar, Z.Aktamberdieva, B.Omirbekov, F.Akhmetzhanova. K.Kaiyrbayeva. If earlier A.Kaidar, Z.Aktamberdieva and B.Omirbekov studied color 'black' and pointed its 24 types, U.Serikbayeva named 33 types of its figurative meaning and determined its cognitive meanings.

One of its cognitive meanings is dish that prepares without fat and clabber. In centuries-old traditions and customs of nomad Kazakhs main dishes were made from milk, butter, meat, 'kymyz', 'kymyran' and 'shubat'. We can notice that all food could be divided into two large groups, where fatty foods were compared to white and yellow colors and non-fatty foods were compared to black color. From this black adopted figurative meaning for all non-fatty foods without milk. As prove we can name such phrases as: 'kara kesek et' (lit. 'black meat', meat without fat), 'kara talkan' ('black oatmeal'), 'ak mai' ('white butter'). Also 'white' and 'black' denotes areas where Kazakh tribes used to live, "often place where sun arises is bright and light and marked as 'white', whereas place of sunset becomes darker and marked with 'black'" (14). In addition, there is belief that 'black' has subtext of lie, accuser, slanderer and guilt. Indeed, there is a reason to attachment of white to blessings and gratitude. In our tradition white blessings has the meaning of satisfaction and good intentions, while 'black' ones mean offense and badness. It can be observed in the following examples:

> 'Anyway define whites and blacks of the case' (Batyr 2008).
> 'And if you started to doubt, soon you are going to turn white to black, and black to white' (Akhmetbekov 2010).
> The one is 'aktaushy' (vindicator; lit. 'person who make it white') and the other is 'karalaushy' (accuser; lit. 'person who make it black') (Zhumadilov 2004).

As we noticed in examples, white is indisputable symbol of purity and innocence. Furthermore, there is a opposite phrases such as 'ak bet'and 'kara bet' (lit. 'white face and black face'). If 'white face' means that person has not guilt or fault, 'black face' refers to someone who committed a crime or did something shameful. In earlier times person who committed a crime or did very shameful things was painted his face with black soot, sat backwards on black cow or donkey and leaded by black leash on his neck. And people used to spit on him, saying 'black face'. This phrase is come

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from that custom.

Kazakhs refers with color black to creatures of black forces, such as: jinn, 'shaitan' or 'albasty', that's why white, as opposite referred to ghosts and angels.

From works of S. Kanapina we can observe that by colors people demonstrate their own aesthetic point of view, emotional state and concepts of humaneness: "As for any other nation, for Kazakhs world divided into two colors: black and white. While white is an image of everything good and decent, in many cases black posses everything bad and evil" (Kanapina 2006).

'White' is a gratitude, 'Black' is a curse.
The truth will divide black and white.

Kydyr ata's image perceived as an old man with snow-white beard, white turban and white chopon. White shawl is a symbol of young woman, wife. As for black color, there is phraseologisms as black veil, black paper, black horse (horse of dead man), black voice (mourning), black day (day of mourning). The opposite concept of 'ak otau' (white housing) is 'karaly ui' (lit. black house; mourning house). In ancient times, if man of middle age died, his home was tied with black clothing and his wife wore black. Still the house, where someone died called 'black house'. There is also lies a national notion in calling letter with notification about death of soldier in time Great Patriotic War as 'black paper'. Also, white and black houses is the indicator of people's wealth. Wealthy men lived in yurt made from white felt, whereas poor people lived in black felted yurts. Words 'aksuiek-karasuiek' (lit.white-boned, black-boned) are also have opposite meanings and means rich people and poor people.

If meaning of the life is in recognizing the unity and struggle of opposites, that concept, in Kazakh people mind, is set around white and black. Therefore white color that symbolizes joy, happiness and goodness is set as the opposite of black, which in its turn, is the symbol of distress and evilness.

Invariant gradual opposition can be expressed and by contrasted comparative constructions too:

'Taudai sozdin tarydai tuini bar' (lit. 'Mountain-like amount of words has millet-like point'; antonymic pair /many-little/).

Here we see concept of volume. Mullet is small by size and little by volume. It compared to mountain that is big by volume. For Kazakhs, mullet is the symbol of source of life and satiety. Concept of 'mullet' participates in structural unit in building concepts such as: mastery, beauty, growth, prosperity and etc. which have high social meaning.

You enter as mullet,

And leave as mountain – this excerpt from poem can be used referring to concept of 'growing up', because it describes how children who are like 'mullet' grow up 'as mountain'.

Examples cited above indicate that not only the common usage, but also contextual oppositions manifest abstract pairs of contrasting entities.

In Kazakh language there are hundreds of types of concepts that refer to the phenomena based on oppositions in life.

Concepts based on oppositions in life in Kazakh linguistics were object of research of S.A.Zhirenov, Zh.T.Koshanova, and A.Z.Shalbayeva. S.A.Zhirenov in his research defined cognitive nature of concept 'life-death' taking poetry of poets and bards as the basis.

S.A.Zhirenov takes concept as lingo-cognitive notion unit, and concludes that 'life-death' is a special 'dominant with conceptual meaning' appropriate to ethnos' own mentality (Zhirenov 2007). He states that human perceive the world partially, because perception of conceptual nature of life directly and all at once can be harmful for human's cognitive mechanism.

Integral components of meaning of macro-concept of 'life' consist from frame chain of micro-concepts such as: the world, time, era, fate, existence and etc. It has logical models as: Life is time, Life is school, Life is interesting, Life is light, Life is fight, Life is precious, Life is traitor and etc. and it's components is linguistic models. It's a binaural pair 'Soul and body': intermediate concept that covers national-cultural concept 'Life and Death'. There is a rationale of the image of 'soul and body' which is ethnos' way of thinking. Macro-concept 'death' is lingo-philosophical unit common to whole humanity, which has structural units like demise, doom, decease. For example:

'Why do I need secrets when I'm in flame of life and death.
And yet, I think soldier's heart, who is always between life and death, becomes merciless.
'It glorifies the struggle between life and death, and the warrior's courage' (Bakbergenov 2000).
'How Daryn exactly knew the man's internal struggle between life and death' (Akmetzhan 2007).

335
336   Life-death concept can be conveyed by integral units with similar meaning. Like this, pair 'to live and to die' can be
337 intended with other words in the literature:
338
339   *'It's like a man lived his life as mottled, sparkled, and had a similarly ceremoniously rest after he closed his eyes forever'*
340   *(Zhumadilov 2003).*
341   *'Of course, it's not new to live and to die in this world' (Zhumadilov 2004).*
342   *'I came to this world as thirsty for freedom, and leaving it as equally thirsty' (Akhmetzhan 2007).*
343   *'What can be better for human to make his last breath because of natural cause, rather than from any other cause,*
344   *since he comes to this world naturally' (Batyr 2008).*
345
346   In these examples phrases: close eyes forever, leave the world, last breath indisputably mean the death. While,
347 come to world means to be born.
348
349   *'He put the old man, whose first-born came to this world in the morning in the right side of the house' (Naimanbayev*
350   *1991).*
351
352   To be born and to die are equipollent oppositions, because these are actions with contrasting directions. In the
353 example author use the action of being born to as the opposition to death. By Kazakh tradition dead people were put at
354 the right side of the house, so reader immediately understands that old man has died, and it's clear that some events
355 happened.
356   Elders used to say "man in a shroud will not come back, but man in kebenek will" and this is quite true…(
357 Kaupynbayev 1986) In Kazakh traditions dead man is dressed in a shroud, so in this example 'man in a shroud' means
358 that dead people will not come back. 'Kebenek' is a type of clothes and man in 'kebenek' is phrase to describe man who
359 went on a dangerous mission, and phrase means that there is a hope that that man back alive from war. Thus words
360 shroud and 'kebenek' are set as opposites and plays the role of contextual antonyms. Outside of the context these two
361 words can neither be used as opposites nor compare as dead and alive.
362   From the concept life-death comes gradual pair dead-alive:
363
364   *'But he, being the man who shed blood, knows how alive owe to the dead' (Zhumadilov 2004). We refer to it as gradual*
365   *because there is an intermediate state between them (coma).*
366   *'We don't know whether Daryn alive or dead' (Akhmetzhan 2007).*
367
368   Even if there is no special name for state between life and death, we can understand that there is in-between state
369 from the context of the example:
370
371   *"Either they felt the old woman's struggle who was between life and death, or were mad that owner didn't feed them on*
372   *time, four dogs made a fuss by barking" (Akhmetzhan 2007).*
373
374   Oppositions rich-poor, richness-poorness is an oppositional concept that appeared from the point of view of ethno-
375 linguistic and cognitive theory of social inequality. A. Kaidar studied concept of 'wealth-poverty' from ethno-linguistic point
376 of view, A.N.Samoilovich as oppositional concept, and V.Humboldt from point of notion. If A.N.Samoilovich divides the
377 history of words 'wealth-poverty' into 4 periods, Z.T.Koshtanova states that time from the early XX century till this time is
378 the fifth period of concept of 'wealth-poverty' (Koshanova 2009). In her work she takes the word 'wealth' as the core and
379 shows words rich, 'bek', 'tore' as conceptual components of the core (Koshanova 2009).
380   Apart from that, this word has indirect (noble, livestock, prosperous) and associative words (sufficiency, food) as
381 core layers. In Kazakh language it's noticeable that words opposite to wealth and rich, such as poverty, poor has
382 additional emotional meanings of pity, compassion. If linguistic units that counted as part of this concept are gradual
383 opposition in literal meaning, some of them are equipollent opposition. Examples of gradual opposition are:
384   Wealthy-less wealthy-unwealthy, propertied-deficit-indigent, many-few-none. Equipollent oppositions are the pairs:
385 khan-slave, aristocrat-plebian, patrician-commoner, noble-lowly.
386   Z.T.Koshanova divides oppositional linguistic unit directly linked to the concept 'wealth-poverty' as: oppositional
387 lexical unit: wideness-tightness, deficiency-sufficiency, hungry-full, strong-weak, pleasure-misery, thick-thin, freedom-
388 captivity, noble-ignoble and oppositional phraseological unit: beamed-suffered, rapacious-engorged (Koshanova 2009).
389
390   *'One is wealthy, another is poor. Antipode of beggar is a rich man' (Zhumadilov 2004).*

391   *Human is tested by poverty,*
392   *And sometimes by wealth.*
393   *Poor and rich are not companions,*
394   *As well as not wolf and sheep.*
395

396   **3. Conclusion**
397

398   In conclusion we have proved that because of usual antonymous oppositions, on which paremias are based, versatile for
399   different languages (based on a single law of universal thought), they reflect a universal picture of the world. And
400   contextual antonymous opposition expressed in tokens, indicating the specific national realities; so they reflect national
401   language picture of the world. However, to clarify this statement further research is required on the material in different
402   languages.
403   Each nation's stereotypical system based on national conscious builds linguistic image of the universe. Thus,
404   antonymic oppositions plays an important role in formation of the most significant categories of existence, which creates a
405   basis of universal and national picture of the world.For bulleted lists.
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Russian Speech in Kalmykia: History and Current State

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Abstract

The article deals with the problems of Russian speech culture at the example of Republic of Kalmykia, one of the national constituents of the Russian Federation. The history of appearance, development, functioning and current state of Russian language, the state language of Russian Federation, is successively traced in the article at the example of Kalmykia. The article shows that the Kalmyks' level of Russian language proficiency depends on human factors, first of all, on age. The impact of naive language in Russian colloquial speech of Kalmyk of the aged generation is felt to the fullest extent. Russian colloquial speech of the middle and younger generations is in keeping with general tendencies, typical of Russian colloquial speech in whole.

Keywords: *Bilingualism, linguistic situation, Russian literary language, speech culture, literary standards, Russian Federation, Republic of Kalmykia.*

1. Introduction

The linguistic situation, developed at present in multiethnic Russia, is a result of implemented national-language policy [1; 2]. In all national territorial subdivisions of the Russian Federation, Russian language, alongside with the national language, is a state one, the indigenous inhabitants of these regions are the bilinguals. For all users, irrespectively of the speaker's nationality, "the standards of Russian literary language are compulsory for all" [3; 4]. A British historian Jeffrey Hosking considers, that Russification was included to the politics of the Russian Empire, as it contributed to greater concentration of power. In his opinion, the purpose of Russification was to form the feeling of belonging to Russia, its past and traditions in all nations of the Russian Empire [5]. There is no denying that each region of the Russian Federation formed their own, considerably special social and linguo-cultural conditions for language functioning, which form the peculiar features of the Russian speech (RS). However, the determining factor of the linguistic situation in whole is the status of Russian language as a state one. The real linguistic picture shows rather high proficiency level of oral variety of Russian language in unofficial sphere, whereas in official conditions, the communication in Russian language is impeded, different deviations from standards are observed. In whole, it creates an impression of insufficient proficiency of Russian speech culture [6]. In this connection, it is of top priority to investigate that factual linguistic material, which really exists in different regions of polyethnic Russia, to develop the problems of Russian speech culture in conditions of multilingualism. The present article deals with these problems at the example of the Republic of Kalmykia.

2. Literature Review

2.1 Russian language in conditions of multilingualism

Russian language in the territory of Russia is unequal, what is conditioned by its existence. In some regions, it interacts with national languages, in the other ones - with the dialects of Russian or other languages. The color of the Russian speech in national communities is formed by the national language, it makes the "local" speech brightly locally colored. Typological similarities or differences of Russian and national languages promote the formation of peculiar accent. Besides, in modern times, vernacular, slang and foreign languages influence greatly on the functioning of Russian literary language (RLL). Activation of these processes is connected with the conscious desire of speakers for relaxed, vivid, substandard speech. In areas of weakened influence of RLL, to which, firstly, belong the national regions, all these processes interact.

2.2   *Russian language in Kalmykia.*

Russia is a multinational state. More than 180 nations live in its territory. Kalmykia, one of 21 republics of the Russian Federation, is also a polyethnic region, the representatives of more than 90 nationalities and ethnic groups live there. The Kalmyks constitute more than 50% of the republican population, 37% is presented by the Russians, the Dargins, the Chechens, the Kazakhs, the Ukrainians, the Byelorussians, the Germans, the Estonians, the Koreans and others also live there.

In compliance with the Law about Languages of Nations of the RSFSR and the Law about Kalmyk ASSR, Russian and Kalmyk languages are the state languages of the Republic of Kalmykia. Although these languages are juristically declared equal, in practice they differ in the sphere of usage, the level of functional development. This situation became a result of interaction of objective reasons, such as tragic past and number of the Kalmyk, social need and traditions in the use of native language, the development degree of national consciousness. However, the determining factor, from our point of view, was the national state policy, pursued in the USSR: all Soviet period of the Kalmyk existence gives evidence of gradual reduction of the Kalmyk size and narrowing of the sphere of use of the Kalmyk language, as a result of language policy, pursued in the USSR, the wars and Stalinist genocide regarding Kalmyks.

2.3   *Functional interrelations of Russian and Kalmyk languages.*

The main feature of modern linguistic situation in Kalmykia is the predominance of Russian language in all spheres of use, rather high RS proficiency level of medium and younger generations, whereas different interference peculiarities are observed in RCS of aged generations. One of the objective reasons, formed the modern linguistic situation in Kalmykia, is presented by the changes, conditioned by migrations of change in number, distribution and structure of Kalmykia population.

According to the General Census I (1897), 95.33% of population of the Kalmyk steppe was constituted by the Kalmyk, 3.34% - by the Russian, 1.33% - by the others. The main feature of population dynamics of all subsequent years is the intense migration gain of the Russians. This tendency was formed before the General Census I, which fixed the changes in population structure of the Kalmyk steppe for the first time. The beginning of peasant migration to the Kalmyk steppes belongs to the end of the 18 - the beginning of the 19 century [7].

At the beginning, the migration had a spontaneous and non-mass character. Gradually, the quantity of emigrants increased, legal peasant settlements appeared. The settlements appeared in the places of missionary camps (Chilgir, Kegulta, Bislyurta etc.), in trade places (Kalmyk Market, Yashkulsky Market), in places of post service and nomad camps [8]. Migration of peasants from densely populated areas to Kalmyk steppe and seizing of Kalmyk lands became one of the reasons, why a part of the Kalmyks moved to Dzungaria [1771]. The migration was a part of state measures, aimed at sanctification of the Kalmyks to Christianity and sedentary life. Intensification of commodity economy and trade resulted in the increase in significance of roads, crossed the Kalmyk steppe and served to transport the goods from Volga ex docks to the cities of Caucasus and Crimea, as well as the goods to be sold in Kalmyk camping grounds. The settlements with Russian population were created on these roads. Gradually, the main feature of demographic picture of Kalmykia started to form - the increase of share of the Kalmyk population, which played a dominant role in formation of modern linguistic situation. In the following years, this tendency was strengthened, and another tendency was formed - the reduction of Kalmyk population against the background of increase of total population number.

Because of social cultural transformations, held in the first years of Soviet power, the role of Russian language was strengthened in the region. It was conditioned by the appearance of new notions and realias, connected with the establishment of socialistic style of life, lack of teaching materials in Kalmyk language etc. Russian language becomes the language of new life: the Kalmyk were joined in medicine and hygiene through Russian language, as the number of literate Kalmyk was insignificant. The fact, that Russian language is being spread in written form and in different spheres, becomes typical. Because of limited number of teachers from Kalmyks and lack of textbooks in Kalmyk language, teaching was mainly carried out in Russian language. In course of time, Russian begins to function in the sphere of art, the Kalmyks got acquainted with theatrical performances, mainly of agitation character. Press and Russian fiction played a great role in consolidation of position of the Russian language. The First All-Soviet Union Congress of Writers (1943) influenced greatly on the development of national literature and distribution of literature in Russian language.

In those years, education becomes one of the most important channels to distribute Russian language. The development of secondary and higher school, science, engineering, art, training of national staff from the first days of the Soviet power was closely connected with Russian language.

By the beginning of the Great Patriotic War, Russian language in Kalmykia became a language of study at the

level of secondary school. At that time, a lot of terms were borrowed from Russian language and through Russian language of international terms. The changes in population structure of Kalmykia, the formation of its multinational composition, migration of population, conditioned by social political reasons (focus on collectivization and industrialization) contributed to the distribution of Russian language. Thus, the sphere of usage of Russian gradually expands, its significance grows. In pre-war years, Russian becomes the language of communication for the part of population, and the language of secondary and special education.

The Great patriotic War and deportation of the Kalmyks to Siberia (1943-1956) become an important period in Russian language assimilation by the Kalmyks, in increase of its role and extension of its functioning. Both at the front and in Siberia, Russian becomes the language of international communication for the Kalmyks, the young Kalmyk generation assimilates Russian in oral colloquial form, Russian gradually displaces native language from all spheres of use.

After the Kalmyk nation rehabilitation (1956), the federal status of the Kalmyk was restored, they came back to their motherland. The migration factor becomes the leading one in population dynamics in 1950-1960. In 1959, the Kalmyk constituted 47% of population of the republic. A clear feedback is traced between the share of Kalmyk population and growth rate of republican population. Russian language was expanded not only due to inflow of migrants, but also due to the opening of schools, educational institutions, including the Kalmykia Pedagogical Institute, theatre, as well radio-, television, newspaper and magazines. The number of books annually published in Russian, increases, consolidating the positions of the Russian language. The number of Russian population increased due to shock-work construction, declared in the territory of Kalmykia; the Kalmyks also went out to building sites and earnings to another regions; it consolidated the positions of Russian language. Shortly after the rehabilitation of the Kalmyk nation and creation of the republic, because of lack of specialists in Kalmykia, national classes were closed, Russian language becomes the language of teaching and nursery education everywhere. The Kalmyk language and native literature became one of school subjects, similar to Mathematics, foreign languages etc.

At present, Russian language has no limits in the sphere of distribution. It is the language of education, information, science, culture, office management, business and everyday communication. It is impossible to imagine the life of modern Kalmyks without Russian language. Its role in the life of young generation is huge, and it has a tendency to increase.

2.4   *Russian colloquial speech of the Kalmyks.*

Russian colloquial speech of the Kalmyk (RCSK) is not homogenous. The quality of RCSK depends on social factors: age, level of education, sphere of activity of the definite person. Age is the most important feature, as RS was assimilated by the Kalmyks of different generations through various forms, in different conditions, and it is shown in the speech quality. That is why, the peculiarities of Kalmyk RCS of aged, middle and younger generations will be considered below.

2.5   *Russian colloquial speech of the Kalmyks of aged generation.*

RCSK of aged generation presents the mixed speech, where, depending on situation, either Russian, or Kalmyk can be the principle, however, the involvement of split-level elements of passive language is obligatory. It is the consequence of the fact, that the Kalmyk of older generation assimilated Russian, still having the system of native language, formed in childhood. As a rule, they assimilated Russian through bookish-written form, hence, it is typical for them (especially for the Kalmyk intellectuals) to pronounce words letter by letter, without vowel reduction in weak positions, as well as some bookishness of speech, the use of participial and verbal adverb constructions, what is supported by the Kalmyk language, where they are frequently met, it is not typical to use slang, colloquialisms and expressions, they do not use the reduced elements for stylistic purposes. In this relation, their speech is characterized by some degree of purism.

The impact of native language on RCSK of aged population is shown at all language levels. The phonetic peculiarities in implementation of definite phonemes are indicative (for instance, the pronunciation of half soft instead of soft consonant phonemes; the reduction of end vowels of the word (bolnits (hospitals), shkol (schools), mashin (cars), the insertion of vowel before the initial *p (r)* of the word (aradiv (radio), yarshik (box)) etc.

Kalmyk lexical inclusions to the RCSK are quite numerous. The reasons of inclusion of the word from native language can be different: lack of Russian equivalent, expressive brightness of the word of native language, deficit of time to select the appropriate Russian word in conditions of spontaneous speech. More frequently, in RCS, people of this group use the Kalmyk kinship terms, ethnonyms, words, denoting parts of speech, the important for person actions, realias of national everyday life, Kalmyk set phrases. Mismatch of lexical collocability, divergences in semantic structure,

164 volume of word meanings, word for word translation of words and expressions from the native language into Russian
165 result in lexico-semantic interference. In RCS, the Kalmyk affixes can be used to express Russian root morphemes:
166 platysan (your own dresses), gorodas (from the city), podrugin (her friend), sosedas (from the neighbors), dumidlad (from
167 the verb to think + affix ad) etc. It is possible to use Russian affixes with Kalmyk roots: Badmashka (from the proper name
168 Badma), eezhenka (from eezh "grandmother").
169   The Kalmyk postpositions can be used instead of Russian prepositions: Moska deer (deer "in") lived; lift dotr (dotr
170 "inside") entered etc. There are also possible the omissions and wrong use of Russian prepositions, conditioned by the
171 lack of prepositions in Kalmyk language: Tseliy mesyats lezhal bolnitst - The whole month he stayed hospital (the
172 preposition *v* (in) is omitted, the affix *t* is used)). The most stable are the mistakes, conditioned by grammatical
173 interference, the disturbance in collocability of nouns, adjectives, ordinal numbers, pronouns, participles, generic verb
174 forms under the frames of word combination, conditioned by typological difference of Kalmyk and Russian languages (in
175 particular, there is no category of gender in Kalmyk language, coordination, as a type of syntactic relation, is not used).
176 For instance: Ona veseliy bila v detstve - She was joyful in childhood. The mistakes, connected with the category of
177 number, are also possible: Molodezh tantsuyut - The youth (in Kalmyk language, bahchud "youth" is a noun in plural)
178 dance.
179   At syntactic level, the impact of native language is seen in the use of RCS of complete Kalmyk sentences,
180 constructions, not typical for RCS (expanded), preservation of Kalmyk order of the sentence (final position of the
181 predicate). Thus, RCSK of the aged generation is a speech with violation of standards of RLL, where the strong impact of
182 native language is felt.
183
184 *2.6   Russian colloquial speech of the Kalmyks of middle generation.*
185
186 The impact of native language in the RCS of the Kalmyks of middle generation is manifested less than in the
187 abovementioned group. It is possible to say that, in whole, it is the speech, build in compliance with RCS standards,
188 where the Kalmyk national personality is felt. The interaction of two opposite tendencies is seen in RCSK: the impact of
189 official style, on the one hand, and slang and vernacular on the other hand. The abundance of words and expressions
190 from the official style can be explained by the habit to state clerical speech, elaborated within the decades of Soviet
191 times, as well as the impossibility to find quickly a required set phrase in spontaneous speech - a ready-made standard is
192 used. Bookish words and expressions in RCSK are found side by side with slang and vernacular vocabulary, breaking the
193 stylistic unity of the text. The reason, why slang words and colloquialisms appear in CS, is not only the ignorance of
194 stylistic norms of Russian language, but also a conscious desire of speakers for speech expressivity. These features of
195 RCSK are in compliance with common pattern: expression and standard - two particularly differential characteristics of
196 modern Russian speech [9].
197   With the purpose for expression, the speakers can use emotional means of native language. It is typical to use the
198 Kalmyk phraseological units: - What a hot day, *chamaa* ("certainly") buy the air conditioner; He ran nusan unzhulchkad
199 ("sniveling"). There can be used the substandard words from the native language: *Belkhechkad* ("dilapidating") laying; -
200 Threw in parts *shulmus* ("doddle"). It is possible, that ethnically non-Russians perceive the Russian language, firstly, as a
201 mean of communication, and leave the emotive function for the native language. The analysis shows that the speakers
202 use ready-made lexical units, the language game is not typical of them, the inventiveness in the use of linguistic means is
203 not mentioned, as well as the construction of special clauses or the use of figural expressions. In whole, the vocabulary is
204 not characterized by the diversity, numerous repetitions are typical, the synonymic means are not used. The selection of
205 words is determined by communicative, but not the aesthetic purposes.
206   A general law, determining the syntactic structure of RCSK, is the economy of linguistic means. Thus, it is typical to
207 contract several sentences into one construction by omitting semantically unloaded components, including conjunctions:
208 We talked with her, the flat is bought in the village; to plant it, it will grow the following summer. Redundancy is the
209 opposite tendency: let us not be, let us begin etc.
210   It is typical to use the words with bright colloquial coloring: The salary is not paid even from November; I have to
211 say you.
212   For the purpose of expression, the expressive means of different levels of the language can be used. First of all, it
213 is intonation, bright, flexible, thanks to modification of which different shades of meaning are communicated. The
214 increased expression of speech can be communicated by the use of diminutive-hypocoristic suffixes. Proper appraisive
215 words are used (dumbo, bullyboy), colloquialisms (potato, basin etc), slang words (chelnochit "comes and brings the
216 goods", stays at the market "sells", packed "well-dresses", a getup "fashionably dressed"). Rhetorical questions are also
217 used for expression: Isn't it impossible to pay people? Where shall we live, what money shall we take to make a

218 wedding? The expressive introductions are also typical: Oh, the garden is a problem.
219   Thus, RCSK of the medium generation is built in keeping with general organizational laws of RCS, the impact of
220 native language is shown by the inclusions from the native language (morpheme, word, phraseological units).
221
222 *2.7   Russian colloquial speech of the Kalmyks of younger generation.*
223
224 Due to the linguistic situation in Kalmykia, the Kalmyk youth assimilates RS before the Kalmyk one, young Kalmyk grow,
225 surrounded by RS from childhood [10]. They assimilate the Kalmyk language fragmentarily: through definite phrases,
226 clauses, words, that they hear at home; they get acquainted with the language system at school. In practice, native
227 language is taught as a foreign one, it is not used for speaking and writing. Young Kalmyk can be considered as Russian-
228 phonic linguistic personalities with the Kalmyk national character and behavior, determined by cultural traditions.
229   In RCS, national personality is shown in Kalmyk lexical inclusions, the phonetic, morphological, syntactic
230 interference is not shown. A number of words and expressions, used from the Kalmyk language, come to the formulas of
231 speech etiquette (*mendut* "hello", *hahjanav* "thank you", *buin bolth* "please" etc.), the words, denoting the realias of
232 Kalmyk culture (*hurul* "weather", *borigi* – the name of dish, *chichirdig* – the name of dance etc.), appraisive vocabulary
233 (*azd* "bully", *aiuch* "compliant" etc.). The use of such inclusions to the speech is justified by communicative purposes.
234 Expressivity, laid in national lexeme, is also a reason for their use in RCS. Evidently, the speaker evaluates the word of
235 the native language as more expressive, bright, as compared to Russian equivalent.
236   In whole, RCS of the Kalmyk youth is in keeping with the common pattern, peculiar of RS in whole. The same as
237 the speech of youth of Russian province, RCSK of the younger generation presents the interaction of bookish, colloquial,
238 slangy and rude words; abusive, swear words are frequently used. Their use is not justified by the speech situation and
239 communicative purposes. In whole, the youth cannot use the linguistic means according to their stylistic coloring and
240 communicative reasonability, there is no stylistic flexibility. The youth knows the system of Russian language quite well,
241 whereas the state of speech culture causes anxiety. As the Russian language plays the increasing role in the life of
242 Kalmyk youth, presenting wide opportunities to get the education, employment in any region of Russia, the purposeful
243 work, aimed at the increase of RS culture, is required.
244
245 **3.   Conclusions**
246
247   1.   Russian language, as a mean of international communication, is underinvestigated. Due to general fall of
248   speech culture, typical of the present times, loosening of standards of KLL, strengthened under the impact of
249   slang words and colloquialisms, and also national languages in contact areas, one the one hand, and
250   conscious desire of speakers for relaxed non-normativity, one the other hand, the significance of cultural-
251   speech investigations increases.
252   2.   The level of Kalmyk's Russian language proficiency depends on subjective factors of the speaker, first of all,
253   on age. The impact of native language is mainly felt in Russian colloquial speech of aged generation. Russian
254   colloquial speech of medium and younger generations complies with general tendencies, typical of Russian
255   colloquial speech in whole. The Kalmyk linguistic personality is shown in lexical inclusions, justified
256   contextually and expressively. A factor of appropriateness, viability of national inclusions shall be taken into
257   consideration in evaluation of Russian speech culture of Non-Russians, as well as the fluctuations of
258   standards of codified literary language in the situation of multilingualism.
259

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Representation of a Disrupted Mind and Anguished Self in Samuel Beckett's *The Unnamable*

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Abstract

This paper explores the main causes of character-narrator's linguistic as well as "existential anguish" (Esslin, 1968, p. 29) in Samuel Beckett's The Unnamable. The paper argues that the Unnameable's on-going and exhaustive quest for a real self leads in failure mainly because of his dissemination in the stories of the others as well as his only available medium or language. Although throughout the narrative the voice pretends to be able to deliver itself with either the thoughts of the others or their stories in order to obtain an independent self, the narrative is mainly a representation of the narrating voice's failure in coming to terms with the arbitrary nature of language and the other voices. It follows that, the Unnamable, being a purely linguistic self and subjugating to the non-referential power of language, relentlessly searches for a true self throughout the narrative. The present paper thus examines The Unnamable as a poststructural narrative, investigating the function of self, language and their troubled relationship in the novel as well as exploring, as Lance Olsen puts, Beckett's and Derrida's joint questions concerning "the deconstructive turn" and "the dissolution of self, world, and language" (1956, p. 4). Accordingly, applying a poststructuralist approach, the present paper examines the Unnamable's intramental (or private) perceptions regarding his existential and linguistic anguish within the narrative.

Keywords: *Self, the Other(s), Language, the Unnamable, Samuel Beckett*

1. Introduction

The identity crisis and the collapse of self in the twentieth century literature and philosophy as well as the importance of reference and representation in language have been acknowledged by many critics. Within the framework of poststructuralism, words, or signifiers, are seen as falsifying, "cogito" as an illusion and naming as an imposition and falsehood. The contemporary thought, as proposed by Olsen, "decomposes two of the great unifying notions of humanism: the power of language to reflect and shape the world and the power of consciousness to shape and recognize a self. But in spite of this decomposition, or perhaps because of it, a longing arises in the postmodern mind for what it has lost" (1956, p. 12).

Likewise, coming up with "a radical innovation" (Kennedy, 1989, p. 139) in the third novel of his so called Trilogy, Beckett's concern with the similar poststructural and postmodern questions in *The Unnamable* (1953) overrides any other concerns within the fictional world in which, to quote Northrop Frye, "we come as near to the core of the onion as it is possible to come, and discover of course that there is no core, no undividable unit of continuous personality" (2005, p. 134). Moreover, the narrative, as proposed by Andrew Kennedy, represents "an unstable self trapped among ceaselessly sounded but un-definable and inexpressible names." Therefore, *The Unnamable* primarily becomes a representation of "the confessional of a self that can find no self of any substance" (1989, p. 14 and 106) at last although he "is impossibly splitting himself in the search for some form of self" (Stewart, 2006, p. 142). That is so because the so-called narrator's central concern is to find a name, a reference or an ultimate signified through writing. Nevertheless, according to Paul Stewart, he finds himself entrapped in "the limitations of language." Consequently, throughout the narrative the Unnamable gets "involved in a search for his true name, or being, but this search only creates a series of never-ending substitutions" (2006, p. 65 and 163). This mainly results from the fact that he is, as pointed out by Maurice Blonchot, primarily "a being without being, who can neither live nor die, neither begin nor leave off" (2005, p.131). Therefore, "Preoccupation with the problem of being and the identity of the self" or "the deep existential anguish," according to Martin Esslin, can be considered as the "keynote of Beckett's work." Following that, his work can be taken as the explorations of "the deepest strata of the mind" examining "the darkest wells of anxiety" (1968, p. 29 and 35). Likewise, the character-narrator's anxiety in *The Unnamable* strongly refers to his existential concerns since, as Ronan McDonald suggests, he finds himself primarily "caught up in deterministic systems that squeeze out the possibility of human agency" (2006, p.

61).

2. The Unnamable and His Existential Anguish

The Unnamable is the story of an unnamed voice in limbo state, who desires to obtain a true voice in order to tell the story of his own true self: "I'll be myself at last" (Beckett, 1955, p. 325). His "obsessions in the search for the self" (Kennedy, 1989, p. 140) propel the Unnamable to devise some stories: stories of Basil, Mahood, Worm and a long unpunctuated monologue of a dismembered I towards the end of the narratıve. Nevertheless, "The purpose of the stories", according to Stewart, "is to bait the Unnamable into taking upon himself an identity, to relate and to have a relation with the identity within the tales. The less identity there is to identify with, the more the Unnamable might be tempted to swallow the hook and be hauled into existence" (2006, p. 126). At the end of the novel, not only the main story—the story of the Unnamable himself—is not told but he is also entrapped in the others' stories which turn out to be "stunted and blurred at their inception," not knowing to which one he belongs and even more he is not sure of his own humanity since "in the fictional world of the narrator every new character/story about to be created turns into a NOT I, like all the past fictions" (Kennedy, 1989, p. 139 and 142). The main reason of his failure, according to Alan Astro, is the fact that "both the speaking subject (the *I*) and one's various ego identifications are alienations from oneself" (1990, p. 91). The narrator-character therefore strives along the narrative so that he mıght be certain about his existence before his death. However, unlike the Cartesian self, whose cogito ends at the assurance of his existence or "sum," the Unnamable's cogitation ends at more doubts. This is the reason for his situation at the of narrative when he is a dispelled self imprisoned by and in words or a "disembodied *voice,* indefinite and indefinable in terms of ordinary human identity, deprived of specific time, place, function and purpose" (Kennedy, 1989, p. 139). Therefore, the narrative "begins to teeter about the fulcrum of the Cartesian 'ergo'. I think, that is (alas) plain. Descartes went on smartly, 'therefore I am'. But am I, can I even come into existence?" (Kenner, 1973, p. 111). Furthermore, not only the narrative voice continuously struggles to attribute consciousness for itself but the implied author endeavors to find a center of consciousness for the narrative itself. In this case, as pointed out by Alan S. Loxterman:

> "The Unnamable culminates Beckett's series of minimally narrated novels with an unidentified witness, a protean narrative voice which can be anything from a finite consciousness to an omnipresent metaphysical abstraction. Not only does Beckett's fiction lack the central consciousness of a narrator who knows more than particular characters; it lacks the presence of those characters themselves as multiple consciousnesses who remain sufficiently coherent to reveal discrete points of view on a common subject. For Beckett all conventional narration, from omniscient to first-person, becomes problematic" (2011, p. 32).

The concept of self as an individual independent from the others, concurrent with the rise of Humanism, was mainly established after the Renaissance in the West since before that time it was fundamentally associated with and controlled by a transcendental God. As Jacob Burckhardt differentiates, while people in the Middle Ages "were aware of themselves only as members of a group; in the Renaissance […] man became a spiritual individual and recognized himself as such" (qtd. in Burke, 1997, p. 17). However, during the following centuries, the theoretical concept of self with a unified identity changed into a self constantly fashioned out of changing moods. A cluster of post-structuralist theories claim that an individual's self is a permanently self-fashioning or (re)constructing concept which, in the wake of the French psychoanalyst Jacques Lacan, assumed to be embedded in the linguistic, cultural or social matrices. The twentieth century's self, therefore, is a fragmented self devoid of any conventional characteristics of a unified individuality. Likewise, the narrator of *The Unnamable*, before all else, struggles to make sense of who he is, what he is supposed to be doing, when his situation might change and even whether he exists. Not being "rhetorical questions" and "despite the ultimate unanswerability" (Astro, 1990, p. 81), the Unnamable's, or the voice's, opening questions are in many ways a postmodern man's questions which, according to H. Porter Abbott, "initiate a stream of self-canceling attempts to fill a narrative gap" (2004, p. 21) throughout the entire narrative: "Where now? Who now? When now? Unquestioning. I, say I. Unbelieving. Questions, hypotheses, call them that. Keep going, going on, call that going, call that on" (Beckett, 1955, p. 291). In this way and creating for "himself an unthinkable never-ending beginning" (Stewart, 2006, p. 137), the narrating voice throughout *The Unnamable* struggles to "find an answer to the questions of its own being, on the edge of non-being, among shadowy presences in a kind of limbo" (Kennedy, 1989, p. 139). Consequently, he is represented as living in a kind of "aporia" which "refer[s] both to a style (a rhetorical figure) that shows that the speaker *doubts,* and to a method that discovers an impasse, or near-impossibility, in reaching a solution" (Kennedy, 1989, p. 140).

The invention and destruction of the sense of self, according to Michael Foucault, is a modern concept. Foucault's statement that "man is an invention of recent date soon to be erased, like a face drawn in sand at the edge of the sea"

(qtd. in Dollimore, 1997, p. 250), brought about something of a scandal to Western thought. Likewise, Beckettian self dissolves in and disseminates over the other selves. Being bereft of his own individuality, Beckettian self, like the poststructural self, changes into a subject in the same way the Unnamable is subjected to his past, to the others and to language: "What puzzles me is the thought of being indebted for this information to persons with whom I can never have been in contact" (Beckett, 1955, p. 297). Such a self, moreover, desperately finds it absurd to look for a completely independent thinking self since he needs the others in order to achieve that. Although they are mainly unknown and invisible to him, the Unnamable, still in his illusions, finds himself vouchsafed a unified self by the controlling forms of their voices. This is what distinguishes him, as a postmodern self, from the existential self. Differentiating the two, Jonathan Dollimore argues that:

> "The individual of existentialism was always in crisis because without the metaphysical support of God, but at least the resulting angst seemed to offer the potential for authentic being. Not according to post-modernism, where the individual, anguished or confident, is as illusory a category as 'Man'; as a consequence, the very term 'individual' is replaced with the more technical term 'subject,' a subject now endlessly 'decentred'; that is, subjected to the historical, social and linguistic structures which precede, exceed and create it" (1997, p. 250).

However, the Unnamable, like an existential self, is fluctuating between the two states of "pour-soi" and "en-soi." As Michael Robinson says: "for Sartre individual consciousness is a pour-soi. The universe about this consciousness, all that is or the en-soi, is positive for its quality is its being there" (1969, p. 198). Seeing that it cannot perceive itself, a pour-soi should necessarily come out of itself and enter into the en-soi in order to be perceived or to be its own object. In other words, it should experience a change from subject to object. To be its own object, the Unnamable comes out his pour-soi (his own consciousness) incarnating himself in his surrounding world—in Mahood, Basil, Worm and voices. It follows that, the narrating voice defines itself in terms of what he is not. Accordingly, he desires the others in order to be recognized on their part so that he might be sure of his own self. The Unnamable's reasoning in this case, according to Samuel Enoch Stumpf, is closer to George Berkeley's argument that "'*esse est percipi,* or to be is to be perceived.' If something has to be perceived for it to be, what happens to that thing when you do not perceive it" (1993, p. 348).

The concept of self is, therefore, contradictory in the sense that the knowledge of one's own self and its construction inevitably include those of the others too. What makes such an existence more disastrous is the lack of any centre for this condition. An existential man accepts that he should suffer because it is his first and last choice as much as there is no other person responsible for his suffering. From the Unnamable's perspective, however, there should be a responsible, even though invisible, controlling centre in order to release him. Calling all his stories just "lies," the Unnamable says:

> "It's all a bubble, we've been told a lot of lies, he's been told a lot of lies, who he, the master, by whom, no one knows, [...] the master's not to blame, neither are they, neither am I, least of all I, we are foolish to accuse one another, the master me, them, himself, they me, the master, themselves, I them, the master, myself, we are all innocent...it's nobody's fault" (Beckett, 1955, p. 375).

Nevertheless, to find the source for the resurrection of his now enfeebled self, the Unnamable imagines hearing the unuttered, "never spoken" voices:

> "I have never spoken enough to me, never listened enough to me, never replied enough to me, never had pity enough on me. I have spoken for my master, listened for the words of my master never spoken: 'Well done, my child, well done, my son - you may stop, you may go, you are free, you are acquitted, you are pardoned.' Never spoken" (Beckett, 1955, p. 310).

Representing an inherent contrast between the narrating/experiencing voice and the other voices, the recurrences of such dreams, however, finally end at what Stewart calls "all-pervasive disjunction" by which "the Unnamable's search for a statement of his self is made impossible" (2006, p. 15).

Eventually regaining a humanistic centre to his decentred subject is what the Unnamable wishes for. His struggles resemble Beckett's artistic efforts in many ways. Beckett had already tried to discover a true sense of self for himself through his intentional alienation and language change. In an interview, he says: "I have always sensed that there was within me an assassinated being. Assassinated before my birth. I needed to find this assassinated person again. And try to give him new life" (qtd. in Ricks, 1990, p. 117). Likewise, to discover his assassinated self, the Unnamable re-examines the others who supposedly have been surrounding him intermittently: "Before him there were others, taking themselves for me. It must be a sinecure handed down from generation to generation, to judge by their family air. Mahood is no

worse than his predecessors" (Beckett, 1955, p. 317). The others who nearly replace the Unnamable are in fact his apparent selves. He is going to find his true self in them but the only achievable self for him is a simulated not a real one whose story he hardly succeeds in recounting: "I never spoke, I seem to speak, that's because he says I as if he were I, I nearly believed him, do you hear him, as if he were I, I who am far, who can't move, can't be found" (Beckett, 1955, p. 403).

The Unnamable's self is, therefore, a version of the other selves in the past and in the present. The central characters of two preceding novels in Beckett's Trilogy, *Molloy* and *Malone Dies*, together with the other characters of his earlier novels meet by chance in *The Unnamable*. Their names change when they move on to a new stage of self-discovery. When the Unnamable, in order to discover another layer of his self, changes his name from Mahood to Worm, he says: "But it's time I gave this solitary a name: nothing doing without proper names. I therefore baptize him Worm. It was high time. 'Worm.' I don't like it, but I haven't much choice. It will be my name too, when the time comes, when I needn't be called Mahood any more, if that happy time ever comes" (Beckett, 1955, p. 337). In this manner, the Unnamable is going to find his own authentic self, but as Robinson notes, it is like "the location of irrational numbers or the centre of a circle. The rational mind knows it is there, either through intimation or understanding, but is incapable of actually arriving at it" (1969, p. 24). The Unnamable is trying to come to his authentic being from his inauthentic one in which he is living. Authentic and inauthentic beings are the two aspects of being from Heidegger's perspective: "authentic existence requires that he recognizes and affirms his unique self with his responsibility for his every action. A person's drift into an inauthentic existence is subtle but in every case it involves a tendency to escape from one's self by finding refuge in a public self, in an impersonal identity" (Stumpf, 1993, p. 507). Since the Unnamable is not the sole controller of his own thoughts and actions, his being is to main extent an amalgam of some flawed assumptions ignited by the other names and voices. He tries to obtain his own authentic existence unaware of the fact that there is only a possible amalgam of authenticity and inauthenticity in human beings' lives.

The Unnamable, nevertheless, pursues his explorations throughout the narrative endlessly in order to be sure of his independent self. That is why, the word "I" is one of the most repeated words in *The Unnamable*. When it was published, the novel baffled so many critics. Beckett had written his three earlier novels—*Murphy*, *Watt* and *Mercier et Camier*—in third person narration intentionally invalidating the certainty of an authorial perspective. However, he chose first person narrator in the *Trilogy* in order to examine the potentials of the first person narration in excavating the self in depth. To find the fixed nature of the self, the Unnamable, like the other characters—among the others Molloy, Malone, Morane—tries to escape from both the time and the words, or language, into the timeless and changeless condition of selfhood believed to be lost at birth: "Yes I have a pensum to discharge, before I can be free. I was given a pensum, at birth perhaps, as a punishment for having been born perhaps [...]" (Beckett, 1955, p. 311). Meditation is, therefore, the main source of his self's existence. He thinks in order to be sure of his existence before death. However, his insatiable desire to find a name and silence in language leads in no more than a disturbed mind and anguished self.

The Unnamable as a thinking self primarily pretends to be acting like Descartes' thinking self, or cogito, but, as Olsen argues, with a very different consequence: "Beckett takes Descartes and what he stands for and turns him upside down […] the comma between 'I think' (the mind) and 'therefore I am' (the body) stands for the pineal gland, a nexus, a hope of connection. But in Beckett's universe, that comma stands for a pause, for a gap, for the first stutter toward solipsism in Western culture" (49-50). It follows that, *The Unnamable*, as proposed by Richard Pearce, "demonstrates the fallacy of *cogito ergo sum*; Beckett denies his characters even the certainty of their existence. When we finish his trilogy, we come to understand that identity requires definition, requires that one discover the differentia between himself and the rest of the world" (1970, p. 132).

Descartes' I could dislodge himself from any doubts and relying totally on himself as a 'thinking thing' he solved all his problems. Descartes' all-knowing I, nevertheless, changes into a desperate, ignorant I in *The Unnamable*: "I don't know, I'll never know, in the silence you don't know, you must go on, I can't go on, I'll go on" (Beckett, 1955, p. 414). Therefore, the poststructural Beckett questions the rationalism of Descartes by "demonstrating the way introspection discloses no contingent 'I' but only the self-questioning consciousness itself" (Loxterman, 1992, p. 70). Being aware of his thinking, the Unnamable primarily wants to be sure of his existence too although he fails.

His apprehension about being imprisoned in time, besides his confinement in words, is another obstacle in the Unnamable's way to find his true self. In order to fulfil his central desire, his struggles continue ceaselessly although he cannot overcome the omnipresent nature of time:

> "the question may be asked, off the record, why time doesn't pass, doesn't pass from you, why it piles up all about you, instant on instant, on all sides, deeper and deeper, thicker and thicker, your time, other's time, the time of the ancient dead and the dead yet unborn, why it buries you grain by grain neither dead nor alive, with no memory of anything, no

222 *hope of anything, no knowledge of anything, no history and no prospects, buried under the seconds, saying any old*
223 *thing, your mouth full of sand, oh I know it's immaterial, time is one thing, I another, but the question may be asked, why*
224 *time doesn't pass" (Beckett, 1955, p. 393).*
225
226   To eliminate the effect of passing time on their consciousness, Beckett's characters choose storytelling in order to
227 find their now-lost concrete self through re-examination of the past events, situations or memories. Molloy, for example,
228 creates two stories—story of his journey to find his mother and story of one Moran to find him. In the very beginning he
229 says: "what I need now is stories, it took me a long time to know that, and I'm not sure of it" (Beckett, 1955, p. 13). When
230 Malone, in *Malone Dies*, is unable to fill the void between his death and his awaiting time for it, he chooses storytelling in
231 order to do that: "I think I shall be able to tell myself four stories, each one on a different theme. One about a man,
232 another about a woman, a third about a thing and finally one about an animal, a bird probably" (Beckett, 1955, p. 181).
233 Likewise, the Unnamable amuses himself by telling himself the others' stories: Mahood's, Basil's and Worm's. The
234 common point in all these stories is their incomplete nature. There is, nonetheless, no discovery in the act of storytelling
235 for the characters as long as they do not help them find their true selves as well as forget the changing nature of time: "All
236 these Murphys, Molloys and Malones do not fool me. They have made me waste my time, suffer for nothing, speak of
237 them when, in order to stop speaking, I should have spoken of me and of me alone" (Beckett, 1955, p. 303). Moreover,
238 their quests lead in an impassable state since, as Cohn said, "there may be neither mind nor body to undertake it, and
239 language may mistake it" (qtd. in White, 2013, p. 42).
240   The Unnamable, however, does never stop questing for the totality of his own self. In the final pages, he is
241 searching, even in vain, for an appropriate pronoun to speak about his true self. However, the other names—Moran,
242 Malone, Mercier and Molloy—continually interfere in his affairs although he pretends that "their day is done" (Beckett,
243 1955, p. 403). When the Unnamable begins another new story, he replaces the other characters' names with the pronoun
244 "he" just to insist that: "it is not he, it's I, or another, or others, what does it matter, the case is clear, it is not he, he who I
245 know I am, that's all I know, who I cannot say I am, I can't say anything" (Beckett, 1955, p. 401). He, moreover, devises
246 other names for the absent voices in order to find his name but finally, when he gets tired of doing so, he says: "It's the
247 fault of the pronouns, there is no name for me, no pronoun for me, all the trouble comes from that" (Beckett, 1955, p.
248 404). The Unnamable's anguish at his jeopardised existence as well as his now missing independent self is so
249 widespread that it does not know, or is not confident, whether the voice that it considers as the representation of its own
250 self belongs to it or to another self which has already taken possession of him: "It issues from me, it fills me, it clamours
251 against my walls, it is not mine, I can't prevent it, from tearing me, racking me, assailing me. It is not mine, I have none, I
252 have no voice and must speak, that is all I know, its round that I must revolve" (Beckett, 1955, p. 307).
253   Furthermore, the main character's insistence on being sure of his existence before his impending death is another
254 considerable point in *The Unnamable*. As for the Unnamable, death is considered just as the only certain ending point, or
255 signified, in the poststructural and postmodern literature. Therefore, to be sure of his being before his eternal
256 nothingness, the Unnamable primarily tries to define his self since, as Patricia O. White argues, "Beckett's man, while
257 hoping for death, dreads it as a meaningless conclusion to his meaningless life. Like others who utilize existentialism,
258 Beckett is never quite convincing that one must endure when he is gradually dying into a final nothingness" (2013, p. 41).
259 Accordingly, the only available guarantee for the Unnamable's identity is his incessant inner talking.
260
261 **3. The Unnambale and His Linguistic Anguish**
262
263 As aforementioned, the self in *The Unnamable* is primarily a linguistic self and its decomposition is isomorphic with the
264 inadequacy of language itself. At the time that the narration proceeds and its anthropomorphic features dwindle—Basil is
265 a man ⇒ Mahood is a man without human abilities, for example he cannot speak or he has not a head as he is just a
266 trunk without legs ⇒ and Worm is not a human being at all but a unicellular—its representational language changes too.
267 Therefore, *The Unnamable*, in which the characters are "no longer recognisably human" (McDonald, 2006, p. 88), can be
268 taken as a fictional journey undertaken in language since, towards the end of narrative, the Unnamable shrinks into
269 language which performs an infeasible function for him. It follows that, the Unnamable's being, or "presence," is inherently
270 embedded in language "or, rather, is a condition of [...] language" (Stewart, 2006, 138). Nevertheless, the non-referential
271 aspect of language together with its worn-out conventions prevents the Unnamable both from coming into being and
272 obtaining an independent self. This aspect of language had already been emphasized by Friedrich Nietzsche according
273 to whom language, being merely a play of metaphors, does not reflect reality. In his *On Truth and Lies in a Nonmoral*
274 *Sense* (1873) Nietzsche holds that:
275

276   *"The various languages placed side by side show that with words it is never a question of truth, never a question of*
277   *adequate expression; otherwise, there would not be so many languages. The 'thing in itself' (which is precisely what the*
278   *pure truth, apart from any of its consequences, would be) is likewise something quite incomprehensible to the creator of*
279   *language and something not in the least worth striving for" (qtd. in Begam, 1996, p. 17).*

281   Similarly, Beckett considered language as the fundamental factor for the comprehension of the world and the
282 others. Then as well, *The Unnamable* can be taken as a novel of "language, the kind of novel that Flaubert once said he
283 wished he could write: the novel about nothing (le livre sur rien)" (Fowlie, 1968, p. 47). Moreover, in *The Unnamable*
284 "Beckett's work brings the 'language of the self' to an inescapable impasse" (Hoffman, 1962, p. 37) repudiating the
285 "traditional ideas of consciousness and language" (Begam, 1966, p. 8). The main reason that Beckett reiterates the
286 failure of art in his works does mainly refer to the arbitrary nature of sign system in language: "Words are the foundation
287 of Beckett's self-confessed art of failure for they form the impenetrable barrier that prevents us from knowing who we are
288 and what we are" (Robinson, 1969, p. 23). Likewise, the Unnamable as a poststructural man finds himself within the
289 discourse: "In order to speak, one starts speaking as if it were possible to stop at will. It is better so. The search for the
290 means to put an end to things, an end to speech, is what enables the discourse to continue" (Beckett, 1955, p. 299). The
291 nature of his discourse, however, enforces him to continue speaking without listening: "What reams of discourse I could
292 elicit from this seemingly so legitimate preoccupation! I speak, speak? Because I must, but I do not listen" (Beckett, 1955,
293 p. 306). He cannot manipulate language because he is within it or a part of it. In other words, words in *The Unnamable*
294 are primarily used as self-contained, self-referential signs since the only source of linguistic significance is language itself
295 without relying on any external or referential reality. Nevertheless, the Unnamable and the other names and voices, as
296 presented from his perspective, pretend not to be thinking so. Instead, everybody and everything are included within the
297 text where any sense of authority of the author is decentred since, as Hugh Kenner argues, "anyone in the book [*The*
298 *Unnamable*] is made of words" (1973, p. 111).

299   Furthermore, writing in poststructural literature becomes its own subject as no longer does the text represent the
300 outside reality. Maintaining the flimsy linguistic structure of the narrative, therefore, become the central attention of the
301 text. In *The Unnamable*, the non-referential writing writes about itself. Highlighting this aspect, Richard Begam states that:
302 "If *Malone Dies* carries us to the end of the book, *The Unnamable* offers us our first glimpse of what lies beyond: the
303 beginning of writing. In moving toward a condition of pure textuality, toward a literature that seeks to free itself from
304 representation and expression, Beckett takes up once again the problem of the narrator/ narrated" (1996, p. 155).
305 Following that, the Unnamable, finally becomes a word among the other ones: "'I'm in words, made of words, other's
306 words," or "I am words among words" (Beckett, 1955, p. 386 and 388). Thus, as Robinson suggests, Beckett's main
307 preoccupation is a "preoccupation with a self made from language" (1969, p. 227). Being extremely concerned by the
308 questions such as whether this language-made self can separate the Unnamable's being from its presentation in
309 language, and still more whether he is able to think and exist without words, *The Unnamable* narrative mainly represents
310 the interpenetrated nature of self and language. This inevitably displays the restrictions of a speaking act in a shared
311 code which, at the same time, excludes the possibility of talking about one's private self too. Following that, one of the
312 main aspects of Beckett's work is showing the arbitrary nature of the words through examining their semantic and
313 pragmatic aspects carefully. According to Phyllis Carey: "As a young writer, Beckett had formulated his desire to get
314 beneath the surface materiality of words to the 'all or nothing' that underlies the spoken and the seen" (1997, p. 8*).* In this
315 case, what Robinson says about *Watt*—*"*Language and identity have begun to diverge, each following its own path to a
316 position where reconciliation becomes impossible" (1969, p. 125)—seems to be more applicable to *The Unnamable* too:
317 "'I'm in words, made of words […] I'm all these words, […] with no ground for their settling" (Beckett, 1955, p. 386).

318   Since words are the only medium for him to find his true self, the Unnamable entrusts with simulating some stories
319 in order to be spoken about. He does so because he desires to obtain an independent concept of self for himself: "All this
320 business of a labour to accomplish, before I can end, of words to say, a truth to recover, in order to say it, before I can
321 end, of an imposed task, once known, long neglected, finally forgotten, to perform before I can be done with speaking,
322 done with listening, I invented it all, in the hope it would console me" (Beckett, 1955, p. 314). The Unnamable, moreover,
323 is trying to break off language in order to find his self through freeing himself from its bondage. Accordingly, he
324 optimistically searches for his true self although he is at the same time entrapped in a kind of "supreme paradox"
325 (Kennedy, 1989, p. 104) too: "You must go on. I can't go on. You must go on. I'll go on. You must say words, as long as
326 there are any—until they find me, until they say me" (Beckett, 1955, p. 414). To "go on," according to Brian Finney,
327 "means to go on voicing his mental search for an escape from his world of words." Besides that, as Frederick Hoffman
328 says, it may refer to a "persist in being one's doubting self" (1969, p. 825) or in the Unnamable's words "to go on means
329 going from here, means finding me, losing me, vanishing and beginning again, a stranger first, then little by little the same

as always, in another to place […]" (Beckett, 1955, p. 302).

Towards the end of the novel, the inconsistency between the language and various imperceptible selves surrounding the narrator increases in a way that, on the one hand, nothing remains from the semantic elements of language itself. On the other hand, the Unnamable is finally unable to find a true sense of self for himself. The linguistic tense and syntax break off: "These things I say, and shall say, if I can, are no longer, or are not yet, or never were, or never will be, or if they were, if they are, if they will be, were not here, are not here, will not be here, but elsewhere" (Beckett, 1955, p. 301). In the last sentence, which extends beyond nine pages, every affirmation is followed by a negation on the hell: "they have carried me to the threshold of my story, before the door that opens on my story, that would surprise me, if it opens, it will be I, it will be the silence, where I am, I don't know, I'll never know, in the silence you don't know, you must go on, I can't go on, I'll go on" (Beckett, 1955, p. 414). Thus, even though the Unnamable is unable to find a certain or independent self within the represented world, he never gives up his hope for arriving at one at any moment throughout his explorations. Following that, even after managing to "achieve silence in speech," he still "speaks in the silence." (Astro, 1990, p. 91). The difficulty of defining his own true self, moreover, does not necessarily imply the absurdity of a linguistic communication for the Unnamable. Despite that, he greatly desires for a place beyond the arbitrary signification of language, the presence of the others and the existential certainty. The growing rift, or imbalance, between the actual situation and the imaginary one within the central consciousness of narrative, however, leads largely in a disrupted mind and anguished self.

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Definition as a Means of Semantization in the Dictionaries of Linguistic Terms

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Abstract

The article is devoted to the definition as the main means of term semantization and systematization of terminological knowledge in specialized dictionaries. Among all the ways of explanation and fixation of term semantics the definition is more predominant and significant. The aim of this research is a comparative study of the definition as the main means of semantization in dictionaries of linguistic terms in Kazakh, Russian and English. Semantization in scientific and technical lexicography is defined as a semantic, logical-conceptual analysis, which includes all the possible ways of disclosure of the term meaning in a specialized dictionary. In terminology the definition may not exist in isolation. It is considered as a part of the information fixing the term. The main aim of any terminological dictionary is to identify the meaning and fix it in the form of definition. The accurately formulated definition is of great scientific importance. The main task of the definition is not to state or describe, but only to identify and outline the object or subject that will be discussed in the future and will be stated. Such methods as descriptive, typological, definitional and comparative are applied to achieve the main aim of this research. Lexicographic fixation allows the definition with partial features of explanation. Generalization of features of the definition form and content, based on the lexicographic materials, highlights its three types: generic-specific, operational and enumerative. Revealing the most important information in the object, the terminological definition emphasizes it, distinguishes it from other objects and warns against mixing the concepts, confusion in the arguments.

Keywords: term, definition, definiendum, definiens, terminological dictionary

1. Introduction

The problem of the description of the term meaning is the basic and more effortful in terminological dictionaries of explanatory type. In terminography the semantic level or the zone of description of the term meaning in most cases is central within the study of the dictionary microstructure.

The explanation of the term meaning is based on:

1) a scientific definition – a strict definition formed in accordance with the rules of formal logic;
2) a dictionary explanation, when the dictionary performs a descriptive function and the definition of a term bears the preliminary nature;
3) a referential definition which is given by reference to another definition of the term;
4) an illustrative definition – the illustrative material can act as a graphic presentation, a formula, a diagram, a table, etc .;
5) a contextual definition – an example of the term use in the context where the term meaning is disclosed;
6) an encyclopedic definition where the term meaning is defined with the involvement of a large number of extralinguistic and explanatory material (Grinev, 1993).

It follows that the definition is not the only way to explain the meaning of specialized vocabulary. However, among all the ways of explanation and fixation of the term semantics the definition is the most significant. First, with the help of definition the conceptual side of a sign is identified. Second, the definition is characterized by its conciseness and accuracy. For some researches the presence of the definition is an obligatory and constituent feature of the term. "The study of the conceptual content of the term, fixed by the definition, comes to the fore studying such issues of a terminological theory as the term semantics, the structure of terminological concepts, etc." (Shelov, 2003).

The main aim of the research is a comparative study of the definition as the main means of semantization in

dictionaries of linguistic terms in Kazakh, Russian and English. Semantization in scientific and technical lexicography is defined as a semantic, logical-conceptual analysis, which includes all the possible ways of disclosure of the term meaning in a specialized dictionary.

Definition is a type of dictionary definition that clarifies the meaning of a term by listing its essential features and presents the equivalence relation, consisting of a concept to be defined (definiendum – Dfd) and a concept that is used to define (definiens – Dfn). According to the rules of formal logic the definition should be objective, concise, accurate, equal to the volume of definiendum and not contain a logical circle.

Terminological definitions – as a special genre – promote structuring of scientific knowledge, combining with each other on the basis of different connections and relationships. The scientific concept has different forms of expression and semantic representation corresponding to different levels, stages of development of science and scientific abstraction. Therefore, in the content of concept its basic and most significant features are reflected. Different types of definitions reflect a higher level of scientific abstraction (Gerd, 2005).

2. Methods

The problems, related to the definition in dictionaries of linguistic terms in the Kazakh, Russian and English languages, required the use of a descriptive method on the basis of which the synchronic analysis of the definition as a means of term semantization is carried out; typological and definitional methods – to define the main types of terminological definition and a comparative method – to identify the common and special in the content of terminological definitions. The descriptive method is applied to describe the content of the definition in dictionaries of linguistic terms at the present point in time. Typological and definitional methods allow distinguishing three main types of definitions: generic-specific, enumerative and operational. The comparative analysis of definitions in dictionaries of linguistic terms confirms that the ways of organization of definitions depend not only on the differential structure of knowledge about the nature of definiendum in different languages but also on the authors of dictionaries.

3. Main Body

The term arises as a result of interaction between cognition and communication in the professional sphere. The presence of the definition is an important factor to recognize a lexical unit of the language for specific purposes as a term. In terminology the definition may not exist in isolation. First of all it is considered as a part of the information fixing the term. Consequently, the definition is only a part of the semantic specification including morphological, syntactic and sometimes pragmatic features. The definition with the necessary degree of accuracy can reflect the main characteristics of the object, i.e. clearly point to it, identify it among the other objects and single out its systemic features. The definition is used to define the nature of the term for its use in a particular field of activity. The linguistic description of the term meaning is quite sufficient for the definition. It follows that the main aim of any terminological dictionary is to identify the term meaning and fix it in the form definition. The accurately formulated definition is of great scientific importance. In the process of fixing the term a set of features of the object is reflected for singling it out from the other objects (terms).

In terminology the definition is necessary for:
1) initial fixation of the term – the equality of concepts;
2) identification of the term by the definition;
3) explanation of the concept meaning for specialists (Sager, 1990).

The main function of the definition is to determine the position of the term in a certain structure of knowledge. The definition is applied to those terms that are still not clearly defined and require further specification. Also, many of the terms require the definition for a more complete analysis to establish their relationship with other terms in a particular structure of knowledge.

The main task of the definition is not to state or describe, but only to identify and outline the object or subject that will be discussed in the future and will be stated (Shelov, 2003). Therefore, the definition pretends to the exhaustive nature of verbal identification of definiendum. According to the given quality the definition is of paramount importance in the knowledge structure.

Special knowledge is built through the successful definition and substitution of elements of the common language with special elements to the limit, appropriate to each level of education established by the society which then becomes the primary level for certain types of messages. This process is repeated every time, expanding a particular field and developing new concepts (Sager et al, 1980).

A.S. Gerd notes that "terminological dictionaries of explanatory type give the exact logical definition of a scientific

112 concept without conveying its whole content. Common explanatory dictionaries often reflect the everyday concepts ..."
113 (Gerd, 2005). It should be observed that the object of study and ways of its disclosure in terminological dictionaries and
114 general explanatory dictionaries are different, but the function of both types of dictionaries is the same: to clarify the
115 meaning of definiendum.

116 It follows that the analyzed dictionaries of linguistic terms in Kazakh, Russian and English can be called as
117 terminological dictionaries of explanatory type. First, they are monolingual and aimed at disclosing the meaning of
118 definiendum. Second, definitions with the "soft" conceptual system which have partially features of interpretation are
119 typical for these ones. Dictionaries of linguistic terms are more acceptable for the lexicographic fixation of terminology in
120 humanities where both the accuracy and clarity of understanding is important.

121 Taking into account the variety of lexicographic definitions, the analysis of dictionaries of linguistic terms in Kazakh,
122 Russian and English reveals that all the definitions are explicit and divided into the following types:

123   1. *Generic-specific definitions* define an object or a concrete concept by indicating the genus (*genus proximum*)
124   and the specifying type trait (*differentia specifica*). Creating definitions of this type it is necessary to identify the
125   genus and specifying type traits (one or more), which should be the basis of classification of the generic
126   concept and from which the specific features, reflected in definitions of specific concepts, depend on (Volkova,
127   1986; Shelov, 2003; Bussmann, 2006).

128 S.D. Shelov offers a method of definitional analysis of generic-specific definitions based on the following rule: "a
129 fragment of definiens naming the genus is a minimal, semantically complete and semantically main independent part of
130 the definiens which includes a maximum (according to lexical and syntactic structure) previously defined term (or a free
131 combination of previously defined terms); the remainder of the definiens represents a formulation of a specifying type trait
132 of the genus (if this part belongs syntactically to one word) or a combination of specifying type traits (if this part belongs
133 syntactically to different words)" (Shelov, 2000).

134 This method allows defining the generic-specific type of terminological definition more accurately. For example:

135 **S`intaksis** – söylemdegi sözderdiň, söz tirkesteriniň baylanysyn, zaňdylyqtaryn, söylem qúraudyň amal-täsilderin
136 zertteytin grammatikanyň bir salasy (Qaliyev, 2005);

137 SINTAKSIS – chast grammatiki, izuchayushchaya sochetaniya slov v predlozhenii (Zherebilo, 2005);

138 **syntax** – the branch of grammar dealing with the organization of words into larger structures, particularly into
139 sentences; … (Trask, 1993).

140 In dictionary of linguistic terms in Kazakh the genus proximum of a term is *grammatikanyň bir salasy*, in dictionary
141 in Russian – *chast grammatiki*; and in dictionary in English – *the branch of grammar*. These generic concepts represent a
142 minimal semantically complete part of definiens. The remainders, notably *söylemdegi sözderdiň, söz tirkesteriniň*
143 *baylanysyn, zaňdylyqtaryn, söylem qúraudyň amal-täsilderin zertteytin; izuchayushchaya sochetaniya slov v predlozhenii;*
144 *dealing with the organization of words into larger structures, particularly into sentences* are specifying type traits. Or, for
145 example:

146 **AGGLYuTIN`ATsIYa** – tübir sözge, köbine, soňynan jalğanatyn qosymšalar arqyly payda bolatyn tildik qúrylys
147 (negizinde jalağamaly tilge tän erekšilik) (Kenesbayev et al, 1966);

148 **AGGLYuTIN`AtsIYa** – mekhanicheskoye prisoyedineniye odnoznachnykh standartnykh affiksov k
149 neizmenyaemym osnovam ili kornyam (Akhmanova, 2004);

150 **agglutination** – a type of morphological structure, in which words can be readily divided into a linear sequence of
151 distinct morphemes, each of which has typically a fairly consistent shape and a single consistent meaning or function
152 (Trask, 1993).

153 In the given generic-specific definitions the generic concepts are: *tildik qúrylys*, *mekhanicheskoye prisoyedineniye*
154 *affiksov*, *a type of morphological structure*. The remainders of definientia are the specifying type traits. It should be noted
155 that the specifying type traits in definiens of the term are *odnoznachnykh standartnykh* and *k neizmenyaemym osnovam*
156 *ili kornyam* and according to the above-stated method belong syntactically to different words.

157   2. *Enumerative definitions* do not possess a generic-specific structure. The conceptual content of definiendum is
158   fixed by listing the elements which enter it as its specific representatives. Impossibility of coincidence of any of
159   the objects mentioned in the list is one of the important characteristics of enumerative definitions. It should be
160   considered that enumerative components are in the structure of formulation of the genus proximum but not
161   differentia specifica (Shelov, 2003).

162 In the context of enumerative definitions the semantic neutralization of conjunctions is possible. They are *jäne,*
163 *nemese, sonymen qatar* in dictionaries in the Kazakh language; *i, ili, a takzhe* in dictionaries in Russian; *and, or, as well*
164 *as* in dictionaries in English. However, regardless of the applied conjunction, the definiens of enumerative definitions has
165 one semantic character – a conjunctive connection of components. It follows that if in the generic-specific definition the

166 basic structural elements are the genus proximum and the differentia specifica, in the enumerative definition the basic
167 structural elements are its conjunctive components.
168   For example, in the dictionary of linguistic terms in English the following enumerative definitions can be met:
169   **abstract noun** – a noun whose meaning is an abstract concept (truth, beauty, magnitude, consequence) or a noun
170 denoting an event (arrival, explosion) (Trask, 1993);
171   **body language** – designation for instinctive, conscious and/or conventional expressive movements of the body
172 (Bussmann, 2006);
173   **complement clause** – a finite or non-finite clause which serves as a complement to some lexical items (Trask,
174 1993).
175   The conceptual meaning of terms is identified by listing the elements that enter it as its specific representatives.
176 So, *a noun whose meaning is an abstract concept* and *a noun denoting an event* are specific representatives of
177 definiendum *abstract noun*; *designation for instinctive movements of the body, designation for conscious movements of*
178 *the body* and *designation for conventional expressive movements of the body* – specific representatives of *body*
179 *language*; *a finite clause which serves as a complement to some lexical items* and *non-finite clause which serves as a*
180 *complement to some lexical items* – specific representatives of definiendum *complement clause*. It should be noted that
181 in the enumerative definitions the whole syntactic structure is a specific representative of the definiendum.
182   In dictionaries of linguistic terms in Russian and Kazakh the enumerative definitions can be also observed:
183   **DVOYN`YE F`ORMY** – variantnye orfoepicheskiye, orfograficheskiye, morfologicheskiye i drugie formy
184 (Akhmanova, 2004);
185   KONVERGENTsIYa – skhozhdeniye, vzaimoupotrebleniye elementov yazyka (Zherebilo, 2005);
186   NEOLOGIZM – novoye slovo ili novoye znacheniye i forma uzhe sushchestvuyushchego slova. … (Zherebilo,
187 2005).
188   In the dictionary in Russian these enumerative definitions point out that *variantnye orfoepicheskiye,*
189 *orfograficheskiye, morfologicheskiye* and *drugie formy* – specific representatives of term *dvoynye formy*; *skhozhdeniye*
190 *elementov yazyka* and *vzaimoupotrebleniye elementov yazyka* – specific representatives of definiendum *konvergentsiya*;
191 *novoye slovo, novoye znacheniye* and *novaya forma sushchestvuyushchego slova* – specific representatives of
192 definiendum *neologism*.
193   **ALTAY TILDERI** – türki, moňğol, túňğys-manchjúr jǝne basqa tilderdiň jiyntyq attary (Kenesbayev, 1966);
194   **Grafema** – tildiň jazu jüyesindegi negizgi birligi, dybystyň jazudağy taňbasy, jazu jüyesiniň eň kiši belgisi (Qaliyev,
195 2005);
196   SONANTTAR – tonnyň daňğyrdan, šudan basym boluynan jasalatyn buyn qúraušy element, ündi dauyssyz
197 nemese jartylay dauystylar (Suleymenova et al, 1998).
198   Enumerative definitions in the dictionary in Kazakh, as well as in English and Russian, name objects which enter
199 the structure of definiendum. From the cited examples, *türki, moňğol, túňğys-manchjúr jǝne basqa tilderdiň jiyntyq attary*
200 enter the structure of definiendum *altay tilderi*; *tildiň jazu jüyesindegi negizgi birligi, dybystyň jazudağy taňbasy, jazu*
201 *jüyesiniň eň kiši belgisi* are the specific representatives of definiendum *grafema*; *tonnyň daňğyrdan, šudan basym*
202 *boluynan jasalatyn buyn qúraušy element, ündi dauyssyz* and *jartylay dauystylar* – specific representatives of
203 definiendum *sonanttar*.
204   3.   An operational definition is a genetic definition, where the genus is not included. In the operational definition
205   the description of the procedure of the object construction points to the way of its occurrence – the description
206   intended for some cognitive activity of the subject, perceiving the text of definition. It should be observed that
207   this type of definition is most applied in defining the concepts of technical and natural sciences (Shelov, 2003).
208   In turn, H. Bussmann indicates that an operational (genetic) definition is a special type of real definition. In
209 linguistics the operational definition refers to the origin and method of defining the concept to be defined. Deletion,
210 replacing, adding or reordering are the main means of transformation in this type of definition. For example: **phonemes** –
211 *minimal sound elements whose 'exchange' results in a difference in meaning*. It should be noted that operational
212 definitions are typical for concepts of structural linguistics and generative (transformational) grammar. The aim of
213 operational definition is to identify and describe language regularities, as well as to establish and assess the linguistic
214 hypotheses and theories (Bussmann, 2006).
215   Comparing the definitions, introduced by S.D. Shelov and H. Bussmann, the question arises about the content of
216 the operational definition. Studying the theory of definitions, D.P. Gorsky also noted that the problem about the
217 specification of objects to be defined by means of their formation, origin and construction is resolved by genetic
218 definitions. This type of definition is established through the genus proximum and the differentia specifica (Gorsky, 1974).
219   The study of typology of definitions of linguistic terms allows coming to the conclusion that in the definiens of

generic-specific definition (real) the genus proximum and the differentia specifica are assigned. The genus proximum is generic with respect to the definiendum and the differentia specifica differentiates the definiendum from the other concepts in a certain field of knowledge. With regard to the *operational definition*, this definition is a subtype of the real definition, the content of which also consists of the genus proximum and differentia specifica. The difference lies in the fact that the differentia specifica of operational definition does not point to the essential properties of the term, but by transforming the linguistic elements defines its specific features.

The assertion about the lack of genus proximum in operational definitions is relative. In this respect the views of scholars differ. In practice researchers often face the problems of this nature. In this case the field of knowledge should be taken into account where the typology of definitions is considered. Perhaps, in the description of operations of mathematical, physical and chemical concepts the genus proximum is not required, but it is inadmissible for operational definitions in the field of linguistics. For example:

Tektes morfemalar – mağynasy men qyzmeti jağynan úqsas, birin-biri ayyrbastay alatyn qosymša morfemalar (Qaliyev, 2005);

Diakritikalyq belgi – belgili bir dybystyň qosymša artikulyatsiyalyq mağynasyn bildiru ušin äripke qosylatyn šartty kömekši belgi (Qaliyev, 2005);

JALĞAU – söz ben sözdi, söylem men söylemdi jalğastyryp, söz tudyryp, söz özgeretip (türlendirip) túratyn qosymša (Kenesbayev, 1966);

ALTERN`ANT – variant kak chereduyushchysya s drugimi variantami toy zhe empiricheskoy edinitsy, kak svyazanny s drugimi variantami otnosheniyem cheredovaniya (Akhmanova, 2004);

DISFEM`IZM – trop, sostoyashchy v zamene estestvennogo v dannom kontekste oboznacheniya kakogo-l. predmeta boleye vulgarnym, familyarnym ili grubym (Akhmanova, 2004);

Morf`ema derivatsi`onnaya – affiksalnaya morfema, vidoizmenyayushchaya leksicheskoye znacheniye kornya i obrazuyushchaya novoye slovo (Akhmanova, 2004);

adjunct – a category which is a modifier of a lexical head witihout being subcategorized for by that lexical head and which could in principle removed without affecting well-formedness; e.g., in the sentence *I saw Lisa in the park yesterday*, the phrases *in the park* and *yesterday* are adjuncts of the verb (Trask, 1993);

constituent – any part of a sentence which is regarded as forming a distinct syntactic unit within the overall structure of the sentence, on the ground that it behaves as a unit with respect to certain criteria, such as displacement, coordination, ellipsis and the possibility of its serving as antecedent to a pro-form (Trask, 1993);

infix – an affix which occupies a position in which it interrupts another single morpheme (Trask, 1993).

These examples of definitions in dictionaries of linguistic terms in Kazakh, Russian and English indicate that definiendum of operational definitions contain such generic concepts as *qosymša morfemalar; šartty kömekši belgi; qosymša; variant; trop; affiksalnaya morfema; a modifier; any part of a sentence; an affix.* Specific features point out the way of transformation of definiendum. So, in definitions in Kazakh *tektes morfemalar* replace each other; *diakritikalyq belgi* is added to the letter for its correct articulation; *jalğau* changes the meaning of words by addition. In definitions in Russian *alternant* alternates with other variants; *disfemizm* replaces the natural designation of any object by more vulgar; *morfema derivatsionnaya* changes the meaning of the root by addition and forms a new word. In definitions in English *adjunct* can remove in the sentence; *constituent* removes or is omitted in the sentence; *infix* interrupts another morpheme, i.e. is put into the stem.

4. Results

Thus, it is schematically singled out the main types of definitions in dictionaries of linguistic terms, where *a* – genus proximum; *b* – differentia specifica, which differentiates describing the essential features of Dfd; *b'* – differentia specifica, which defines the specific features Dfd by transforming the linguistic elements and *c, c', c''* – specific representatives of Dfd:

1) generic-specific definition: Dfd = Dfn: a + b;
2) operational definition: Dfd = Dfn: a + b'
3) enumerative definition: Dfd = Dfn: c + c' + c''.

The definitions of given types in dictionaries of linguistic terms show that, despite the differences in the content of Dfn when defining Dfd, according to the rules of formal logic both concepts are proportional in relation to each other.

Having considered above-stated types of definitions, it should be noted that the definition of concepts plays an important role in the theoretical and practical activities. Expressing knowledge about the object in a concise style, it is a significant moment in the knowledge of reality.

The semantic level of description of the entry words in dictionaries of linguistic terms indicates that the content of definitions is not of the same type, as their interpretation varies from definition to definition. In the compared dictionaries of linguistic terms such basic types of terminological definitions are observed as generic-specific, operational and enumerative, which are the most basic and commonly used ways of organizing dictionary definitions.

The scientific definition establishes a system of human knowledge about the world at one stage of its development. The study of types of definitions and their differential features is inseparably linked with the study of terms and terminology systems. The comparative analysis of dictionaries of linguistic terms in Kazakh, Russian and English indicates that the verbal expression and functioning of languages, the differential structure of knowledge about the nature of the object (term) in the field of linguistics, its semantic content and special genre affect a variety of types of definitions in dictionaries of linguistic terms.

5. Conclusion

Analyzing definitions in dictionaries of linguistic terms, types of definitions as the main means of term semantization go through the qualitative analysis. Despite the different types of definitions in disclosing the term meaning, the volume of definiendum and definiens coincide. In terminological dictionaries of explanatory type the definition can be represented in the form of interpretation, but not every interpretation of the word in common explanatory dictionaries is a definition as the object of the definition is a scientific concept.

In the analyzed dictionaries of linguistic terms the lexicographic fixation allows the presence of the definition with partial features of interpretation. Despite the admissible "softness" of the conceptual system, the definiens of the definition is a substantional lexicographic component supplemented by the illustrative material to identify the term and its adequate performance.

In terminological dictionaries of explanatory type the structure and the method for constructing a definition are based on well-defined logic and linguistic requirements, the observance of which leads to the term fixation. In general, the definition is necessary to preserve the unity of science, integrity and continuity of its basic conceptual apparatus.

For the purpose of inventory and streamlining the corpus of terminological definitions in the compared dictionaries in the scientific article it is made an attempt to systematize and develop their typology on the basis of differentiating features. In the dictionaries of linguistic terms the basic types of terminological definitions are *generic-specific, operational* and *enumerative*. The variety of definitions in dictionaries of linguistic terms is explained by the differential structure of knowledge about the nature of the object in the field of linguistics. Disclosing the most important facts in the object, the terminological definition allows to emphasize it, distinguish it from the other objects, warns against mixing the concepts, confusion in the arguments.

The analysis of dictionaries of linguistic terms in Kazakh, Russian and English determines that the ways of definition structure as the main means of term semantization depend on subjective factors of the dictionary occurrence, first of all, the decisions of its writers.

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The Etnopoetic Constants the Heroic Epic of the Mongolian Peoples: The Issue of Identifying and Cataloguing

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Abstract

Lead: The urgent character of this investigation is the fact that it offers new approaches to the revealing and systematization of the ethnopoetical constants of the epic of Mongol nations which appear in an epic text of different levels. The work is based upon the theory of "ethnopoetical constants" by V. M. Gatsak. This theory allows to consider epic elements of different value in one analytical field as well as a wide range of "words in their stable expressions and connections" which have both the formulaicity and "mobility of the outlines". Revealing and systematization of the poetical and stylistic means that have differences in constancy in the epic of the Mongol nations both in general Mongol and local traditions, in national versions (Buryat, Kalmyck, Mongol, Xinjiang-Oirat), gives the opportunity to recreate the nature of the modelling of the inner connections and deep links of the separate narrative constructions of the heroic epic text, to define the basis of the existing stereotypes of the nomads' poetic thinking, to trace the character of formation of poetic images, symbols, concepts and categories.

Keywords: *epic, Mongol nations, ethnopoetical constants, form levels, subject classification.*

The study of the constant organisation of the epic text was initiated by V.M. Gatsak, who was the founder of a range of branches of the experimental folkloristic, creator of the ethnopoetical constants theory, main provisions of which were represented in his works and speeches the scientific forums. Gatsak V. M. pointed out that "the ethnopoetical constants can appear on different levels, they have formulaicity but more often the constants have mobility of the outlines becoming stylistic and narrative coordinates of the pictured folklore world in the text (inherited) incarnation: verbal, musical (vocal and instrumental), actional (for, example customs), subject etc." [1].

The notion of "poetic constant" means, first of all, formulaicity. The essence of the "formula" was first defined by M. Perry, who found three criteria of its revealing in a text: notional completeness, presence of stereotypy and frequency in the tradition [2]. This notion was later improved and broadened by his student Albert Lord, who add to the formula new qualities, quite obvious, but not mentioned by the other investigators: "the expression of the given essential idea, i.e. the main sense", which is used in one and the same metric conditions within the "symbolic grammar" [3]. Such an approach to the understanding of the formula helps in defining the set of models, which are varied by the talented narrators while creating of performing of the epic text and "way of building metric verses and hemistiches by means of formulae and formula expressions and creating of the songs with the help of themes" [4]. Moreover, when revealing the formulae there appear difficulties in the epic text which are connected to the definition of the beginning and the end of the formulae. This was noticed by G. M. Foully, one of the critics of the Perry-Lord formula concept [5].

Despite the fact that the concept of the formula as the poetic an stylistic constant in the form of cliché, which fixes and generalizes different components of the poetic narration, has fixed in the folkloristic, there appear questions as the material accumulates, which need more profound study of the process of the epic text construction and revealing the role of the stereotype models in this process.

The theory of poetic constants by V. M. Gatsak allows to consider epic elements of different value i one analytical field as well as a wide range of "words in their stable expressions and connections" which have both the formulaicity and "mobility of the outlines". This opportunity was used while revealing and systematising of the constant fond of the heroic epic "Dzhangar". This opens new prospects for recreating the nature of the epic poetic stylistic system modelling, defining the basis of the existing stereotypes of the nomads' poetic thinking, to trace the character of formation of poetic images, symbols, concepts and categories [6].

The study of the epic constant fond of the Mongol nations and with the help of it - the revealing of the nature of the inner connections and deep links of the separate narrative constructions and elements which are constant in all the local traditions, allows us to understand the mechanism of the creation of the single epic, epic commonness which is preserved in different national versions despite the territorial disunity of their creators - the nations which are relative to the Mongols:

56 Russian Buryats and Kalmycks, sovereign Mongols, Xinjiang Oirats and inner Mongols of China.
57   It is reasonable to study the textures of the homogeneous phenomena of the epic of the Mongol nations more
58 profound, select and study poetic and stylistic means which are different in constancy in the general Mongol and local
59 traditions, in national versions, in order to recreate the picture of formation of the epic works central core.
60   Ethnopoetical constants which are the ideological-artistic basis for the oral tradition of the Mongol nations, speak
61 for the long-term process of the spiritual and practical exploration of the world performed by a human, by the endless
62 resource of his poetic thinking, rich poetic and stylistic means for the art and by the keeper of the generations' memory.
63 They open the way to the understanding of the artistic phenomenon of the nomads who has created famous epic works
64 such as "Dhangar", "Geser", "Khan kharanguy", "DayniKurul", "Bum Erdeni" etc. They probably will help to recreate the
65 traditional technique of the plot modelling, poetic-stylistic system by both the investigators and modern epic performers.
66 The constant fond is important not only for the definition of the bases for the existing stereotypes of the nomads' poetic
67 thinking, revealing of the character of formation of the poetic images, symbols and concepts, but also for the preservation
68 of the cultural heritage, cultural originality of the Mongol nations and the richest accumulation of human knowledge.
69 Poetic formulae that differ in constancy, allow to learn how the "national memory" can absorb the necessary out of the
70 variety of the "heritage fond" and what is its aim when getting into the folklore art. Poetic constants help to trace the
71 excessive things, what are the ideas of the narrator, singer by their poetic constants, what is behind the frequency and
72 constancy of the poetic formulae.
73   Ethnopoetic constants which are gathered and systematized in one place can recreate the nature of the modelling
74 of the poetic ad stylistic system of the folklore works, define the basis of the current stereotypes of the nomads' poetic
75 thinking, nature of formation of the poetic images, symbols, concepts and categories.
76   The problem of systematization of the richest folklore material is of urgent nature, there appear new aspects of the
77 scientific thinking of the folklore genres peculiarities. Poetic and stylistic peculiarities of the oral folk arts, separate ethnic
78 and local traditions are not the exceptions. One of the instruments of the investigations in this sphere can be additional
79 sources, in particular, the edition in the form of "Fond", which combines poetic and stylistic means, different in constancy
80 in the folklore works (in general Mongol tradition, in national versions).
81   In the process of structuring of the fond of the ethnopoetical constants the experience of study of the motivational,
82 thematic and formula organisation of the folklore works of both turco-mongolian and other nations will be taken into
83 account [7]. The systematization of the stock of the typical places of the epic of the Siberian nations who speak
84 Mongolian and Turkic was the significant help in the developing of the methodological issues. This was undertaken by
85 Kuzmina E. N. in "Guide for the typical places of the heroic epic of Siberian nations" [8].
86   In order to reveal the constant fond we took the poetic-stylistic unit which has the constant and self-dependence,
87 as the basic unit. This can be a large poetic description (macro-constant), for example, praise of the khan palace which is
88 an integral part of the phenomenon of more significant categorical level (epic world) and stable expression (micro-
89 constant), tightened by the key word which characterises certain segment, peculiarity of the described event,
90 phenomenon or object (in this case - khan palace) (garh talk biyin' *gajgshilyar*yonglsn, orh talk biyin' *usnshilyar*yonglsn [9]
91 - the side of the rise [of the sun] is decorated with the *mosaic glass,* the side of the set [of the sun] is decorated with the
92 *crystal*).
93   The role of the ethnopoetic constants can be observed in the combination of different parts of the folklore text,
94 provision of their formal and semantic links. This allows us to speak about the modelling, structure-forming function of
95 constants which acquire symbolic implementation in the text.
96   Previously, the descriptions are taken from the whole epic narration. These descriptions have different constants in
97 different texts (versions) within one epic tradition, for example, in the Kalmyck epic "Dzhangar" (in three main versions:
98 Maloderbetovsky, Bagatsokhurovsky and EelyanOvla and in other chapters of separate performers, if necessary). These
99 macro-constants in the epic text can be found a lot of times in different variants, but only few of them show the stableness
100 of expressions, which are based on one and the same support word. These macro-constants will build the main fond of
101 the poetic constants of the Mongol nations' epic.
102   This scheme can be applied to the selection of the poetic constants out of the other epics of the Mongol (and other)
103 nations. This multi-level approach allows to systematize ethnopoetic macro- and micro-constants of the epic of the
104 Mongol nations, basing on the principle of the subject classification:
105   I.   Epic world. 1. Time. 2. Space. 3. Model of the world (centre, axis.) 4. Borderline. 5. Lands of the khan, bogatyr,
106   female-bogatyr. 6. Nationals. 7. Khan palace. 8. Feast (meeting) in the palace.
107   II. Birth of the bogatyr.1.Appearing of the main hero (bogatyr). 2. Loneliness, orphanage. 3. Rapid growth. 4. First
108   deeds (Alshee games, intrusion into the khan stavka etc.). 5. Bogatyr's appearance. 6. Physical qualities. 7.
109   Wonderful skills.

III. Bogatyr's horse. 1. Description of the horse appearance. 2. Physical abilities of the horse. 3. Unusual qualities of the horse. 4. Preparation for the expedition. 5. Saddling a horse. 6. Horse's running. 7. Help to the host.

IV. Hitting the road. 1. Bogatyr's choice. 2. Bogatyr's praise. 3. Dressing. 4. Munitions. 5. Blessing, message.

V. Bogatyr fight, battle. 1. Time, place and conditions of the fight, battle. 2. Ability to use different types of weapon (sword, axe, spade, bow). 3. Combat. 4. Bogatyr's state (emotional, psychological, physical). 5. State of nature. 6. Vital force of bogatyr. 7. Oath, battle cry. 8. Victory. 9. Praise of the winner. 10. Regrets of the defeated rival. 11. Killing of the rival. 12. Resurrection.

VI. Antagonists. 1. Appearance. 2. Supernatural skills. 3. Physical abilities. 4. Moral qualities (cunning, betrayal etc.).

VII. Bogatyr's marriage. 1. Message of the betrothed. 2. Hitting the road. 3. Testing (three types of men's competitions, difficult task etc.). 4. Help, advice, horse's reminding. 5. Coming back with the fiancée and her dowry. 6. Feast in the palace.

VIII. Betrothed 1. Appearance. 2. Wonderful skills. 3. Moral and aesthetic advantages. 4. Intellectual skills. 5. Bogatyr qualities.

IX. Bogatyr feast. 1. Feast participants. 2. Duration of the feast. 3. Actions during the feast. 4. End.

X. Popular characters. 1. Shamans. 2. Sorceresses 3. Representatives of the Buddhist pantheon. 4. Spirits. 5. Totems. 6. Zaiachi.

XI. Fauna. 1. Animals. 2. Birds. 3. Fish. 4. Insects.

XII. World of objects. 1. Wonderful objects. 2. Weapon. 3. Objects of the material world. 4. Decorations. 5. Popular attributes. 6. Musical instruments.

The numbering can be open in order to make additions into the list of the ethnopoetical constants with other stable segments, if they are the bearers of the main information about the depicted event, image, phenomenon, action, object etc. The source text will be accompanied by the Russian translation.

Supporting (key) words, which form the "bunches" - constant symbolic combinations - the constants in the source and translated texts are italicized (baatr, bogatyr) and included into the "Glossary" section. Non-equivalent Lexis in translation also will be italicized in the translated text and additionally marked with the asterisk (*unin*, terme**). This Lexis also will be presented in the "Glossary" section.

In brackets after the original text there will be mentioned the source, year of edition, volume (if any) and page (Dzhangar 1978: 1, 305). In case of the field material usage the data of the time and place of recording and the full name of the informant will be mentioned in brackets (RK, p. Orgakhin, 1980: Badmaev B. M.). Refer to the "List of the used texts" section to get more detailed information about the sources.

Further all the text material of the "Fond" in placed in alphabetic order (Buryat, Kalmyck, Mongol, Xinjiang). This seems to be logical and optimal, but not the only one possible variant.

Thus, the creation of the fond which combines poetic segments that are characterised by the stableness of the forms, constancy and frequency of usage in different genres of the Mongol nations' folklore (in epic, fairy tales, songs, ceremonial poetry), allows to characterise the fundamental constants for the folklore consciousness of the Mongol nations and reveal the ratio of the general Mongol, the regional and the ethno-local in the revealed fond.

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Requestioning the Evil/ Good Woman's Representation in Algerian Story-Telling: A Gender-Based Analysis

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Abstract

Many story-tellings in Algerian oral culture, portrayed woman as a monster, (Frobenuis 1996), (Lacoste –Du-Jardin, 1991, 2005), a cruel stepmother (Mammeri, 1996) and (Bourayou, 2003) or as a clever creature, (Mammeri, 1996). This duality is interesting to analyze because it could bring into light that the evil is not inherent to the nature of woman but contingent upon the context, on the one hand. On the other, the female's positive behavior could be perceived as a resisting and self-defense strategy against the ideology of the oppressor that could stand for the struggle of power between man and woman. The purpose of this paper aims at highlighting through a feminist approach how power relations between male and female are displayed in some Mammeri's tale (1996)namely, La fille du charbonnier' and Colombe Blanche and how the storying process transformation affects the actors' actions to pinpoint the dynamics that shaped identity display. As far as the methodology is concerned, a multidisciplinary approach will be used: Propp's model analysis to explore the functions of the characters, and Critical Discourse Analysis will be applied to deconstruct the different meanings of woman's representation in Kabyle tales. The results reveal, among others, that woman's power can exist only if it does not threat man's power. Besides this, it may be used either against or for man's empowerment.

Keywords: *evil /good woman- tales- power relations.*

1. Introduction

Tales, legends and myths highly contribute in constructing the social imaginaire, social attitudes and meaning of the world. Most of societies agree upon the fact that besides its entertaining function, storytelling aims at passing in pleasant way some moral values and constructing some representations depending on different contexts (Griaule &all, 1984) and story teller's ideology (Nagy, 1984). Among these values, two dichotomist representations of the evil/good are in a recursive way associated with woman in storytelling, in general, and in Kabyle tales, in particular. Many tales in Algerian oral culture, portrayed woman either as *settut,* (a witch), *teryel* (ogress) *temgart (*old woman), (Lacoste –Dujardin, 1991, 2005), an eater of her children, monster (Frobenuis 1996) or as a jealous and cruel stepmother (Mammeri, 1996,). However, the good image of woman standing for wife is at very low frequency found in tales as in *La fille du charbonnier and Colombe blanche* (Mammeri, 1996), which represent the corpus of this paper.

The purpose of this study aims first at bringing into light the positive portray of these wives who can empower/ or disempower husband thanks to the power of knowledge. Secondly, a specific focus will shed light on the seditious transformational storying process upon the male characters' behaviour. As far as the methodology is concerned, an interdisciplinary approach including namely Propp 's analysis combined with the content-based critical discourse of the corpora within Gender and Language perspective will be applied. This choice is motivated by the fact that Propp 's analysis seems suitable to Kabyle tales for its flexibility as Haddadou contented (2009: 129). Nevertheless, the analysis of the sequences of the tales we intend to follow, will not be presented on the basis of their functions as Propp did but on the ground of their social /or individual effect in terms of equilibrium and disequilibrium. In other terms the triptych: Lack – disequilibrium and re- equilibrium structures the tale in general in three main phases- an event that leads to the transgression of the established order leading to disequilibrium, -then an attempt to repair the moral or physical prejudice– finally success to reset the prior equilibrium- (Pentikaïnen, J. 1964: 533). While the content-based critical discourse analysis within Gender and Language lens will enable us to discuss how power relations between male and female characters are displayed at surface and deep level. The paper includes four sections: methods, material, analysis and discussion.

2. Review

Even if the primary function of tales is entertaining children and adults, it is above all a channel of transmitting the collective memory. It aimed at instilling, in a given community knowledge and experiments of its myths, values, taboos, frights and anxieties (Haddadou, 2009: 133)(Trans. Mine). More importantly, tales are obviously vehicles of the « universal moral » in terms of do the good, be good, be just underpinned by local ideological/ religious coloration, a fact that underlines the importance of context in tales analysis reports (Haddadou, 2009: 133). Many models of story-tellinganalysis are proposed by Propp, (1968), Greimas, (1986)and William Labov and Joshua Waletsky's (1997), among others. We will restrict an overall presentation to theThe Propp 's model.

2.1 The Propp 's model

Propp's model is based on sequences and functions which are actualized differently. Propp found out that different characters in Russian wonderful tales perform same actions that are enacted differently (Propp, 1984: 73). The latter illustrates his idea as follows: "Ex if the hero leaves home in quest of something and the object of his desires is far away he can reach it by a magic horse, eagle, magic carpet, flying ship, astride the devil (Propp, 1984: 73). Besides this, "He identified the roles of villain, helper, donor, princess and her father, dispatcher and hero (Propp, 1984: 77-83). Globally, Propp 's analysis based on sequences can be summed up in the triptych: equilibrium –disequilibrium and re- equilibrium. In other words, it is the transgression of the established order which breaks the social equilibrium leading to disequilibrium and the attempt of repairing the transgression will reset the equilibrium. (Pentikaïnen, J. 1964: 533) contended that the constant operational roles in *the dramatis personae* of Vladimir Propp identified- 1) the upsetters of a state of equilibrium(breakers of the norms)- 2) those who experienced a crisis are those to whom the state of disequilibrium primarily applies, -3) restorers of equilibrium called *mediators*' -However, Levi Strauss reproaches to Propp that his analysis is made in isolation by ignoring the impact of the context in the tales construction reported (Haddadou, 2009: 125) Thus, taking into account the patriarchal Kabyle context we will apply Propp's model for its flexibility as Haddadou did for some Kabyle fairly tales (2009: 129)with the combination of a gender-based perspective underpinned by the dominant model.

2.2 The dominant model.

Indominance modelapproach women are seen as powerless speakers in man-woman interactions because of social privileges conferred to man (Zimmerman & West, 1975; West, 1984, Romaine, S. 1999). Thus, the advocates of dominance model refer to difference as power relation between male and female and reformulate the question' how does language reflect, construct and maintain male dominance? Others have shown how social systems restrict women's freedom of choice and action (Tong 1989, Cameron, 1996). Furthermore, D. Cameron explains how specific preferred linguistic practices, she called, '*verbal hygyiene'*, establish the legitimacy of authoritarian variety of norms of correctness with the different ideological underpinnings. She defines verbal hygiene as a term to be used '*for a diverse set of normative metalinguistic practices based on a conviction that some ways of using language are functionally, aesthetically or morally preferable to others. (1996: 32).* In the same stream, Bourdieu referred to verbal hygiene in its forms of '*censored' and or 'euphemized '*speech as a manifestation of *symbolic violence* which is '*a gentle violence' that* maintains at the same time *the direct and hidden domination.* (Bourdieu*, 1994: 162)*However, domination principles are not predictable as, J. demonstrates: other underlying factors can affect both woman's and man'speech (Deborah James, 1998: 119)

3. Data

Extracted from (Mammeri, M., 1986) the translated synopses of the two tales under study, *La fille du charbonnier* (1986: 25) (The Coalman's Daughter) and *Blanche Colombe* (1986: 43) (The White Dove) will be presented in the following.

3.1 Synopsis of La fille du charbonnier (The Coalman's Daughter) (Trans. Mine)

A king used to weekly address a group of people using riddles to be decoded in a week on pain of death. A coalman, present, reported the riddle to his youngest daughter whose right answer led the king to marry her. However, from the very first day of their marriage, he warned her that he will expulse her if she dares defying his power. Once, standing in

her palace terrace she heard two friend's discussion in which one of them complained about the kings' misjudgment who condemned him in spite of his innocence. After having listened to all the details, the king's wife suggested a solution to the victim that proved his innocence. Amazed by the strong argument of the former victim, the king attempted to know who provided it. The man answered that he simply heard a voice coming from a terrace in a specific place. He grasped that the indicated place was that of his palace, and therefore inferred that the argument stemmed from his proper wife. Very upset by her transgression, the king decided to repudiate her. Nevertheless, he permitted her to take the most valuable thing she wanted. Before living she asked him to share a farewell dinner during which she put a soporific powder in the meals. Then, the king was transported sleepy in a coffer to her new residence. When awaken, he asked her about his presence there. She explained that as she was allowed to take what she wanted, she chose his company as being the most precious for her. Profoundly touched by this mark of love and subtlety, he decided to forgive her. Thus, they lived happily ever after.

3.2 Synopsis of Blanche Colombe (The White Dove)(Trans. Mine)

The cruel stepmother pushed the king, her husband, to expel his son from the kingdom assuming that he represented a threat to his power. After a long wandering, the prince entered into a big palace in which he felt asleep. At his waking up, he saw on the edge of the window, a white dove which was metamorphosed into a beautiful girl when landed on the floor. As she was also exiled by her father, they decided to marry each other. The news reached the stepmother who wrote a letter in which she congratulated him for his wedding, but suggested to him to marry Aicha Bent Roums to be happier. Both understood her trap, but his wife urged him to accept the challenge and gave him *a ring of power* 'un anneau de puissance' to use Lacoste Dujardin's term (2010: 18), that would help him to get out of any difficulty. After having satisfactorily met the difficult conditions of the king, he came back home with his new bribe Aicha bent Roum. Then, the stepmother told him to marry Hita, the daughter of the king's spirits. With the help of his two wives, he managed to defeat all the king's obstacles and marry Hita. In another letter, complaining of their loneliness, the stepmother begged him to return to his father's kingdom. When the king saw the three son's wives, he was struck by their beauty and wanted them in his palace. Although jealous of them, the stepmother approved his desire of possessing them, but not before killing the prince. Thus, she invited the prince for a dinner in order to empoison him. However, Blanche Colombe warned the prince against her killing intention and prevented him from eating the food. Having failed in her plot, she proposed to her husband to take him to hunting with the purpose of abandoning him hungry, thirsty and blinded in the desert, before he would dethrone him because of his magic power. The king did what his wife told. Having guessed that the prince was in danger, Hitta called the spirits of her father and send them to attack the king and his wife who were killed in a ferocious battle. The prince and his three wives lived happily ever after.

4. Analysis of Data

The analysis includes a broadly formal Propp 's model analysis to identify the main functions of the characters which indeed are in a recursive way leading to the social equilibrium/disequilibrium or re-equilibrium besides to the discourse analysis to unveil the hidden agenda of power relations.

4.1 Propp 's Model Analysis of la Fille du Charbonnier (The Coalman's Daughter)

1- The king's threats of his subjects(to kill them if they do not disambiguate his complex riddles: disequilibrium.
2- The coalman's daughter successful answer and her marriage with the king: equilibrium.
3- The coalman's daughter' s transgression(the deal of never publicallychallengingthe king' power). (disequilibrium).
4- The King's sanction: intention of divorce (disequilibrium).
5- Helper: a) The wisdom and knowledge of the coalman's daughter(as an implicit helper)b)The soporific powder.
6- Reconciliation between the husband and the wife: re-equilibrium.

The analysis of this tale informs that the social context in which the king stands for the authoritarian character who threats, kills and divorces-clearly, stemmed from patriarchal system as (Bourayou, 2003: 72) underlines. Adds to this the nomination of the Coalman's daughter explicitly refers to the patriarchal affiliation. Obviously one expects valuing/devaluing male and female respectively. On the opposite, the female character possesses a highly convincing and positive voice. *La Fille du Charbonnier* is the central actor who generates both equilibrium and disequilibrium because of her power of knowledge to use Foucault's concept(1972) concept. So, the same character fulfilled many

functions in different sequences, displaying, therefore, power of knowledge, transgression, and wisdom that revealed a fairly great agency. This result overlapped with another Algerian tale's analysis, *Lunga* studied by A. Bourayou(2003: 73) who affirmed that the extraordinary protection of the heroine is due to her mental competence.

4.2   Propp 's Model Analysis of Colombe Blanche (The White Dove)

1- The prince's expulsion (by his father under the manipulation of his stepmother (separation): (lack) disequilibrium.
2- Recursiveness of the villain's/opponent's deeds: (stepmother's plotting, the father's jealousy, the attempt of homicide): disequilibrium.
3- Helper: Magic power (White dove a magic creature, magic ring, the princess and her powerful father, (Aicha Bent Roum) and (Hita, the daughter of the king's spirits) and the Wiseman.
4- Victory of the prince (death of the villain and end of rivalry: equilibrium
5- Return of the Hero: re-equilibrium

The analysis of this tale underpins that three female characters using either their proper magic power or that of their father supported the prince to defeat the villain stepmother.

5.   Analysis

What makes the sequences equilibrium –disequilibrium- helper – re-equilibrium endlessly repeated in the two analyzed tales ? Indeed, what is interesting for us is to make a triangulation between the Propp 's analysis, the dominant model which either silenced woman on behalf of gentle violence or devalue her by presenting her as the negative force (the villain) and the storying process transformation that affects the feminine/masculine actors ' actions to pinpoint the dynamics that shaped identities display. It seems that the seek for power for both cross /same sex relations is behind all this violence might be real or symbolic. In both tales the power relations are enacted between same/cross sex actors; e.g. from king towards his subjects and from king towards his wife in the first tale, and from king towards his son, and from stepmother against the king' son in the second one. This issue raised the question of visibility/invisibility of woman's/man's power.

5.1   Visibility/Invisibility of Woman's Power

la Fille du Charbonnier story telling showed a feminine heroine, a fact that is rare in tales as argued by Lacost Dujardin,. Only 5% of female characters are positively portrayed. The following analysis will show how woman can reach visibility through the power of knowledge and become a restorer of equilibrium. The power of *La fille du charbonnier*, standing for the good woman was depicted in many ways in this tale. First, because of her intelligence, she gained visibility. The king married her since she was the only one to be able to decipher his figurative discourse. Thus, her marriage with the king promoted her to a social ascension. This alliance means also that the woman's power of knowledge is publicly acknowledged. A fact that allows to say that she managed to rub the social difference between upper and lower class(king/coalman's daughter). In this case the woman's power and visibility are publically admitted to such an extent that one can advance that the power relations seem to be neutralized between husband and wife, in appearance, at least. Second, the so called parity between man and woman has momentarily restored the social disequilibrium generated by the difference between social classes, the poor and the rich in the first part of the tale.

However, this re-equilibrium remains fragile by a deeper oppressive man's attitude that excludes woman's competitiveness. Although, the king appreciated *la Fille du Charbonnier* cleverness, he imposed upon her a restriction stating that she should never show publically her supremacy over him or defy his power by claiming from the very first day: "*Je sais que de tous les hommes, de toutes les femmes qui habitent mon royaume, tu es la seule à pouvoir, le cas échéant, me damer le pion. Mais je t'avertis: je suis le roi et jamais je n'admettrai que ta parole ait barre sur la mienne, en quelque occasion que ce soit;*" (Mammeri, 1996: 32). (I know that among allthe men and women living in my kingdom you are the only one who can outwit me, but Iwarn you, Iam the king and I will never accept it, whatever the circumstances are). (Trans. Mine). In spite of this warning, his wife could not refrain from interfering in his affairs, though in an indirect way. By doing so, she transgressed the sacred king's authority and legitimacy of ruling which was believed to be above any suspicion, leading, therefore to disequilibrium followed by a sanction, e. g the wife's expulsion. The wife's transgression could be perceived either as an act of resistance against the king's empowerment or a sharp sense of duty and justice that pushed her to run the risk of exposing herself to king's disapproval andpunishment. What is important to

219 infer from this sequence is that the man's visibility has not to be shadowed by woman's. This recalls the idea that gender
220 relations are shaped on the basis of man's visibility and woman's invisibility in public sphere (Mebtouche Nedjai F. Z.
221 &Yassine, S., 2014).
222
223 *5.2   The Good Woman, Restorer of Right*
224
225 Indeed, *la fille du charbonnier's*tale contrasts the moral values of the goo/bad, the justice/injustice. Thanks to her
226 knowledgeable discourse, she had many times rehabilitated justice; by finding the right answer to the king's riddle, she
227 managed to save the people's life of her community who used to be killed because unable to find out the answers. In
228 addition to that, she helped the innocent man, victim of his opponent's lies recover his right by suggesting to him a strong
229 argument. And finally, she saved her couple from dissolution by using a strategy to counter the king's abusive authority
230 and his decision of repudiating her. Nevertheless, her last triumph was made possible only because, it seems, that the
231 story teller, for patriarchal ideology, that aims at shaping the supremacy of man's virtuosity, came to the king's rescue by
232 presenting him as someone mild in his punishment. Obviously, the wife's expulsion was smoothened, to some extent, by
233 the king's generosity who allowed her to take what she wanted before leaving. She was clever enough to take advantage
234 of this offer and took him with her claiming that he was the most valuable thing she desired. Here again, the wife was
235 ideally portrayed and reaffirmed the prevailing expectation of what a good wife should be in Kabyle family structure., e. g
236 the one whose responsibility is to look after the social and family bonds. If she were selfish or materialistic, she could
237 have taken valuable jewels, for instance. Thus, thanks to her sensitive choice, she reversed the situation: instead of being
238 separated, both the king and the queen lived happily together for ever. This could be interpreted as a re-equilibrium that
239 has been reached after having rubbed the power relations which are socially constructed and not inherent to the nature of
240 woman and man. Nevertheless, if *la fille du charbonnier* empowered the woman's image in oral tradition, many other
241 tales satanized her as it will be shown in the following discussion of *Colombe Blanche.*
242
243 *5.3   The Stepmother and the Evil in Blanche Colombe tale*
244
245 This tale stressed two antagonist female representations: the evil and the good in forms of binary system that exists
246 between stepmotherhood /motherhood, human /supernatural forces,. The stepmother 's representation is recursively
247 shown as the incarnation of the Evil in many universal storytellings, in general, and in Berber one, in particular. The
248 stepmother symbolized the evil as opposed to the good image of the mother which is widely highlighted in Islamic religion
249 and oral culture of the Maghreb. However, it is fair to mention that stepmother 's existence is due to high maternal
250 mortality rate and not to an established system of remarriages in the Kabyle culture, as Lacoste Dujardin explained.
251 (2010: 52). As an illustration, the negative power of the stepmother is insidious and endlessly repeated. She twice pushed
252 her husband to get rid of her stepson and she herself plotted against the prince'sfour times. First by asking his father to
253 expulse him, then in spite of his idyllic life with his wife *Blanche Colombe*, she suggested to him to marry Aicha bent
254 Roums and Hita, deeply believing that he would be killed by their respective totalitarian fathers. In fact his successful
255 remarriages drove her mad to a point that she asked him to come back homewhere she unsuccessfully attempted to
256 empoison him. Arguably, the persecution of the stepmother to her stepson, as a symbol of cruelty, is, it seems for us, to
257 stress the absence of the goodness of the mother. Thus, the tale is constructed only to stress and praise the role of
258 motherhood whose absence exposed her orphan to suffering and danger as it is shown in another Algerian tale 'la vache
259 et les orphelins'. (Bourayou, 2003: 73). The evil of the stepmother could be justified by her sterility or ' lack', to use
260 Propp's term, leading, thus to family disequilibrium manifested in many ways by hatred against the stepson.
261 Nevertheless, the evil is also embodied in the king's violent actions against his son enacted by his expulsion from the
262 kingdom, abandon in the forest/desert, love rivalry, and attempt of homicide. The totalitarian power of the king in a
263 patriarchal system is oppressive over his subjects be his son seems to be commonly admitted in general because of the
264 power relations between the oppressor/ the oppressed. But in this specific context, the king could by no means be
265 blamed for his violence, since he was acting under his naughty wife's manipulation and, therefore, was considered as
266 irresponsible. But the wife's role in another setting, could empower her husband as *Blanche Colombe did*.
267
268 *5.4   The Wives and the Goodin Blanche Colombe tale*
269
270 On the other, a good woman 's image is mediated through the solidarity of the three prince's wives as opposed to the evil
271 one (stepmother) with the difference that the former used supernatural power, namely the magic ring or spirits. The
272 prince's wives strengthening union stressed the ethic superiority of the good which always wins over the evil even if there

is a need to resort to the help of supernatural forces to defeat it. Another implicit duality is conveyed between passing/ lasting power which respectively refers to the evil/ good. The evil stepmother 's actions were always beaten by the good wives' strategies. The aborted stepmother's plots contrasted with the permanent success of the prince's wives to mean that evil is doomed to failure.

6. Discussion

The discourse analysis highlights the inversion of gender-based relations in a patriarchal setting. The dichotomist relation between the good and the bad woman within gendered-based perspective raised the question of whether we should speak of power of decision and power of persuasion in the same way. Is the art of speaking matched with the art of manipulating? What is the difference between power and influence. Women are viewed in Greek antic mythology as 'manipulatrices de porcelets'. (porcins'manipulators). Could we apply manipulation to the stepmother, and influence' to the coalman's daughter and the prince' wives? In this respect,. the two female heroines, *la fille du charbonnier* and *Blanche Colombe* are endowed with a positive force enacted through their power of knowledge be respectively intellectual or magic, whose influence upon their husband's decision taking was used to restore social / individual equilibrium unveiling thus, an active feminine agency

6.1   A dominant representation of woman's agency.

It is important to say thatthe antagonists in these tales were women who showed agency and power whether positive or negative and the subjects on whom this power was exerted were men: the king/the prince. Even if in *La fille du charbonier*, the king appeared relatively active but in negative way as he took bad and abusive decisions regarding his partial judgment or his wife repudiation. Similarly, in *Blanche Colombe*, the king was presented as a thoughtless individual in his wife's hands. In the same way the powerless prince was dictated the strategies he had to follow to avoid the tyranny of his stepmother's intrigues. In contrast, the former tales focused on the woman's mediation which rehabilitated justiceby stopping the king's abusive decisions of killing people unable to answer his riddles or by redressing the king's misjudgment when he condemned the innocent. This reading raised the issue of visible/ invisible power and power vs. manipulation. Who possesses the power of decision in Kabyle society, man or woman? The contradiction is undeniable if we assume that in the Kabyle tribal patriarchal system, it is the man's authority which is the most dominant, (Bourdieu, 2000)while these story-tellings denied the so-called power to man's identity. It is therefore, possible to accept the truth that, in depth, the Kabyle society is woman- governed as Mouloud Feraoun has already advanced(1957: 60). Obviously, the phrase 'in depth', could be matched at level of speech act with implicit discourse. As a case in point let's recallthat the strategic discursive tool of *La fille du charbonier*is basically expressed in reported speech; she never affronted the king, on the opposed, she addressed him by using different mediators. For example, she sent her father to transmit the right answer of the riddles. As for the victim she addressed first to him hidden in her palace terrace.

She even said to him when he looked up at the direction from which the voice came "Vous n'avez pas besoin de me voir, dit la reine, l'essentiel est que vous m'entendiez et que vous vous conformez très exactement à ce que j'ai à vous dire" (Ibid, p. 35) (There is no need of seeing me. What matters is that you listen carefully to me and apply everything I tell you). (Trans. Mine.) So, her contribution to restore justice was achieved through a metaphoric discourse she dictated to the victim who repeated it in his turn to the king. Besides, seeking for a reparation for her transgression she wanted to declare her love to the king in a subtle way. After having made him asleep, she took him from his palace to her new residence. When he was awaken she argued that her action was motivated by the fact that he chose to take him as being the dearest to her. Here again she avoided a frontal transaction to reach a reconciliation with her husband. All these practices could be interpreted as what Cameron, 1996: 32) explains, '*verbal hygyiene'* practices which circumvented the legitimacy of authoritarian variety of norms of correctness with the different ideological underpinnings. This observation overlaps with our research, showing that in Algerian context woman avoided what we considered as the linguistic taboo and privileged implicit discourse and euphemisms. (Mebtouche Nedjai, 2008). Finally, it is possible to affirm that woman's visibility / invisibility is genderly rule-governed. The contradiction to be underlined in the king's behavior of the first tale, is that he was happy to marry a bright woman to enhance his narcissistic face, as a pleasant décor for example, but not ready to share her interfering in ruling public affairs. This could join the result reached in our thesis stating that some men choose educated girls to marry them but they prevented them from working and claiming knowledge visibility. (Mebtouche Nedjai, 2008). Indeed woman's power is still positioned in the hidden place, it seems, as it is conveyed through this tale although it manages to create some transformation.

327 *6.2 Storying Process Transformation*
328
329 As above mentioned the function of tales not only goes beyond entertainment and construction of meaning of the world
330 but it is also involves transforming the characters'identity due to the storying process as well. In these lines, Haddadou
331 (2009: 127) reported that Larivaille held that what counted was the succession of events and their transformation
332 occurring during the story telling process. For example, the authoritarian king 's identity displayed at the beginning of *La*
333 *fille du charbonnier*has moved from a rigid to a more flexible one during the evolution of the tale. He twice accepted to do
334 self criticism by first, reconsidering his wrong judgment and second, cancelling his intended divorce influenced by the
335 highly strategic discursive skill of the heroine. In *Blanche Colombe*, the weak prince has been empowered thanks to his
336 wives 'help and solidarity. By the end of the tale he managed to free himself from Oedipus complex (after having killed his
337 father -according to psychoanalytic analysis -) and gain his place symbolic or real. Is this the magic of tales where no
338 fixed borders existed between the possible/impossible or is it reflection of reality?
339
340 **7. Conclusion**
341
342 The analysis revealed unexpected results regarding man's vulnerability, and woman's empowerment partly, and the
343 negotiation of place which is endlessly in process for both male and female actors, partly. It is fair to recall that in Kabylie
344 women are the recipients, and transmitters of story telling which are denigrated by men calling them ' el karef' or non
345 sense stories as opposed to man's knowledge. In this case why women are satanized in most Kabyle tales? In fact even
346 if women are represented as monsters and frightening creatures in many Kabyle fairly tales as recorded in the volume
347 Three of Frobenius or as the evil stepmother, this should not be understood as the satanization of woman's
348 representation but on the contrary as a symbolic violence that woman instill through the process storying standing for self
349 affirmation claim and resistance against a masculine cultural and social order as Lacoste- Dujardin argued (2011).
350 Moreover, considering the idea that power relations within gender perspective are reversed in the analyzed texts,
351 we advance the hypothesis stating, that there is a deep feminine desire to infantilize man by presenting him as powerless
352 creature. Is not this another counter power against man's controlling woman that woman wanted to create through the
353 fabric of story telling. ?Thus, it is possible to affirm that the Propp's analysis of the two tales helped understand the
354 hidden agenda of Kabyle oral culture regarding the gender relations. Indeed, whether we consider woman's power as
355 referring to symbolic violence, (monster), knowledge, (*La fille du charbonnier*) or magic (*Colombe –blanche*) does not
356 bring an added value to woman but more importantly underlines how the storying process does play a role in the
357 construction of the meaning of the world and how it participates in constructing the self and social identity too. Finally, the
358 good or the evil woman's representation in these tales could be a result of woman' s empowerment -either hidden or
359 acknowledged- which represents a means of resistance in order to restore the social equilibrium which could be broken at
360 any moment by the male so-called legitimate power and leading, thus to disequilibrium;
361
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Critical Discourse Analysis of Two Letters of Complaint and Manipulation of People in Power

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Abstract

Critical discourse analysis is a purposeful kind of study pointing social issues and aiming at causing changes according to one's ideology and beliefs. This case study adopted a critical discourse analysis approach to investigate how typical discursive strategies introduced in Van Dijk's frame work can be helpful in presenting a positive image of ourselves and negative image of the others and result in manipulating the people in power or in establishing an ideology in society .To this end two letters of complaint were analyzed to explore whether employment of discursive characteristics could result in expressing one's views. The results of this study revealed that the letter which possessed a rich repertoire of discursive mechanisms gave the writer a better chance to define the honorable position of a teacher in society.

Keywords: Critical Discourse Analysis, Discursive Strategies, Positive Self-Presentation, Negative Other Presentation.

1. Introduction

The provoked awareness in theorists (Bernstein, Bourdieu, Gramsci, Foucault, Godden's and Haber mass) triggered the raising of CDA. These theorists reckon that the study of language can go far beyond the study of text in isolation, that language possesses a great power through which one is able not only to communicate what he means but also perform other social practices, have impact on audiences and achieve his or her goals. (Fairclough, 1989; Fairclough & Wodak, 1997; Wodak, 2001a). Within the remit of CDA, linguists analyze social problems**,** power relationships, injustices, discrimination, bias, etc. which is manifested in a discourse. CDA purposefully seeks for a change in society. (Farclough, 1992a,b; Penny Cook, 1994; Vandijk, 1993).This change can occur at both micro and macro levels (Vandijk's 2004). Among all those who know themselves as speakers of language some will be the victims unless they raise their awareness of what language is capable to do with them (Vandijk, 1993; Wodak 1999) and how power can be exercised through language (Faiclough, 1992b).Most research reviews show that analysts main concern has mostly been focused on the strategies employed by politicians and powerful sources in their public speech where they try to actualize their ultimate goal which is to make the audience believe in what they are asserting (Biria & Mohammadi, 2012; Duranti, 2006; Kratzer & Benoit, 2010; Letetia Van der Poll, 2011; Piotr Cap, 2014; O'Halloran, 2004; Rashidi & Souzandehfar, 2010). However, few studies have shown that all these strategies can also be manifested in everyday discourse between common people's textual interactions. An everyday mundane text can be as ideologically saturated as a text like presidential political inaugural speeches (Kress 1993).

Therefore, this study aims at investigating the relationship between the employment of discursive strategies and success in expressing one's view and influencing the people in power.

2. Literature Review

2.1 Definition and Origin

Critical Discourse Analysis (CDA) originated from linguistics in 1970s. Fowler is known as the father of this movement but

56 later scholars such as Norman Farclough, Gunther Kress, Teun Van Dijk, Theo Van Leeuwen and Ruth Wodak initiated
57 the formal study of CDA (Flowerdew 2013). These people contributed articles in 1993 entitled Critical Discourse Analysis.
58 These studies show the way social power abuse, dominance and inequality are enacted, reproduced and resisted by text
59 and talk in the social and political context (Van Dijk, 1993).One may wonder how this kind of abuse may be manifested in
60 the discourse if both parties speak the same language; and here is when the significance of CDA is portrayed. According
61 to Fairclough (1992b) the exercising of power and dominance happens through naturalization or as VanDijk (1993) puts it
62 through generation of context. This potential for one group influencing the other group may be at a subconscious level
63 where dominated group end up acting in the interest of powerful group. So Van Dijk (1998a) defines CDA as a field that is
64 concerned with studying and analyzing written and spoken texts to reveal the discursive sources of power, dominance,
65 inequality and bias. The result of this analysis is supposed to bring about change and awareness (Fairclough, 1992b). In
66 this respect Fairclough (1995) introduced three dimensions in CDA: text, interaction, and social context. By this notion the
67 analyst deals with the text at micro level and what goes on in social context at macro level (Thompson, 2002b).

68
69 ## 2.2   Major proponents and Their Contributions
70
71 Fowler (1979) as the leader of CDA referred to the relationship which exists between texts and historical conditions. He is
72 also concerned with the use of certain grammatical structures with the purpose of concealing certain agents or social
73 actors. He names this strategy as "mystification".
74   Later on Hodge and Kress (1993) bring about some transformations such as transitivity, nominalization, negative
75 incorporation and agentless passive to show how one can mystify some points. They also believe in word classes and by
76 applying the terms such as "euphemism" and "derogation" state the strategies of manipulating reality and presenting
77 ideologies.
78   In accordance with Hodge and Kress's classification Van Dijk (1997) provided some categorizations but structural
79 kinds and maintained that it is the analyst's job to show how different kinds of structures are used for expressing various
80 ideas. He also resorts to social analysis, cognitive analysis, and discourse analysis of the text to reveal the ideology
81 behind words. In fact one of the greatest contributions to CDA has been the work of Van Dijk on sociocognitive model
82 which was fallowed by his work with Walter Kintch (VanDijk, 1997). In his socio cognitive model which mainly focuses on
83 media discourse, he intends to bridge the gap between society and discourse, working on how societal structures are
84 related to discourse structures (Bell & Garret 1998). To Van Dijk discourse analysis is ideology analysis and there are
85 three components forming the triangle of "social function", "cognitive structure", and "discourse analysis". So social
86 structures and discursive structures are related through the medium of people's cognition. In this sense he takes ideology
87 as the attitude of a group of people about certain issues, cognition of group members. He calls this mental representation
88 "models" which control how people act, speak, write, or understand the social practices of others. Van Dijk's (2004)
89 framework consists of two main discursive strategies "positive self representation" (semantic macro – strategy of in –
90 group favoritism) and "negative other representation" (semantic macro – strategy of derogation of out-group). These
91 terms are the development of what he referred to as "US" "THEM" in his earlier works (1988, 1991, 1995, 1996, 1998a,
92 1988b). In his framework he has provided some categories which he believes are helpful to analyze how various
93 ideologies are expressed in various kinds of structures .A selection of his categories are as fallows:
94   Actor description: The way we describe actors or members of a particular society represents our ideology in a way
95 that those who are with US will be referred to in a positive way and those we oppose are the ones we try to present
96 negatively.

97
98   *Authority: Mentioning authorities to support one's claims.*
99   *Categorization: People belong to different categories depending on their social class, race, gender, ethnicity etc.*
100   *Comparison: To portray a positive image of those who belong to another group like different races, etc.*
101   *Consensus: creating agreement and solidarity.*
102   *Disclaimer: The use of adverbial clauses of concession to express how something could have been.*
103   *Evidentiality: Mentioning of authorities, showing pictures, etc. to confirm a claim or point of view.*
104   *Hyperbole: Hyperboles are semantic rhetorical devices to make an exaggerated image of an event, or features of a*
105   *person (negative or positive) to gain certain objectives.*
106   *Implication: The main idea is not mentioned directly but can be deduced or implies through familiarity with pragmatics.*
107   *Irony: Saying something but meaning something else.*
108   *Lexicalization: The use of semantic features of words for positively or negatively representing a special idea*
109   *Number Game: Using numbers and statistics to prove a claim*
110   *Polarization: Locating people at two ends of a continuum those who think like us and are good ones and the other end*

111   *and those who are not like us so are the bad people*
112   *Presupposition: The information which is assumed to be known by the audience(s).*
113   *Vagueness: Not giving enough detailed information to the audience because the writer or the speaker is not willing to*
114   *reveal the whole truth or their exact meaning.*
115   *Victimization: Telling bad stories about the OTHERS because they don't belong to OUR pole of the continuum.*
116
117   One of the other famous figures in CDA is Van Leeuwen who explains the three ways in which social actors can be
118   presented in discourse and outlined three interdisciplinary models; centralist, pluralist and integrationist (Van Leeuwen,
119   1996). He considers not just text but also acoustic and visual elements of discourse. (Van Leeuwen, 2004).
120   Wodak's research focuses on sociolinguistics and the development of theoretical approaches to CDA. She also
121   focuses on gender, language in politics, prejudice, discrimination, racism and the most famous work of her is in the field
122   of anti-Semitism. Wodak's approach is very ethnographic, and she is interested in analyzing the role of history and
123   socialand political events influencing discourse, which lead to discourse, historical method which includes the analysis of
124   information and interpretation of the many layers of a written or spoken text.(1995;2002). Wodak and Ludwig (1999)
125   assert that in any discursive communication power and ideologies are manifested and if the analyst is not aware of the
126   background Knowledge and norms and values, then extracting the right meaning of the text won't be actualized.
127   Finally the last but by no means the least scholar whose contributions will be mentioned in this study is Norman
128   Fairclough. One of the main approaches in CDA is that of Fairclough whose theory has been central to CDA. Fairclough
129   (1989, 1992, 1993, 1995a, 1995b; Chuliaraki & Fairclough, 1999) has always described the objective of his approach as
130   raising awareness. He under the influence of some social economists and political theorists (Facault, Laclau and Mouffe)
131   makes associations between linguistically discourse analysis with political and social ideas. (Fairclough, 1992). His main
132   concern has been discourse and power and introduces three steps to CDA: Description (the study of the form),
133   Interpretation (examining the relationship between text and interaction), Explanation (the relationship between interaction
134   and social effects). In one of his recent papers (2005) he brings about a discursive phenomenon called
135   recontextualization in which an element of discourse may be extracted from one text and inserted into another one
136   purposefully for implying a different meaning.
137   The above mentioned scholars' approaches have been fallowed by many other researches who have expanded
138   the study in this field. In this study the aim is the analysis of a social text using earlier mentioned Van Dijk's framework.
139
140   **3.   Methodology**
141
142   The methodological imperative of this paper, as mentioned in the introduction , is to depict how an everyday mundane
143   text can be as ideologically saturated as a text like presidential speeches.(Kress 1993).To fulfill this aim two letters were
144   chosen; The rational behind selecting these two letters as the corpus of analysis was justified in two main reasons. The
145   first was the originality of the work since most other research works were concerned with the CDA of people in power
146   manipulating less powerful people while here the attempt was on the side of less powerfull people to have more powerful
147   ones on their sides. The second and even more important reason was the fact that the texts were highly rich discursive
148   strategies.The most appropriate analytical framework which seemed helpful to fulfill this aimwas Van Dijk's (2004) model.
149   This model placed a great emphasis on two main strategies of positive self- presentation and negative other-presentation
150   as the principal basis of discourse analysis because the discursive strategies of positive self presentation (i.e. semantic
151   macro-strategy of in group favoritism) and negative other presentation (i.e. derogation of out group) were materialized
152   through such discursive moves such as solidarity, hyperbole, disclaimer, number game, etc. So this analytical model was
153   employed for the critical analysis of these letters under investigation.
154
155   *3.1   Data for the study*
156
157   There is a big famous language school with many different branches all around the country (Iran) and even different
158   branches inside cities called (ILI). Each branch has a principal in charge of that branch and teachers may have one
159   specific branch as their base but also teach in other branches. The staff of schools mainly includes teachers and the
160   clerks who do the office work. The general manager of this school is at the central branch. This study is mainly the
161   analysis of two complaint letters, one written by one of the teachers of this school complaining to the general manager
162   about one of the principals' inappropriate reactions to her entering the teachers' room. And the other letter was written by
163   the principal complaining about the same teacher and the same story. The reason why these letters were selected for this
164   study was the fact that these two people tried to make different pictures of the same scene and convince the manager

165 what they were expressing was right, however, one had applied more discursive techniques of representing a positive
166 image of herself and negative image of the other person. In spite of the fact that this teacher herself admits that her
167 entrance in the teachers' room of another branch without permission was not the right thing to do, she tries to enfeeble
168 the evil of this act and instead exaggerate the principals bad reaction so that she will be able to convince the manager
169 that what the principal had done was wrong and she needed to be reprimanded.
170   One of the other persuasive factors for the selection of these letters was its nature of being different from most
171 works in CDA. As said before many studies have been conducted investigating how top rank authorities of countries use
172 discourse to exercise power and dominance, however, this study aimed at showing how lower rank people can apply
173 discursive strategies to express their views and ideology ,and cause a change in their society even if as small as a
174 school.
175
176 *3.2   Procedure*
177
178 The analytical framework utilized in this study is VanDijk's (2004) model to elaborate on how his strategies can be used in
179 the text to materialize the fundamental dichotomies of "self positive- representation" and "others negative representation".
180 He introduces these two major strategies in the form of an "ideological square"
181
182   *Emphasize our good things*
183   *Emphasize their bad things*
184   *Deemphasize our bad things*
185   *Deemphasize their good things*
186
187   The teacher's full letter has been brought in the text and a few useful sample sentences of the principals' letter. For
188 the sake of keeping confidentiality of the participants, names are changed. The strategic points are in bold. At the end
189 the effect of this letter both at micro and macro level will be discussed.
190
191   *Teacher's Letter*
192   *I am one of your school teachers who has devoted 11 years of her life teaching passionately.*
193   *This year, I have just registered my daughter in Hijab Branch. Since I am a Ph.D. student, to play my different roles of*
194   *being a mother, wife, student, and teacher, time management is the most helpful factor for me.*
195   *This was the introduction to my story; the first session when my daughter was in class I spent one hour and thirty*
196   *minutes in the hot yard next to the other ladies, and the time passed so inefficiently.*
197   *The second session I was frustrated looking for a way to make a better use of my time that I saw the sign of Teachers'*
198   *room.*
199   *My respectful teacher, I am sure you know what "a teachers' room" means to a teacher. I know myself a member of this*
200   *school family , so even in that branch I felt at home and for entering my room I didn't feel the need for permission . The*
201   *door was open and hoping to find a friend I entered the room, but only chairs and a table, a good chance for me to*
202   *study.*
203   *After about one hour, one of the teachers came in, after a short greeting left the room inquiringly and told the manager*
204   *about my presence there.*
205   *The moment of my encounter with that lady was the beginning of the problem. The lady who seemed younger and less*
206   *experienced than me, though none was a good reason for her to stand up or nod a head for greeting, treated me in a*
207   *way as if I, a students studying, were a criminal committing a crime. Shame on me! Shame on ILI and shame on all the*
208   *teachers in the world that neither my being a teacher nor my being an ILI member and not even being a client mattered*
209   *to them.*
210   *My dear teacher, if this lady knew herself as a family member, wouldn't I be like a sister to her? But with a bitter frown*
211   *and a tone even more bitter than her look , at the presence of other people , she told me that the teachers' room there*
212   *belonged to the teachers of that branch only and I wasn't allowed to use it .(Even when all teachers were in class!!!)*
213   *and that I wasn't allowed to go in.*
214   *Dear Sir, if this room is so secret how come my one hour being there was not even noticed.*
215   *My respectful manager, I very well remember the other day, on "Teachers' day", how you attempted to show me that I*
216   *was important to you.*
217   *Yes sir! I admit I was mentally so occupied that I forgot to ask for permission but, the way I was reacted to didn't leave*
218   *any room for apology.*
219   *I highly respect managers such as Ms. A, B, C, D, (names) for whom respecting the teachers and the clients is the*
220   *priority, and you can ask them about me. I truly hope that this lady by learning the behavior of these qualified*
221   *managers doesn't let the hard working attempts of this school teachers be in vain .*
222

4. Analysis

The writer of this letter very cunningly initiates her letter mentioning the number of years she has been working there to depict her loyalty and faith to that school. This way she has been able to express solidarity a sense of *I have been with YOU*. Then she continues by mentioning that this devoting has been passionately. There is a common concession that passion and love are essential attributes of a good teacher so by the use of lexicalization the writer is trying to present herself positively.

In the second part of the letter the writer describes herself as an important social actor, a Ph.D. student, for whom time management matters. Later in her sentence "I'm sure you know what a teachers' room means" she uses the presupposition element that since I know once you, like me, were a teacher, "you know how belonging to that room feels" she is asking for consensus.

In mentioning "the hot yard with other people" she doesn't think that she should have had the same condition as the others.

She uses the anaphoric mechanism by repeating the word "shame on" to invite the other teachers of that school (ILI) and the whole word to come to the consensus with her because according to her ideology disrespectful behavior to one teacher is equal to disrespecting the whole teachers in the world.

In the sentence "I know myself as a member of this family" the element of hyperbole is manifested in which that school has been assimilated to a home and the family she belongs to, as a result of which she can mitigate and deemphasize the wrong action of entering the room without permission, claiming that she felt as if she were entering her own room. While describing the principal lady she uses the terms "younger" or less "experienced" to create a negative attitude or imply that the lady was in an inferior position , here the official position of the principal (*the good of others)* is deemphasized. And again the hyperbole to exaggerate the bad behavior of treating her like a "criminal committing a crime".

Then the writer uses the conditional type two "If she knew herself …." to imply that she doesn't know herself as a member she doesn't belong to US. By describing the embarrassing situation of being almost shouted at among the others the writer intends to evoke the manager's feeling of empathy. One of the most interesting strategies applied here is the way she addresses the manager; when talking about herself she addresses him as "my dear teacher" to create a feeling of empathy but when talking about the principal she calls him as "sir" to remind him of his role as a manager who should show a negative feedback to his employees' bad deed.

One could assume that the writer's mentioning of 70 minutes being in the room is a number game showing the irresponsibility of that principal's staff not noticing the presence of a strangers for so long the time. By talking about the "teachers' day" she wants to reemphasize the position of teachers in society where they are respect worthy and this respecting teachers is an accepted social norm. The use of a disclaimer is observed when she admits that her entering the room without permission was a mistake *but* not that big mistake to deserve that over reaction on the side of the manager.

Toward the end of the letter some other principals' names are stated. The names of authorities is used as a confirmation of her being good and that" this principal should learn how to treat teachers and…" is to imply that the principals who are aware of the high position of teachers and treat them appropriately are in the qualified pole of the continuum and the others on the other end (polarization).

On the other side of the story the principal lady did also try to justify her behavior, she had written a letter after introducing herself she had mentioned that "we noticed a stranger sitting in the teachers' room." Implying that if their reaction wasn't appropriate at the first place, their ignorance of the teachers' identity was the reason. So this shows that the principal's ideology is in accordance with the teacher's. In this lady's letter few mechanisms matching Van Dijk's framework were found. For justifying her reaction she had tried to depict a negative image of the teacher by mentioning that she had treated her arrogantly "she was too arrogant to show any respect for my position as a manager". According to this principal, teachers should be considered teachers just as long as they are in class teaching and when they have taken their children to school (even if the same school where they are working) they are the same as other parents, " I think teachers who take their children to other branches should be equal to other parents, and they shouldn't expect to receive any further services." "Teachers of a branch won't feel comfortable if someone from other branches is in their room." "Teachers should be informed about principal's high status and mustn't dare to be assertive facing them."

As it is clear the principal also is fighting for her high position. She does also try to have the manager's agreement and justify her behavior and establish a good position for herself and the other principals there. But it seems as if the rare use of discursive strategies trying to establish solidarity, lack of defining herself as an in group member, has made her text much less efficient than the teacher's.

5. Conclusion

Whether power is in discourse, behind discourse, overt or subtle, it is not a permanent attribute; power is won, exercised, sustained and lost (Fairclough, 1990). Power holders are all the time trying to reassert their power, on the other hand powerless people try to gain it, and new trends show they have been successful in that.

This article has attempted to adopt CDA as a general theoretical framework to investigate if discursive characteristics can materialize the two macro strategies of "self- positive presentation" and "others negative presentation" introduced in Van Dijk's (2004) model in a written discourse as simple as letters of complaint to a manager.

In the analysis of two letters we could see the teacher was trying to resolve this problem both at this context level and also at a wider and higher level claiming respect and honor for the teachers in the whole society. To this end, she had applied discursive strategies to demonstrate a positive image of herself, techniques such as lexicalization and exaggeration and the use of some special structures had helped her achieve this aim. It was also explored how each writer had tried to embed those evil parts of her action and magnify the ones of the other one's.

The two main implications of this study, raising awareness and causing change, are the ultimate goals of CDA (Fair Clough).

The first inclination of this study is to make managers or people in power aware of the manipulative power of the words so that they will be cautious in contexts when making fair judgments are vital.

The second aim of CDA is causing change; and as it was detected the teacher's familiarity and use of discursive strategies caused a great change in the condition of that school.

Although there is no text available the investigations have revealed that the manager has commanded the principal to let the teacher use teachers' room as long as her daughter studies there and he had also announced that any teachers of the ILI should be welcome in other branches, they mustn't be treated as the others, they don't need to wait in registration lines, and more amazing was the fact that the manager had planned some in service training courses for the principals to teach them how to react facing similar cases.

Does CDA aim at doing anything more than a good change?

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Organizational Pedagogical Bases for Solution to Preservation Problem of Endangered Minority Languages

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Abstract

The article deals with organizational pedagogical bases for solution to preservation problem of minority languages, which are under the threat of disappearance in the implementation process of ethnocultural connotation principle in the content of basic education. The attention is fixed on the delicate status of the Kalmyk language, as a European language of Mongolian origin, on the necessity to protect it effectively in modern conditions. It is substantiated the sequence of integration of ethnic constants - structural elements of central cultural theme of the ethos, as thorough ethnocultural themes in the content of education. The main point of project implementation "Ethnocultural Connotation of Education Content" is presented.

Keywords: *minority languages, central theme of ethnos culture, a system of ethnical constants, connotation, ethnocultural connotation of educational content, thorough ethnocultural themes, educational concenters.*

1. Introduction

A right to use native language is one of the fundamental rights of any nation, of any person, who is entitled to be self-expressed in his own native language without any limitations. Language rights of national minorities are enshrined in the Resolution of European Parliament [1, 160-164].

In the European Charter Treaty of Regional Languages and Languages of Minorities [2, 148], the notion "languages of minorities" means that languages, which i) are traditionally used in this national territory by the residents of this state, representing a group, numerically smaller than the rest population of the state; and ii) differ from the official language (languages) of this state" (Article 1 item a) of the European Charter Treaty of Regional Languages and Languages of Minorities, dated June 25, 1992).

The Kalmyk language belongs to the languages of national minorities, because, firstly, the Kalmyk language is traditionally used by the residents of the Kalmykia Republic, who, in their turn, represent "a group, numerically smaller, than the rest population of the state"; secondly, the Kalmyk language differs from the official language of the Russian Federation.

The Atlas of World Languages in Danger [3], created by the UNESCO, identifies the Kalmyk as the endangered language to be disappeared from the linguistic map. In the Kalmykia Republic of the Russian Federation, children of Kalmyk nationality, going to school, as a rule, do not speak native language. Consequently, the Kalmyk language is "a language of minorities" and is in danger. That is why, it is especially important to determine the organizational pedagogical bases to solve the problem of preservation of the Kalmyk language, as a language of national minorities, being in danger in the process of ethnocultural connotation [4] of basic educational content.

The attention is paid to the problem solution of preservation of minorities languages, however, in the context of ethnocultural connotation of basic education content, this problem is not considered.

A person views a world through the prism of one ethnic worldview, depending on his needs, plans and possibilities of their implementation. The main idea ethnocultural connotation principle lies in the fact, that according to the concept of "central area of culture", each ethnic culture has a core - a central cultural theme of the ethnos, presenting a system of ethnic constants, an integral part of his ethnical worldview, around which the mobile, variable cultural "periphery" is concentrated. Ethnic constants of each culture are unique and cannot be found in the cultures of other nations, they are universal for all its members, invariable for the ethnos [5, 41]. The language is a main indicator of personal and ethnic self-consciousness, an important structural element of national culture, the basis for development of its intellect; it is the language, that forms proper ethnic originality [6,27].

The main function of the formation is to pass the ethnocultural experience, recorded in ethnocultural traditions and oriented, firstly, at the reproduction of the universal worldview, at values, ideals, interests, believes, experience and

56　standards, fixed in language - the unique value, spiritual and moral property and ethnic constant.
57　　　Even if there are doubts relatively psychological pedagogical advantages to be taught in native language, they
58　exist only because for children - representatives of national minorities, the assimilation of "official" language is considered
59　to be more important, than the intellectual and emotional development, socialization and even future of the ethnos itself.
60　Furthermore, the acknowledgement of native languages and the increase of their status by their introduction to the
61　educational system have their own problems. One of the main is the lack of financial, engineering and human resources.
62　School cannot solve this problem itself, but only in cooperation with other social institutes, related and non-related to
63　education [7].
64　　　The purpose of education for national minorities is to preserve ethnic constants of central cultural theme of ethnos,
65　to develop the personality in conditions of multilingualism and polyculture, as a bearer of ethnocultural tradition, as a
66　citizen of multinational state.
67　　　In modern conditions, the only channel to pass, reproduce and preserve the minority language is the ethnocultural
68　connotation of educational content. A principle of ethnocultural connotation of educational content lies in distinguishing
69　and underlying, preservation and development of structural elements of central theme of ethnos culture, (system of ethnic
70　constants), present in all components of educational system, as a system of measures, providing the formation of
71　relevant ethnic worldview, ethnic way of thinking, developing in a child the assurance in his abilities [8, 90-95]. The
72　content of education is being formed as a thorough ethnocultural theme, systematically present in the training process -
73　one-theme content-wise educational material, referring to one of the important spheres of ethnocultural experience, to
74　any ethnic constants, passing through all educational themes.
75　　　Thorough ethnocultural themes are introduced in the beginning of education and continue throughout the whole
76　training period, constantly present in the training process, providing the pedagogue with an opportunity to come back
77　repeatedly to thematically homogenous educational material (with different degree of intensity, circulation and according
78　to the principle of concentric growth of difficulties). They pass through the whole course of studies, being determined by
79　the program and make up a core of educational content; they are connected with each other by the relation of
80　succession. An important task is to select, reveal the principles and to determine the recommendations on effective
81　organization of educational content, as a thorough ethnocultural theme on the basis of educational concentrism.
82　　　Educational concenters are the "one-theme subjects", all-sufficient volumes of educational material, connected
83　with each other by informative succession (information and volume of the following is bigger and more complex than the
84　preceding), increase and complicating of information, movement from main initially introduced information to more
85　peripheral (foundational information is presented in the beginning, the whole system of knowledge is built on it), up to
86　facultative, conformity of the distributed content with the relevant time intervals.
87　　　The features of the notion "educational concenter" are the following: gradation, sequence, ascent from simple to
88　complex, from assimilated to new, circulation (repetition), division of content into definite complexes of qualitatively one-
89　theme information, into "minimums", possessing such peculiarities, as sufficiency, completeness. "Circulation" of one
90　theme at different lessons, thematic inter-subject parallelism provides the student with the opportunity to "dip" for some
91　period of time into definite ethnocultural educational concenter, allowing to form and fix the required knowledge and
92　qualities of child's personality. The teacher systematically comes back to thematically homogenous training material (with
93　different degree of intensity, circulation and based on the principle of concentric growth of difficulties). The educational
94　process presents a movement from concenter to concenter, providing the organization of "thorough ethnocultural theme"
95　[9].
96　　　Educational concenters of thorough ethnocultural theme are especially effective at complex consideration of three
97　criteria - linguistic, involving the use of language, as the educational mean; introductory, implemented within the limits of
98　educational reasonability; ethnocultural, presupposing the consideration of importance and priority of information from
99　ethnoculturological positions.
100　　Ethnocultural connotation of educational content promotes the implementation of linguistic safety system for
101　national minorities in the everyday educational practice, and it has the following goals: to transfer children the perception
102　of originality of minority culture, to which they belong, to recover the orientations and content of this culture in them;
103　encouragement of interest to the problems of minorities and children, belonging to the majority group, thus, creating the
104　climate of tolerance and mutual understanding in the group at an early stage of children's development; awakening in
105　adults and teenagers the feeling of faith and devotion to native language and culture, upbringing of dynamic realization of
106　relations between cultures of minorities and majority; provision of access to minority culture to all people, who, speaking
107　another native language, than the minority group, want to get access to it and culture, which it expresses, even if there
108　are only practical reasons for it [10, 22].
109　　Educational systems, implementing the principle of ethnocultural connotation, are focused on the provision of full

110 basic education in compliance with state standards and bringing children home to native language, culture, history,
111 traditions, moral values; they provide the respect for values of your own culture, as well as the values of other nations,
112 responsibility for preservation and development of native and worldwide cultural tradition.
113
114 **2. Literature Review**
115
116 The analysis, based on civilized and culturological approaches, allowed establishing the stable blocks in culture and
117 psychology of Kalmyk ethnos - ethnic constants, as structural elements of central cultural theme of the Kalmyk ethnos,
118 the connotation objects of educational content: the Kalmyk language, connected with writing "Clear Writing"; folklore and
119 epos "Jangar"; moral values and spiritual culture; traditional "culture of life support"; historical succession and culture of
120 native land; mongolosphere [11, 325], which are the thorough ethnocultural themes and objects of connotation in the
121 content of education of the Republic of Kalmykia.
122 In the Republic of Kalmykia, in 2014, the ethnocultural theme still present in educational process, but several topic
123 of ethnocultural content are studied during definite, but limited time period. The existing programs of educational subjects,
124 training courses of native language and literature do not take into consideration modern linguistic realties; they are
125 intended to teach children - native speakers. Textbooks, study guides on native language and literature are not reissued
126 or only limited editions are issued, and the newly published ones, even if differ in new approaches, are quite ineffective,
127 as they are prepared outside one concept. Lack of single conceptual constituent makes the authors (the majority of whom
128 are the teachers-practical men, without academic qualification) either to saturate them with insignificant content, or to
129 complicate it; it results in the fact, that for the whole 11-year summer course of Kalmyk language and literature, children
130 cannot learn the native language.
131 The diversity of approaches result in the appearance of new educational subjects, but their numerosity results in
132 the reduction of hours for studying of other subjects, in their formal passing. Whereas the content of some educational
133 disciplines could be integrated into basic content of education, disclaiming time for the study of another educational
134 subjects.
135 School in itself cannot provide the succession of culture, if for no other reason, that in this process, it is no more
136 than the mediator, and not the independently acting participator. To solve this problem, the strong support of the
137 community is required, as well as wide joint efforts of schools, mass media, religious and secular institutions, youth
138 camps, economic planning and control bodies; the bodies, providing the political representation of national minorities; the
139 bodies, planning and directing the development of culture, education in places of residence of national minorities [12].
140 A concept "Ethnocultural Connotation of Educational Content" [13, 216-275] and the Program of its
141 implementation, determined the following as the main purpose: the formation of the field of ethnocultural development of
142 educational content; projecting of content of central ethnocultural theme, thorough ethnocultural themes, to update the
143 programs, teaching materials; the preparation of teaching materials, pedagogical means, implementing the purposes of
144 ethnocultural development, its monitoring; the formation of the teacher-researcher, the author of textbooks, with
145 ethnocultural-connotation content of education; the formation of implementation experience for ethnocultural connotation
146 of educational content.
147 We developed the organizational-pedagogical bases to preserve the endangered Kalmyk language: the
148 development and adoption of the Law of the Kalmykia Republic "About the Endangered Kalmyk Language" (The Law is
149 aimed at the provision of preservation and use of the Kalmyk language in the whole territory of the Republic of Kalmykia,
150 at the enforcement of citizens' right to use the Kalmyk language, at the preservation and protection of the Kalmyk
151 linguistic culture, at preservation of succession of historical traditions of Kalmyk writing); the development and adoption of
152 the endangered Kalmyk language development concept; the development and adoption of the State Program of the
153 Kalmykia Republic "Preservation of the Kalmyk Language for the Period from 2015 to 2025"; the plan of implementation
154 of the State Program of the Kalmykia Republic "Preservation of the Kalmyk Language for the Period from 2015 to 2025";
155 the development and adoption of the concept of regional educational content: preparation and issuing of the academic
156 work "The Kalmyk Language", the organization of the commission on terminology, orthography and toponyms',
157 determination of lexical minimum of content of the educational subject "The Kalmyk Language and Literature", the
158 development and issuing of new generation of textbooks "The Kalmyk Language and Literature", the development of
159 testing system on Kalmyk language for the system of continuous education, the training of textbook authors on the
160 subject "The Kalmyk Language and Literature", the organization of system of continuous linguistic education for the
161 Kalmyk language teachers, the development and implementation of modern Kalmyk language educational technologies,
162 the organization of retraining system for the Kalmyk language teachers, the organization of the support system for the
163 Kalmyk language in the territory of the Kalmykia Republic; the creation of testing sites on program implementation of the

164 educational subject "The Kalmyk Language and Literature".

165   In order to implement the concept "Ethnocultural Connotation of the Educational Content", a Social Councils on the
166 Kalmyk language development were created under the head of the Kalmykia Republic, a non-commercial fund "Khalmg
167 Keln" ("The Kalmyk Language") was opened under the heads of regional and municipal entities, a project "Ethnocultural
168 Connotation of the Educational Content" was considered and approved in the Kalmyk State University, to implement
169 which, the research and educational center "Bagsh" ("Teacher"), named after the academician G.N. Volkov, was created.

170   The main directions to implement the organizational pedagogical bases of activity determine the formation of
171 academic partnership "school - university - scientific center - mass media" with educational institutions of the Department
172 of Education and Science of the Kalmykia Republic, the Kalmyk Institute of Humanitarian Research of the Russian
173 Academy of Science and Television Broadcaster "Syan Tsag" ("New Time"); the provision of safety functioning of the
174 Kalmyk language; the formation of new generation of teachers-researchers; the training of the top-qualified pedagogues
175 (Doctors of Philosophy and Doctors of Science); the preparation and issuing of system of stable products for the
176 educational process: monographs, programs, study guides and textbooks with ethnocultural content of education (based
177 on connotation of ethnic constants into educational content, as thorough ethnocultural themes), based on state
178 educational standards; the shift of educational institutions of the Kalmykia Republic to the work as per the program of
179 educational subject "The Kalmyk Language and Literature"; the preparation and holding of scientific pedagogical
180 conferences on the problems of preservation of the endangered Kalmyk language.

181   The stages of formation of the ethnocultural educational content are the following: the postgraduates, following the
182 suggested topics, the content of which is closely connected with the analysis of ethnic constants, as thorough
183 ethnocultural themes, studied at definite educational levels, are involved into thesis research, the results of which get the
184 qualification assessment; based on the thesis, the monographs are published; the thesis and monographs, according to
185 the education plan, become the basis of study guides, books, reading books and educational materials for relevant
186 classes of different educational levels; the authors of study guides are joined into creative teams, create the textbooks
187 with ethnocultural connotation content of education for the relevant educational subjects of different educational levels.
188 Ethnic constatns of central cultural theme of the ethnos are connotated into programs, textbooks, study guides, books,
189 reading books and other materials.

190   At that, it is assumed the following: the interaction on the problems of determination of prospective teachers -
191 future postgraduates; the organization and holding of scientific pedagogical seminars in the regions of the Kalmykia
192 Republic; the exchange of educational and other video production with the television broadcasters of Mongolia, Buryatia,
193 China and other countries; the preparation of teaching-methodological materials for educational institutions of the
194 Kalmykia Republic; the holding of mutual scientific research in the sphere of pedagogics, experimental and other works
195 on vital directions, presenting mutual interest; the implementation of scientific- research and scientific - methodological
196 works under the implementation of the project "Ethnocultural Connotation of Educational Content".

197   Thus, in modern conditions, the only principle, providing the preservation of minority languages, is a principle of
198 ethnocultural connotation of the educational content, the implementation of which is possible, if the definite
199 organizational-pedagogical conditions are made. Education becomes the way to reproduce the universal ethnic worldview
200 and to develop its constituents - structural elements of central theme of ethnos culture - a system of ethnic constants
201 through their systematic use in everyday pedagogical practice, by means of ethnocultural connotation of the educational
202 content.

203
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Genre Reconsidered: Charlotte Lennox's *The Female Quixote*

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Abstract

Charlotte Lennox was engaged in a kind of generic transformation, or rather confusion, in the mid-eighteenth century literary scene around her. Romance, novel, satire, and history were not clearly differentiated. The newly emerging novel was challenging the once dominant romance genre and subsuming the traditional forms of verse satire. However, the former genres' influence was so pervasive that writers often could not escape their influence, which made many eighteenth century texts the sites of contrasting literary genres. Lennox's The Female Quixote (1752) is a text that captures such mid-century debates between novel as the new genre and romance and satire as older genres. The Female Quixote is Lennox's comment on the intersection of literary genres and an experiment with the novel as genre for the woman writer at a time when the male practitioners of this new genre dominated the literary scene. Romance and novel are the dominant genres at play in this text, while satire is a weaker "genre" oscillating between these two and distorting their boundaries.

Keywords: Genre Theory; Charlotte Lennox; The Female Quixote; 18th Century Fiction; Feminism

> "That different readers may disagree about a text's genre is neither contradictory nor surprising. It merely indicates that
> a genre is combinatory, not monolithic."
> —Ralph Cohen, p. 91

1. Introduction: Genre in Context

Critics have always pointed out fundamental questions about "the genre, value, and meaning of romance" in eighteenth-century literature (Probyn, 2004, p. 264). The historians of the English novel also admit that "there is no clean break, no definite ending and new beginning, between the age of romance and the age of realism" (Baker, 1930, p. 13). Questions about generic construction and the intersection of literary genres acquire special importance in the case of Charlotte Lennox's romance/anti-romance, *The Female Quixote* (1752). Despite the rigorous criticism Lennox's novel has received, the novel's comment on literary genres remains a puzzling one. The novel has been often read as an anti-romance satirizing the French heroic romances of the seventeenth century,[1] which I view as a simplification of a more serious concern. Critics have focused on Arabella's delusions and the absurdities of romance Arabella enacts. The novel, however, bears a complex relation to the genres of romance and satire, which needs to be re-examined. The opposition between novel and romance, critics have always pointed out, can be seen in my reading of the novel as more of a dialectical relationship of interdependence.

M. H. Abrams (1999) remarks that "the emergence of new types of literary productions" during the eighteenth century "helped weaken confidence in the fixity and stability of literary genres" (p. 109). Ian Watt, on the other hand, defines the eighteenth century novel practiced by Fielding and Richardson as "a new kind of writing" that constituted "a break with the old fashioned romance" (pp. 9-10). Romance as a genre characterized by the improbable was being displaced by the realistic novel. Yet, Northrop Frye (1976) points to the close relationship between these two genres by arguing that the novel "had few structural features peculiar to itself" as many eighteenth century novels "use much the same general structure as romance, but adapt that structure to a demand for greater conformity to ordinary experience" (*Secular Scripture*, pp. 38-39). Jane Spencer takes this close relationship between novel and romance to mean that romance and novel differ in terms of "degree rather than kind" (p. 181). Clara Reeve (1930), writing in the eighteenth century, touches on another aspect of the close relationship between novel and romance and the way each was used to define the other. Reeve observes that "[t]he word *Novel* in all languages signifies something new. It was first used to distinguish these works from Romance, though they have lately been confounded together and are frequently mistaken for each other" (p. 110).

Reeve also captures the sense of the transformation in the eighteenth century from one genre to another when the novel tried to define itself against the romance:

The Romance is a heroic fable, which treats of fabulous persons and things. The Novel is a picture of real life and manners, and of the times in which it is written. The Romance in lofty and elevated language, describes what never happened nor is likely to happen.— The Novel gives a familiar relation of such things, as pass everyday before our eyes, such may happen to our friend, or to ourselves; and the perfection of it, is to present every scene, in so easy and natural a manner, and to make them appear so probable, as to deceive us into a persuasion (at least while we are reading) that all is real, until we are affected by the joys or distresses, of the persons in the story, as if they were our own. (p. 111)

Charlotte Lennox, it seems, was engaged in this kind of generic transformation, or rather confusion, in the mid-eighteenth century literary scene around her. Romance, novel, satire, and history were not clearly differentiated. The newly emerging novel was challenging the once dominant romance genre and subsuming the traditional forms of verse satire. However, the former genres' influence was so pervasive that writers often could not escape their influence, which made many eighteenth century texts the sites of contrasting literary genres. Lennox's *The Female Quixote* is a text that captures such mid-century debate between novel as the new genre and romance and satire as older genres. *The Female Quixote* is, in a sense, Lennox's comment on the intersection of literary genres and an experiment with the novel as genre for the woman writer at a time when the male practitioners of this new genre dominated the literary scene. And significantly, this novel is an imitation of Miguel de Cervantes' *Don Quixote* (1605; 1615), a novel that left a huge impact on the English novel. The impact of the Spanish picaresque tradition can be seen in *The Female Quixote* in its witty imitations of romance novels and in its employment of a virtuous character and a moral vision. The novel's comic edge, its depiction of the contrast between illusion and reality, and its social message are all emblematic of the influence of Cervantes.

2. Literature Review: Genre Theory

Genre theorists agree that genre criticism is a useful tool of literary analysis. They also agree that once a genre enters into the text of another genre, "it both acts and is acted upon" (Nightingale, 2000, p. 6). Nevertheless, they often present the question of genre in literary texts as a problematic one. They argue that genres do not "exist" in literary works. Rather, "a given work manifests a certain genre" and a work can have "more than one genre" (Todorov, 1973, pp. 21-22). Moreover, genres are not viewed as stabilizing conventions in literary texts. Each genre, critics assume, acquires some power and challenges the text's own premises. As one genre theorist succinctly puts it:

Does genre constitute the particular or do particulars constitute the genre? Are genres found in texts, in the reader's mind, in the author's, or in some combination thereof? Or are they not "found" at all but, rather, devised and used? Are they "theoretical" or "historical"? Are they "prescriptive" or "descriptive"? … Can we "see" them or do they hover on the hermeneutic "horizon," always potentially but never actually in view? …. Can genres be used to explain "literariness"? Or are they the enemy of all that makes literature seem "literary"? Might they be the enemy of the reader as well, a too rigorous constraint on the interpretive act? How many genres are there? ... How, exactly, do they work? And change? (Rosmarin, 1985, p. 7)

Rosmarin also pinpoints the fact that genre "works against the text's exalted stature" and "its power to inquire into the stature and dynamics of its own writing" (p. 7). This is to say that if genres refer to certain common characteristics in a number of texts, then we can also study genres in terms of what resists generic conventions within a text. Thus, if Lennox's *The Female Quixote* has been read as an anti-romance novel, it can also be studied as a romance, or at least as a text manifesting a dialogue between more than one genre. In this light, genres often become the sites of contesting ideological powers within a text, which produces different discourses.[2] Lennox's *The Female Quixote* incorporates three main genres.[3] Romance and novel are the dominant genres at play in this text, while satire is a weaker "genre" oscillating between these two and distorting their boundaries.

The novel as a genre is problematic to define. However, we are safe to assume that, like the romance, the novel is not a monolithic genre. The novel's basic task, as pointed out by Ian Watt (1957) in *The Rise of the Novel*, is "to convey the impression of fidelity to human experience" (p. 13). Lennox's *The Female Quixote* does this by satirizing Arabella's heroic ideals as something in stark opposition to the verisimilitude and morality of the new novel. Satiric realism often opposes the fantasies of Arabella's romances. Besides, Arabella herself, despite her romantic delusions, is a credible character of psychological depth like many other characters in realist fiction. In so far as romance is considered, Northrop Frye (1957) comments in *Anatomy of Criticism* that "[t]he essential element of plot in romance is adventure" (p. 186). Frye samples three main stages of the quest-myth in the romance: "the *agon* or conflict, the *pathos* or death-struggle, and the *anagnorisis* or discovery, the recognition of the hero, who has clearly proved himself to be a hero even if he does not

survive the conflict" (p. 187). It also does not take much effort to see that Frye's model exactly works out when applied to Lennox's *The Female Quixote*. The conflict and adventures, as we will see, revolve around Arabella and Glanville and the obstacles to their union, the climactic struggle is that between Glanville and Sir George, his rival for Arabella's affection, and the recognition is Arabella's recognition of Glanville's worth and her willing acceptance of him in marriage. Thus, the novel fulfils the criteria of romance, at least in terms of its plot structure.

As for satire, Abrams (1999) defines this genre "as the literary art of diminishing or derogating a subject by making it ridiculous and evoking toward it attitudes of amusement, contempt, scorn, or indignation" (p. 275). Abrams adds that "satire derides; that is, it uses laughter as a weapon, and against a butt that exists outside the work itself" (p. 275). The novel also fulfils this generic requirement in that its satire is directed at the heroic romances of the seventeenth century. Thus, for her strange romantic ideas, Arabella often becomes the butt of Lennox's satire. As the main genres in the text, novel, romance, and satire become essentially contestable, for they resist neat dichotomies, wield power, and challenge the neoclassical notions of the purity of genres.

Another genre theorist presents an approach to the study of genre whereby genres are related to "discursive configurations of power: a kind of tectonic plate theory insofar as literary genres are constantly shifting in response to the conditions and forces of discourse" (Snyder, 1991, 4). Snyder argues that genre should not be viewed as "an essentializing presence in the literary work or tradition" and that it "needs to be decentered" (p. 205). Snyder, for example, terms satire as "semigenre" because "it is an unstable genre" that shows "a marked shift into modes of other genres, particularly tragedy and the novel" (p. 15). Snyder accounts for this in that satire "must detour around its perplexity about human nature by constantly seeking its resolutions outside itself" and yielding to "more dominant genres" (p. 101). In the light of this argument, satire as an informal genre aligns itself with both the novel and the romance in *The Female Quixote*. While satire is used in Lennox's novel to expose romances, it is also used in favor of Arabella and against the hypocrisy or wickedness of other characters, which manifests the overlap of genres. Satire functions in the text as a slippery genre, or rather as "a structural principle or attitude, what we have called a *mythos*" in the words of Northrop Frye (1957, p. 310). Both Arabella's romances and the trivialities of life become the butt of Lennox's satire.

Michael McKeon (1988) highlights the social implications of genre shifts and argues that "the instability of generic and social categories" in the course of the seventeenth century was "symptomatic of a change in attitudes about how truth and virtue are most authentically signified" (p. 161). McKeon views this as essential to the rise of the novel in the eighteenth century. As a work that contributes to this debate over literary genres, Lennox's *The Female Quixote* uses multiple genres. Novel and romance manifest themselves within this text in a relation of influence. These dominant genres engage in a shifting dialogic relation, employ satire, and leave the question of genre an unresolved one.

3. Shifting Genres and Lennox's The Female Quixote

A close reading of Lennox's *The Female Quixote* reveals that the novel takes up the issue of genre at the thematic as well as the structural level. The novel presents its satire of the French heroic romances of the seventeenth century in such a way that it is difficult for us to distinguish between novel, satire, and romance. Romance as a self-conscious genre continually asserts its existence as the novel's other. Lennox's novel falls, deliberately perhaps, into the very romance conventions it sets out to satirize. In presenting a romance plot, the novel becomes one. As Langbauer (1990) puts it, "[i]nstead of being in control of romance, the novel is drawn into and repeats it" (p. 67). Langbauer states that the novel "needs romance to set itself up as a novel, but, when prodded, romance deconstructs and merges into the novel" (p. 90). Commenting on the close relation between novel, satire, and romance in *The Female Quixote*, Deborah Ross observes that the novel owes much to the romance it satirizes:

Despite the anti-romance premise of *The Female Quixote*, Lennox could not write an "anti-book"; to satirize romance one must also write a romance. And to insult something while making such extensive use of it can begin to seem ungrateful and unmannerly—that is, the values of the satirized form can begin to take over. Romance does take over this novel thoroughly enough to introduce a sour note into its closing major chord—the final chapter in which Arabella is cured and, one supposes, happy. (p. 100)

Whether or not this "sour note" Ross speaks of implies a nostalgic return to the romance tradition on Lennox's part is not my concern here. What should be argued is the way romance, novel, and satire engage in a shifting relationship.

James Lynch (1987) observes that Lennox "creates two kinds of fiction: the "romance" world of quixotic delusions and the "real" world in which those delusions are set" (p. 51). Lynch calls the realistic plot "the displaced romance" as opposed to the romance plot of the novel (p. 52). However, we might highlight the instances in which the novel transgresses its borders and merges with romance. Neither genre, after all, exists independently as Lynch would have us assume. Although the critics sampled above tackled the problematic issue of genre in *The Female Quixote,* none has

165 examined this thoroughly or in a sustained study. Drawing on genre theory and the novel's literary context, I intend to
166 examine the erasure of boundaries between genres in Lennox's text. Of special importance to my discussion of genre
167 play in *The Female Quixote* is the subtle discourse on genres delivered by the divine toward the end of the novel.
168   Lennox poses the issue of generic parody and literary self-consciousness right from the start. As the romance
169 heroine, and unlike the old ragged Don Quixote, Arabella in *The Female Quixote* is endowed with physical perfection and
170 personal charms that cast a special spell on whoever sees her: "Nature had indeed given her a most charming Face, a
171 Shape easy and delicate, a sweet and insinuating Voice, and an Air so full of Dignity and Grace, as drew the Admiration
172 of all that saw her" (pp. 6-7).[4] Our heroine is young, beautiful, and wealthy. This at once undermines Lennox's satire of
173 her as a mock romance heroine and initiates a dialectical relationship between the novel and romance.[5] Lennox dwells on
174 Arabella's Cinderella-like charms and wit. When a stranger named Hervey sees her early in the novel, he is instantly
175 "surprised at her Beauty" (p. 8). Being stared at by Hervey, Arabella covers "her fair face" with her veil (p. 9). Her uncle
176 Sir Charles "was struck with Surprize at her Beauty" (p. 60). This "devoted fair one" exacts admiration from all who see
177 her (p. 272). When the Countess sees her later in the novel, she feels compassion "for the fair Visionary" (p. 323).
178   Persuaded by Charles Glanville and his son to leave the solitude of her secluded life in the country and mix with
179 people, Arabella journeys to Bath and London—which represents a major generic encounter in the narrative. When
180 Arabella attends an assembly at Bath, "Her noble Air, the native Dignity in her Looks, the inexpressible Grace which
181 accompany'd all her Motions, and the consummate Loveliness of her form, drew the Admiration of the whole Assembly"
182 (p. 272). This focus on the depiction of character is a realistic convention of novels employed in the service of romance.
183 At the same time, it places the novel within the Quixotic fiction organized around a central Quixote figure. Arabella's
184 beauty then saves her from ridicule for the absurdity of her dress. The silence that ensues and the company's whispering
185 "Princess *Julia* to one another" make the novel fall into the very romance conventions it satirizes (p. 272). Arabella
186 becomes, in the words of Miriam Small, "the centre of the stage almost continually" (p. 74). It is as if Lennox fell in love
187 with the creature she intended to satirize. Lennox seems trapped in what Charles Knight calls "the novel's compassionate
188 understanding and the systemic anger expressed by satire," which happens as a result of combining these two genres (p.
189 232).
190   Lennox instead saves Arabella and satirizes the world of gossip, dancing, and fashions at Bath. This empowers the
191 romance rather than repudiates it. Arabella satirizes the triviality of the life women lead there. In such generic encounters,
192 the enclosed space of romance in which Arabella lives clashes with the reality of life around her. Arabella's satire spares
193 neither men nor women. Arabella says to Miss Glanville: "What room, I pray you, does a Lady give for high and noble
194 Adventures, who consumes her Days in Dressing, Dancing, listening to Songs, and ranging the Walks with People as
195 thoughtless as herself?" (p. 279). Arabella adds that such men as those she saw at the assembly "with Figures so
196 feminine, Voices so soft, such tripping Steps, and unmeaning Gestures; but might be overcome by their Enemy in Battle,
197 or be false to their Mistress in Love" (p. 279). In such encounters, Arabella, as Frank Palmer (2003) puts it, "serves not as
198 an object but as the agent of satire" (p. 226). Miss Glanville herself who advocates the amusements of life, dressing, and
199 looking in her glass is satirized. Responding to an innocent question by Arabella about her "adventures" and the favors
200 she has granted to lovers, Miss Glanville contends: "Heaven knows, I never granted a Kiss without a great deal of
201 Confusion" (p. 89). Lennox also subtly satirizes Miss Glanville when an acquaintance, Mr. Tinsel, seemingly defends her
202 while she is exposed by the satiric scheme of the novel; Mr. Tinsel says of her: "How sprightly and free her Conversation?
203 What a thorough Knowledge of the world? So true a Taste for polite Amusements, and a Fund of Spirits that sets
204 Vapours and Spleen at Defiance" (p. 281). Satire in such cases aligns itself with romance rather than with the novel. The
205 protean nature of satire makes it exist on the borderline between novel and romance, which enhances the loose generic
206 structure of the text.
207   The narrative slippage into romance begins early in the novel when Lennox's heroine, motherless and alienated, is
208 brought up in a remote castle where she gorges herself, as Lennox's satiric thrust shows, on romances "not in the original
209 *French*, but very bad Translations" (p. 7). Arabella draws from these translations "all her Notions and Expectations" and
210 comes to believe that "Love was the ruling Principle of the World" (p. 7). This confusing split between Arabella's notions
211 about the world and the ways of the world echoes the generic confusion in the text. Lennox hints at this by pointing to the
212 dichotomy between art and nature. In the case of the Marquis's garden, the "most laborious Endeavours of Art had been
213 used to make it appear like the beautiful Product of wild, uncultivated Nature" (p. 6). Arabella's "native Charms were
214 improved with all the Heightenings of Art" (p. 7). The kind of order or restraint imposed on nature in each case is a trope
215 for Lennox's generic self-awareness and her attempts to keep the excesses of romance under the control of her novelistic
216 satire. However, romance breaks generic rules and exceeds its limits by making it difficult for the novel to reduce
217 romance to "the romantic" in the novel. After all, the novel is nothing but Arabella's romance story of being loved, falling in
218 love, and marrying a faithful lover. Although the novel's title casts it in the satiric paradigm of a Quixote figure deluded by

219 reading many romances, the novel's subtitle—*The Adventures of Arabella*—is a reminder of its romantic promise.

220 On the other hand, the novel and the romance as dominant genres reduce satire to the "satiric" element in the plot.
221 Lennox's satire functions in the typical way of highlighting the split between the real as opposed to Arabella's ideals.
222 Arabella meets an early suitor during a religious service, Mr. Hervey. This incident signals Arabella's first "adventure" and
223 the first encounter between realism and romance as Hervey and Arabella see each other from different perspectives. This
224 incident will be elaborated because the novel will continue with the same satiric contrast between what Arabella desires,
225 expects, or interprets and the way others behave within the limits of novelistic realism.

226 Arabella's perception of events is the source of this disjunction between novel and romance. The discrepancy
227 between Arabella's belief in romances as historical documents and our knowledge of the falsity of this belief makes her
228 the object of satire. Arabella sees men around her as lovers or ravishers; she believes that she has power over the life of
229 her lovers. She also believes that a lover should not confess his love to her before years of secret suffering and many
230 services. For example, when Hervey sees her he is "no less surprised at her Beauty, than the singularity of her Dress;
231 and the odd Whim of being followed into Church by three Women-Attendants" (p. 8). Arabella, on the other hand, sees in
232 this stranger a despairing lover and welcomes her first adventure/misadventure. After inquiring about her, Hervey meets
233 Arabella's maid, Lucy. Though he is astonished at Arabella's manners and Lucy's speech, he participates in this mock-
234 adventure and bribes Lucy to carry to her mistress a letter from him. This develops the plot as Arabella reacts according
235 to her literary precedents by refusing to read the letter and returning it to her lover. Lucy participates in this "adventure"
236 and plays her lady's game by sending Hervey a letter from Arabella commanding him to live, after news of his illness.
237 When Arabella is riding out, she meets Hervey again. She thinks that this "insolent Lover had a Design to seize her
238 Person" (p. 19). Her servants, believing him to be a highwayman, "laid hold of Mr. Hervey, and forced him to alight; which
239 they did also themselves, still keeping fast hold of him, whom Surprize, Shame, and Rage, had hitherto kept silent" (19).

240 Arabella exercises her power as a romance heroine on Hervey and expects total submission: "A little more
241 Submission and Respect would become you better; you are now wholly in my Power" (p. 20). Hervey, speechless with
242 astonishment, yields to Arabella's commands, just as the novel yields to the power of romance, and decides to go back to
243 London. As an outsider, Hervey is closer to the novelistic realism that approaches, yet surrenders to, the romance world
244 of Arabella. While the early adventures of Arabella show her romance world approached by realism, the late portion of the
245 novel set at Bath, London, and Richmond reverses the pattern and shows realism approached by Arabella's sprawling
246 romance.

247 Gordon (1998) calls this space of romance within which Arabella functions a "protective 'mad space'" (p. 512). This
248 space protects her against the realism of the novel. It also endows her with power, for romances, Gordon argues,
249 "whisper to readers that if they position themselves as heroines, they can control the world" (p. 502). This very power is
250 rendered fake in Lennox's satiric scheme when Arabella fears that Edward, a gardener whom she believes is a nobleman
251 with a bad design on her, will carry her away. She leaves her father's house late at night and asks the first stranger she
252 meets for help. What she takes to be her deliverer or a "Generous Stranger" is "extremely glad at having so beautiful a
253 Creature in his Power" and "willing to have her at his own House" (pp. 99, 100). This is another encounter between the
254 satiric novel and romance as contrasting genres. It is a power relation where one form is expected to surrender to the
255 other.

256 Just as Arabella exerts her romance power on Hervey and confuses him, the romance also confuses the novel and
257 draws it into a similar genre play. Because Arabella controls language, she imposes her discourse on others. Later on,
258 when the divine controls language, Arabella yields. He who controls language controls genre. Lennox's own uncertainty
259 about the language she uses gives space to the generic instability of the novel. It is part of the genre play in this novel
260 that different characters are drawn into Arabella's orbits of influence and often seem reluctant to question her power for
261 the text's genres to exist to the end.

262 The plot itself revolves around the obstacles that stand in the way of Arabella's union with her faithful cousin, which
263 enacts the very essence of the novel as a romance. The plot roughly begins and ends with Glanville's romantic advances
264 to Arabella. What is related in between are the adventures the lovers undergo until they get united. Ambivalently, the plot
265 conforms to the conventions of realism in that it is not a loose, episodic one and neither are Arabella's adventures, which
266 take place in her mind most of the time, really improbable in this sense. Moreover, the marriage that ends the narrative is
267 an attempt to set it apart from the romantic code of romances, in which love is the overriding principle. Arabella's union
268 with Glanville acts as a reminder that the novel became a genre, according to Ian Watt (1957) , when "the code of
269 romantic love began to accommodate itself to religious, social and psychological reality, notably to marriage and the
270 family" (p. 136). While Arabella behaves as a typical romance heroine and is converted to reason at the end of the novel,
271 her cousin and suitor, Glanville, reverses the pattern and gradually assumes the role of a romantic hero who throws
272 himself on his knees before his lady, kisses her hands, and is ready to defend her. Glanville's relationship with Arabella

often becomes an open discourse on the relationship between novel and romance. When asked by Arabella to read some of her romances, Glanville adopts a satiric stance; he is shocked at their length and weight:

Arabella having ordered one of her Women to bring *Cleopatra, Cassandra, Clelia,* and the Grand *Cyrus,* from her Library, *Glanville* no sooner saw the Girl return, sinking under the Weight of those voluminous Romances, but he began to tremble at the Apprehension of his Cousin laying her Commands upon him to read them; and repented of his Complaisance, which exposed him to the cruel Necessity of performing what to him appeared an *Herculean* Labour, or else incurring her anger by his refusal. (p. 49)

Glanville "could not prevail upon himself to read them" (p. 50). These romances, Glanville thinks, were written "upon the most trifling Subjects imaginable" (p. 49). The significance of Glanville's refusal to read Arabella's romances stems from its signaling of what Margaret Doody considers "the new Realism's [sic] usurpation of the major realms of prose fiction" in the eighteenth century (p. 288). Glanville's reaction to Arabella's romances then signals a break with the older romance fiction. However, Arabella's defense of her romances validates her genre and points to the generic confusion between the claims of the novel and those of the romance. Arabella tells Glanville that romances are:

Books from which all useful Knowledge can be drawn; which give us the most shining Examples of Generosity, Courage, Virtue, and Love; which regulate our Actions, form our Manners, and inspire us with a noble Desire of emulating those great, heroic, and virtuous Actions, which made those Person's so glorious in their age, and so worthy Imitation in ours. (p. 48)

It is the same discourse that the divine will use later on to condemn romances in favor of the morality, virtue, and didacticism of the new novel that Arabella is using here. The divine will use Arabella's justification of her romances to recommend the novel as a didactic genre true to life. This new genre which displaces romances is supposed to do what Arabella's romances did, for it should convey, in the divine's words, "the most solid Instructions, the noblest Sentiments, and the most exalted Piety" and teach passions "'to move at the Command of Virtue'" (p. 377). Once again, this opens a dialogue between novel and romance.

Arabella succeeds finally in converting her suitor to a romantic hero. Glanville's first service to Arabella was saving her romances from being burnt. He also helps her in her attendance on her dying father. From the moment Arabella accuses him of assisting her "ravisher" Edward in carrying her away, Glanville tries to rise up to her conception of a romantic hero. Impressed by her beauty and understanding, Glanville "threw himself on his knees before her" (p. 124). As Arabella's champion, Glanville picks up his sword to defend Arabella when an early suitor, Hervey, ridicules her. Glanville also sees Sir George as his rival and refuses to let her visit the "sick" man, deciding to "die first" if she goes (p. 190). Glanville then asks Sir George to "behave with more Respect to [his] Cousin" and justify insulting Arabella (p. 197). Glanville's gradual transformation into a romance hero is another sign of the intimate relationship between the novel and the romance and the way they keep reshaping and defining each other in the course of the narrative.

The romance plot is complicated and the metafictional genre play becomes apparent when Sir George adds a new layer of fiction to the plot by narrating his "history" before Arabella's guests. Later on, he further complicates the plot by hiring an actress to personate a princess deserted by a lover she identifies as Glanville. Glanville falls out of favor with Arabella and Sir George becomes his rival. At a climactic romantic scene in which the faithful lover defends his lady with his sword, Glanville attacks Sir George mistaking his sister for Arabella:

Transported with Rage at this Sight, he snatch'd up his Sword, flew down the Stairs into the Garden, and came running like a Madman up the Walk in which the Lovers were…. For Mr. *Glanville*, actuated by an irresistible Fury, cry'd out to Sir *George* to defend himself, who had but just Time to draw his Sword and make an ineffectual Pass at Mr. *Glanville,* when he receiv'd his into his Body, and fell to the Ground. (p. 357)

Glanville's attack on Sir George toward the end of the novel shows his complete transformation from the realism of the novel to the excess of romance and attests to what Northrop Frye (1976) calls "the revolutionary quality" of romances which is often clear "near the end of a romantic story, usually at the recognition scene" (*Secular Scripture* p. 163). This lack of restraint on Glanville's part indicates, in metafictional terms, the excessive nature of romance as a genre that defies generic limits and encroaches on the novel, as the latter proceeds toward its resolution.

Lennox presents another twist when Arabella marries Glanville rather than the cunning Sir George who uses the language of romance. After the divine's lengthy discourse on genres and his attack on romances in the penultimate chapter of the novel, the novel ends in the manner of a romance with a happy ending for its heroine to a worthy suitor. The marriage between Arabella and Glanville can be viewed as that between the narratives of the two genres: the novel and the romance. Arabella's suitor is transformed as a romantic hero after her heart before she can accept him. Similarly, Arabella is transformed into a realist heroine who "yields to the Force of Truth" (381). The novel, hence, becomes a romance to recreate itself anew as a novel. Moreover, the novel ends just when Arabella gives up her romantic delusions, which gives an end to the romance plot. Lennox's voice as a novelist gets stifled when that of her romance heroine is

327 subdued by the divine at the end. However, it is not without bringing that end according to the romance's own terms.
328 Romance, hence, becomes the novel; it is the story of the novel. When it ends, the novel itself ends. Arabella herself "is
329 the heroine of both the novel and of her own romance" (Martin, 1997, p. 53). The novel, thus, forces the reader to
330 reconsider its genre as an anti-romance.

331   An early attempt to cure Arabella of her romantic delusions was undertaken by her uncle Sir Charles who tells her,
332 in a manner reminiscent of the Countess and the divine later on, that romances "spoil Youth, and put strange Notions in
333 their Heads" (61). Sir Charles asks her not to "be so fond of such ridiculous Non-sense as these Story-Books are filled
334 with" (p. 61). Lennox's satire on romances seems explicit in such cases and functions as an "intrinsic" genre intended by
335 the author (Rosmarin, 1985, p. 29). Arabella, on the other hand, is adamant in her defense of her romances as "the finest
336 Productions in the World" that show "the heroic Actions of the bravest Men, and most virtuous of Women" and praises
337 them for their portrayal of "pure and constant Passions" (p. 62). This validates an assumption that romance becomes an
338 "extrinsic" genre the author did not intend (Rosmarin, 1985, p. 29). Arabella's defense of her romances continually
339 accentuates their example of virtue and chaste feelings. This response echoes what the divine says in favor of the ethical
340 code of the novel, which in the words of Johnson cited by the divine, "'Has taught the Passions to move at the Command
341 of Virtue'" (p. 377). However, Arabella's romantic ideals never betrayed her. In fact, right to the end, Arabella's virtue
342 remains untouched. The romance rewards her in the manner Richardson, whom the divine praises as the practitioner of
343 the new edifying genre, rewards his virtuous Pamela with marriage. And like Richardson's Clarissa, Arabella maintains
344 the purity of her soul, but with the aid of another genre. It is clear from such encounters that the terms used to define one
345 genre are also used to shape the other. Both genres seem to delineate virtue and improve morals by fulfilling the ethical
346 code preached by Richardson in *Pamela* and *Clarissa* a few years before the publication of Lennox's text. If this generic
347 confusion has a message, it is probably the failure of the newly emerging novel to clearly set itself apart from its older
348 ancestors.

349   By the time Arabella meets the Countess, a reader of romances in her youth, the encounter between novel and
350 romance takes another turn. It is a clash at the level of language used in each genre. Asked by Arabella about her
351 "adventures," the Countess responds:

352   Pardon me, Madam, … if the uncommonness of your Request made a Moment's Reflextion necessary to convince
353 me that a young Lady of your Sense and Delicacy could mean no Offence to Decorum by making it. The Word
354 Adventures carries in it so free and licentious a Sound in the Apprehensions of People at this Period of Time, that it can
355 hardly with Propriety be apply'd to those few and natural Incidents which compose the History of a Woman of Honour. (p.
356 327)

357   A woman's life, according to the Countess, should be adventureless because the word "adventures" no more
358 connotes Arabella's values of honor. An adventureless life for Arabella, on the other hand, is a life without a story. Thus,
359 by recommending to Arabella an adventureless life and presenting her own life story as that of a woman born, educated,
360 and married like other women of her class—and like Miss Glanville who has "nothing to tell, that would make an
361 History"—the Countess implicitly advocates a new kind of fiction in which women are stripped of the power they assume
362 in romances (p. 110). However, the Countess must appropriate Arabella's romantic discourse before she can effect a
363 change in Arabella in the same way the novel must be a romance before satirizing romances. The Countess, we are told,
364 receives Arabella's address with pleasure and returns Arabella's compliment "in a Strain as heroic as hers" (p. 325).
365 Arabella is also pleased to "hear the Countess express herself in Language so conformable to her own" (p. 325). Like
366 many other characters in the novel, the Countess appreciates Arabella's wit and charms. The cure the Countess tries to
367 effect is mainly an attempt at historicizing romances as something of the past. The Countess says: "The same Actions
368 which made a Man a hero in those Times, would constitute him a Murderer in These—And the same Steps which led him
369 to a Throne Then, would infallibly conduct him to a Scaffold now" (p. 328). Following the logic of this argument, romance
370 becomes a displaced predecessor that continues to exist within the boundaries of the new genre. The fact that romance
371 is continually negotiated in the text betrays the novel's inability to escape its influence.

372   We should not ignore the fact that Arabella expresses to the amiable Countess her admiration of her virtues. All the
373 assembled women at Bath also revere her. When the assembled women ridicule the absent Arabella, it is the Countess
374 who defends her. Satire deserts the novel as its host and is directed here at the wickedness and superficiality of the
375 assembled women, and in favor of the romantic heroine. The force of the Countess's "universally acknowledg'd Merit,
376 and the Deference always pay'd to her opinion, silenc'd every Impertinent around her" (p. 322). This accomplished lady
377 had "no Superior in Wit, Elegance, and Ease" among her sex (p. 322). Her virtue, in other words, was untouched by the
378 romances she read in her youth. Similarly, Arabella's romantic values of generosity, courage, and virtue did not really
379 endanger her. On the contrary, they made a woman of the Countess's stature recognize her merits. Thus, the terms of
380 reference used against romances and in support of the new genre are basically blurred.

When Arabella instructs her maid to tell her history to some guests, she points to the same discourse on genres pervading the novel. Arabella expects Lucy to do the impossible:

you ask me to tell you what you must say; as if it was not necessary you should know as well as myself, and be able, not only to recount all my Words and Actions, even the smallest and most inconsiderable, but also all my Thoughts, however, instantaneous; relate exactly every Change of my Countenance; number all my Smiles, Half-smiles, Blushes, Turnings pale, Glances, Pauses, Full-stops, Interruptions; the Rise and Falling of my Voice; every Motion of my Eyes; and every Gesture which I have used for these Ten Years past; nor omit the smallest Circumstance that relates to me. (pp. 121-122)

In meta-fictional terms, the astonishment with which Lucy receives Arabella's orders echoes Lennox's difficult task as a novelist of keeping a neat border between the probable and improbable, between the realism of the novel and the extravagance of the romance. In this genre play, the confused Lucy assumes a borderline status between novel and romance. Arabella is here "used as the unconscious mouthpiece for a critique of the form she is so anxious to defend" (Bellamy, 1998, p. 101). Conversely, this same criticism directed at the excesses of Arabella's romances can be taken as a metafictional critique of what a realist novel was expected to achieve. In a sense, romantic excesses become one with what Ian Watt (1957) calls the "formal realism" of the novel and enhance the generic hybridity of the novel (p. 32). Arabella's demands become the novelistic convention that "the novel is a full and authentic report of human experience" (Watt, p. 32).

Sir George, on the other hand, uses the language of romance and its conventions to bring about his designs in winning Arabella's body and fortune. He "furnished his Memory," we are told, "with all the necessary Rules of Making Love in Arabella's taste" (p. 130). He then gains Arabella's disfavor when he shows ignorance of romantic love constancy in the history he relates. Once he blunders, Sir George is deprived of the power of the romance genre, a power he tried to appropriate. This echoes the novel's attempts to appropriate the language of romance. Sir George's long fabricated history functions as a displaced romance within the novel in the same way Arabella's history is narrated within the novel. This added layer of fiction grows out of control as an excessive romance. Sir George gets carried away by the excess of romance and breaks a crucial romance rule when he takes a new love object after the loss of the fictional Sydimiris. His history is a comment on romance as a genre that breaks generic limits, for it echoes Arabella's romance history that grows out of Lennox's control and dominates the novel.

The meaning of *The Female Quixote*, then, resides in the interplay between its genres. The quixotic narrative about Arabella allows the romance to function "not only as the satirical object but also as the pretext for a metafictional discourse" (Gallagher, 1994, p. 179). The dialogue between Arabella and the doctor of divinity, as the last "metafictional discourse" on genres, occurs on the borderline between novel and romance and ends when the romance yields to the novel just as the novel yields to romance. The divine adopts a Johnsonian discourse to stress reason and morality on the one hand and constrain the excess of romance on the other. However, it is not easy for the divine to "cure" Arabella by imposing a new kind of fiction to displace her romances, for Arabella resists fiction altogether, as lacking in historical truth, when she retorts:

[H]e that writes without Intention to be credited, must write to little Purpose; for what Pleasure or Advantage can arise from Facts that never happened? What Examples Afforded by the Patience of those who never suffered, or the Chastity of those who were never solicited? The great End of History, is to show how much human Nature can endure or perform. (p. 376)

Arabella's rejection of fiction, or rather the fictionality of the novel as a genre, initiates the divine's heated denunciation of romances in favor of the novel. However, the divine is awed by Arabella's presence. Arabella exacts his respect throughout. For example, he listens to her with mixed emotions of "Pity, Reverence, and Amazement" and is afraid "to give Pain to a Delicacy he rever'd" (p. 369). The divine also beheld her with "Reverence and Affection, and could not offend without extreme Regret" (p. 375). He is afraid to "give Offence to a Person" he does not want to hurt (p. 371). Arabella becomes in this encounter the divine's intellectual double. It is for this reason that Motooka argues that the divine's "rationality and Arabella's quixotism describe identical patterns of thought" (p. 141).

The divine tries to prove that romances are "Fictions," "absurd," and "Criminal" (p. 374). Throughout, he tries to advocate the novel and renounce the romance by pointing out the way romances differ from novels. Significantly, the divine refers to the genre he is castigating as "Books," "Tales," "Fictions," "Narratives," and "Volumes." All these terms, after all, defy clear generic labels. It is only once that the divine uses the word "Romances" in his attack when he refers to their characteristic theme of love. He attempts to define the new genre, the novel, as the romance's other. He attacks romances as "senseless Fictions; which at once vitiate the Mind, and pervert the Understanding" (p. 374). Their "only

Excellence of Falsehood," argues the divine, exposing romances as mere lies with no historical basis, is their "Resemblance to Truth" (p. 378). Romances, he contends, "give new Fire to the Passions of Revenge and Love" (p. 380). The divine adds that "[i]t is the Fault of the best Fictions that they teach young Minds to expect strange Adventures and sudden Vicissitudes, and therefore encourage them often to trust to Chance" (p. 379). He stresses romances' remoteness in time and the remoteness of their events from their writers. This sets romances against the formal realism of novels. As opposed to romances' timelessness, novels use, in the words of Ian Watt, "past experience as the cause of present action" (p. 22). This makes novels true pictures of life as lived by people. Romances, on the other hand, "have instituted a World of their own" in the divine's words (p. 380).

The blurred distinctions between the novel and the romance in the divine's lecture on genres are then apparent in that the books the divine recommends to Arabella as "an Antidote to Example" is entangled with her conception of romances, which she used to read as "Copies of Life, and Models of Conduct" (pp. 380, 377). It is in the way of reading, it seems, that the riddle of Lennox's metafictional genre play can be solved. The generic vagueness of the divine's discourse becomes clear when the divine, in trying to dismiss Arabella's romances as "contemptible Volumes" and fictions "which at once vitiate the Mind, and pervert the understanding," confesses that his words "imply an Accusation very remote from [his] intention" (pp. 373-374). His discourse equates books with readers and becomes inherently flawed even when applied to the novels he recommends to Arabella. The divine's attack on romances culminates in his distinction between truth and fiction. The divine advocates not reality but another form of fiction, the novel practiced by Richardson and theorized by Johnson:

Truth is not always injured by Fiction. An admirable Writer of our own Time, has found the Way to convey the most solid Instructions, the noblest Sentiments, and the most exalted Piety, in the pleasing Dress of a Novel, and, to use the words of the greatest Genius in the present Age, 'Has taught the Passions to move at the Command of Virtue.'" (p. 377)

This attack on romances makes it clear that, unlike novels, they are mere fictions lacking in truth. The "truth" the divine refers to is not historical accuracy. It is novelistic verisimilitude or mimesis lacking in romances. While the novel is privileged by virtue of its truth, it is also privileged by subduing excessive passions and promoting virtue. The divine's argument captures the essence of the rise of the novel, what Michael McKeon sees as the "epistemological crisis" that relates to truth and the "moral crisis" that relates to virtue (p. 161). Interestingly, the novel is defined in terms of its differences from the romance, which means that its lack of generic purity makes it always look for the romance to demarcate itself as a novel. To complicate things further, Arabella's romances fulfilled the didactic ideals the divine speaks of, for she read romances "without Injury to [her] Judgment, or [her] Virtue" (p. 357). The disparate generic discourses are solved when Arabella gives up what Linda Warren calls her "self-isolating discourses" of romances to accept the dominant male discourse of the novel (p. 378). Arabella's discourse of fantasy surrenders to the divine's discourse of truth. However, the narrative does not end here. The last chapter brings us back to Lennox's satiric scheme and marks a special feature of satire as a genre that, in the words of Dustin Griffin (1994) , is "'open'…both in its formal features (particularly in its reluctance to conclude) and in its more general rhetorical and moral features, in its frequent preference for inquiry, provocation, or playfulness rather than assertion and conclusiveness" (p. 186). Lennox resorts to this "playfulness" characteristic of satire and thrusts satire's moral precepts of praising virtue and ridiculing vice by highlighting the contrast between the marriage of Arabella and Glanville and that of Sir George and Miss Glanville. The latter couple "were indeed only married in the common Acceptation of the Word; that is, they were privileged to join Fortunes, Equipages, Titles, and Expence." Glanville and Arabella, on the other hand, "were united, as well in these, as in every virtue and laudable Affection of the Mind" (p. 383).

If Patricia Spacks (1988) writes that the novel's "construction chastens Arabella's foolish desire," as a romance heroine, we can also argue, by the same logic, that it exposes Lennox's ambivalent desire to write a romance and an anti-romance at the same time (p. 533). Romance is present in the novel as a fantasy of desire like Arabella's fantasies of female power. Arabella's fantasies end when she is brought to the power of truth, which also brings Lennox's fantasy to an end. The best note on which to end this argument is probably Frye's (1957) assertion that romances are the "nearest of all literary forms to the wish-fulfillment dream" (*Anatomy* p. 186). Following Freudian logic, the romance becomes a repressed genre functioning at the unconscious level. This means that it returns or resurfaces in other genres even against the writer's conscious intention.

4. Conclusion

All in all, Lennox's novel is essentially the product of the writer's age. If the novel has a message to convey, it is probably that by the time it was written the distinction between novel, satire, and romance was not clear. Generic boundaries were not yet clearly demarcated. The ending attests to a close relation between two dominant genres, for the novel ends

metafictionally as both a satirical novel and a romance. Lennox seems more engaged in a discourse on generic distinctions than in a satire of romances. While William Warner (1992) argues that "'the elevation of the novel'" attempted by Fielding and Richardson in the 1740s "is founded in an antagonistic, but never acknowledged or conscious intertextual exchange with the earlier novel," I would say that Lennox was consciously redefining this "elevated" new genre. Romance and novel need not be viewed as essentially antithetical. Though the novel began as a reaction against romances, romances were the novel's ancestor. And had Lennox not read many romances, she would not have written a fine romance to an audience already familiar with romances.

Notes

1 For example, Katherine Green argues that "as an antiromance published within the same decade as Samuel Richardson's *Pamela* and *Clarissa* and Henry Fielding's *Tom Jones, The Female Quixote* implicitly reinforces the new paradigm for fiction" (p. 47).
2 For this association of power with different kinds of discourses, see Foucault (p.61).
3 Elements of other genres like fairy tale, comedy, history, and burlesque cannot be discussed in an article of this length.
4 Charlotte Lennox, *The Female Quixote or The Adventures of Arabella*, ed. Margaret Dalziel (London: Oxford University Press, 1970); all citations will be from this text.
5 Elyssa Warkentin views this relationship between satire and romance in the novel as essentially a "dueling" and "antagonistic" relationship rather than a dialogic one. The novel, she argues, ends "with the defeat of romance by satire."

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Sustainability Achievement and Estidama Green Building Regulations in Abu Dhabi Vision 2030

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Abstract

Abu Dhabi is the capital of the UAE country and one of seven cities that composed the United Arab Emiratis. Abu Dhabi has a master plan for the future of the city in economic development "capital 2030"under the name of Abu Dhabi economic vision 2030 and the (Abu Dhabi Urban Planning Vision 2030).Abu Dhabi Urban planning cancel (UPC) drives and supports Abu Dhabi urban development strategy and transferring the vision 2030 physical settings and develops strategic development plans that create the guide principle that cascade over critical projects designed to shape the Emirate by a sustainable program under the name of "Estidama". Estidama the Arabic world of sustainability is not only a rating method or something that people do, it`s a vision to achieve a new sustainable way of life in the UAE and Arab region. Estidama goal is to preserve and enrich Abu Dhabi physical and cultural identity and improving quality of live for residents in four equal pillars of sustainability: environment, economic, social and culture. The plan of Estidama in green building incorporates environmental considerations into every stage of building construction and focuses on design, construction, operation and maintenance phases. The aim of this paper is to review the Estidama pearl rating system (PRS) and to reveal how the green building system is suitable to develop and help the plan of Abu Dhabi (2030 vision) . It`s concluded that Estidama practice is an efficient tool in establishing the performance of residential building in the city of Abu Dhabi. Currently the research fields focus on developing a comfortable and energy efficient residential building design and also with construction sector through developing a building for the new generations.

Keywords: Abu Dhabi, Green building, Estidama, Pearl Rating System, cultural, Building design, Construction.

1. Introduction

1.1 Background

The seven Emirates that comprise the United Arab Emirates founded after 1971by sheikh Zaid ben Sultan Alnahyan.Abu Dhabi is the federal capital of the country and the largest Emirate including the most production of the oil and gas in the country(**7**).Abu Dhabi has evolved from having no sealed roads and only a small number of permanent building through to being one of the most important economic center Abu Dhabi urban planning council (UPC) is recognized internationally for large scale sustainable urban planning and for rapid growth. Abu Dhabi vision 2030 urban master plan addresses sustainability as a core principle. Abu Dhabi economic vision 2030 and urban planning vision which presents a combined overview of the entire Emirate through the development plans of the "capital 2030"Abu Dhabi metropolitan area (**8**).Abu Dhabi`s plan2030 establishes a clear vision for sustainability as the foundation of any new development occurring in the Emirate and capital city of Abu Dhabi. This commitment is a reflection on the values and ideals of nations. More than just a sustainable program, Estidama is the symbol of an inspired vision for government and community development. It promotes anew mindset for building a forward thinking global capital.UPC has worked with the team guiding Estidama to ensure that sustainability is continually addressed through four pre-defined angles, environmental, economic, social and culture. Estidama goal is to create a modern sustainable framework that will improve the local practice in building sector and the life style for a long term in UAE. To make a new sense of responsibility with Estidama , UPC is going beyond other sustainable program to development around the world by creating a new tools, resources and procedures to be with vision 2030. It is the first sustainable practice and environment assessment method developed in the Arabian Gulf

58 countries and the Middle East region. Estidama in Arabic language means sustainability and developed through Abu
59 Dhabi planning council (UPC) in the year of 2008 in UAE (**1**). Estidama has a standard named Pearl Rating System
60 (PRS) that will helps to deliver sustainable development efficiency.

61 The aim of PRS is to address the sustainability in a building throughout its entire life cycle design, construction and
62 operation (**1**). PRS focuses on community buildings and villas and to help guide new development to improve the
63 sustainability performance of the built environment. The (PRS) focused its initial efforts on the creation of community,
64 building and villa rating systems which were launched on April 17th 2010.Estidama from the need to properly plan, design
65 construction and operation the sustainable development with respects the traditions embedded within the local culture
66 and on the other hand the harsh climatic nature of the region. The main challenges were to achieve the desire results to
67 reducing energy consumption, reducing water consumption and building comfortable and environmental friendly
68 residential area. This was conducted by evaluating the Estidama Pearls Rating System (PRS) to reveal how the Green
69 Building procedures were implemented in residential buildings in Abu Dhabi. The findings suggest how the situation can
70 be improved. The Pearl Rating System (PRS) is organized into seven categories that are fundamental to more
71 sustainable development:

72   1- To integrate teamwork to deliver environmental and quality management throughout the project life.
73   2- Conserving, preserving and restoring the natural environments and habitats.
74   3- Improving the quality of outdoor and indoor spaces in the building projects.
75   4- Reducing water demand and encouraging efficient distribution of the water sources.
76   5- Reducing energy demand and renewable resources.
77   6- Ensuring about the materials life cycle and specifying materials.
78   7- Encouraging innovation in building design and construction for market and industry.

79

80 **1.2   Consumption Problem**

81

82 Abu Dhabi only gets around 100mm of rainfall per annum as illustrated in Figures1. With negligible rainfall and restricted
83 groundwater resources (**10**).

84
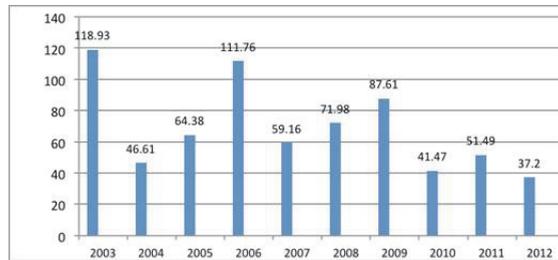
85
86 **Figure 1 -** Annual Rainfall in Abu Dhabi from 2003 -2012 (NCMS, 2012) (10)

87

88 Abu Dhabi additionally has extraordinarily hot temperatures that frequently exceed 40ºC (As shown in Figure 2) which, in
89 the absence of air-conditioning, would be intolerable and would greatly impact on productivity. Massive amounts of
90 energy are presently needed for lighting, appliances and air-conditioning for homes (**10**).

91
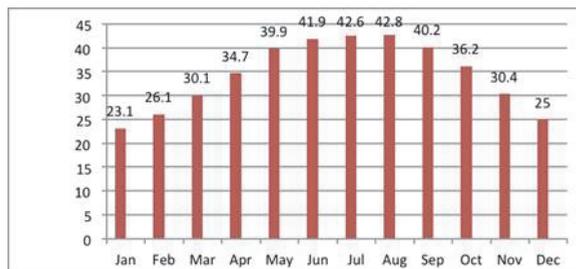
92
93 **Figure 2 -** Monthly Average Temperature in Abu Dhabi from 2003 -2012 (NCMS, 2012) (10)

94

95 *1.3 Residential Building in Abu Dhabi and Estidama*

96

97 Abu Dhabi is the main city in the United Arab Emirates (UAE). It is the second largest city of UEA in population; the city
98 had a population of 2.12 million in 2011 and also the biggest city in the country in area about 67,340 km2. Abu Dhabi is
99 located on the Arabian Gulf coast (Abu Dhabi e Government Gateway, 2013) (**10**). In the year 1970s Abu Dhabi was
100 planned for a maximum population of around 600,000. According to what was considered to be perfect urban planning at
101 the time, the city has high-density tower blocks and a wide network of modern roads. The maximum population density is
102 located on the northerly end of the island. In this area of towers there is a typical network of roads with lower density
103 buildings between two-story villas to six-story. The(UPC) was established in 2007and its main authority responsible for
104 the future of the city and Abu Dhabi urban environment and is the expert authority behind Abu Dhabi Plan 2030 to
105 enhance the city's development through more than a twenty-five year program of urban improvement (UPC, 2011)(**6**).
106 Due to the rapid development in Abu Dhabi, has some challenges to the organization of the city's urban environment
107 have developed; today, the population has increased dramatically compared to the original designed maximum
108 population. This has led to traffic congestion and the car parking shortages and overcrowding in the city center (UPC,
109 2011). Residential building numbers in Abu Dhabi have rapidly grown since 1968 until the year of 2010 in and the big
110 change in this side (see Fig 3). **(10)**

111
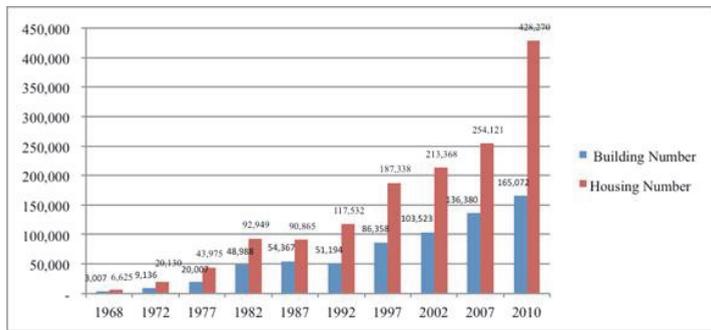
112
113
114 **Figure 3 -** The growth of building and housing in Abu Dhabi from 1969 up to 2010 (Abu Dhabi, 2010). (10)

115

116 **2. Pearl Rating System (PRS)**

117

118 *2.1 Estidama - PRS*

119

120 The Pearl Rating System has been the implementation tool for Estidama for the past two years. Every new building in the
121 Emirate must now adhere to minimum sustainability requirements throughout the design and construction stages, with the
122 operation and maintenance also assessed to ensure developments remain sustainable. Ensuring continuity of building
123 performance remains a key concern for the UPC, which officially unveiled its Estidama Pearl Operational Rating System-
124 the first initiative of this type in the region at Cityscape 2013(**6**). The Pearl Operational Rating System (PORS) will ensure
125 the operational performance of buildings that have achieved a Design and Construction Pearl Rating under the
126 (PBRS).The aim is to safeguard the operational performance of Pearl Rated Buildings and therefore achieve the high
127 standards set for the sustainable building in Abu Dhabi city. It recognizes the transition between design, construction and
128 operation and sets out the requirements that are vital for the successful lifecycle performance of green buildings. This will
129 ensure Estidama buildings run efficiently and economically whilst offering occupants high levels of performance and
130 comfort, and providing benefits to all building stakeholders, thereby extending both building and system lifetimes(**10**).The
131 foundations of the(PRS)are integrated into(AUPC's) development review process via the planning for Estidama
132 requirements(**2**). An Overview of the (PRS) Green Building Rating System covering its adoption within the UAE and key
133 characteristics are presented in (tables 1, 2) including the maximum credits of categories and (PRS) details and
134 explanatory comments.

135
136
137

138 **Table 1:** Estidama Categories and the credit distribution table: (**1**, **5**)
139

Estidama categories	Maximum credit points
Integrated development	13
Natural and system	12
Livable building	37
Precious of water	43
Resource of energy	44
Steward and materials	28
Innovation and practices	3

140
141 **Table 2:** Estidama Pearl Rating System (PRS) Overview (**1**, **5**)
142

Category	Details	Explanatory comments		
UAE Market Penetration	Forecasted to be very high	The executive council has mandated a minimum Pearl Rating for all new construction projects with Abu Dhabi (2010). There is no formal registration process for obtaining a Pearl Rating.		
International Market Penetration	Not Applicable	The PRS is tailored to Abu Dhabi's unique climate, culture and transformational ambitions. Many of the requirements are linked to specific codes and guidelines relevant to Abu Dhabi. Therefore it cannot be easily transported to areas outside UAE		
Rating Scheme	Points assigned to credits	1 or more points assigned to each credit. Points achieved by meeting specified performance thresholds or perspective compliance paths		
Weightings	No			
Certification levels	Tiered	One pearl, two pearls, three pearls, four pearls, five pearls		
Applicability	Several Building Types across Life Cycle	New Communities		Not Applicable
		New Buildings (General, Residential, Retail, Office, etc.)New Villas		Existing Buildings Program and Operational Rating
		Design	Construction	Operation
International Adaptability	Very Low	Adapted to serve Abu Dhabi's needs		
Information Collection	Design Team and PQP	The PQP is an individual on the project stuff to help in that understand (PRS) certification process for a development		
Assessment Body	UPC Assessors	UPC Assessors assess the PRS submissions to do a connect with PQP		
3rd Party Verification	No			
Certification Body	(UPC)	Abu Dhabi urban planning council is the certification body.		
Audit (Post-construction)	Mandatory	Construction Rating is mandatory and linked to Building Completion Certification.		
Estidama Pearl Rating System (PRS) Overview				

143
144 *2.2 Pearl community rating system*
145

146 The main goal of Pearl community rating system (PCRS) is to develop sustainable communities and improve the quality
147 of the life in estidama projects (**2**). PCRS encourages water, energy, waste minimization and aims to improve supply
148 chain and materials recycle management. All new communities developments must meet the (1pearl) requirements
149 starting in June 2010.The PCRS is applicable to developments that are multiple plot subdivisions with vehicular network
150 and community facilities or amenities a fundamental pearl of PCRS(**3**).the PCRS designed to be used for development
151 projects wish will support a minimum permanent residential population of 1000 people, this being the minimum population
152 for wish community facilities are required to be provided in accordance with the UPC community facilities requirements.
153 Now all community projects eligible for a pearl rating are reviewed by UPC and project team only (**1, 2, 9**).In figure 4 –
154 Pearl community rating system credits.
155
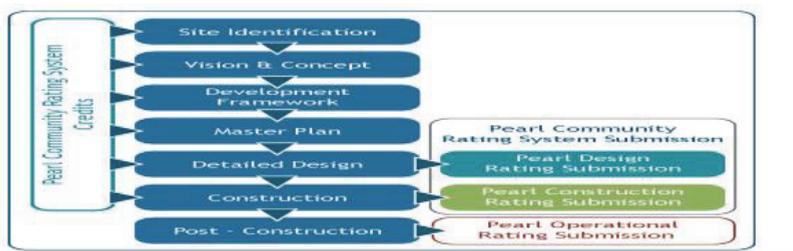
156
157 **Figure 4 -** Integration of community rating system into the design process

2.3 Pearl Building Rating System:

To achievement the sustainable building requirements the integration of four pillars of Estidama practice with a collaborative the integration development process. Pearl Rating Building system (PRBS) aims to improve supply chain system for sustainable and recycled materials and products. All new building should meet the minimum requirement as (1 pearl) and the government building as (2 pearls) to be following Abu Dhabi development and building code (**3,9**). The PRBS is applicable to all building type, sites and facilities including hospitals, workshops, laboratories, warehouses, and hotels.

2.3.1 Building typologies requirements

1- Office: the office spaces requirement such as meeting room, staff room, reception, waiting area, corridors, store room and services room.
2- Retail: sale of good and the convenience stores, restaurants, also including shopping center, department and retail stores.
3- Multi residential: for multi-family residential development villas and must to be using the system of Pearl rating Villa System (PRVS).
4- School: for both primary and secondary school, collages, higher education organizations, and all levels of education institutions.
5- Mexed uses: for all combinations of any two or more of the above categories or any relevant credits for the program.

If any building achieved (PRBS) rating than will be evaluate by the (UPC), otherwise should be register and follow the building process and submit it again by process outlines (1, 2) and table-3.

Table 3 - Pearl Building Rating levels (PRBS-2010)

Requirements	Pearl rating achieved
Compulsory credits	1Pearl
Compulsory credits + 60 credits points	2Pearl
Compulsory credits + 85 credits points	3Pearl
Compulsory credits + 115 credits points	4Pearl
Compulsory credits + 140 credits points	5Pearl

2.4 The Pearl Rating Process

This is designed to be a simple and active way of learning to evaluate the sustainability of a specific development. The general stages that developers and consultants in the process must follow are summarized below Table 4. (**10**).

Steps	Requirements
Step 1	Estidama registration form for pearl rating system
Step 2	PQO appoint and submission
Step 3	Workshops and Estidama integrated development
Step DR4	Review and credit submission for design process
Step DR5	Final design and construction documents submit
Step DR6	Pearl assessor and checklist requirements
Step DR7	Pearl design rating by the pearl assessor
Step CR4	Update and review the credit submission
Step CR5	Final submission to Estidama after complete
Step CR6	On the site verification if necessary by Estidama
Step CR7	Pearl construction rating on the credits achieved

2.4.1 Pearl Rating System review process

Firs submit the application of pearl rating system to (UPC) than Estidama team review and feedback to both project owner and project professional by necessary comments. The review processes in the flow chart below (**3**) see figure-5
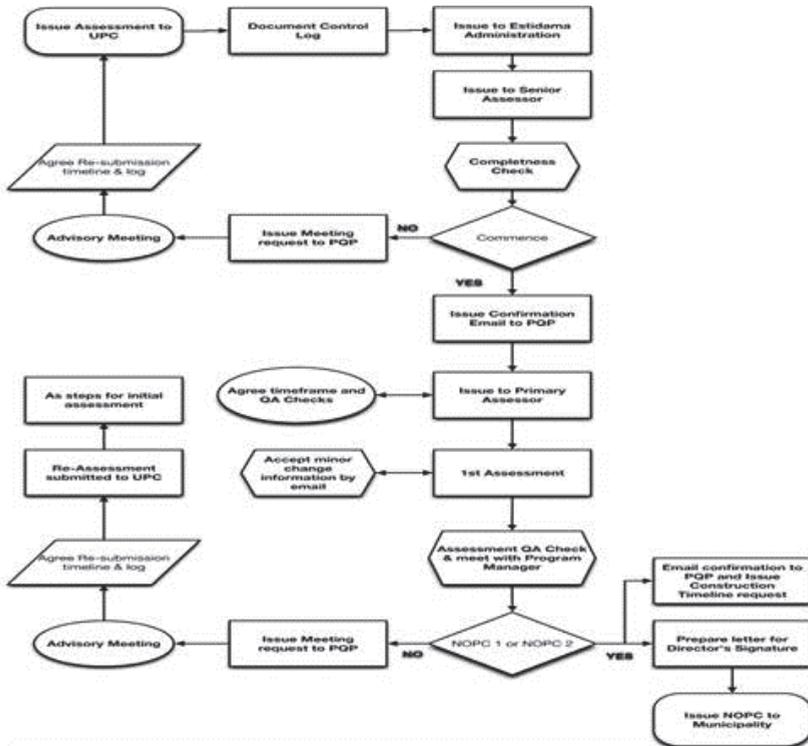
195
196 **Figure 5:** Flow chart of Pearl Rating System Review Process application to UPC- Estidama. (**3**)
197

3. Benefits of complying with Pearl Rating System

199
200 Operation efficiency, water and energy reduce, cost and maintenance reduce, better quality and market ability
201 improvement. The system organized in seven categories some mandatory and some is optional and all the mandatory
202 system should meet the minimum requirements of pearl rating 1 pearl and credit points (**9**) see figure-6.
203

204
205
206 **Figure 6:** the seven categories to achieve the minimum (1) pearl rating for final approval from UPC (**9**).
207

4. Estidama & Development Review

209
210 To start any new project need permission from the (UPC) and necessary to development and building
211 projects.Vision2030 requirements to follow Estidama pearl rating system and submission process for each stages of the
212 project. Achieve the design requirements before obtaining the permission of building project and from the municipalities
213 (**3**).showed below figure- 7.
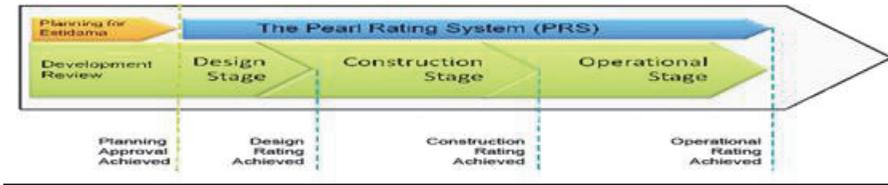
Figure 7: The Development Review Process of Estidama requirements and design rating (3).

4.1 Objectives of Estidama Practice

- Undertake assessments of Pearl Rating System (PRS) submissions.(**9**)
- Provide customer support, including review meetings, workshops and training.
- Develop Estidama related policies and to actively participate in the review of UPC regulations guidelines and policies to ensure consistency with Pearl Rating System (PRS) requirements.
- Increase public awareness of Estidama and promote sustainable development by creating products and services that address one or more of the four pillars of the system.
- Actively engage development teams and Estidama stakeholders through regular communication mechanisms and enable the Development Review team and the overall UPC to be viewed as a customer service driven agency.
- Raise the profile of the Estidama brand, its associated credentials (e.g. Pearl Qualified Professionals - PQP) and certifications (e.g. PRS Design/Construction Ratings) both at the Federal and International level.

4.2 Pearl Rating system achievements:

More than 110 projects has received rating from Estidama program which comprise about 2.7 million m`2 of ground area and 50 projects currently under construction.16 projects have received rating in education field which 10 schools are 3pearl rated. More than 9 building pearl rated in Ports Company. The number of pearl qualified professional is 890 persons. Construction audits is 197 and the trained people is 5800.

4.3 Pearl Rating System Stages and Process:

1- Design rating: is only valid until construction complete and when the project rated.
2- Construction rating: when the construction activities and project achieved the design intent.
3- Operation rating verifies the operational performance and the development the design to achieve the objectives of project (**9**).see figure – 8.

Figure 8: Pearl rating system and stages of certification.

5. Estidama Four Pillars

Figure 9: The Four Pillars of Estidama (Environment, Economic, Social and Culture) (11).

5.1 Environmental Sustainability

The government of Abu Dhabi will insure that the development of professionally designed and managing the urban environmental. Also to be sure the environment in the city is remain a safe place to visit, work and life.UPC has developed and published comprehensive frameworks for Abu Dhabi environment such as:

1) Reduce the demand of materials and the consumption of energy and water.
2) Reduce water and air pollution to protect the general health in society.
3) Decrease the greenhouse gas emission by develops a protective response of climate change (**8**).

5.2 Economic Sustainability

Uncontrolled economic growth is either sustainable or desirable, as well as being expensive in terms of both infrastructure investment and loss of cultural identity. A city must be able to generate jobs and provide a range of services that meet the needs of all its inhabitants. To do so, it must attract investment to the city and be prepared to invest publicly in the facilities, infrastructure and public realm. It must be able to provide businesses with the services they need to operate competitively. To do this well, the city must have a Government that is administratively efficient, financially sound, business oriented (in terms of ease of business, low taxes and favorable costs of doing business) and far-sighted in its planning. To prosper, cities must be open to new ideas and participate actively in the global economy. It must have trade opportunities with other cities and economies of the world in order to benefit from the richness of the globalizing economy (**8**).

5.2 Social Sustainability

Social sustainability encompasses a range of elements to enable future generations to have the same or greater access to social resources as the current generation. Social resources include basic human needs such as food and shelter, community facilities such as educational and healthcare centers, along with employment opportunities and safe living and working conditions. However, social sustainability goes further than just providing physical assets. Having an ethical and transparent Government that instills fair laws relating to human rights, labor laws and social justice is also key to creating a content and sustainable society. Furthermore; citizens must feel that the benefits of development are distributed fairly across society and across the region. The UPC is ensuring that the development of Al Ain and Al Gharbia keep pace with Abu Dhabi City to ensure an even distribution of social benefits through their physical development as well as policies and regulations that provide for fair housing opportunities (**8**).

5.3 Culture Sustainability

Cultural sustainability includes human capital, such as knowledge and skills, and cultural capital, such as local social relationships and customs. It is distinct from social Sustainability as cultural heritage and customs form the foundations of society. As Globalization and urbanization increase, it is important that culture is not eroded as this could reduce the ability of a nation to contribute innovations that spring from their unique geographical settings, culture, identity and history. Preserving local culture and diversity remains a crucial task for cities. Many of Abu Dhabi's customs stem from the unique links between the sea, desert and the Bedouin tribes, as well as its climate. Therefore, much of the cultural sustainability lies in maintaining these ancient links along with the skills and intangible knowledge that was passed from

generation to generation. The Bedouin lifestyle was inherently sustainable, which makes the passing of this knowledge to future generations all the more important (**4**).Recently the Abu Dhabi Government has strongly focused on planning and building high-quality, modern, sustainable homes that build on Emirati traditions and heritage (shown in Figure **10**) . These developments consist of communities of flexible and adaptable homes with a network of pathways and streets that link people to places and community services that meet the requirements of the residents along with open places for meeting and recreation; in short they support a lively and cohesive society. The new housing provides around 5000 homes for Emirati families. The rapid development of residential buildings in terms of quantity, quality and style of construction is a major achievement in Abu Dhabi, but the biggest achievement is the transformation within a few years from conventional building to green building. Today, all the new villas have to achieve a minimum Estidama rating system. (**8**).

5.3.1 Culture Objectives

1. To protect and enhance Emirati and Arab culture and traditions while embracing contemporary living and respecting the diverse cultures of all who reside in and visit Abu Dhabi.
2. To ensure that Emirati culture and local heritage is protected, enhanced and celebrated through traditional living patterns, sustainable, high-quality Emirati architecture and appropriate religious amenities.
3. To respect and integrate, where possible, the international cultures of the diverse population of the Emirate. To incorporate areas for local and international arts, music, civic and cultural usage those are accessible to all who live and visit the Emirate of Abu Dhabi.

5.3.2 Culture and the style of houses

Figure 10: The local traditional neighborhood concept, Al Fareej -Emirati Housing style and designing (4).

Abu Dhabi and UPC started the project of communities Fareej design the traditional neighborhood system for the local residential houses. The strategy concept is that to build cultural houses with local traditional style and privacy for the family. Sikkak is a spaces between houses provide cool, safe and walkable routes to Barahaat that are spaces between homes and to create focal points for residents to come and interact all people.UPC is actively work with all developers to incorporate Fareej design in future projects. A brochure, highlighting the vision for Fareej neighborhood design was released in early 2010 and a detailed Neighborhood Design Manual, is due for release in 2011.The manual will be produced to prescribe appropriate standards for the elements of the Fareej, thereby providing a clear direction for developers (**4**). The tangible benefits of this approach include:

    i.   Targeting 50% reduction in annual energy consumption compared to reference building.

ii. Anticipating 15% of energy balance to be provided by renewable sources.
iii. High performance envelope, reducing peak external heat gain by 70% compared to reference building.
iv. Water use reduction by over 75% from a comparable building.
v. Construction waste diversion from landfill expected to exceed 50%.
vi. Creating a building that by its design tells a compelling story of Estidama without requiring extensive exhibits or narrative (**12**).

6. Conclusion

This paper presents a complete review of Estidama green building practice in Abu Dhabi –UAE and in the GCC region. Estidama driving this concept to improve the sustainability practice in Abu Dhabi and ground them in the pillars of environment, economy, social and culture needs in UAE and GCC region through some regulations and frameworks. Estidama has plan for a bright future for Abu Dhabi, citizens, residents, and the generations. Success of Estidama program will depend on different elements such as the people working together to create a better future for all. UPC encourages developers, private individuals to look to costs through the design, development, construction and operation of their projects. Sustainable visions is in the future to enhance economic development, manage urban growth, and improve connectivity within the city plan and to be including safer streets and bring diverse range of houses options. To insure neighborhoods and communities meet all their needs in a private houses and preserve cultural heritage and protect the natural environment. This practice will develop and improve the sustainable knowledge in the Middle East region comparing to the developing countries. Raise the profile of brand of UAE practice in residential building through Estidama and try to be in advance level with breeam and leed practices to develop new regulations to improve the construction sector in the United Arab Emirates. To develop Abu Dhabi`s cultural character by improving quality of life for its residents based on four elements of sustainability such as ecological, financial, community and social.

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Informational Resources of Administering Regional Development in the System of Political Engineering

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Abstract

The article deals with the topical issues of administering regional development; the qualitative characteristics of information resources are analyzed, their effectiveness in the system of political engineering is interpreted. Therefore, while solving the above problem it is necessary: first, to examine 'the information field', 'the information space' and its components in the system of political engineering; second, to comprehend cognitively information as a social and administrative resource of state information policy and to fix the state of the information space of the regional administrative development. The article also reveals the key aspects of formation of the information regulation administrative model of managing system of regional development. The authors conclude that the formation and development of a single coherent system of regional information resources is the backbone factor of state information policy aimed at integration of information space.

Keywords: political engineering, political administration, administration of regional development, information resources, administrative model.

1. Introduction

The process of effective political administration of regional development is built on management of information resources on the basis of technologies and methods of political engineering as a set of objects with their relations and attributes (Hall, 1962).

Information flows management is manifested in the ability to create and control informational messages, send them to the desired point of application of the political will of various regional actors (Zayats, 2013).

New information technologies provide virtually unlimited opportunities for the information policy of administrative agencies at the regional level. This conditions the need to master the technological skills of pursuing information policy by regional bodies of state and municipal government - the organization and management of internal and external flows information for information exchange between the authorities and the public (Posukhova and Zayats, 2014).

Theoretical and methodological basis of the article is formed by the polytological, legal and social works and regulations which disclose genesis, essence, meaning and ways of regional development as well as work to interpret informational resources in the system of political engineering.

The paper is based on general scientific principles of knowledge of socio-political phenomena, primarily, principles of systemacy and integrity. The works of N. Wiener and L. von Bertalanffy had a considerable impact. The systemic view stimulates the search for unconventional approaches to the improvement of methodology of regional development analysis in the coordinates of processes of federalization and regionalization as well as of working out of optimized model of using informational resources at the regional level.

While studying the nature of political engineering, the heuristic potential was found in the ideas by A. Giddens, I. Wallerstein, P. Sorokin, the ideas of social typology by P. Bourdieu, "matrix of statehood" by Francis Fukuyama, "dynamic stability of social systems" by N. Luhmann.

Methodological basis of the article if formed by systematic as well as structural and functional methods which allow analyzing the characteristics of informational resources' effect on the regional development, and those having allowed analyzing principles of organization and functioning of the administration model. The paper uses institutional and functional method which allows studying the system of regional administration of modern federative state and its purpose.

The article aims at demonstrating the potential of using informational resources of the regional development in the system of political engineering in the modern federative state. To achieve the goal, the following research tasks were set: 1) to identify the meaning content of the analysis of cognitive categories 'information' and 'informational resources' in the humanitarian knowledge; 2) to characterize engineering as research technique /method/ which is used in the condition of social uncertainty and find out its potential in the political sphere; 3) to interpret the nature of informational and communication infrastructure in the system of public administration and analyze its macroelements /parameters/: informational field and informational space as system-forming factors of regional development in the system of political engineering.

2. Research Findings

Information is a human activity consisting of four interdependent structural elements: the subject of information production (a person, a subject of political relations) → information resource → object of focus (a person, the object of political relations) → information product (Morgan, 1963).

Provided that any sufficiently complete definition in the Humanities able to cover the whole range of characteristics of the system, becomes difficult to understand cognitively and loses its and practical value, the semantic content of the category of "information" is that the information resources of regional development can be processed into information products that will serve as a specific goal-setting (Jordan, 1968).

Given that uncertainty is, first, a necessary and useful feature of most social systems, and, secondly, the main parameter by which they are differentiated, and the factor causing pulsating impermanence, the object of application information efforts of management bodies is only inhabitant of the region which, in turn, acts also as a subject – producer of information (Katz, 1974).

Engineering is a research technique designing technology, techniques and methods of analysis of specified object through building of his ideal (holistic) model by determining clear boundaries of qualitative and quantitative characteristics of the object being studied.

Theoretic fundamental level of engineering synonymizes it with analysis as a whole and covers the basic conceptual researches of the socio-political sphere, its structural elements in statics and dynamics. Operational and instrumental level refers to engineering of technologies and methods to systematize the empirical material. As part of the empirical and custom interpretation of engineering the fore is taken not by building of the fundamental predictive theory and not by empirical data collection but by manipulative ways of assessing and solving the problem for a specific customer (Zayats and Posukhova, 2013).

It is suggested to combine theoretical-and-fundamental and operational-and-instrumental levels of engineering and objectify them through system units. The main tools of engineering are a system analysis (Zayats, 2014).

Independence of mass media from ideological control of state and legal regulation of these relations is extremely important in modern Russia. But the problem of understanding the relations of mass media and a citizen in the political administration system is no less important.

Under the coordination of regional mass media the bodies of state and municipal government should remember that non-government information agencies are created with two goals: either to express interests and promote values of the founders, or to make money. A journalist in the modern world is not always available (Pozner, 2013).

It should be noted that within the political engineering the system unit involves the idea that each element of the system has its own border environment where certain social transformations occur. Environment as a source of input is the lead component of the system which qualitatively defines its nature. Localization of environment is carried out during the stage of system design or transformation of its parameters. Information environment is closely linked with the social environment and depends on the personal conduct of the individual. It has unique system characteristics as a source of system input: variability (rate of change of the state), the range of changes in the environment, inertia (the range in which the environment is determined only by the action of its own system), as well as the allowable range of changes in the environment management made by the system (Alexander and Cooperband, 1985).

The region has an information field - the totality of existing information required for social interaction. Its sources and carriers are bodies of state and municipal government, business entities, information centers, mass media, which form the information space (Beardwell and Holden, 1997).

111   Information space is a sphere of distribution and functioning of social information (Harris, 1997).
112   The main components of the information space are information resources and information infrastructure.
113   Information resources are a holistic set of individual documents and document sets in information systems. Information
114   infrastructure is a system of organizational structures which ensure operation and development of the information space
115   in the region and means of information exchange (Shaw, 1996).
116   The nature of the information space and its use fundamentally depends, of course, on the value attached to
117   information as a resource by regional governance structures.
118   Within the framework of political engineering homogeneous components of solutions to problems of information
119   policy are combined into single systems structuring the information space of the region into a single unit and determining
120   the system backbone factors of the state information policy at the regional level.
121   Violation of the unity and integrity of even one of the subsystems of management will lead to violation of the unity
122   and integrity of the whole information space of the state (Zayats, 2014).
123   The basic contradiction in the dissemination of information is freedom of information and the need to limit it
124   (Przeworski et al. 2000).
125   In the political system both controlled (directed) and not controlled information processes take place (Ilyin, 1997).
126   The distinction between them is rather relative. Purposeful manipulation of people's minds is the main characteristics of
127   the political informing of citizens by the state and municipal government bodies (Kara-Murza, 2010). Moreover, the
128   direction and the emotional coloring of information flows allow us to judge the value orientations of people in the region,
129   their sustainability and preference.
130   The bottom line, in terms of political engineering as a system methodology, is the formation of relevant regional
131   information resource base by state and municipal government bodies.
132   Unity and interrelatedness of regional information resources is a necessary condition to ensure rationality, unity
133   and integrity of regional information space.
134   Formation and development of a single coherent system of regional information resources is a backbone factor of
135   state information policy aimed at the integration of the information space.

3. Conclusions

139   The unique feature of the market of information products and services at the regional level in modern Russia is that
140   currently the main and performer and consumer is the government through its agencies, organizations and institutions.
141   Such one-sided orientation consumer market orientation seriously limits opportunities of its development and leads to
142   deformation of the information space through the development of information-and-legal sphere of state and municipal
143   authorities at a faster pace compared to the communicative sphere of quasi-civil society.
144   The essential feature of a regional information market is its heterogeneity across regions due to the traditional for
145   Russian development from the center to the regions and priority development in urban areas which are the largest
146   scientific and industrial centers. Such market heterogeneity generates territorial unevenness of the information space
147   deforming the space and threatening its integrity.
148   Information and communicative infrastructure in the regional administration system occupies a special place
149   among the aggregated social infrastructures, as it is this infrastructure that plays a decisive role in the organizational and
150   technological support both of unity and integrity of the information and legal space of the region and its successful social
151   integration.
152   The need for a cognitive understanding of this problem in the context of the objective necessity of information and
153   communication support of management decisions and reporting them to the primary customer - the inhabitants of the
154   region - increases sharply.
155   The scientific and practical s well as theoretical significance of the article is conditioned by the topicality of the
156   problem of using innovative methods of interpreting informational resources in the system of regional development
157   administration.
158   The materials obtained in the course of study may be used in the educational process at the magistrate level, as
159   well as during the development of training course on theoretical and methodological range of problems and public
160   administration.
161   The authors' conclusions and theoretical development may be applied during the development of regional
162   programs of social monitoring of the effectiveness of state and municipal administration systems in the federative state.

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Assessment of the Sustainability of Public Housing Projects in Ogun State, Nigeria: A Post Occupancy Evaluation Approach

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Abstract

As the emphasize on sustainability increases among architects and construction professionals, the various ways for achieving sustainability in physical development projects have continued to engage the attention of scholars and researchers across the globe. However, in the context of housing in a developing country like Nigeria, there is a paucity of empirical studies on the sustainability of public housing projects. Therefore, this study aimed at identifying and analyzing the sustainability features of public housing projects in urban areas of Ogun State, Nigeria. A survey of 517 residents in nine public housing estates was conducted between December 2009 and February 2010 in the study area. With the aid of structured questionnaire, interview guide and observation schedule; data were collected and analyzed using descriptive statistics and content analyses. Findings show that public housing projects in the study area were evaluated to be sustainable in terms of affordability and building forms responding to site and climatic conditions. The projects were however found to be unsustainable in the use of asbestos-based materials, inadequate provision of domestic spaces and lack of basic social infrastructural facilities. The paper concludes that to achieve sustainability in public housing in Nigeria, there is a need for public housing developers to pay adequate attention to users' domestic space and basic social infrastructural facilities needs in the design, construction and management of housing projects.

Keywords: Public Housing; Sustainability; Housing Characteristics; Survey; Ogun State; Nigeria

1. Introduction

The need for public housing schemes to meet some basic sustainability parameters has continued to be of concern to housing policy makers, developers, experts, and researchers across the world. Savaya *et al.* (2008) explained that since the 1987 when the World Commission of Environment and Development Report brought to the fore the issues of sustainable development, experts involved in the design and implementation if social programmes have been exploring strategies for achieving sustainability in such schemes. In the context of housing, Chiu (2003:224) noted that *until all the sustainability aspects of housing are adequately researched and integrated, it would not be possible to seek a sustainable development path for housing".*

Although the concept of sustainability has been a subject of debate in the literature, there appears to be a consensus the literature that sustainability generally refers to the ability of a society, ecosystem, or any other system, projects/programme, to continue functioning optimally throughout its life span without being forced to decline on account of exhaustion of vital resources (Ghani, 2012). Bond *et al.* (2012) also noted that the concept of sustainability is normative and cannot be singularly or categorically defined, and thus what constitutes sustainability in the context of an individual sustainability assessment needs to be determined on a case-by-case basis. These authors defined sustainability assessment as one aspect of impact assessment that places emphasis on delivering positive net sustainability gains now and into the future (Bond *et al.*, 2012).

Regarding housing development, the published literature (Chiu, 2003; Abdellatif *et al*., 2006; Odebiyi, 2010; Turcotte, and Geiser, 2010; Ihuah *et al*., 2014) reveals that sustainability has become a vital issue in the conception, development and management of housing projects. In Nigeria, although attempts have been made in the past to explore the outcomes of public housing schemes from the perspectives of residents' satisfaction (see for examples Jiboye, 2009; Clement and Kayode, 2012; Ibem and Amole, 2013), accessibility to basic services and social infrastructure (Ibem, 2013), the physical conditions (UN-HABITAT, 2006) and housing affordability (Mbamali and Okoli, 2002; Oruwari, 2006); Ihuah *et al*. (2014) however noted that the concern for sustainability of housing projects is still in its infancy in this country. This suggests that there is a limited research on the sustainability of public housing projects in Nigeria.

It is against this background that this study aimed at examining the sustainability of public housing projects constructed between 2003 and 2010 in Ogun State Southwest Nigeria. The key objectives were to identify and analyse the characteristics of public housing in Ogun State, Nigeria; and the extent to which the features alignment with sustainable housing initiatives. To achieve these objectives the study sought to address two research questions. These are:

i.   What are the characteristics of public housing constructed in Ogun State between 2003 and 2010; and
ii. To what extent do these characteristics align with sustainable housing initiatives?

The data used in this paper were taken from a research project conducted to investigate public housing in Ogun State, Nigeria. The choice of Ogun State for this research was due to the number of housing projects developed by government in the State in the last ten years. The study contributes to improving our understanding of the sustainability features of recently constructed public housing in the study area. Also findings of this study is expected to be a valuable addition to the current discourse on sustainable housing development; and also serve as feedback to policy makers and housing developers in Nigeria.

2. Literature Review

2.1 The concept of sustainable housing initiatives

The existing literature (Omole, 2001; Zami and Lee, 2010) shows that the concept of housing has been understood from three perspectives; namely, as a physical structure (house) and commodity that has both social and economic values; physical structure and neighbourhood environment; and as a process through which residential buildings and associated infrastructural services are provided. It was on this premise that the National Housing Policy of Nigeria (2012) noted that *"housing in all its ramifications, is more than mere shelter, since it embraces all the social services and utilities that go to make a community or neighborhood a liveable environment (*p4*)"*. This means that sustainable housing encompasses housing product, services and processes.

Ihuah *et al*. (2014) were of the view that although there were several conceptions and definitions of sustainable housing initiatives in the existing literature, there was still a need to explore and understand the vital features of sustainable housing. This was corroborated by Franks (2006) who noted that the understanding of what constitutes sustainable and unsustainable initiatives is critical to assessing the success of projects and/or programmmes. From the works of Mitlin and Satterthwaite (1996) we understand that sustainable housing describes "*shelter that is healthy, safe, affordable and secure within a neighbourhood with provision of piped water, sanitation, drainage, transport, healthcare, education and child development. It is also a home protected from environmental hazards, including chemical pollution. Also important are to meet needs related to people's choice and control, including homes and neighbours which they value and where their social and cultural priorities are met (p31-32)*". This conception is concerned with mainly housing products and associated services. The EU also viewed sustainable housing in terms of the quality of construction, social and economic factors such as affordability, and psychological impacts, and eco-efficiency (VROM, 2005). Hence, Choguill (2007) identified economic viability; social acceptability, technical visibility and environmental compatibility as the key features of sustainable housing initiatives. Several other authors (e.g. Lutzkendorf and Lorenz, 2005; Abdellatif and Othman, 2006; Winston, 2007; Odebiyi, 2010) have also emphasized economic; social and environmental dimensions of sustainable development as the parameters for assessing sustainable housing initiatives. These descriptions are very insightful as they capture the three key aspects of housings as previously highlighted.

The existing literature also indicates that sustainable housing initiatives can be discussed at four different levels. These are the individual buildings (where design for security, comfort, good indoor air and sense of identity (Ghani, 2012; Ibem *et al*., 2013), energy efficiency of buildings (Menzies and Wherrette, 2005; Mitterer *et al*., 2012); building form in relation to the site, region, climate and available materials (Ghani, 2012) are examined. Second is the immediate environment where such issues as the presence and/or absence of sources of potential safety threats, the level of social

112 functionality, crowding, exposure to noise and the design and layout of external spaces are investigated (Bonnefoy,
113 2007). There is also the neighbourhood environment that entails the measurement accessibility to amenities such as
114 open spaces and parking areas by residents (Ibem 2013). Lastly is the community level where public perceptions of
115 positive and negative impacts of housing schemes on the immediate community in particular and society at large is the
116 main concern (Hashim, 2004)
117   It can be inferred from the foregoing that the economic, social and environmental aspects of sustainable
118 development are vital considerations in describing sustainable housing process, products and services at dwelling unit,
119 immediate and neighbourhood environment and community levels. In the current study, the focus is on the housing unit;
120 immediate environment and neigbhourhood levels; meaning that the aspects related to housing process and community
121 level assessment of sustainability are outside the scope of this study.

123 *2.2   Sustainability assessment of public housing projects*

125 The term "sustainability" was first conceptualized in the World Commission of Environment and Development Report
126 (1987) in which sustainable development was defined as the development that meets the needs of the present generation
127 without compromising the ability of future generations to meet their needs (WCED, 1987). Based on this definition,
128 authors have put forward different conceptions of sustainability as explained by Marcause (1998) and Rotmans (2006).
129 Marcause (1998) specifically noted that on the one hand, the concept of sustainability has come as a reminder to all
130 generations to conduct every activity on the planet earth with the highest degree of caution by making it sustainable. On
131 the other hand, Chiu (2000) argued that although sustainability has environmental origin, it generally connotes a concern
132 for social and economic equity between generations and seeks to deliver human settlements that enhance the quality of
133 life and satisfaction of people by promoting efficient use of resources. Furthermore, sustainability has also been
134 described as a concept that deals with the need to achieve and sustain economic, social and environmental benefits in all
135 human endeavours (Lee and Chan, 2010). Based on these definitions, Ibem and Azuh (2011) concluded that
136 sustainability is concerned with the need to ensure that in every human endeavour, basic social, economic and
137 environmental needs of the present generation are met without compromising the potential of the posterity to meet their
138 needs.
139   From the foregoing, it is obvious that sustainability deals with the protection, improvement and sustenance of a
140 good quality of life and environment in such a way that present generation can meets its needs without jeopardizing the
141 chances of posterity to meeting their needs. Put succinctly, sustainability helps to recognize that there is a need for
142 developments that maintain a balance between human activities and the environment. Hence, in the context of this study,
143 sustainability is used to describe the extent to which public housing projects are considered to be suitable in meeting the
144 housing needs and expectations of residents with little or no adverse social, economic and environmental consequences.
145   On how sustainability can be measured, Sadler (1999) was of the view that sustainability assessment is the third
146 generation of impact assessment, following environmental impact assessment (EIA) and strategic environmental
147 assessment (SEA). Hacking and Guthrie (2008) noted that sustainability assessment is a generic term describing a range
148 of impact assessment practice which helps to classify the characteristics of projects, programmes and processes and the
149 extent to which they contribute to sustainability. Bond *et al*. (2012) identified environmental, social and health impact
150 assessments as examples of sustainability assessments. These authors further claimed that a majority of the existing
151 published works on sustainability assessments relate to very specific, one-off, case studies rather than general practice
152 or conceptual studies in the different fields.
153   Although many tools and techniques are available to support sustainability assessment processes, Bond *et al*.
154 (2012) explained that the majority of the existing analytical tools and techniques are mitigation biased with focus on
155 avoidance and minimization of adverse impacts. For physical development projects, studies (Dalal-Clyton and Sadler;
156 2004; Turcotte and Geiser, 2010) have shown that the existing sustainability assessment techniques and models are
157 environmentally biased; and this may be due to the environmental origin of sustainable development. From the review of
158 literature we found some examples of sustainability assessment models to include: cost-benefit analysis (CBA) (Ekins
159 and Vanner 2007); sustainability oriented multi- criteria analysis (MCA) (Kain and So¨derberg 2008); life cycle
160 assessment, indicators and scenario planning (Ness *et al*. 2007). Some authors (Bebbington *et al*., 2007; Turcotte and
161 Geiser, 2010; Ibem and Azuh 2011) have criticized this models as not being comprehensive enough; and thus advocated
162 for the adoption of holistic sustainability assessment models that incorporate social, economic and environmental aspects
163 of sustainability. One of the approaches identified as capable of addressing the three aspects of sustainability when it
164 come it comes to assessment of the sustainability of buildings and other constructed facilities at post construction phase
165 is post occupancy evaluation (POE). According to Ornstein (2005), POE is a set of methods and techniques applied

166 during use of the built environment to evaluate building and environment performance from the perspectives of specialists
167 and that of the users. It measures among other things the social, economic and environmental performance of the built
168 environment (Ibem *et al.*, 2012); and thus provides feedback to policy makers; services providers, administrators and
169 managers for decision making as explained by Ornstein (2005).
170   A number of sustainability assessment studies have been carried out using the POE approach. For instance, Blair
171 *et al.* (2004) used 37 variables drawn from economic (e.g. affordability); social (sense of community; neighbourhood
172 safety and satisfaction; transportation) and environmental constructs (environment-biodiversity; environment-energy;
173 environment- resources consciousness; environment-wastewater/storm water control) to assess the sustainability of
174 communities. Pullen, *et al.* (2010) developed and tested an assessment framework for affordable and sustainable
175 housing in Australia by using ten variables related to economic sustainability (affordability), social sustainability (quality of
176 life; quality of place and health) and environmental sustainability (energy efficiency; construction materials; construction
177 methods). Similarly, Turcotte and Geiser (2010) have also put forward a sustainability assessment framework for physical
178 development projects comprising social sustainability (healthy internal environment, safety, provision of social amenity,
179 provision of recreation amenity and accessibility to jobs and amenities)(ii) economic sustainability (cost efficiency over
180 time, affordability, job creations and local economy), (iii) environmental sustainability (energy efficiency, water
181 conservation, reduction of greenhouse gas emissions, waste management, material efficiency, pollution prevention,
182 optimization and conservation of land, protection and enhancement of biodiversity, reduction of dependency on car);
183 and (iv) cultural sustainability (designing housing that preserves, respects, and recognizes the unique historical and
184 cultural characteristics of an area and its residents). Turcotte and Geiser's (2010) framework appears to be the most
185 comprehensive of all identified here; and as such some of its elements were used in the current study.
186   From the review of literature, it can be inferred that sustainability assessment is one of the tools for measuring the
187 extent to which products, processes and programmes/projects contribute to sustainability. It is also evident that the
188 ultimate goal of sustainability assessment of housing projects is to investigate and understand the extent to which
189 housing features align with the social, economic and environmental needs of the residents and communities.
190   From the findings of the review of literature, a conceptual framework of the study was developed. The components
191 of this framework are graphically illustrated in Figure 1.
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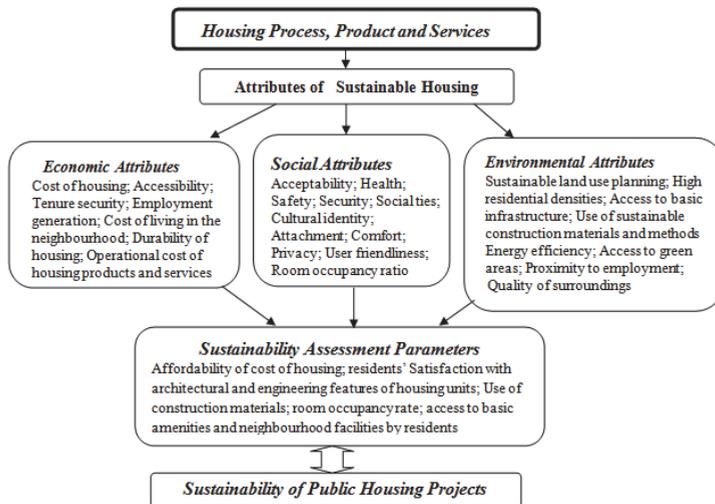
Figure 1: Conceptual Framework of the Study

193
194
195 Figure 1 shows that the attributes of sustainable housing process, products and services can be described based on the
196 economic, social and environmental aspects of sustainable development. Therefore, the basic underlying assumption of
197 this framework is that there is a direct relationship between the characteristics of sustainable housing (e.g. affordability;
198 social acceptability and quality of environment in housing estates and others) and the sustainability of housing projects.
199 To this end, housing affordability (economic aspect); residents' satisfaction with architectural and engineering

characteristics of housing units; room occupancy rate (socio-cultural aspects), the use of construction materials; access to basic amenities and neighbourhood facilities by residents (environmental aspect) were used as parameters for assessing the sustainability of public housing projects in the current study.

3. Research Methods

As stated earlier, the goal of this study was to examine the sustainability of public housing constructed between 2003 and 2010 in Ogun State, Nigeria, using selected social, economic and environmental parameters as shown in Figure 1. To achieve this goal, the survey research approach was used due to the nature of the research questions; and the advantages it has in allowing researchers to generate both quantitative and qualitative data that describe trends, attitudes or opinions of a population on specific issues by studying a sample of that population as explained by Creswell (2009). The data reported in this paper were collected from the residents and public housing in the study area. Specifically, household surveys were conducted in nine of the twelve public housing estates constructed between 2003 and 2010 in urban areas of Ogun State to obtain data from housing occupants. Housing estates sampled were OGD-Workers Housing Estate, Laderin; Media Village, OGD Housing Estate, Asero; Presidential Mandate Housing Estate, Olokota and Obasanjo Hill-Top GRA Housing Estate all in Abeokuta; OGD Housing Estate Itanrin, Ijebu-Ode; and OPIC Housing Estate, Agbara. Others were the OSHC Housing Estate, Ota and OGD-Sparklight Housing Estate in Ibafo.

Two instruments assisted the researchers in the data collection process. The first was structured questionnaire administered to residents of housing estates sampled in this study.The questionnaire comprised three sections. Section 1 was used to gather data on the socio-economic characteristics (e.g. sex, age, education, income, marital status, and tenure status) of the respondents. Section 2 had questions on the spatial characteristics of housing such as the size of dwelling units and type of toilet facilities, sources of utilities as well as additional space requirements in their dwelling units. Residents were also asked questions on their satisfaction level with the quality of day lighting and natural ventilation in main activities areas of the houses such as living-dining, and bedroom; privacy, thermal comfort; and the materials used in the construction of the houses based on 5-Likert type scale ranging from "1" for "Very Dissatisfied" to 5 for Very Satisfied. Section 3 of the questionnaire elicited responses from the residents on economic characteristic of housing (e.g. affordability of the cost of housing) based on 5-Likert type scale of 'Highly Unaffordable', 'Unaffordable', 'Not Sure'; 'Affordable' and 'Highly Affordable'.

The second data gathering instrument used was observation schedule. This instrument did not contain questions, rather it was used to record observations made with respect to the physical characteristics of the housing units and housing estate sampled. The aforementioned data collection instruments were complimented by photographic materials and sketch pads. It is noteworthy that all the questions chosen for the survey were designed based on findings from the review of literature; and were pre-tested before they were administered on the target population. This was to ensure that the questions were suitable for the target population in the housing estates.

The surveys were conducted between December 2009 and February 2010. At the time of the surveys, a total of 1,523 housing units were built in the aforementioned housing estates, but 709 (47%) of the houses were occupied by residents. The remaining 814 housing units were yet to be occupied. As a result, the stratified sampling technique was used to select 670 housing units representing about 95% of the occupied housing units for the research. This sampling technique was adopted in order to have a sample size representing low, middle, and high-income households from the different housing estates. A total of 670 questionnaires were administered. One questionnaire was given by hand to one adult member found in each household in the housing units visited by the researchers and four research assistants who assisted in the data collection process. However, 517 valid questionnaires representing approximately 77% of the distributed questionnaires were retrieved.

The data derived from the questionnaire and observation schedule were analyzed using descriptive statistics (frequencies and percentages). These were used in computing the proportion and percentages of the respondents' in the different socio-economic groups; housing types and sizes; and residents' perception of the affordability of the cost of housing in the nine estates.

4. Result

4.1 Personal profile of the Respondents

Table 1 shows personal profiles of all the 517 respondents drawn from the housing units in the nine housing estates sampled. Examination of data in Table 1 reveals that 64% of the respondents were males, while 36% were females, 57%

254   were between 31years and 45years and 96% were highly educated. Table 1 also shows that 63% of the respondents
255   were classified as low-income earners and owner-occupiers; and around 71% of the respondents had household size of
256   four persons and above. This result indicates that residents encountered in the survey are mainly educated males of
257   middle-aged group and low-income earners living in owner-occupied housing units.
258
259   **Table 1:** Profiles of the Respondents

	n=517	Percentage
Respondent's Sex		
Male	333	64.4
Female	184	35.6
Age Group in Years		
No Response	3	0.6
18-30	65	12.6
31-45	293	56.7
46-59	140	27.1
60 and above	16	3.1
Highest Educational Attainment		
No Response	8	1.6
Primary Education	4	0.8
Secondary Education	11	2.1
Tertiary Education	494	95.6
***Average Monthly Income (Naira)**		
No Response	36	7.0
Below N38,000 (Low-Income)	137	26.5
N38,000-N71,000 (Middle Low Income)	186	36.0
N72,000-N145,000 (Middle High Income)	77	15.0
N145,000 and above (High Income)	81	15.7
Tenure Type		
No Response	3	0.6
Privately Rented	168	32.5
Owner Occupied	323	62.4
Official Quarters	23	4.5

260   *1US$= N203 as at April 2015
261   **Source:** Authors' Field Work (2010)
262
263   *4.2   Characteristics of housing units in the estates*
264
265   The result reveals that of the 517 housing units sampled, 62% were walk-in homes (i.e. houses ready for occupation),
266   37% were starter/core houses (one-bedroom housing units that can later be expanded to 3-bedrooms by the occupants)
267   and around 2% were shell houses (houses constructed without finishes, doors and windows and sanitary facilities and
268   sold by the developers to interested members of the public who are expected put the finishes and facilities according to
269   their taste). Figure 2 shows the sizes of the dwelling units sampled. It is evident from Figure 2 that about 42% and 36%
270   of the housing units were 3-bedroom and 2-bedroom units, respectively. The above result clearly shows that in the nine
271   public housing estates sampled, a majority of the dwelling units are walk-in homes consisting of 2-and 3-bedroom
272   bungalows.
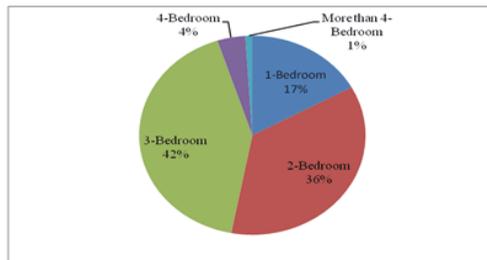
273
274   **Figure 2:** Sizes of Dwelling Units
275   **Source:** Authors' Field Work (2010)

276 Also around 52% of houses sampled were found to be single family bungalows, 46% were semi-detached starter houses
277 (see Figure 3) and 3% were residential buildings of two floors occupied by one household (maisonettes).
278
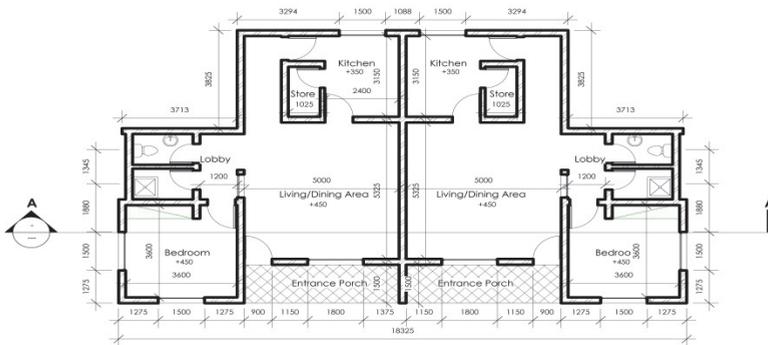
279
280 **Figure 3:** Floor Plan of Semi-detached Starter Houses
281 **Source:** Authors' Field Work (2010)
282
283 It was observed that the floor plans of the houses were mainly of regular geometric forms of squares and rectangles that
284 respond to site conditions and with good internal spatial arrangement as shown in Figure 2. The plans of the dwelling
285 units also indicate that adequate consideration was given to security of lives and property of the residents in the design
286 and construction of the houses as seen in clear demarcation of spaces using walls (i.e. closed plan system) and limited
287 number of external doors. Windows were also provided to enhance day lighting, ventilation and thermal comfort of the
288 occupants.
289   The residents were asked to rate their levels of satisfaction with security, quality of natural lighting and ventilation
290 in living-ding areas and bedrooms. The result reveals that 95% of the respondents expressed satisfaction with the level of
291 security of lives and property within and around their residences. The result (Table 2) also shows that 95% were satisfied,
292 while only 6% were dissatisfied with the quality of natural lighting and ventilation in the interior spaces. It is also evident
293 from Table 2 that a majority of those sampled were happy with the levels of security, thermal comfort, privacy, natural
294 lighting and ventilation in their dwelling units.
295
296 **Table 2:** Satisfaction with natural lighting, ventilation, thermal comfort and privacy in the housing units
297

No Response	Very Dissatisfied	Dissatisfied	Neutral	Satisfied	Very Satisfied
		Natural Lighting and ventilation in Living-Dining			
0(0)	2 (.4)	27 (5.2)	148(28.6)	313(60.5)	27(5.2)
		Natural Lighting and ventilation in Kitchen			
4(.8)	5(1.0)	17 (3.3)	177(34.2)	259(50.1)	55(10.6)
		Natural ventilation bedrooms			
4(.8)	2(0.4)	12(2.3)	215 (41.6)	241(46.6)	43 (8.3)
		Natural Lighting in bedrooms			
2(0.4)	5(1.0)	13 (2.5)	195 (37.7)	263 (50.9)	39(7.5)
		Thermal comfort in the residence			
17(3.3)	5(1.0)	18(3.5)	140(27.1)	314(60.7)	23(4.4)
		Level of privacy in the residence			
4(0.8)	5(1.0)	10 (1.9)	104 (20.1)	294 (56.9)	100 (19.3)

298   Note: n (%)
299
300 **Source:** Authors' Field Work (2010)
301
302 The respondents were also asked to indentify space(s) not provided in their current dwelling units that they would like to
303 have. The result is a presented in Table 3.
304
305

Table 3: Desired amenities by respondents in the Housing Units

Spaces	Frequency	Percentage
No additional requirement	61	11.8
Shop and Laundry	50	9.7
Shop and Storage spaces only	53	10.3
Shop and Visitors toilet	52	10.1
Shop and Guest Room	47	9.1
Outdoor Cooking area	15	2.9
Guest Room , Visitors Toilet and Laundry	239	42.2

Source: Authors' Field Work (2010)

From Table 3, it is evident that around 12% of the respondents had no desired amenities in their homes; suggesting that spaces in their dwelling units are adequate in meeting their current needs. However, around 42% of the respondents made request for additional spaces such as guest room, visitors' toilet and laundry space; suggesting that these are the desired amenities lacking in the their current residences. In fact, the highest proportion of those who desired guest facilities lived in 2-bedrooms (28%), followed by 27% of those in 3-bedroom apartments and 19% of those in 1-bedroom housing units. Interestingly, 10% of low-income and 3% of middle-low income earners desired to have space for shops in their current dwelling units.

Regarding room occupancy rate, the result also shows that close to 25% of housing units in the nine estates sampled had room occupancy rate of 0.6 person per room, 15% had 0.5 person, 14% had 1 person and 11% had 0.75 person per room. This result indicates that the average occupancy rate in the houses sampled was 0.6; suggesting that room occupancy ratio is less than one person per room in most of the houses in the estates. It can be inferred from this result that the housing units sampled were not overcrowded at the time the surveys.

4.3 The use of materials in housing construction

Result of the analysis shows that most of the houses sampled were constructed with conventional building materials. Specifically, 96% of the houses were constructed with Sandcrete cement blocks (see Figure 4), while only 4% were built with burnt bricks. Also all the houses were roofed with aluminium long span roofing sheets and had glazed aluminium windows, while very few had glazed louvered windows. Similarly, around 59% of houses sampled had paneled steel external doors and 40%. Around 94% of houses sampled had asbestos ceiling, while the remaining percentage were of acoustic ceiling and PVC strips. Also around 53% of houses in the nine estates sampled had perimeter fencing with iron gates (see Figure 4). It was also observed that around 98% of the houses had steel burglary proof windows. The result shows that 77% of respondents were satisfied with the type of materials used in the construction of the buildings in the nine housing estates investigated; meaning that a majority of them are happy with the types of materials used in the construction of their houses.

Figure 4: External appearance of a typical housing unit
Source: Authors' Field Work (2010)

4.4 Characteristics of the Housing estates

Table 4 presents the summary of the key features of the nine housing estates investigated. It is evident from Table 4 that all the housing estates had parking spaces, street lights and are connected to the public power supply system (see also Figure 5); while 78% of the estates had asphalt paved roads, shopping facilities and places of worship.

Figure 5: Pictorial view of the buildings, paved road and street lighting in one of the Housing Estates
Source: Authors' Field Work (2010)

Notably, only one of the nine housing estates had a functional healthcare facility, while none of them had pedestrian walkways and recreational/sporting facilities. Table 4 also shows that the housing estates were highly deficient in facilities for children such as schools and planned outdoor play areas. Consequently, a majority of the respondents expressed dissatisfaction with the closeness of their homes to public infrastructure and urban services.

Table 4: Characteristics of the Housing Estates

Features/Facilities	n=9
Characteristics of roads in the Estates	7 of the 9 housing estates had asphalt paved roads
Pedestrian Walkways Present	Non-existence in all the estates
Security Post at the entrances	Available in 5 housing estates
Police Post	Available in 2 housing estates
Shopping Facilities	Available in 7 housing estates
Purpose –built Educational facilities for Children	Present in 2 housing estates
Recreational/ Sporting facilities	Non-existence in all 9 housing estates
Purpose- built Play Ground for Children	Available only in 1 housing estate
Parking Spaces	Available in all 9 housing estates
Open Spaces and Green Areas	Present in only 2 housing estates
Medical and Health care facilities	Available in only 1 housing estate
Condition of access roads	Only 2 housing states have asphalt paved access roads
Perimeter fence on the estate	2 housing estates have perimeter fencing
Street Lights in the estate	Available in all 9 housing estates
Places of worship within the estate	Available in 7 housing estates
Functional Storm water drainage facilities	Available in 5 housing estates
Availability of refuse collection bins	Available in only 2 of the estates
Public Power Supply	Available in all 9 housing estates
Public Water Supply	4 housing estate are connected to public water supply system

Source: Authors' Field Work (2010)

4.5 Affordability of housing in the estates

The residents were also asked to rate the affordability of cost of acquiring and/ or renting their dwelling units in the

365 estates. The result as shown in Table 5 reveals that around 92% of the respondents across all income groups indicated
366 that the cost of acquiring or renting their dwelling units was affordable. Specifically, the highest proportion of those who
367 felt that the cost of housing was affordable were the middle-income earners with around 96% of them saying that the
368 housing was affordability, followed by 94% of middle-low income and 93% of high-income earners, respectively. This
369 result clearly shows that residents of the public housing sampled perceived the cost of housing to be affordable.
370
371 **Table 5:** Perception of affordability of the cost of Housing
372

Income Groups	No Response	Highly Unaffordable	Unaffordable	Affordable	Highly Affordable	Total
Undisclosed Income	0(0.0)	0(0.0)	4(0.8)	30(5.8)	2(0.0)	36 (7.0)
Low-Income	2(0.37)	3(0.6)	16(3.1)	109(21.2)	7(1.4)	137 (26.5)
Middle Low-income	0(0.0)	1(0.2)	10(1.9)	170(32.9)	5(9.7)	186 (36.0)
Middle High -income	0(0.0)	0(0.0)	3(0.6)	73(14.1)	1(0.2)	77(14.9)
High-Income	2(0.37)	2(0.4)	2(0.5)	75(14.5)	0(0.0)	81(15.7)
Total	4 (0.8)	6 (1.3)	35(6.8)	457(88.4)	15(2.9)	517(100.0)

373
374 **Source:** Authors' Field Work (2010)
375
376 **5. Discussion**
377
378 As noted in the introduction, two research questions related to the characteristics of public housing provided in the study
379 area between 2003 and 2010; and the extent to which these characteristics align with sustainable housing initiative were
380 stated in this study. Based on the findings as presented in the previous section, two major issues related to these
381 research questions were identified and brought forward for further discussion in this section of the paper.
382   From the result, it is evident that the majority of housing units sampled were single- family walk-in homes of 3-
383 bedrooms. This is an indication that this housing type is the most demanded by home seekers in the study area. Also the
384 architectural forms and internal space arrangements of the houses suggest that there was a deliberate attempt to make
385 the houses respond to site and climatic conditions of the area and promote privacy of the residents; hence a majority of
386 the respondents were happy with these aspects of their dwelling units. Based on evidence in the literature indicating that
387 conformity of building forms to site condition (Ghani, 2012); design for good thermal and visual comfort (Abdellatif and
388 Othman, 2006; Winston, 2007; Ibem and Azuh, 2011) are some of the features of sustainable housing development; the
389 housing projects sampled can be considered to be sustainable.
390   Contrary to the above, a majority of the respondents asked for more spaces in their dwelling units. The desired
391 amenities were mainly guests' rooms, toilets and space for shops. The result specifically reveals that the highest
392 proportion of those who desired guest facilities were middle-low-income earners; and low-income earners had the highest
393 proportion of those who requested for shops in their dwelling units. This suggests that a majority of residents mainly low-
394 income earners encountered in the survey perceived their residences to be spatially inadequate. Going by the result
395 showing average room occupancy rate in the dwelling units to be less than one person per room, the demand for
396 additional rooms by some of the residents seems odd and may raise a question on the efficiency and sustainability of
397 public housing delivery in the study area. However, when viewed from the perspective of the whole idea of public housing
398 in Nigeria as enunciated in the National Housing Policy (2012), it seems obvious that guest facilities are not necessarily
399 key components of public housing in this country; hence, this can be seen as a reflection of the insatiable desire by man.
400 Viewed from the perspective of the culture of Nigerians that allows urban residents to host relatives and friends who are
401 job seekers and holidays makers on a regular basis; it can be argued that the desire for more sleeping space was to
402 enhance the capacity of the residents to play this role effectively. Similarly, the fact that most of the low income people
403 lived in one-bedroom apartments and had family size of four persons and above could have also contributed to
404 influencing their desire for more sleeping spaces in their homes.
405   Further, the desire to have space for shops, is quite understandable going by the fact that a majority of the housing
406 estates sampled were actually targeted at low and middle-income earners who may have to operate home-based
407 enterprises (HBEs) as a way of improving the economic status of their families. Generally speaking, it may be argued that
408 inclusion of these additional amenities desired by the respondents can increase the costs of the dwelling units. However,
409 their non-inclusion can result to unplanned transformations of housing units and the estates as a recent study by Aduwo
410 *et al.* (2013) revealed that in two low-income public housing estates in Lagos, Nigeria, housing transformations were
411 motivated by the desire to add more bedrooms and space for income generating activities. Therefore, based on this

412   result, the housing units and estates can be considered spatially inadequate; and thus to lack sustainable features

413   Regarding the use of materials, the result shows that there is a predominant use of materials derived from cement,
414   glass, aluminium, and asbestos-based products. This is probably because of the availability, durability and cost of these
415   materials coupled with the availability of skilled labour to handle them. Notably, a majority of the residents encountered in
416   the survey expressed satisfaction with the use of these materials. On this note, the use of readily available and durable
417   materials is considered as another sustainability feature of public housing projects in the study area. However, the
418   predominant use of cement-based materials such as concrete and Sandcrete blocks which contribute to carbon emission
419   and asbestos-based ceiling materials that have health implications (see Whysner *et al*., 1994) is considered as having
420   negative implications for social and environmental sustainability of the housing projects. Also the use of steel doors;
421   burglary proof windows; and perimeter fences identified as a common feature in the housing estates can be viewed
422   principally as a measure for ensuring adequate security of lives and property; and privacy in the residences. Therefore,
423   going by the submissions by previous authors (Mitlin and Satterthwaite, 1996; Blair *et al*., 2004; Lutzkendorf and Lorenz,
424   2005; Ibem and Azuh, 2011) on the need for security of lives and property in housing, this is also considered as another
425   important sustainability feature of government constructed housing in the study area.

426   In support of previous studies (Jiboye, 2009 and Ibem, 2013), the finding shows that most of the housing estates
427   were deficient in the provision of recreational, educational, healthcare and domestic waste collection facilities. This
428   suggests that adequate consideration is not given to the location of the public housing projects in terms of access to
429   basic urban infrastructure and services. Consequently, only around 13% of the respondents expressed satisfaction with
430   the closeness of their homes to these amenities and related urban services. In view of the fact that the existing studies
431   (Mitlin and Satterthwaite, 1996; Apparicio and Seguin, 2006; Turcotte and Geiser, 2010; Ibem and Azuh, 2011) have
432   identified access to basic social amenities and infrastructural facilities by residents as one of the key factors that
433   contributes to sustainable development, the housing projects sampled are considered not to be self-sustaining; and are
434   thus not socially and environmentally sustainable.

435   On economic sustainability of the projects, although public housing in the study area is viewed as profit making
436   venture as explained in the Ogun State Regional Development Strategy (2008), most of the respondents felt that the cost
437   of housing was affordable to them. This result contradicts the findings of previous studies (Mbamali and Okoli, 2002;
438   Oruwari, 2006; UN-HABITAT, 2006) indicating that public housing has not really been seen as affordable to the target
439   population in Nigeria. One possible explanation for this result is that the provision of starter/core houses on mortgage
440   basis for low- and middle-income public sector workers by the developers could have influenced the result on affordability
441   in this study. Therefore, in terms of housing affordability, the housing projects can be considered to be sustainable. This
442   assertion is based on previous studies (Blair *et al*., 2004; Winston, 2007; Odebiyi, 2010; Pullen *et al*., 2010; Turcotte and
443   Geiser, 2010; Ibem and Azuh, 2011) indicating that affordability of housing products and services to the target population
444   is a major component of economic sustainability of housing schemes.

445

6. Conclusions and Recommendations

447

448   This study examined and analyzed the physical and economic characteristics of public housing constructed between
449   2003 and 2010 in Ogun State, Nigeria, and the extent to which these characteristics align with sustainable housing
450   initiatives. Based on the findings, the following conclusions are made. The first conclusion is that public housing
451   constructed in the study area in the period under review are mainly walk-in single family units of compact plans and
452   regular architectural forms, constructed with conventional and easy to maintained materials. The second one is that the
453   housing projects are sustainable in terms of affordability; building forms response to site and climatic conditions; and are
454   unsustainable in the use of asbestos-based materials; inadequate provision sleeping spaces and basic social
455   infrastructure for the residents**.**

456   In the light of these findings, the following recommendations are made. First is that in order to enhance the
457   sustainability of public housing projects, housing policy makers and developers need to take cognizance of the diverse
458   use of domestic spaces by residents in the formulation of housing policies and design of housing schemes. Second is
459   that, public housing developers should explore the use of alternative building materials that are environmental friendly
460   and promote healthy living conditions. Lastly, there is also a need for the evolution of innovative approaches to improving
461   access to basic social amenities and infrastructural facilities by residents in public housing. Due to the cost implication for
462   providing social infrastructural services in each housing estate, public housing providers can adopt the strategy of
463   providing more centralized facilities for several housing estates.

464   Although the study has shown the aspects of sustainability public housing developers in Ogun State, Nigeria, are
465   paying much attention to, the current study is limited in a number of ways. First is that it is focused only on public housing

constructed between 2003 and 2010 leaving out those constructed before 2003 and after 2010. Consequently, the findings cannot be generalised for all public housing in the study area. Secondly, the study is also limited by focusing only on the physical and economic characteristics of housing units and the estates where they are located. Other study can explore other aspects such as energy efficiency of the dwelling units and the implications of the building or estate design on occupants' behaviour.

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Prospects of Russian Tourism in Greece

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Abstract

Greece is very attractive country for Russian tourists. Outbound flow from Russia to Greece is constantly growing. Problems of the Russian economy, decline in purchasing, the devaluation of the national currency, the European Union sanctions have led to a great decrease in demand for tourism in Russia. In this context, Greece is one of the potential leaders for Russian tourists. This article describes the main characteristics of Russian tourists, their preferences, with recommendations to improve the attractiveness of Greece, the necessary efforts to retain tourists from Russia. Russian tourists are the main source of income for mass-tourists destinations. Such countries as Turkey and Egypt make huge efforts to maintain and increase the amount of Russian tourists. Greece needs to learn from their experience. The main problem is the price and visa formalities. It is necessary to identify the correct price segment of Russian tourists and to simplify the entry procedure.

Keywords: Greece, Russia, tourism, outbound flow, inbound flow.

1. Introduction

Greece is a magnificent country. It is the birthplace of the ancient myths, ancient Greek heroes and gods, prestigious resorts and various tourist attractions. Greece fascinates by azure shores, soft sands, warm sea and favorable climate. Holidays in Greece is a unique event in the life of every tourist. Greece is a place where concentrated a huge amount of historical monuments. Being the cradle of civilization, in this country as anywhere else in the world are concentrated unique attractions of antiquity. Greece is a country where tourists are offered plenty of entertainment for every taste. You will be able to pay attention to active water sports, to visit the spa treatments, beauty salons, explore the underwater world of Greece.

Greece is very attractive for Russians. Greece has not only sea, beach and all-inclusive hotels but the great history and culture.

Economic and political situation in Russia is very difficult. Most tourists will prefer domestic trips in 2015. The question is: where will go the rest? Greece has all opportunities "to grab its piece of a pie".

2. What is Greece for Russians?

The majority of Russians (32%) consider Greece primarily as a country for a family holiday. The main part of the flow from Russia is the middle class (35%). Most Russians are attracted to the sea and islands of Greece. The main reasons for visiting tourists are islands (50%), culture and history (20%). The rest chose Greece as their place of rest for reasons of price, security and hospitality (10% each).

Not less than 40% of Russian tourists are choosing to holiday at sea, 30% – on the coasts, 10% – goes to sea cruises. The most popular among Russians is the island of Crete. Here rests 33% of all tourists. In Northern Greece (Thessaloniki, Chalkidiki) – 25%, on the islands of Rhodes and Kos – 20% and 17% on all other resorts in Greece.

Russian tourists spend in Greece more than 1 thousand Euros per tourist, while the average tourists spend about 670 Euros.

The dynamics of growth of tourism from Russia is positive. More and more travelers are choosing for themselves exactly Greece (see table 1).

Table 1. Statistics of Russian outbound tourism (in thousands)

Year	Country of destination					
	Turkey	**Egypt**	**Greece**	**Spain**	**Thailand**	**Germany**
2002	690,1	239,7	89,7	227,9	40,3	209
2003	1038,6	368,4	91,4	168,4	54,8	278,1
2004	1445,9	586,4	100,3	190,9	80,5	256
2005	1562,7	695,7	146,3	218,7	70,9	231,1
2006	1475,6	902,8	198,8	246,1	144,8	225,7
2007	1923,4	1255,4	244	318,6	232,3	231,3
2008	2212,8	1426,7	349,2	365,4	258,8	330,3
2009	1966,7	1615,4	282,3	296,3	233,1	363,3
2010	2367,6	2198,3	386,7	411,4	264,1	470,8
2011	2681,7	1452,8	612,5	645,3	780,2	702,3
2012	2516,1	1906,6	690,4	792,1	885,1	713,1
2013	3078,5	1909,2	1175,6	1012,8	1034,9	830,1
2014	3278,4	2565,7	1016,1	982,3	933,8	820,1
Rate position in 2014	1	2	3	4	5	6

Tourists from Russia account for an increasing share of the total arrivals in Greece and are among the top five source countries (see table 2). Greek and Russian arrivals statistics differs because Russian takes into account only officially bought tours.

Table 2. Top-5 Greece inbound tourism countries in 2013

Country of origin	Number of inbound travelers in Greece (in thousands)
Germany	2267,5
Great Britain	1846,3
Russia	1352,9
France	1152,2
Italy	964,3

In today's unstable economic and political situation in Russia, Greece can count on the growing interest among Russian tourists.

3. Economic and Political Situation in Russia

Most economic indicators in Russia (GDP, industrial production index, unemployment rate, the real incomes of the population) in 2013-14 decreased. Indicators of outbound tourism also fell. The main factors that influenced this decrease: the economic situation in the country, reducing the purchasing power of tourists because of the collapse of the national currency, the decline of confidence in the market, foreign-policy factors, the restriction on travel for certain categories of consumers and increase the number of independent tourists.

2014 was one of the most difficult for Russian tourism. Against the background of political tension and weakening of the ruble, many Russians refused to travel abroad. First of all European destinations was affected. On average, organized Russian tourist flow to Europe decreased by 25-30%. The increase was only towards Cyprus and Hungary. Hungary has its own currency, and the price level is relatively low compared to other European countries. For Cyprus, Russia is one of the key source of tourists, so the country is trying to make every effort to maintain the current level of Russian tourist flow. From the "dollar-zone" countries only Turkey and Egypt had the growth.

In spite of everything, Russian tourists prefer to vacation abroad. The main reasons for this choice: climate conditions, high prices for accommodation and air travel in Russia, service quality, low maintenance, general negative image of the country.

Under the circumstances, Greece is becoming the one of the most important tourist destinations for Russians.

EU sanctions, strong devaluation, inflation, growth of consumer price index led to the downfall personal income by 30%. This will affect the overall market of outbound tourism and choosing of the travel direction.

Sanctions against Russia also influence the tourist flow to Greece. The number of tourists in 2014 decreased by

90   15%, leading to a drop in income from tourism. However, the general interest to Greece among Russians is very high.
91

4. Russian Tourism Trends

93
94   About 96% of outbound tourism market is in 20 states. Among them are European countries, Israel, China, Thailand. The
95   demand for outbound tourism in Russia in 2014 fell on 30-40% compared to previous year.
96   Price to tours in Turkey rose by 10%, in Europe by 15-20% due to the increase of the Euro exchange rate.
97   Egyptian hotels offered attractive prices to Russian tourists, and the Egyptian authorities actively informed about the
98   safety of the resorts. This has led to an increase in tourist trips by 10-15%.
99   Greece has lost 15-20%. The main reasons: bankruptcy of large russian tour operators, overbooking in hotels
100   associated with the activation of the German, British and Scandinavian tourists.
101   Spain had 25% drop down because of the bankruptcies of tour operators, sanctions against Russia.
102   In 2014, price for tours rose by 20%, and flights abroad rose by 22%.
103   The depth of sales reduced to one to four weeks bookings. Booking for more than two months halved. 27% less
104   tourists began to book tours in advance for one or two months. The proportion of bookings for 15-30 days rose to 37%.
105   Growth of domestic tourism in Russia in 2014 is ranged from 30 to 40%. In 2015 it will rise to 15-30%.
106   During the first two months of 2015 Russian outbound flow decreased by 30-40% compared to the same period in
107   2014. The number of early bookings declined significantly. Such negative statistics is a concern among representatives of
108   foreign tourist industry. It is expected that problems of the Russian economy will not disappear by the summer, so a
109   number of countries are taking efforts to support the tourist flow from Russia. For example, Turkey is going to subsidize
110   charter flights in the amount of $6000 per flight.
111

5. Proposals to Increase the Numbers of Russian Tourists to Greece

113
114   Prices in 2015 will be a major factor when planning a vacation by Russians. In case to save, tourists will prefer hotels "all
115   inclusive" or places where to get cheap. A level of service and sacrifice exotic impressions will fade into the background,
116   because the real income of Russians dropped significantly in 2014 (see table 3).
117
118   **Table 3.** Level of personal income in Russia
119

Year	Personal income in Russia, Euro
2002	116,78
2003	142,43
2004	174,66
2005	236,50
2006	295,19
2007	347,37
2008	347,28
2009	385,73
2010	470,43
2011	515,63
2012	576,20
2013	561,21
2014	397,84

120
121   The most stable demand for tours will at price about a thousand Euro. Relatively stable tours will be sold in the segment
122   of "luxury". However, the number of tourists in 2015 will be significantly reduced. Finally, the greatest fluctuations undergo
123   a mid-priced segment (1000-2000 Euro). In part, these tourists will go in the budget-class.
124   Comfort goes by the wayside. Tourists are again ready to fly with several transfers or night flight, if tickets cost
125   less. Instead prestigious hotels are increasingly looking more budget options: apartments, hostels or guest houses.
126   The most in the trip will be to save the middle class. They are the ones who used to spend on vacation from one
127   thousand to two thousand Euros. The demand for such tours will drop for 80%.
128   The number of tourists traveling on their own will Increase. This situation was in 2014 and will remain in 2015.
129   Even at the popular resorts (Turkey, Egypt) due to bankruptcies of tourist companies, Russians will begin to book a trip
130   by themselves.

131   Wildest predictions: Internet for the first time will surpass the usual travel agency by the number of trips sold. And
132   will come to the forefront of the online travel agencies – sites where you can find and book flights, hotels, buy insurance,
133   rent a car. In general, to make a whole tour.
134   Beach destinations that will always be in demand among Russian tourists are Turkey, Egypt, Thailand, Greece,
135   Spain. In 2015, Greece and Spain may fail because they are more expensive and have a strong visa formality.
136   Russian tourists are the main source of income for mass-tourists destinations. Many hoteliers reacted adequately
137   to the fall of the ruble. They reduced the prices. On average, prices were down about 20 percent. Price for the tour in
138   Russian national currency is still increased, but not so dramatically. Tour operators have adjusted their programs in favor
139   of the most popular resorts and budget tourism. Even with the negative scenarios in the economy sale of tours to Turkey
140   and Egypt may remain at the level of previous years. Greece has to offer special programs to compete with these tour
141   destinations.
142
143   **6.   Conclusion**
144
145   Greece is one of the leaders for the Russian outbound tourism. The crisis in the Russian economy has made strong
146   changes in tourist preferences. Greece can keep and even increase the tourists flow in current and future years. To do
147   this, Greece must correctly identify the price segment of Russian tourists, as well as to take action in support of tourism at
148   the government level.
149
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151

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African Socialism in Tanzania: Lessons of a Community Development Strategy for Rural Transformation in Developing Countries

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Abstract

In a bid to formulate an appropriate development strategy to curb the quagmire of the underdevelopment crisis of the continent, African leaders adopted various policy options to extricate her economies from the dominance of colonial hegemony. In Tanzania, the philosophy of African socialism was initiated at post-colonial independence to consolidate not only the true spirit of African brother-hood but also to achieve self-reliance which is the basic principle of community development. This paper examined the practices of African socialism as a nexus toward the actualization of self-reliance and rural development. It adopted the exploratory research and relied on the conceptual framework methodology to establish the relationship between the philosophy of African socialism and community development. This was done with a view to unravel the lessons that could be drawn by any society that desired to achieve community development under the context of the African experience.

Keywords: *African Socialism, Ujaama, Strategy, Transformation, Agriculture, Education, Community Development.*

1. Introduction

Across the globe, every nation tries to forge a process of attaining some forms of development to enhance better standard of living for its citizenry. The quest for development however polarized nations to advantaged and disadvantaged position. While the former played leading and hegemonic role in the comity of nations, the later is loomed by the crisis of underdevelopment.

Developing countries of Africa are apparently the worst, being threatened by the dangers of the underdevelopment crisis. Their policies according to Owugah (1998) have been entrenched into the periphery of the world's capitalist system and its economy, strengthened into a chain of dependency and neo-colonial exploitation. This is evidenced by the spiraling inflation, abject poverty, deteriorating standard of living and heavy external debt burden.

This dependency and underdevelopment of African Nations could be traced to the unequal manner of its integration into the periphery of the World capitalist system. A situation which not only satisfy the interest of the international capital but was detrimental to the development of African Nations, thus, at independence, the African ruling class inherited institutions and structures, which ensured the subordination of their economics to the domination of the international capital.

To overcome this Scenario, most African Nations initiated various economic and political reforms, as measures to achieve development and self-reliance at the wake of independence. In Tanzania for instance (where our interest is focused) the philosophy of socialism and self-reliance was adopted to attain development as a guiding principle. Under the arrangement, development must be generated and sustained from within, and the international economy made marginal to the national economy. The objective was to harness both human and material resources of the society for the benefit of all. This inevitably requires the mobilization of the masses and creation of an independence technology for the development of the society.

Thus, in January 29 1967 in Arusha the National Executive of TANU proclaimed and adopted the famous "Arusha Declaration" in Tanzania to achieve this goal. The declaration consequently assumes the necessity of fully abolishing dependence on foreign capital, develop the country's resources independently and building a democratic state of workers. This was with a view of achieving a community development and self-reliance, raise the standard of living and establishing a non-exploitative society for Tanzania based on the tenets of African socialism. The aim of this paper is therefore to x-ray the practice of African socialism as a paradigm of community development which was used as an attempt to bring about rural transformation in Tanzania. This study adopted the exploratory research which helped to gain insight into the unique practice of African socialism in Tanzania. The study relied on the conceptual framework

methodology to establish the philosophy of African socialism as a way of life which promotes egalitarianism and community development.

2. Understanding the Tenets of African Socialism

The African form of socialism varies from Marxism in different respect in human history. For Marxism, the whole essence of human survival is rooted in the relationship of men to the means of production. The driving force being the dialectical existence of opposition based on interest in the form of cla`sses. The emergence of opposing classes produces conflict between the productive forces and the relations of production. As these classes struggle to achieve their interest, a completely new form of society evolves when there is lack of corresponding relationship between them. A new social order consequently emerged both in the social, political, legal and cultural values built on a new mode of production. In the words of Marx (1990:32) he asserted that:

> "The history of all hitherto existing society is the history of class stronger. Freeman and slave, patrician and pledeian, Lord and serf, guild-master and journey man, in a word, oppressor and oppressed, stood in constant opposition to one another, carried on an uninterrupted, now hidden, now open fight, a fight that each time ended either in a revolutionary reconstruction of society at large, or in the common ruin of the contending classes."

The order of the sociological interpretation of this form of human development begins from the primitive society through slavery, feudalism, capitalism and socialism with a transition to an ideal and perfect state of communism. This of course, is the mechanic economic version of Marxism which explained class struggle from the theory of social evolution. It conceives human history as an exact succession of societal form, which is fully predetermined by technical progress. This process follows the dialectical principles since it is deterministic. It is thus considered scientific.

The African socialism on the other hand rejects a deterministic approach of a social order. The process is rooted in the living tradition of the people that gives birth to its existence. It attempts to situate the experiences and the historical conditions of African within the context of its social existence. In his words, Nyerere cited by Mutiso and Rohio (1975:515) asserted:

> "African socialism, on the other hand did not have the 'benefit' of the agrarian revolution or the industrial revolution. It did not start from the existence of conflicting 'classes' in society. Indeed, I doubt if the equivalent for the word 'classes' exist in any indigenous African language: for the language describe the ideas of those who speak it, and the idea of 'class' or caste' was non-existence in African society".

African socialism is seen as an expression in the attitude of mind. The objective and foundation of African socialism is based on the extended family, being translated as "Ujamma" in Swahili language. The ideology is opposed to the socialist doctrine of Marxism. For Marxism seeks to build a society of contradiction of class interest and conflict between men and man. It is equally opposed to capitalism. For capitalism seeks to build a society on the basis of exploitation of men by man.

The philosophy of modern African socialism is drawn from the traditional heritage, the recognition of society as an extension of the basic family unit, Asuka (1997). Consequently, the family hood of African socialism is conceived far beyond the family unit to include the community, from the community, tribe, nation and indeed the entire human race. Logically, the development of African societies orchestrated by the adoption of socialism tended to see men beyond the family unity to embrace humanity as a universal phenomenon.

3. The Contextual Review of Literature on African Socialism

A remarkable turning point in the socio-political and economic landscape of Tanzania was the Arusha declaration of 29 January, 1967. This followed the proclamation and adoption of Tangayinka Africa National Union (TANU) whose aim was to build a socialist state for Tanzania. The principles of TANU constitution pointed the need for placing all means of production under the control of the people, through the government of Tanzania.

The declaration was committed to the creation of Tanzania as an egalitarian socialist society. A society based on agriculture, collectivized village farmlands and organized mass literacy. Under the leadership of Julius Nyerere, Tanzania draw a roadmap needed to make the country economically self-sufficient rather than depend on foreign aid and investment. In pursuant to this noble idea, widespread nationalization of foreign companies was effected in 1967. Some of those enterprises included Banks, Insurance Corporations, Import-Export Houses amongst others. The state

111 consequently, established its bank, and other state owned corporations to protect both business and financial
112 transactions. The aim was to establish a self-reliant economy devoid of external control.
113   The philosophy of TANU jettisoned the exploitation of man by man. The party was committed to the elimination of
114 all forms of domination, and to establish a society where all men should work for their living. Knud and Teisen (1969:185)
115 citing Part Two of the TANU's creed states inter-alia.
116
117   *"A truly socialist state is one in which all people are workers and in which neither capitalism nor feudalism existed. It*
118   *does not have two classes of people. A lower class composed of people who work for their living, and an upper class of*
119   *people who live on the work for others. In a really socialist country no person exploits another; everyone who is*
120   *physically able to work does so; every worker obtains a just return for the labour he performs; and the incomes derived*
121   *from different types of work are not grossly divergent".*
122
123   The building of a socialist society requires that the major means of production and exchange are under the control
124 of the peasant and workers. The instrument of production and exchange such as land, forest, the mass media, etc were
125 owned and controlled by the people, under the instrumentality of the government.
126   The declaration provided a philosophical basis for a true socialist programme of the economy. A selfless leaders'
127 code and a clearly articulated programme of Ujamma village structure. It identified a link between socialism and self-
128 reliance. Self-reliance recognized full mobilization of the people for the purpose of increase mass production.
129   Also, a leadership code was employed as a critical aspect of the socialist experiment to achieve self-reliance.
130 Accordingly, all leaders were made to be workers or peasants. They were not to be tainted by capitalist or feudalist
131 inclination. Leaders were barred from holding shares in private companies, the receipt of more than one salary and in
132 fact, the pursuit of commercial oriented activities. Indeed, the declaration consequently, developed a programme of action
133 necessary to transform Tanzania within the framework of socialism. This undoubtedly responded to the felt needs of the
134 country in a positive manner.
135   The Arusha declaration accorded prime importance to the practice of Ujamma which promotes African
136 brotherhood. In the traditional African family for instance, everybody lived according to the basic principles of socialism,
137 which is rooted in the fundamental ideas love. The people lived together and worked together because that was how they
138 understood life on the basis of family hood. Every family member thought of themselves as one, and all their language
139 and behaviour reflected unity at all times.
140   The Arusha declaration takes a similar form of practice like the Ogbia brotherhood being an umbrella organization
141 of the Ogbia ethnic nationality formed in the late 1930's by Rev George Amangala (Okrinya 2000; Okpara 2009; Jackson
142 2010) to develop its communities. As a socio-cultural organization, the Ogbia brotherhood functioned on the fraternity of
143 integrity, honesty, discipline, patriotism, peace and justice as a way of life of the Ogbia man. The philosophy and practice
144 of Ogbia brotherhood consequently, led to the creation of Ogbia Township (Omom-Ema) being an homogenous
145 community which serves as a nerve centre and home of all Ogbia people both home and abroad. The town was later built
146 to a modern status by Chief Melford Okilo who was an illustrious son of Ogbia kingdom, when he became the first
147 executive Governor of Rivers State in 1979.
148   The Ogbia brotherhood has as its motto "All for each and each for all" and on till this moment, the organization still
149 remains the most unifying factor of the Ogbia people. The people of Ogbia believe on the collective principle of justice,
150 unity and love as a virtue of an egalitarian society. According to Oyebamiji and Adekola (2008), the principles of an
151 egalitarian society engender collective ownership of properties which creates in people for the expression of affinity as
152 "our food", "our land", "our house", "our village" etc which is an embodiment of the African socialism.
153   On the whole, the main objective of the Arusha was proclaimed on the plat form of the African experience. It was to
154 build a society in which all men will have equal right and opportunity. A society in which every member will live together in
155 peace with his/her neighbours. A society in which suffering and injustice is not imposed or others. In fact, the fundamental
156 idea of the Arusha declaration is to build an egalitarian society devoid of exploitation of man by man. This was to be
157 achieved under the context of the African experience founded on socialism to realize the development of communities in
158 Tanzania.
159
160 **4.   Meaning and Objectives of Community Development in Tanzania**
161
162 The concept community has been variously defined by scholars and development practitioners based on the reflection of
163 its meaning, content and objectives. Amyanwu (1991) for instance, viewed community development as a process of
164 social action in which people of a given community organize themselves for planning actions, define their common and

165 individual needs and solve their problems, execute plans with maximum reliance upon community resources and
166 supplementing the resources where necessary with services and materials from government and non-governmental
167 agencies outside the community. This entails conscious effort of the people to tackle changes in the social, economic,
168 political and technological spheres to bring about reduction in poverty in both the rural and urban areas, Imhabekhai
169 (2009).
170   As a process of harnessing the community and human potentials for increase productivity, community
171 development emphasize the need for the involvement of people in programmes and activities designed to improve the
172 quality of life of members of the community. It is a progressive intervention which Seehoham and Gilchrist (2008)
173 maintains that it helps people to identify common concerns by making them work together to address their needs and in
174 all ways promotes equality, inclusiveness and participation of members of the community,
175   The popular Arusha declaration recognized the unique role of community development in Tanzania. As a result,
176 concerted efforts were made to define the practice of community development in all spheres of Tanzanian life. This also
177 conforms to the principle of self-reliance advocated by the country's leadership as a way of life. According to Oyebamiji
178 and Adekola (2008) the advocacy of community development in Tanzania was conceived as a policy aimed at achieving
179 the following:
180   a. To enable Tanzanians to bring about their own development by working to produce so that they may have
181   increased income which will enable communities to build a better life through self-reliance and the use of
182   locally available resources for poverty eradication in the country;
183   b. To enable Tanzanians to use their wealth to improve their welfare and bring about social and economic
184   development;
185   c. To enable majority of Tanzanians to enter into an economic system in which they can exchange their goods
186   and services that will raise their standard of living;
187   d. To enable Tanzanians enter into the budget system and spend their income carefully and develop the habit of
188   placing their savings in the bank; and
189   e. To enable Tanzanians join together in groups and increase their commitment to self-development.
190   Essentially, the advocacy of community development consequently, provided the basis for the practice and
191 philosophy of Ujamma as a communal way of life.
192
193 **5. The Philosophy of Ujamma and Practice of Community Development**
194
195 The idea of Ujamma was borne out of the desire to establish an appropriate institutional arrangement to promote rural
196 development in Tanzania. Ujamma in Swahili language literally means family-hood. The concept viewed all people, as
197 brothers and sisters and cohesively integrated everybody into single community spirit. Ujamma came as a response to
198 the growth of the progressive ideas of Arusha declaration. Consequently, the scheme of re-settlement was introduced
199 under Ujamma village policy. As a strategy, peasants were organized into viable socio-economic and political
200 communities. The rural areas were thus transformed to cohesively integrate both scattered and private activities into
201 planned venture under communal setting. Indeed, Arusha was totally committed to revolutionize the rural areas through
202 the voluntary and gradual formation of Ujamma socialist villages to encourage the development of communities.
203   As a step, people from scattered settlement were persuaded to come together and live in Ujamma villages. The
204 benefits of this mode of communal living are to engender community spirit to bring about development. For one, the
205 people will have the opportunity of working together and will also enjoy the economic and social benefits associated with
206 such co-operative existence. In his words Nyerere cited by Okoko (1986:97) explained:
207
208   *"This means that most of our farming would be done by groups of people who lives as a community and work as a*
209   *community. They would live together in a village, they would farm together, market together, and undertake the*
210   *provision of local services and small local requirements as a community. Their community would be the traditional family*
211   *group, or any other group of people living according to Ujamma principles".*
212
213   To achieve the commanding height of Ujamma settlement, persuasion was employed to encourage people to start
214 work on a communal basis. Proceeds of the harvest were collectively shared to everyone on the basis of equality.
215 Through this, sufficient confidence must have been built by the people through the community farm system.
216   After the first formative stage, the system was to transform to a different level of development. At this stage, the
217 Ujamma community must have reached a sufficient extent where people will work as a unit and lived together. They will
218 then institute a workable constitution for themselves based on the ethics of their existence. In most cases, Ujamma

219 villages are governed by elected managers, secretaries and appointed work supervisors. They work in conjunction with
220 committees. Each one of the committee's is charged with the responsibility for a particular aspect of village affair like
221 education, health, sanitation, etc. These committees are in turn responsible to the general meeting of the village. In the
222 absence of committees, decision in such general meetings prevails in the affairs of the village.
223   Basically, the mode of decision making through committee representation gave the practice of Ujamma as a
224 process of village democracy. Most instructive in the democratic process, is the method of arriving at certain decisions.
225 Usually, meetings are held in an informal manner probably in the evenings. It is at the instance of such meetings, that
226 collective decisions are reached for the general welfare of all.
227   At this transformation stage, Ujamma villages are encouraged to register agricultural association. Through the
228 associations, they are entitled to credit from Tanzania Rural Development Bank as well as other infrastructural
229 investment.
230   This level of village development is followed by the process of improvement. This was the third stage of the
231 settlement scheme. At this point, the village becomes full-fledged multi-purpose co-operative groups and societies. The
232 villages will thus become adequately secured to attract commercial credit from any sources. The most outstanding are
233 the National Bank of Commerce, Marketing Boards, etc.
234   The attainment of the improvement stage give rises to a progressive movement to fully implement the Ujamma
235 villagization scheme. The party and government agencies are required to give strong encouragement and support to
236 enable the village fully stabilized. However, president Nyerere   maintained that the decision to start an Ujamma village
237 must come through the farmers themselves, since it is only through their commitment that the programme can succeed.
238   The programme of establishing Ujamma villages was by far the most important aspect of community development
239 embedded in the spirit of Tanzania socialism. Bulk of Tanzania's population lived the rural area. As a result, it gives
240 impetus to mobilize their potentials to harness the country's resources through the village scheme to enhance their living
241 standard. This idea of community life makes it possible to adopt three basic principles: First is the collective ownership of
242 the resources of the state; second is the principle of unity, love and co-operative living and third is the principle of co-
243 operative work which are the hallmark and objectives of community development.
244   In the realization through the practice of the system, President Nyerere and the leadership of TANU enacted a
245 policy through the people's constitution, i.e. the Nationalization of all major means of production. The policy addressed
246 the likelihood of abuse in which one person depends on the whims of another for his livelihood, and also the social and
247 economic inequality. Under the nationalization policy, land and other means of production are owned and controlled by
248 the people through the agency of government. Under this policy, everyone is expected to work for the entire community.
249 Landlordism and loitering are seriously abhorred as they are inimical to the progress of the community.
250   To bring the practice to bear, a leasehold property policy was introduced. The arrangement empowered
251 government acquired all landed properties and leased out to individuals for use. The policy of nationalization also directs
252 the payment of rent to the government. The proceeds from rent are used to establish social welfare facilities like schools,
253 dispensaries, water, etc.
254   At the international scene, Pan Africanism was seen as a viable strategy to end all forms of external domination.
255 To this end, Nwoko (1988:247) observed thus;

257   *"On the international level, the policy of self-reliance and pan Africanism were" introduced especially to fight neo-*
258   *colonial exploitation".*

260   Pan Africanism was envisaged to create a generation of a united family of all African states. This was with a view
261 to confront the common problems of colonial exploitation experienced by the African States. Pan Africanism is thus
262 rooted on the policy of self-reliance being propelled by the need for African's to work, rely and act among themselves and
263 for themselves.
264   The realization of the Ujaama Philosophy was to be made possible under the practice of an agricultural and
265 educational policy for the people of Tanzania.

6. Agriculture for Self-Reliant Development

269 The Arusha declaration advocated serious and energetic measures to promote agricultural production in Tanzania. The
270 policy followed the recommendation of Professor Rene Dumont on the development of several varieties of crops for
271 export and concentration in the consumption of locally produced food. Professor Dumont advised against the dangers of
272 using tractors and other expensive forms of mechanization in agriculture.

273   The most fundamental step to the implementation of the agricultural policy was the change of content and purpose
274 of education, especially at the primary level. The curriculum of education was designed to integrate the pupils to be
275 engaged in agricultural activities. As a strategy, school farms were established for pupils to learn by doing. The practice
276 of hoe and other simple tools were practically demonstrated by school pupils in the school farm.

277   As a genuine effort towards the development of agriculture, it was a belief that life and farming are twin brother and
278 hard work is a pre-requisite to bring Tanzania out of poverty. This followed the introduction of agricultural development
279 through the settlement scheme in Ujamma villages. The central aim was to increase agricultural production as a key to
280 Tanzania's future. Work was organized as a crucial element to achieve the goals of increase food production. The
281 organization of work helped to harness the under labour that is to be found everywhere for a meaningful agrarian output.

282   It is obvious the greater part of the land in Tanzania is fertile. And as such, it is suitable to grow both staple and
283 cash crops such as maize cotton, coffee, tobacco, etc. It is also true as the land and river is equally suitable for grazing
284 and fish farming. Consequently, the road to develop increase food production prompted the adoption and concept of hard
285 work as a tool for self-reliant development.

286   Land was seen as the most fundamental property and gift needed for use to the benefit of all in the transformation
287 of a meaningful agricultural development. The policy therefore encouraged communal ownership of land designed to
288 increase food production. The proceeds of the agricultural produce did not only serve for local consumption but for export.
289 Indeed, agriculture engaged majority of Tanzania's to be gainfully occupied in one activity or the other. A process which
290 encouraged the realization of a self-reliant development.

7.   Education for Self-Reliant Development

294 Education was seen as a fundamental tool for the socio-economic and political transformation of any nation. As a result,
295 the people of Tanzania demanded a peculiar form of education to modify the school – inspired elitism of the colonial
296 system, with an objective of creating a self-reliant citizen. This was because the type of education provided by the
297 colonial administration was only designed to satisfy the value of the colonial society and to train individuals for the
298 services of the colonial states. In the words of William Boyd in Fafunwa (1995:70) he noted:

300   *"...it must be kept in mind that the church (being an agent of colonial administration) undertook the business of*
301   *education not because it regarded education as good in itself, but ...as much of the formal learning as was required for*
302   *the study of the sacred writing and for the performance of their duties".*

304   However, as a new guiding principle, president Nyerere suggested dimensions of quantitative and qualitative
305 changes of education to prepare people for the work they will be called upon to do in society. This is because the impact
306 of the Tanzanian educational system according to the NTI (2011) training manual is to promote socialism and self-
307 reliance for building a society of free and equal citizens.

308   The curriculum of the educational policy was then structured to meet the growth and demand of socialist
309 inclination. It was particularly designed to encourage the development of a proud, independent and a free citizen to rely
310 upon itself for its own development. The new structure of the educational system was thus, to encourage and foster the
311 goals of living together, promote a dynamic and constructive part in the development of the society, and to train the
312 citizen to acquire the requisite knowledge, skills and ability to contribute positively for themselves and development of the
313 society.

314   The aim of the new education is to achieve progress: measured on the basis of greater capacity of the human
315 wellbeing. Thus, the educational role goes beyond the mere formal type top include effort designed to mobilize not only
316 students, but both the peasant and workers to build a self-reliant society. Consequently, adult and non-formal education
317 was equally introduced to hitherto compliment and integrate all and sundry to achieve a balance society.

318   Further, the form of education was designed to equally play a decisive role of political socialization. Obviously, the
319 citizenry will through this process imbibe the virtues of co-operation, display their rights and obligation based on the
320 principles of socialist democracy. Here Okoko (1986:45) corroborated the ideas of Prewith as he observed that.

322   *"A society seeking to bring about substantial changes in-political values will find the educational system among the most*
323   *effective instruments for implementing new ways of experiencing and interpreting political life. In short, education*
324   *functions as an instrument of political socialization if by political socialization we mean the processes through which a*
325   *citizen acquires his own view of the political world."*

327   The Arusha declaration outlined the goals and objectives of education on the principles to achieve a non-

328 exploitative society. Education was accompanied by a simultaneous improvement in the establishment of more schools
329 (especially primary, secondary and adult schools) especially in the rural areas to overcome the challenges of illiteracy.
330   At its initial stage, every teacher was made to understand the new educational implication and philosophy as a
331 deciding factor who propels the attitude of society. He is also instrumental to shape the ideas and aspiration of a nation.
332 Seminars and workshops were organized for teachers, education officers, school inspectors and government officers.
333 They were thus acquainted with the educational policy so as to inject these ideals at the district, regional and the national
334 level. The aim was to remove any misunderstanding in the new educational philosophy, give technical report and to
335 develop new ideas as they emerge.
336   In the 1968 school year, the Swahili language was introduced as a medium of instruction throughout the primary
337 schools. The aim was in inculcate the Nations ethics and ideology of socialism into the school system through the
338 language of the messes.
339   Besides, the educational system tried to encourage and foster the social goals of living and working together for
340 the common good of all. This was to prepare people to play a dynamic and constructive role in the development of every
341 institutional organization of society. The educational system emphasized co-operative endeavours devoid of individual
342 advancement. In the light of this, Okoko (1987:62) observed:

344   *"the fundamental objectives which emanates from education for self-reliance is a determination to strive for a social*
345   *order based not on inequality exploitation etc, but on… equality and respect for human dignity; sharing of resources*
346   *which are produced by joint efforts; work by everyone and exploitation by none".*

348   Other changes introduced to re-enforced the philosophy of education for self reliance was the removal of foreign
349 reference from school names. The localization of the curriculum and content of the syllabus at all levels to suit local
350 needs. Also, a political education based on a socialization process was embedded into the school content. Paramilitary
351 drills and defense training were similarly introduced to maintain discipline and hard work. These changes were intended
352 to nationalized education in Tanzania with a sense of removing the legacies of inherited colonial practices which where
353 inimical to development of a socialist self-reliance.

8. The Role of National Development Co-operation for Achieving Community Development in Tanzania

357 The formation of the National Development Co-operation (NDC), was part of measures to institute an economic structure
358 to transform the nation towards self-reliant development. The NDC was accorded greater responsibilities in the
359 management of the Tanzanian economy. The logic was to diversify the economic base and to widen its horizon in the
360 productive sector.
361   Even though, there was no clear relationship between nationalization and socialism, NDC crystalline the industrial
362 base of Tanzania to make it a self-reliant nation.
363   First and foremost, NDC attached great importance to the processing of Tanzania's raw materials. This is course is
364 one of a five-year plan to build an industrial development in the economy. To achieve this objective, the NDC went into
365 the production of mass consumer goods like textiles, shoe beverages and household utensils. This was to ensure that
366 importation of these materials were curtailed, and for the nation to rely on locally made goods to achieve a self-reliant
367 economy.
368   The NDC was very active in promoting investment in the tourism industry. Since the tourist potentials of the country
369 were far from fully utilized, it was the NDC, which facilitated in taping the reserves of this sector of the economy. The
370 NDC particularly develop the game life, the national scenery and the beautiful beaches that serve as centres of attraction.
371   The industrial strategy of the NDC promotes the effective control of the principal means of production, and pursued
372 policies which facilitated the collective ownership of the resources of Tanzania. Between 1967 and 1968, there was the
373 principle and enactment of the industrial acquisition act. The act places a full-scale nationalization of the major industrial
374 enterprise under the control of the government. For example, agricultural processing, banking and insurance co-
375 operations were subject to government control. Also, the national milling corporation and other allied industries were
376 equally nationalized. As a result, the public-sector took control of a sizeable production of large-scale activities in a bid to
377 making the economy self-reliant.

9. Constraints and Challenges of African Socialism

381 The development within the context of African socialism and self-reliance, myriad of socio-political and economic factors

have grossly hampered the realization of this noble vision.

Central and most crucial was the manner through which the scheme of Ujamma villages was established. It was obvious that president Nyerere and the TANU officials were anxious to pioneer the progress of the villagization effort. Nevertheless, it became increasingly manipulative and coercive to achieve a higher rate of resettlement in the communal villages. Dissatisfied by the slow growth of the exercise, government and party officials became militant on the movement of people. This hostility stirred antipathies in some case, which led to clashes between the people and government officials. Indeed, a case in point was the assassination of a senior government official during the progress. In this regard, Ake (1996:58) observed:

> "The lack of realism on the part of officials and their effort to bring performance towards their plan target made them coercive and increased the alienation of officials and peasants to the detriment of productivity. It is not surprising that for all its good intentions, Ujamma did not bring about the expected increase in productivity".

It is worthy of note that some registered Ujamma villages were seen to merely exist, without a corresponding farming activities. This laxity more than anything else, is inimical to the spirit of hard work which makes self-reliance and socialist ideals a fiasco. It is therefore not uncommon to conclude that the villagization exercise was not embraced by everyone as expected. For instance, it was revealed that the village exercise was seen in some quarters as wagging real war against the people.

Again, the structural and functional differentiation of agricultural cultivation contravenes the notion of massive food production. Indeed, agriculture recorded a modest success because the Ujamma movement (as it were) failed to systematically transform the agricultural sector for commercial food production. This barrier alone is detrimental to achieving self-reliance as the impact of agriculture to the overall National economy remained abysmally low.

Furthermore, the nationalization of private firms does not intrinsically build confident on NDC as a strategy for self-reliant industrialization. Rather, there existed an unhealthy linkage between NDC and foreign firm. Such relationships were in the NDC's partnership agreement and management. Thus, it was quite obvious that the NDC fell into the mercy of the world's capitalist agents. This alone exposes NDC to the parasitic agents whose economic system was diametrically opposed to the socialist objectives of Tanzania. Hence, the industrialization strategy through NDC became an illusion, as it does not meet the desired target.

10. The Lessons for a Development Strategy

The challenges of self-reliant development call for appropriate strategies to overcome the crisis of underdevelopment especially in Tanzania. At post Arusha declaration, scholars have postulated various policy options to achieve the goals of self-reliance under the framework of socialism.

One of such measures is for Tanzania to disengage herself from international capitalism. Understandably, this will seemingly ensure a break away in her relationship from neo-colonial dependency. Nevertheless, in a world of increasing inter-dependence (not in all cases), it proves certainly difficult to logically apply this option to achieve self-reliance. The truth is that no nation can survive as an island of its own in the search, for development. Hence, Tanzania cannot afford to isolate itself from the comity of nations to actualize the gains of development.

Secondly, regional economic integration was equally suggested. This was considered to ensure that Tanzania takes advantage of the opportunity of small market and large economy of scale. Yet, this option lacks a uniform ideological system in regional economic groupings. The diametrical economies of regional nations can for instance, not sustain integration as a viable policy option for Tanzania in her move to self-reliance.

In the light of the above, appropriate and concerted economic measures based on the spirit of equity, justice and egalitarianism holds primacy, in the effort to achieve community development. This option should therefore reflect an effective programme to integrate socialist reconstruction and institutionalization. Such effort need to be complimented with a foreign aid policy as a veritable component of this economic element. But foreign aid poses yet another danger of dependency, especially on the donor country. Nevertheless, Okoko (1987:27) suggested an appropriate measure on how such an aid policy could reflect the economic needs of Tanzania as he maintained that:

> a socialist aid strategy must also explicitly select its donors according to the degree to which structural changes is likely to result from the implementation of aided projects… the result could be seen in aid policies of other socialist countries like China, Cuba, North Korea, etc… its usefulness lies in the extent to which it contribute to both long and short term economic goals… and a break with dependency on the donor.

437 Also, the adoption of an external aid strategy implies that the contradictions of both internal leadership and
438 bureaucratic bourgeoisie must be streamlined to have a clear national ideology.
439 Finally, the achievement in the combination of these variables provides the needed development strategy to
440 actualize the transformation of Tanzania. Its sustainability becomes an important lessons as an alternative development
441 paradigm to attain self-reliance by developing countries of the world.
442

443 11. Conclusion

444

445 It is fundamental that development does not occur in a vacuum neither does it occurs by chance. The landscape to
446 actualize any meaningful development depends largely on the goals of the society. In Tanzania, the philosophy of African
447 socialism was adopted and practiced as a form of community development. Even though, the implementation recorded
448 modest success, it has indeed, provided a framework to crystallize a strategy to achieve meaningful development in the
449 country. What is required is its sustainability through a purposeful leadership and a mass oriented followership to
450 consolidate the practice. Consequently, the bold initiative of Tanzania through the introduction of a developmental
451 paradigm remains an example for Africa countries and indeed other nations to adopt and overcome the crisis of
452 underdevelopment suffered by the continent.
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Experience in the Region to Increase the Availability of Housing Services

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Abstract

This article will review the policy aimed at creating a favorable investment climate for housing development in the region in order to meet the housing needs of its citizens. The mechanism of credit state support housing through the use of "property" of lending, which gives a real boost to housing affordability without a mortgage, housing and storage and other financial mechanisms.

Keywords: *housing services, housing policy, construction, housing affordability, state support mechanism*

1. Introduction

1.1 Problem setting.

The need for state support for the development and functioning of the housing is characterized by the importance of social values and is an area of livelihood of citizens, that is a factor that contributes to the national security. In the regulation of housing can not be guided only by the principles of market economy, as between these principles and social policies, there are considerable differences. In all developed countries, the housing sector is regulated by the state, both at the national and at the local level, both directly and indirectly. In this context, it becomes obvious that no reasonable mechanism of state support interaction between participants of housing construction, the housing problem will be amplified because there is an increase of social tension associated with the increase in prices for housing, tax charges and fees for the maintenance and operation of housing.

1.2 Latest research and publications analysis.

Regulatory issues and housing administration considered in O.E. Bessonova (Bessonova, 2011), G.M. Zagidullina, A.I. Romanova (Romanova *et al.*, 2013; Zagidullina *et al.*, 2013; Zagidullina *et al.*, 2013), Bagautdinova N.G. (Safiullin *et al.*, 2012) and many others (Bakri *et al.*, 2012; Sadeghi and Bozorgnia, 1994; Box and Jenkins, 1970; Cho, 2014). Problems of reforming and housing development in the regions and municipalities investigated in Fengguang Jiang (Jiang, 2012), A.N. Asaul (Asaul and Batrac, 2001), Ying Xie (Xie, 2011), Rumaizah Mohd Nordin (Rumaizah *et al.*, 2012) and others (Khasanov, 2014). At the same time, in the conditions of modern realities strategy development and implementation of regional housing policy is still in the early stages of its development and does not have the support, based on an understanding of the population of the importance of this strategy for the improvement of living standards (Yashin *et al.*, 2015; Assanova, 2015).

1.3 The research objective

The research objective is to analyze the development and implementation of socio-economic foundations of housing strategy to improve housing affordability in the region with the participation of the population in financing the construction.

2. Method

The methodological basis of the research were the methods and principles of systems-based approach, the functional-structural modeling, logical analysis, statistical, program-targeted methods.

The empirical base of the research were legislative and regulatory acts of the Russian Federation and the Republic of Tatarstan, the official statistics, analysis of the Ministry of Construction, Architecture and Housing and Communal Services of the Republic of Tatarstan, the Ministry of Economy of the Republic of Tatarstan.

Scientific research is based on the modeling of real-life situations with the action of different state laws and the consequences of their use. For simplicity and brevity consideration of a complex set of laws of their direct and immediate impact on the availability of housing allocated only by the example of the implementation of the program of housing policy and accounting nature of the distribution of income citizens of Tatarstan.

The theoretical basis of scientific studies provided the scientific works of domestic and foreign scholars in the field of theory and practice of formation and regulation of the housing stock, the formation of industrial organization, state and municipal government, the socialization of the system of relations in the economy, as well as monographs and publication in the official press on the researched topic.

3. Results

Social and affordable housing for citizens determined by the value of property and income. However, if you go into the concept of "affordable housing" in more detail, we can say that housing affordability is defined more purchasing power in the housing market. In this case, it should be considered that part of the income of the population (savings), which is directed to the acquisition of property. From this perspective, all the approaches to the problem of increasing the availability of housing due to the introduction of state mechanisms can be divided into two areas: reducing the cost of housing and increase the purchasing power of the population for housing.

Program policy for solving the housing problems in the Republic of Tatarstan allows for the creation of an integrated system of mortgage lending (Krivtsov, Kalimullin, 2015), which includes the provision of housing to citizens in installments and credit mechanism of state support for housing construction through the use of "property" of lending.

Initially for program policy development of housing construction in the Republic of Tatarstan and state support for citizens was necessary to solve complex economic and organizational and management (legal) problems:

1) the problem of creating and managing public investors, who will have to carry out housing construction by the state (republic) funds with the subsequent transfer of housing and home ownership in the property owners;

2) the problem of creating and reserving land fund, which should be determined prior to the capitalization of Housing and transfer the property in the future citizens who are homeowners;

3.1 The first group of problems

The decision of the first group of problems is to develop the principle of state support, implemented in the Republic of Tatarstan, with the possibility of repayment of the loan granted to them by citizens. Such a possibility is established, firstly, a rule for calculating the duration of the loan period – "n" years, and, secondly, the rule allocation social stratum in the Republic of Tatarstan, capable to purchase a house in the property. In the latter case, usually highlight the social strata of citizens determined by the difference values of per capita income of citizens and the minimum consumer budget.

State support of the citizens, tied to the state regulation of housing provision. This condition is associated with limited public resources. As part of the housing policy implemented in the Republic of Tatarstan, the following regulations such provision:

– thirty-three square meters - one resident citizen;

– forty-two square meters - for family numbering two people;

– sixteen square meters per person - for a family of four or more number of people.

State support to the provision of premises, exceeding the norm of housing provision for fixed discounted price should be 20%.

The principle of social and economic access to housing is the housing policy of the Republic of Tatarstan, mainly, but not only. Thus, taking into account the real incomes of all citizens, divided into different social groups (Ajupov *et al.*, 2015). Each group has its own set quota determined by the proportion of the number of apartments to be built.

The first layer of citizens to form a waiting list of municipal economy. They form a social stratum of citizens who are in need of urgent support. For this category of citizens formed a separate quota.

The second layer is formed by citizens who work in state and municipal institutions (public sector workers). The main reasons for the formation of such categories are: low salaries (in this case, the government and municipal authorities are responsible for the stability of income); in relation to this category can be used long-term loans, as their labor contracts and conditions of work are long-term or indefinite character. Thus, for a set of social categories of benefits.

Next quota is characterized by the formation of necessary and appropriate, as connected with the creation of sources of financing housing. It is the means of enterprises, which are sent to the construction. Accordingly, for the workers of these enterprises receiving credit support, formed a separate quota.

Citizens who receive federal government's financial support of the program "Young family", "Soldiers", form the last social group. For these categories set their quotas, taking into account the amount of money received from the federal budget.

In general, established in the Republic of Tatarstan system such differentiation state support and competition in the "quota" can be considered a success.

3.2 The main idea of state support for housing construction

Thus, given the above criteria, will present the main idea of state support used in the Republic of Tatarstan – giving citizens a property loan. Under the leadership of the state of a single owner-developer (public housing) at the expense of public resources to build housing that is available to citizens, selected in the competition and sign a contract with the state of the housing stock. In the role of the customer's building stands created building society where citizens come wishing to participate in the construction of housing. Builder in this case performs the function of purely contractors. The Parties shall cooperate on the basis of the construction contract, which makes it possible to avoid all the problems arising from the use of "gray" schemes. Cooperative, speaking on behalf of the customer and in the interests of its members, shareholders: approves design documentation, coordinates all changes to it in the course of construction; monitors the performance of contractual obligations by the construction organization; controls the order and amount of development of financial and other resources; reviews and approves questions appreciation of construction; conducts technical supervision, quality control of construction and installation work; involved in the acceptance of new housing in operation.

Under current law cooperatives have the right to form a variety of funds, including credit and make loans and loans to its members, without a banking license under the terms of mutual assistance. This makes it possible to use these funds for the purposes of crediting of citizens participating in the cooperative framework of the new, lower barrier housing affordability for the majority of the population and better address the issues of affordable housing. Citizens entering into a cooperative, making 50% of the market value of the property (the initial payment during the period of construction of a residential building, according to a fixed schedule of payments), and get a new home with the installments for the balance of debt for up to 27 years on favorable terms (low interest rate, the possibility of reducing the down payment, the possibility of "amnesty" in the case of disability). The value of the initial contribution to be paid in the process of building a house should be installed so that it covers the actual cost of construction, and provide return on investment within 1-2 years. All other amounts received by installment payments are net income on invested capital, and can be directed to the reinvestment of life (Romanova *et al.*, 2013).

This mechanism allows you to reach more in need of better living conditions and more effectively implement the basic ideas of the priority national project "Affordable and comfortable housing for Russian Federation". Furthermore, it allows:

− exclude financial intermediaries in the face of banks;
− exclude burden of citizens, the values of which can reach 50% or more of the market value of property;
− exclude the appearance of collateral housing prices.

The application of this mechanism helps to reduce the cost of purchased housing doubled compared to housing, which is acquired through a mortgage.

The most important benefit for the citizens of the state support is that if a citizen is not able to purchase the entire housing and to fulfill its obligations under the contract, he receives a refund most of the money and loses the right to tenure.

In the case of mortgage loans, the citizen loses not only home ownership, but the funds that have been paid on account of repayment of the loan, as well as the right to payment of insurance compensation in case of loss of health.

Thus, government support citizens in the Republic of Tatarstan has a number of important advantages than other mechanisms to improve housing affordability.

Principle payments on property lending mechanism for an apartment built in such a way that its annual growth

165 offset by higher average per capita income (for example, the growth of per capita income in 2014 increased relative to
166 2013 by 9.5% (The territorial body of the Federal State Statistics,1999)). In addition, it was noted that loan repayment is
167 proportional share repurchased property, expressed in square meters. Thus, there is a decrease in the cost of rental
168 housing due to the decrease of the unredeemed property. For example, the area of housing for rent is 50% of the actual
169 living space, provided that paid 50% of the property loan, expressed in monetary terms.
170
171 ### 3.3 The second group of problems
172
173 The decision of the second group of problems is innovative (Sadyrtdinov *et al*., 2015). The problem to solve was due to
174 the fact that under the Land Code of the Russian Federation land for construction of houses to be sold to developers on a
175 competitive basis.
176   Using the rules of the Land Code of the Russian Federation, according to which the authorities of the federal
177 subjects have the right to develop and implement targeted social programs within the concept provided for the
178 establishment of the first in Russia "Fund land reserve" and the relevant government agency of the Government of the
179 Republic of Tatarstan (Figure 1). Decree of the President of the Republic of Tatarstan on the establishment of such a
180 fund was issued in January 2003 (Romanova *et al*., 2013).
181
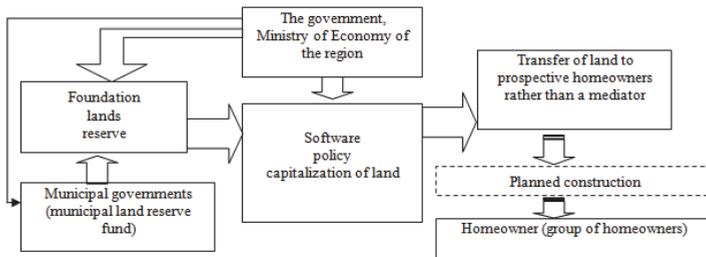
182
183 **Figure 1.** Scheme of formation of fund-aside land in the region
184
185 Purpose of the Fund reserve land:
186   – the accumulation of land from the land of the Republic of Tatarstan and land settlements (in coordination with
187   local authorities);
188   – capitalization reserve land for the development of engineering and transport infrastructure necessary for the
189   design and planning of housing construction in accordance with targeted social programs;
190   – the transfer of land reserve in a free limited use for the construction of housing for people - future owners in
191   need of government support.
192   Thus, the exclusion mechanism sale and resale of land to reduce the cost of housing.
193   The planning and implementation of a single zone capitalization of land needed for future urban planning and bind
194 future apartment buildings to a single social engineering and transport infrastructure. The use of such capitalization
195 reduces the cost of housing and the protection of such costs by the subsequent inflation. Earth derived from the reserve,
196 are not subject to property tax.
197   In general, this approach of housing policy of the Republic of Tatarstan, can be considered successful.
198
199 ## 4. Discussion
200
201 Thus, in view of the above we can formulate the conclusion that all efforts at the federal level measures (through targeted
202 programs aimed at certain categories of citizens) can not fully solve the problem of providing citizens with affordable
203 housing. The main reason is the rapid increase in the value of residential properties in comparison with the growth of real
204 household incomes, high housing affordability barrier for the vast majority of the population. The situation is aggravated
205 by the fact that there is no single concept of effective regulation of housing construction and housing and communal
206 services at the regional and municipal level. This leads to a decrease in effective demand and the overall stagnation in
207 the real estate market.
208   The proposed strategy to address the housing problem in the Republic of Tatarstan includes organizational and
209 economic mechanism of state support for citizens in home ownership, which allows you to increase the availability of

210 housing. In particular, this concept provides:
211   Firstly, the proposed economic mechanism of credit support, which lowers the barrier housing affordability due to:
212   – use of the mechanism of internal lending member housing co-operative without the use of collateral, thus
213   eliminating the additional cost burdens and the threat of losing their homes;
214   – use of a system of prior savings for construction purposes;
215   – application of the system of targeted support for certain categories of the population due to increase in terms
216   of installments and reduction of initial contributions;
217   – formation before the housing perspective form of government residential house - building society;
218   – reducing construction costs for citizens participating in the program.
219   Secondly, the formation of organizational-administrative mechanism, which includes the activities of all the subjects
220 and the real estate market determines the shape of their interaction as members of a single process that will:
221   – effectively accumulate funds for housing finance, build and transfer home ownership;
222   – ensure repayment of budget investments in social housing, due to the formation of economic circulation of
223   capital in the region, the country, region;
224   – use the mechanism of reinvestment.
225   Third, the establishment of an effective mechanism of state support for the organizers of housing using contract
226 granting tariff preferences, which in turn will allow the organs of state (regional and municipal) authorities to introduce a
227 market mechanism medium- and long-term planning of capital turnover and rights, the conditions of capitalization of land
228 revenue funds in the budget and extra-budgetary funds.
229   Fourth, the creation of a "Fund land reserve" that allows both to reduce the cost of housing at the expense of the
230 free provision of land for construction, as well as mechanisms to eliminate the sale and resale of land. This will ensure
231 that the planning and implementation of a single zone capitalization of land necessary conditions for future urban
232 planning and bind future apartment buildings to a single social engineering and transport infrastructure. The use of this
233 capitalization will reduce the cost of housing.

5. Conclusion

In conclusion, it should be noted that within the framework of the study, namely in the solution of the second group of
problems it is necessary to solve the problems of the third group, the essence of which is as follows. Future homeowners
should:
      – to group whose members are to buy housing in the future home;
      – to group whose members are to consolidate their savings allocated for the implementation of construction and
        repayment of debts in the process of foreclosure of property;
      – to group whose members will be in the future participants of common ownership to all general real estate in
        the house and in the household.
      There was a problem creating a specialized legal entity that is under its control will solve these problems.
      Already under construction apartment houses and savings mobilization of citizens for the purpose of such
construction is necessary to create a specialized legal entity that will serve as the owner under construction, and then
built, the apartment building. However, the study of this group of problems in a scientific article, unfortunately, failed to
hold. And of course, this direction will be the subject of future study researches.

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Analyzing the Skeleton-spatial Development in Yazd and Measuring Its Conformity with the Smart Growth Pattern

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Abstract

This article aims at and analyzing the skeleton –spatial pattern in Yazd and measuring its conformity with the smart urban growth pattern. This research is the applied type and its method is descriptive and analytic. Data gathering method has been of two methods, library and field study. To measure the skeleton farm and recognize the skeleton development pattern of the city, Garry coefficient, Mara, coefficient, Shannon Entropy model and intender model have been used. To measure the conformity of Yazd Skeleton growth pattern by using Constant development indicators ,experts were asked to do same surveys and questionnaires results of questionnaire are analyzed by using spss software .results of the research and calculating Moran and Gary coefficient , indicates that according to the degree of gathering and dispersion of population and activity ,Yazd follows a random to sprawl pattern .Copulating Shannon Entropy also confirms the urban sprawl growth in Yazd . According to the results of Heldern model 60 percent of Yazd growth during 1981 to 2011 , is related to population growth and 40 percent is based on city's spiral and horizontal growth that has led to the reduction in population compression and increase in shared urban land at last expansion in Yazd horizontal spiral form .Measure the growth pattern conformity and development of Yazd with the indicators of smart urban growth pattern indicates its lock of conformity ,The final result would be that during the past few decades ,growth and development pattern in Yazd been desirable and is not conforming to Smart Urban development.

Keywords: Physical Development,Growth Aspral, Smart Growth, Heldern Model,YazdCity

1. Introduction

Urban development on its developing course has been quite balanced since its beginning till now, as in most urban sites, All Urban elements have been of an extraordinary coincidence and superposition (1).

Social –Cultural and economical transitions of 19th and 20th century derived from modernism ,has led to fast city developments and creation of big cities and city-regions and have caused basic changer in structure and their skeleton-spatial form (**2**) paying attention to constant urban physical development as a main necessity in urban development plans indicates the importance of this matter in reinforcing Social ,Cultural and skeleton form of city (3*)*. And has made all the officials, managers and experts a solution (4).

Urban physical development means expansion and extension of city's Skeleton spaces (5). If the physical development is organized, rhythmical and balanced, it will be desirable .but if physical development in different parts of city is non rhythmical and disorganized, it causes urban (6). They have tried hard to remove the negative effects of dispersed distribution of cities and the most prominent of their attempts is the procedure of smart growth as one of the

possible ways against "sprawl" in urban development that in fact ,smart growth is Considered to be an alternative for sprawl (7).

Smart growth is a planning (urban and regional) and transportation theory that focuses on preventing dispersed distribution of city so that ,it will focuses on downtown growth (8) and it Supports the compact Usability toward public transportation which can be used by pedestrians and bicycle riders that includes development with mixed usability and different sorts of house choices.

This theory also takes into account the long and regional considerations and short term constancy theory (9).

Smart growth is of development alternatives against sprawl. Smart growth aims at building public places by focusing on renewing urban life and developing transportation Choices, so that people will like living there (2).

Yazd which has originated from a besieged castle (10)has been experiencing a quiet growth, In this land procedure ,traditional efficiency was considered to be sufficient and had been settling the city space according to economical ,Social and security conditions .But after this permanent and new Currency in models and ways of land use ,and because of the lack of a design and an experienced manager ,Land has grown Surprisingly and has formed different types of skeleton organs . progress in this condition ,not only has broken off city's solidarity but it has also increased economical ,social difficulties (11).Based on all these facts the main purpose of this research is measuring and analyzing physical form of Yazd city and Studying its conformity with model of optimized urban development. So research questions are as follow:

How is Yazd Spatial –skeleton development Model?

Do the skeletal model-space city of Yazd consistent with smart urban growth model?

2. Research Background

Different research has been done with expansion of skeletal-space and measurement of cities revises the growth model with smart urban. Rahnama and Abbaszadegan in research (2006) study comparative degree Transmittal/crushing in metropolitans Sydney and Mashhad depravities. This research by using GIS tools and by introducing four model (Entropy, Jinee ,Moran and Geary) indices for compression metropolitans Sydney and Australia and Mashhad in Iran is calculated in such a way that in the city Sydney model focused almost random pattern and Mashhad has been calculated. Gharakhlo and Zanganeh research (2009) recognized as a skeleton-spatial growth pattern city by using the models become more indecent a little (Entropy, Jinee ,Moran and Geary) in Tehran city, recognition and measurement model skeletal growth-space Tehran in different periods, the degree distribution of balanced density and postwar period as used and the numbers suggest inequality and lack of balance in the distribution of population in the city and city physical model of development Tehran gathering and the concentration on the model have low dispersion model city and somewhat random closer. Mohammad Hussein Saraee (2005) with research under the title "supply process and its influence on the expansion of cities quality; the city of Yazd (The author in the treatise that the search for causes of horizontal expansion of city of Yazd and paid in this regard to the factors like possession and the handing over of the land by the government absorbing the earth city limits in the plan of the city and the project of preparing the earth has pointed out.

3. Method and Material

Research method: This research is the applicable type and its method is descriptive and analytical. way of gathering needed date for this is descriptive and analytical .way of gathering needed data for this research is of two types: library and field .in Library way .articles ,books research proposals , thesis ,maps and achieved information of some offices and organizations have been used .In field way needed information is gathered through observation and experts, questionnaire To measure the Skeleton form ,and recognize the city skeleton development model Moran and Gary coefficients and Entropy modal and Heldern moderl are used .To measure the Conformity of Yazd growth model with constant development indicators ,questionnaire and surveys from experts were used. And the results o the questionnaire have been anodized by using spss statistical Software.

4. Introducing the Under Studying Boundary

Yazd is the second historical "raw brick "City of the world which is one of the cities in Iran and is the center of Yazd province and is located on Es Esfahan-Kerman route. This city is placed between 54 degrees and 18 minutes to 54 degrees and 24 minutes of Eastern longitude and 31 degrees and 40 minutes to 31 degrees and 56 minutes of northern latitude and contains an area of about 91 km^2 .its average altitude in Amir Chakhmagh (city center) is 1218 (Iran

111　topography organization ,2011).

113　**5.　Results and Discussion**

115　To determine the degree of gathering and dispersion of city, spatial self correlation processes are used that you can
116　evaluate the level and degree of gathering and dispersion in the city by measuring the self-correlation and for this
117　reason Moran and Gary coefficients ore used. Spatial self-correlation is that correlation between the same variables in
118　Moran different places:
119　　　　(12)Moran coefficient is defined as fallowing: (13)
120　　　I=$I = \frac{n \sum \sum wij(x_i - x^-)(Xj - x^-)}{\sum \sum w_{ij} \sum (x-c)^2}$　　　　　　　　　　　　　　　(1

121　　　　n, is the number of small regions .xi is the population or the employment in small region of I , xi is the population
122　or employment in small region of j ,x is the variable of population or employment and wij identifies the weight
123　between two regions of I and j. Moran coefficient is arranged from -1 to +1 it Its high value indicates much gathering with
124　high compression and the value which is close to zero ,means a random gathering and -1 indicates a checkered model
125　of development.
126　　　　Geary's coefficient is also similar to Moran coefficient but instead of focusing on mean deviation, it evaluates the
127　difference of each region against another one and formulates it as below:
128　　　　Geary=$Geary \frac{(n-1) \sum \sum wij(xi-xj)^2}{2 \sum \sum wij \sum (xi-x)^2}$　　　　　　　　　　　　(2

129　　　　Geary's coefficient is arranged between 0 to 20 .In order to having a measurement similar to Moran's, it can charge
130　like the 3 rd
131　　　　Adjusted Geary= - (Geary-1)　　　　　　　　　　　　　　　　　(3
132　　　　Adjusted Geary's coefficient like Moran's is from -1 to +1 that its high valve indicates much gathering with high
133　compression and the valve which is close to zero ,it means random gathering and the value of-1 indicates checkered
134　model (14) The results of calculating moron's and Geary's Coefficient for Yazd city are shown in table 12 .Moran's
135　coefficients which were calculated the employment and population indicate a random model and the case that this
136　model mostly tends toward growl than cluster model. Geary's Adjusted coefficient for population and employment in Yazd
137　city was calculated by zero and one way which both are reality close to random model and tends toward sprawl that
138　conforms to the results of Moran s coefficient .According to the Calculations done in Yazd City it follows the random
139　model toward sprawl considering the degree of gathering and population and activity sprawl.

141　**Table (1).** Gary and Moran coefficients for Yazd

Amount 2011	Amount1385	Amount1380	Amount1375	Parameter	Different Coefficients
-0.158	-0.211	-0.180	-0.179	population	Moran (Mode 0 and 1)
-0.154	-0.210	-0.183	-	Employment	
-0.056	-0.175	0.133	0.105	population	Moran (Method common border)
-0.048	-0.135	0.159	-	Employment	
1.040	1.083	1.139	1.143	population	Geary (method 0,1)
1.021	1.096	1.141	-	Employment	
-0.040	-0.083	-0.139	-0.143	population	Modulator Geary (method 0,1)
-0.021	-0.096	-0.141	-	Employment	

144　**Source:** writer's accounting

146　Measuring sprawl growth of City is difficult and ambiguous (15) But considering it there are a number of measurement
147　and parameter which are used to measure urban sprawl growth. One of these models is Entropy's model .In fact this
148　model is going to be used to analyze and determine the amount of urban deform growth phenomenon (16). The value of
149　Entropy is from zero till Ln (n). Zero value indicates the City's so compressed physical development, while the Ln (n)
150　valve indicates the urban sprawl physical development .when the Entropy's value exceeds Ln (n) ,we can ,claim than
151　urban sprawl growth has happened .(17)
152　　　　H= $-\sum_{i=j}^{n} p$
153　　　　Here, in 2011 Entropy for the area of q regions Yazd city was calculated and 2.133 was gained .when Ln (n) is
154　equal to 2.147 Closeness to Entropy valve to the maximum ,indicates sprawl growth of physical development .So Yazd

155   city is of sprawl physical development.

156

157   **Table (2).** Shannon Entropy calculated 2006 in Yazd

158

$P_i * Ln\ P_i$	$Ln\ P_i$	P_i	area	Urban areas
-0.24	-2.21	0.11	1062	**1-1**
-0.23	-2.29	0.10	977	**2-1**
-0.18	-2.71	0.07	640.3	**1-2**
-0.23	-2.32	0.10	947	**2-2**
-0.21	-2.42	0.09	861	**3-2**
-0.24	-2.26	0.10	1011.2	**4-2**
-0.27	-2.02	0.13	1284.4	**1-3**
-0.33	-1.51	0.22	2129	**2-3**
-0.20	-2.56	0.08	748	**historical**
-2.133		**Total**		
2.133		**Shannon Entropy1390**		

159

160   Another main methods of identifying urban sprawl growth is the use of Heldern model .By using this model .You can
161   identify how much of the city's growth is resulted from population growth and how much is resulted from urban sprawl
162   growth (18).This model was first applied by Heldern in 1991 to calculate the ratio of population to every other Source
163   (19).This model Levels are as follow(16) .

164   (1)= a=$\frac{A}{p}$

165   In (1) gross share (a) equals to division of land area (A) to population (P) .it can be concluded that a whole land
166   that is occupied by an urban region (A) equal to product of grass .share (a) and population .So we will have:

167   (2) :A =pxa

168   According to Heldern method ,if population increases by (Δp) during the period of (Δt) ,and the land use share
169   Changes by (Δp) all the urban Lends will increase by (Δp) .and then by replacing in 2 correlation You will Conclude:

170   (3) :A+ΔA =(P+Δp) .(a. Δa)

171   By replacing (2) and (3) relation and dividing it by (A) .You can have the changes in boundary area ($\Delta A/A$) which
172   has turned into a city .during the period of (ΔT):

173   (4) : $\frac{\Delta A}{A}=\frac{\Delta p}{p}+\frac{\Delta a}{a}+(\frac{\Delta p}{p}) \cdot (\frac{\Delta a}{a})$

174   Considering this, By following Heldern model, (4) relation shows that the percentage of a city growth

175   100)$and\ precertage\ of\ grass\ unit\ growth (\frac{\Delta A}{A} \times 100)$.

176   In other words 4 relation is:

177   (5):Total percentage of non net share growth t total percentage of city's population growth = total percentage of
178   towns extent (space)

179   Based on this fact the share of population growth of the Land Sum is gained by the Change ratio of the whole
180   population in one era to the whole percentage change of Land Content of Same era can be stated as: the share of land
181   (6)growth=$\frac{tatal\ percentage\ of\ populatien}{urit\ of\ land\ conten}$

182   For the land share you can similarly calculate the share for Land growth

183   (7)The share of Land growth =$\frac{tatal\ percentage\ of\ land\ appliccabtity\ share\ growth}{tatal\ perceetage\ of\ lands\ contens\ growth}$

184   According to population growth model, Heldren offers a general model to complete own model:

185   (8): Pt=p0 (1+gp)t

186   In which, pt is the population in time (t), po is the initial population, gp is the population growth during a period .To
187   solve gp you can use the following formula (9): In (1+qp)= ($\frac{1}{t}$) ln ($\frac{pt}{p0}$)

188   Because In (1+x) is almost X for the values which are lower than x You can write(9) equation as:

189   (10): $g_{p=\frac{1}{t}} In (\frac{pt}{p_0})$

190   The results of growth rate can also be written for land content (A) and share of Land usability

191   (11): $g_{A=\left(\frac{1}{t}\right)} in (\frac{A(t)}{A_0})$

(12): $g_{a=\left(\frac{1}{t}\right)}in\left(\frac{a(t)}{a_0}\right.$

So, .Based on these 3 growth rate Heldern equation can be written as:

(13): $q_p + q_a = q_A$

By making formula (10-12) for the degree of growth and relationship between initial values and ending period of variables a, A ,p during the period in (14) equation ,we have

(14): $\ln\left(\frac{q}{w}\right) + \ln\left(\frac{e}{r}\right) = \ln\left(\frac{y}{s}\right)$

Which, in this formula, r is the population at the end of determined period and w is the population in the beginning of the period, e is the ending nonet share q is the beginning nannet share y is the city content at the end of the period and s is the city content for the beginning time .The same situation for Yazd is as follow:

Table 3. Components of Model Heldern

206384	The start of population 1360	W
486152	End of population1390	R
125.978Sq.m.	Start of per capita gross	Q
208.453Sq.m.	GDP per capita over the period	E
2600Hectare	The area of the town at the beginning of the period	S
10134Hectare	The area of the town at the end of the period	Y

Which by placing these numbers in 4 equations we conclude that:

(15): $\ln\frac{486162}{2A6]84} + In\left(\frac{208.463}{125.978}\right) = \ln\left(\frac{10134}{1600}\right.$

(16): 2/3555+1/6/546=3/8976

(17): 0/8567+/5035=1/3603

(18): $\frac{0.8567}{/03603} + \frac{(0.6035)}{/03603} = \frac{103602}{103603}$

After this and by using 18 and 19 equations the shares related to the percentage of population growth and percentage of urban land gross share is gained by deriding each side of equation to 1.8648 :

(19) 0.6 +0.4=1

So, considering all the above equation we can conclude that 60 percent of city's growth during years1982 to 2011 is related to the growth to population and 40 percent left, is related to horizontal and spiral growth of the city that it reduction to horizontal and spiral growth of the city that it leads to the reduction in gross dispersion of population and increase of urban land gross share and finally the spiral and deform horizontal development of Yazd city.

The degree of conformity between Yazd features and urban smart growth and development features was measured after recognizing its growth model and skeleton development.10 features were considered to measure the optimized urban growth and development and compared to Yazd city which are shown in table4 .these features are the standard ones which are taken into account by different experts for urban smart growth.

Table 4: 10 features of smart growth and optimized urban development:

1-desired spatial distribution of urban services
2-desired spatial distribution of city's population
3- desired spatial distribution of employment
4-Providing   different and various ways of transportation
5. Desired access   to all regions and quarters of the city with no traffic
6. Conserving outdoors and Farm lands.
7. Making streets and quarters which are suitable for pedestrians.
8. Creating on spectrum of choices and ways for inhabitants.
9. Design compact buildings and making compactness.
10. Usability of mixed Lands.

228
229

Table 5: Mean, standard deviation, Median, Mode, minimum, maximum, variance and ….. are shown for each of the 10 .

Statistics		q1	q2	q3	q4	q5	q6	q7	q8	q9	q10
N	Valid	30	30	30	30	30	30	30	30	30	30
	Missing	0	0	0	0	0	0	0	0	0	0
Mean		3.1667	3.2667	3.2667	3.4333	3.0667	3.7667	4.6667	3.4333	4.5333	3.1333
Std. Error of Mean		.14450	.17897	.17243	.18988	.22961	.20724	.11073	.18372	.12441	.17768
Median		3.0000	3.0000	3.0000	3.0000	3.0000	4.0000	5.0000	4.0000	5.0000	3.0000
Mode		3.00	3.00	4.00	3.00	2.00ᵃ	5.00	5.00	4.00	5.00	3.00
Std. Deviation		.79148	.98027	.94443	1.04000	1.25762	1.13512	.60648	1.00630	.68145	.97320
Variance		.626	.961	.892	1.082	1.582	1.289	.368	1.013	.464	.947
Skewness		-.315	-.348	-.845	.190	-.022	-.567	-1.693	-.566	-1.179	-.283
Std. Error of Skewness		.427	.427	.427	.427	.427	.427	.427	.427	.427	.427
Kurtosis		1.285	.678	.574	-1.068	-1.148	-.431	1.958	-.196	.229	.296
Std. Error of Kurtosis		.833	.833	.833	.833	.833	.833	.833	.833	.833	.833
Range		4.00	4.00	4.00	3.00	4.00	4.00	2.00	4.00	2.00	4.00
Minimum		1.00	1.00	1.00	2.00	1.00	1.00	3.00	1.00	3.00	1.00
Maximum		5.00	5.00	5.00	5.00	5.00	5.00	5.00	5.00	5.00	5.00
Sum		95.00	98.00	98.00	103.00	92.00	113.00	140.00	103.00	136.00	94.00
a. Multiple modes exist. The smallest value is shown											

230

231 **Source:** writer's accounting

232

233 **Table 6:** meaning fullness of each compilations of theory is measured by using the one sample test .All the 10
234 compilations were found to be meaningful (valid)

235

One-Sample Test						
Test Value = 2.5						
					95% Confidence Interval of the Difference	
	t	df	Sig. (2-tailed)	Mean Difference	Lower	Upper
q1	4.614	29	.000	.66667	.3711	.9622
q2	4.284	29	.000	.76667	.4006	1.1327
q3	4.446	29	.000	.76667	.4140	1.1193
q4	4.915	29	.000	.93333	.5450	1.3217
q5	2.468	29	.020	.56667	.0971	1.0363
q6	6.112	29	.000	1.26667	.8428	1.6905
q7	19.568	29	.000	2.16667	1.9402	2.3931
q8	5.080	29	.000	.93333	.5576	1.3091
q9	16.343	29	.000	2.03333	1.7789	2.2878
q10	3.564	29	.001	.63333	.2699	.9967

236

237 **Source:** writer's accounting

238

239 Total average of marks for responders to the total indicators is 15.8 that indicates that the indicators of smart urban
240 growth of Yazd city are lower than average .one sample test confirmed the validity of all the compilations too. So the
241 results show the Lack of conformity of Yazd features with principles and features of smart urban growth.

242

243 **6. Conclusion**

244

245 New development patterns city of Yazd in contrast with traditional patterns that has caused problems in the literature
246 double urban development. On the other hand, the marginal rural tissue within city borders drawn model and caused
247 historical development of physical tissue and on the other hand agricultural lands and gardens with this rural tissue into
248 reclaims waste lands attached to the city current and development of model edges has. In the process formation of this
249 growth patterns, urban projects by absorbing the earth repeatedly blame the major.
250   The results of statistical studies and analyzing Shannon models Moran coefficient, Geary's coefficient and Heldern

251 Model indicate an spiral an deformed skeleton growth of Yazd city .According to the result, 60 percent of city growth
252 during 1982 to 2011 was related to population growth and 40 percent left was related to horizontal and spiral growth of
253 the city that results in the reduction of rennet gathering of population and increase in gross share of urban and at last
254 increase in horizontal spiral and deformed development of Yazd measuring the conformity of Yazd skeleton development
255 of Yazd Measuring the conformity of Yazd skeleton development model with indicators of smart of smart urban growth
256 indicates the lock of conformity So, Yazd city requires exact planning to balance the future growth and development.

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Study of the Development of Institutionalism in Electric-Power Industry

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Abstract

Object of research - the institutional environment of power industry. The article considers the institutional aspects of the development of the electric power industry. The undertaken large-scale transformations in the Russian electric power industry are not perfect yet. There should be conducted a tedious research and practical work on the creation of an effective institutional structure. The creation of electric power industry based on a new institutional structure will allow smoothing unstable condition of the national economy. Research methods: system and institutional approach, analysis and comparison of these various researches, use of empirical materials. The results show that, now in world economy it is necessary to pay attention to creation of the effective institutional environment of power. Institutional environment energy sphere is an integrated system of institutional support activities, development of human and social capital, industrial and economic growth. Reliability, quality, convenience, efficiency and availability of energy products and services, fast and cheap connection to power grids, the establishment of the institutional framework for consumers should be an important priority in the country's economic policy.

Keywords: institutional changes, electric-power industry, energy efficiency, intellectual energy engineering.

1. Introduction

Nowadays, the development of electric-power industry requires a thorough scientific basis. Modern problems of development of Russian energy are not only related to the technological features of the industry, but also to the institutional framework of its operation and development.

The development of the institutional environment of electric-power industry is not backed by the theoretical basis. Meanwhile, recent years' deep and ambiguous institutional reforms in the electric-power industry have caused a certain tension in the society. The study of institutional foundations of optimization in energy sector is the imperative of our time (Burganov. 2014). In particular, according to the statistics of the Supreme Arbitration Court of Russia (FAS), the number of proceedings regarding the negotiation and execution of energy supply contracts tends to increase every year.

Thus, the relevance of the study is connected with the need to consider the characteristics and methods of institutionalizing the electric power industry.

The purpose of the study is to identify the condition and perspectives of the development of theoretical and methodological framework of researches of institutional changes in the electric-power industry of the national economy.

2. Literature Review

Theoretical-institutional research in this area could be based on the concepts of the theory of contacts, the multiplicity of interests, the Pareto principle, etc. In the historical and economic aspects, the theories of institutional changes explained the manifestation of institutions in the electricity sector in different ways, in particular, regarding the property institution. D.

North defined institutions as structural forms of human interactions (North, 1990). In modern foreign studies on the topic of scientific activity can be noted Polanyi K., O'Sullivan A., Eggertsson T., Rodrik D., Mundaca L. etc.

3. Research Methods

One of the most important factors, that determine the current situation in the power industry and create limitations for further development, is its "politicization". When territorial expansion led to the growth of the energy system to the scales of the state, it became an instrument of politics in various forms: social, economic, development of regions, security, integrity and so on, – in fact, that's the way it is nowadays. However, if its "political" component constituted earlier a tool for developing the industry, now it is increasingly becoming a limiting factor. Primarily this is manifested in the practice of cross-subsidization, i.e. in the support of some sectors, regions or customers at the expense of others. "Politicization" is an institutional problem, since it is caused by non-economic factors, by the need to protect the interests of a particular group of people.

The second important factor having a significant impact on the state of modern electric-power industry is the development of institutional competition, in particular, regarding the efficient use of the property institution. One of the major objectives of the reforms was to create in the industry a competitive market which could ensure the most efficient operation of electric power and its constituent entities. It should be noted that the possibility of creating a perfectly competitive market in the industry is considerably limited by the technological and technical conditions.

4. Analysis Result

Let us consider the main aspects which determine or influence the state of institutional relations in the current market model.

From a consumer perspective, the level of market imperfections of electricity (capacity) is rather high due to the following:

- institutional structure of electric power is far from effective functioning;
- institutional changes are inert and largely determined by the National Energy Strategy;
- unlike overseas electricity markets, our market does not ensure competition for the customer who has substantial limits in selecting (changing) the electricity supplier;
- access to the wholesale market with more attractive price conditions is connected for the customer with huge financial and time costs;
- consumers which are not participants of the wholesale market do not have the possibility to influence the competition of the energy suppliers nor the purchase of energy and services in the public trading floors, etc.;
- extremely low level of competition in retail markets where failed the expectations for effective competition between energy supply companies for their customers, for encouraging them to introduce mechanisms of reducing prices and improving the quality of service.

In addition, the analysis of the development of this sector in the Russian model demonstrates:

- the imperfection of the mechanisms of tariff regulation and, as a result, the uncontrolled growth of tariffs for transmission and distribution of electricity;
- the complexity of procedures and the high cost of connection to the supply;
- the system of cross-subsidization remains, which considerably distorts market signals and incentives both in the current state and while formulating the industry development strategy.

5. Discussion

All of these produce a system of negative signals to the customers, and their possible reaction options can result in reducing consumption, increasing energy efficiency or developing their own generation. For the last two or three years industrial and other consumers have been leaving the market and have focused on the development of local energy supply systems. This is mainly due to the inefficiency of institutional changes in the electric-power industry.

The result is a kind of an institutional trap: the more active consumers are to leave the centralized electric-power supply, the higher the price burden is on the remaining customers and the stronger the negative signals are, forcing to reduce consumption or to create one's own power supply system.

Due to the lack of the institutional environment and to the impossibility for consumers to abandon the expensive energy (demand price-elasticity of the market equals zero), providers overcharge prices (according to the experts, by 20-

112   40%).

113   Another factor, which started considerably transforming the electric-power industry last decade, is the development
114   of new technologies. In connection with breakthroughs in the development of intellectual technologies significant changes
115   took place in the trends of development of the electric-power industry, which primarily affected the transition to a new
116   technological order. The traditional way of developing the electric-power industry involved primarily increasing new
117   capacities and facilities as well as upgrading particular types of the equipment with better characteristics of existing
118   engineering capability, which could allow the industry to meet the growing demand of the society and the economy for a
119   hundred years. The major industrialized nations have analyzed possible ways of solving the above-mentioned problems,
120   and the results of this analysis showed that there are serious constraints for energy developing in the framework of
121   traditional approaches (Kobets, Volkova, 2010). However, the development of new technologies requires a change of
122   institutional relations. The state of formal and informal institutions should be taken to a new level.

123   Understanding the need for fundamental changes of the industry functioning model brought foreign countries to
124   search new approaches to the solution: the new approach was based on the classical theory of strategic management
125   which is a system of views on the image of the object of study in future, i.e. it suggests strategic vision.

126   Thus, the starting point for the development of the concept of the intellectual energy engineering was a clear vision
127   of the energy system meeting the requirements of the future society and of all the interested parties: government,
128   science, economy, business, consumers and other institutions.

129   The strategic vision of institutional changes in energy engineering can be represented as a set of the following
130   points:

131   1.   All the institutions: government, business, science, households, etc., are interested in the development of
132   energy engineering, as it is the infrastructural basis for developing a country's economy. Goods and services
133   produced in the industry are of high social significance and have virtually no substitutes.
134   2.   Optimization of the quality and efficiency of the use of all kinds of resources (fuel, technical, managerial,
135   informational, etc.) and energy assets.
136   3.   In today's and future society energy is considered to be a source (an instrument or means) providing
137   individuals and society with some consumer values: vital goods, a level of comfort and so on.
138   4.   Meeting the need of the XXI-st century society for electric energy together with considerable reducing the
139   pressure on the planet's ecology.
140   5.   Changes in the behavior of electricity consumers, including households. The law of rising necessities should
141   be taken into consideration. In service market the increasingly important role is played by "new" institutional
142   units of the services market, the occurrence of which is predetermined by the relevancy to satisfy human
143   needs (Burganov, 2013).

144   The resulting diversity and differentiation of requirements or values radically change traditional views on the role,
145   place and purpose of energy development: the concept of intellectual energy engineering comes from the need to meet
146   the requirements of all interested parties at any time and in any place.

147   Thus, within the concept of energy engineering development the task set is not to provide a certain volume of
148   energy with prescribed (by someone) parameters and characteristics, but to provide a consumer with the opportunity to
149   choose on his own how much, where, how and the energy of what characteristics to consume and (or) to produce giving
150   him the possibility to get both today and in the future the necessary benefits, the level of comfort as well as the creation of
151   an effective institutional environment.

152   The concept of intellectual energy engineering is based on a quite deep analysis of trends in the development of
153   society, assessing current and forecasted challenges and threats, emerging and anticipated requests, motivation and
154   behavior of both consumers and other interested parties, determined by directions of general technical and technological
155   development influencing the requirements to the energy sector (Elektroenergetika Rossii 2030:. 2008). Within 15-20
156   years its implementation will lead to the crucial changes of the energy sector and its efficient and reliable operation for the
157   benefit of society. One of the key solutions for meeting the objectives of the concept is the trend of a gradual shift toward
158   distributed generation based on intelligent technologies that make it possible to arrange for functioning and controlling
159   such systems in real time.

160
161   **6. Conclusion**
162

163   Introduction and active development of increasingly important sector of distributed energy engineering require a change
164   in the paradigm of development of electric-power industry and an adjustment of legal framework, namely it is necessary
165   to:

- ensure, as a matter of priority, the observability of this sector, which requires to design and launch collecting relevant reporting information;
- change the institutional rules of pricing for network-energy services, comprising: a) the transition from the boiler tariff scheme for network-energy services where the "boiler" is formed at the level of the subject of the Russian Federation, to the municipal boiler tariffs for network-energy services for networks of 35 kW and below; b) for low-power generating units operating for specific customers, the departure from the compulsory application of boiler tariffs for electricity sold by them and start payment only for the necessary level of reserving network capacities;
- introduce and regulate the development of municipal schemes of energy engineering for regularizing the processes of managing the development of energy distributing infrastructure and low-capacity cogeneration units;
- organize cooperation of the institutions of the national economy to coordinate the development of municipal electric engineering and large electric-power industry at the federal level and the level of the Russian Federation.

Today the solution of these problems should result for Russia in creation of effective institutional environment of electric-power industry against the background of slowing down the pace of economic growth following the sanctions from a number of countries.

7. Acknowledgement

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Mechanism of Financial Results Management for the Industrial Enterprise

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Abstract

Research is devoted to the analysis of the mechanism of management of financial results which makes set of the administrative decisions providing achievement of a maximum of profit. Relevance of this problem is confirmed by data the expert according to whom many Russian enterprises due to the lack of the adjusted control system of finance annually lose not less than 10% of the income. Therefore decisions which essence is reduced to creation of the effective mechanism of management of financial results have to become the most important problem of management of finance of the enterprise. It is proved that the mechanism of management of financial results has to coordinate price and assortment policy with policy of minimization of variables and constant expenses on the basis of studying of opportunities of advance of production for the market. It is revealed that effective managements of financial results of the industrial enterprises has to combine marketing, the prices and policy of the range with measures for decrease in expenses. The maximum size of profit or minimization of losses that can be reached as a result of imitating experiment on the offered models considering all set of factors has to become criterion function of such mechanism of management.

Keywords: financial result, industrial enterprise, mathematical modeling, management mechanism, profit, prime cost

1. Introduction

Regardless of the type of economic activity financial results are formed as the difference between revenues and expenses from operations of production and product realization, purchase and sale of certain items of current and non-current assets, securities, which is reflected in the corresponding accounting standards (Borodin, 2007). Positive financial result (profit) is a source of welfare improvement of capital owners and self-financing enterprise development. Then it is natural desire of the enterprise to maximize its profit in given economic conditions. And approaches to solving this problem may be different. One of them is an implementation of general and specific functions of profit management, where the most commonly used is such a function as analysis and planning (Borodin, 2006; Borodin & Shash &

58 Goloshchapova, 2013). Another approach to the management of profit generation is based on the use of interconnection
59 of costs, sales and profit volume, mechanisms of operational and financial leverages (Bogatin & Shvandar, 1998; Miller &
60 Viosca, 1967). Application of the letter approach requires as a part of the production costs distinguishing of fixed and
61 variable costs, that in varying degree depend on the volume of production. This relation substantiated first time by J. M.
62 Clark served as a basis of the "direct costing" system (1926). Its application simplifies the calculation, accounting and
63 planning of financial results, since only direct variable costs are to be calculated, while indirect ones have to be covered
64 by gross marginal profit. However, the problematic issue remains the accuracy of cost division into fixed and variable
65 parts. Different methods to distinguish fixed and variable costs are proposed (Bliznuk, 2002; Borodin & Shash &
66 Goloshchapova, 2013; Kerimov, 2001; Sheremet & Negashev, 2003). But they have calculated nature and therefore
67 should be used for domestic economic performance, for example, to assess the prospects for the organization
68 development. Despite a sufficient number of publications devoted to specific issues of profit management, many
69 questions remain open, in particular, a complex representation of the management of the financial results by a set of
70 mechanisms. And the purpose of this article is to substantiate the principles of formation of the mechanism of
71 management of financial operating results using mathematical modeling methods.
72
73 **2. Method**
74
75 The financial result, as a difference between revenues and expenses across the different activities of an industrial
76 enterprise, can be increased by maximizing revenues and minimizing costs, primarily from operating activities, which tend
77 to take 80 - 90% of the overall structure of revenues and expenses. In its turn as a part of operating expenditures and
78 revenues of industrial enterprise the greatest share occupies net income, which is understood in terms of income
79 statement as revenue from sales of products, services, and cost of goods sold.
80 Naturally, that the basis of the mechanism of management of financial results is compiled by a set of management
81 solutions that help to achieve maximum profit. Then the objective function for the case of wide range production can be
82 written as follows:
83 $\Pi = \sum_{i=1}^{m} p_i q_i - (a + \sum_{i=1}^{m} b_i q_i) \to \max$ (1)
84 where *a* – fixed costs as a part of cost of goods sold, administrative and distribution costs;
85 p – price;
86 q – volume of sales;
87 b_i- variable production costs per unit *i*.
88 The literature offers a variety of methods for dividing the costs into fixed and variable. For example, the method of
89 the highest and lowest point, "stretched string", least squares, regression analysis of a sufficient number of observations
90 (Bliznuk, 2002; Sheremet & Negashev, 2003). Disadvantages of each of them are the use of historical data. More
91 accurate, although more time-consuming is the calculation approach, when as a part of the costs of goods sold,
92 administrative and distribution expenses of the planning period are distinguished variable costs per unit of sales in
93 volume and value terms. The remaining costs that refer to the expenses of the planning period are fixed and are covered
94 by the gross profit.
95 To increase a net profit is possible in several ways: raise a price at a fixed volume of sales, increase production at
96 a fixed price or reduce the price while increasing the volume of production (sales). These trends are analyzed during the
97 formation of the pricing policy of the enterprise. It is convenient to consider the example of the formula to determine the
98 critical volume of sales:
99 $q_{cr} = {}^{a}/(p - b)$ (2)
100 With an increase in price and reduction of fixed and unit variable costs the critical sales volume decreases.
101 Accordingly, the area of commercial security expands and a further increase in earnings depends on the ability of the
102 enterprise to implement competitive advantages for the promotion of products on the market.
103 When implemented the policy of price increase, with the rise in price above the limits of demand sensitivity the
104 sales volume starts falling. The possible intermediate solution is to slightly increase price and sales volume. In all cases,
105 the constraints are the size of the market, the level of competition and production facilities for each product. If there is
106 spare capacity, it may be on the contrary economically feasible to decrease prices and increase production. And the
107 higher the share of fixed costs in cost structure, as the calculations show (Table. 1), the more feasible may be the
108 realization of this event.
109 Savings of fixed and variable costs should supplement Marketing and distribution policy. However, depending on
110 the elasticity of demand the impact of the factors can be different. For example, with the unitary- or inelastic demand it is

111 feasible to increase prices up to certain limits that substantiated by calculations. Cost saving is less important factor.
112 With elastic demand a price increase leads to a significant decrease in sales volume and loss of net income.
113 Therefore, cost savings policy becomes economically viable.
114
115 **Table 1.** Determination of Sales Volume to Provide Desired Level of Profitability at Lower Prices
116

Indicators	The share of fixed costs in the prime cost, %		
	80	60	40
Prime cost, ths. RUR.	1 000	1 000	1 000
Price at the rate of profitability 25% (p)	1 250	1 250	1 250
Fixed costs, RUR/unit	800	600	400
Variable costs, RUR/unit (b)	200	400	600
Initial sales volume, units	1 000	1 000	1 000
Fixed costs, RUR (a)	800 000	600 000	400 000
Price after reduction, RUR/unit	1 000	1 000	1 000
The volume of sales, ensuring the profitability of 25%	1333,3	1500	2000

117
118 If it is possible to establish in the future a quantitative relationship between sales volume and price, the problem reduces
119 to the determination of the volume of sales at which the profit reaches the maximum value. As a limitation acts a
120 production capacity for this type of product. This problem was solved by various authors, such as (Bogatin & Shvandar,
121 1998; Savinkin, 2004; Shirobokov & Yanovsky & Yanovskaya, 2004). It is known in microeconomics. However, its
122 practical implementation is difficult, because in the future it is necessary to have the interdependence of prices and
123 volumes. In a competitive market the cost of collection and processing of data can exceed the effect of optimization.
124 A particular case of the profit maximization problem is a digressive nature of variable costs. Then by the production
125 of a single product a target function takes the following form:
126 $\Pi = pq - (a+bq) \rightarrow \max$ or $\Pi = (p-b)q - a \rightarrow \max$ (3)
127 Break-even is achieved by sales volume calculated by the formula:
128 $q_{\text{кр}} = {}^{a}/(p + b)$ (4)
129 Consequently, the digressive nature of variable costs increases the power of the operational leverage which
130 implies the increase in growth rates of positive financial result or the decrease of the negative financial result. Despite
131 being rare, this case can be faced in economic practice of industrial enterprises.
132 Under the condition of progressive tendency in variable costs change the following imitation model can be used in
133 order to determine the highest profit value:
134 $\Pi_i = pI_p q I_q - aI_a - bI_b q I_q \rightarrow \max$ (5)
135 where I_P, I_q, I_a, I_b – indexes of change of corresponding parameters in the planning period relating to the good of
136 type i. Depending from market situation, competition intensity, opportunities to reduce fixed and variable costs the
137 combination of parameters for profit maximization is identified.
138
139 **3. Results**
140
141 For enterprises that produce a wide product range a significant number of denominations could form this product range
142 having (themselves) different financial and marketing significance. Therefore, there is always the task of identifying the
143 optimal product range and product and service assortment which in practice implies joint activity of many enterprise
144 experts, but, in the first place, experts in marketing and financial analysts, heads of sales department [5, 10].
145 According to the objective the rational output structure is determined using the following method. First, marketing
146 service (by monitoring) identifies products and services that are the most attractive in the market and that are much in
147 demand during the report period. The estimate of the demand change and competition prospects is done in the segments
148 where a company is presented and where it is going to compete.
149 Economic planning and financial departments analyze the output structure in previous years and the structure
150 proposed by the marketing department. Then the final version of sales budget is formulated by all relevant departments. It
151 is necessary for technical experts to participate in the examination because the decision about volume increase can be
152 made in regard of any product. However, if this growth is limited by the existing productive capacity, then, in the pursuit of

153 volume increase, the quality reduction of the product may arise due to the breach of technological and organizational
154 requirements. Moreover, the depreciation rate will grow because the equipment will be exploited beyond its nominal
155 productivity.
156   The responsibility of economic planning and financial departments for denominations and product range
157 optimization involves the following:
158   1) the marginal sales volume is determined on every product based on the report period data and is compared with
159 actual output. Thus, unprofitable products are identified. However, it is not appropriate to give recommendations on their
160 writing off from production process without having consulted the marketing department. It could be these products that
161 are much in demand but produce unsatisfactory results;
162   2) the product classification is done based on the price coefficient value. With reference to products with low price
163 coefficient and product figures less than marginal ones the decision is made about the appropriateness of their production
164 in the future; on products enjoying stable demand, the possibility of price coefficient increase is identified. Usual
165 procedures are held: price increase, or variable costs reduction, or increase in sales volume with price decrease at the
166 same time. It is vital to consider the price elasticity type of the demand while explaining the appropriateness.
167   3) the profit in three different alternatives of output structure is calculated with the formula:

168 $$\Pi = \sum_{i=1}^{n}\left[q_{\text{ф}i}(p_i - b_i)\right] - a \qquad (6)$$

169   where $q_{\text{ф}i}$ - is the actual sales volume of the type i product.
170   The optimization of the output structure can be performed with the formula proposed by Osipova L.V., Sinyaeva I.
171 M. (1997). Using previously recognized indexes the formula looks as the following:

172 $$\Pi = V_{\text{рn}}^{\text{кр}}\left[\sum_{i=1}^{m}(\frac{p_i - b_i}{p_i})\ Y_i\right] - A \ \to \max \qquad (7)$$

173   where $V_{\text{рn}}^{\text{кр}}$ - is the marginal sales volume (profitability margin), thousands rubles;
174   Y - the proportion of product of type i in the total output.
175   This is the criterion of the imitation modeling problem. Introducing the range of figures, being given by the
176 marketing and sales services, financial analysts and economists and finding the profitability margin as the initial value, it
177 is necessary to calculate the objective function with different price values, marginal fixed and variable costs and output
178 structure by using a computer program. Problem restrictions are market and productive capacities of any product output.
179   The creation of the optimal product range of the enterprise based on the criterion of maximum total profit can be
180 done by implementing a marginal approach and imitation model. The methodology involves the following steps:
181   • based on the report period data the marginal sales volume of each product is determined that allows to identify
182   unprofitable commodities.
183   • the price coefficient is calculated on each type of products (or on aggregated similar groups) that
184   demonstrates the marginal profit proportion in the price. In order to make an estimation standard calculations
185   of variable costs should exist in the enterprise.
186   • products are classified by their price coefficient value and the opportunities of sales volume increase of the top
187   products are identified;
188   • computer imitation experiment is held using the formula (5) and the combination of parameters are identified
189   on each type of products that give the highest level of profit. The restriction is the conformity between the sales
190   volume and the productive capacity.
191   If as a result some of the products that are much in demand in the market are unprofitable, the cost-saving
192 program is elaborated. Whereas if the product is characterized by the high price coefficient and is much in demand in the
193 market but the productive capacity is insufficient, the program (investment project) of its increase is developed.
194   The marginal sales volume is traditionally considered in the decision-making theory regarding profit management
195 and is calculated with the formula (2). Nevertheless, if the equation (1) is considered in the event of one commodity
196 production and its left and right parts are divided by sales volume then we get the formula of marginal profit:

197 $$\Pi = p - \left(b + \frac{a}{q}\right) \qquad (8)$$

198   Calculations in the formula (8), based on simulated data, demonstrate that with the growth of sales volume beyond
199 the marginal one, the growth rates of marginal financial result decrease, which reflects the reduction of fixed cost savings,
200 though, by absolute measure the financial result goes up because the operational leverage influences it within certain
201 bounds.
202   The field of commercial security calculated with the specific parameters, enlarges moderately and insufficiently.
203 The increase of fixed costs in the prime cost structure, for instance, half as much again with other invariable parameters,
204 results in marginal sales volume increase. However, with sales volume increase savings on fixed costs rise and the

205 growth rate of financial result correspondingly increases.
206
207 **4. Discussion**
208
209 At the same time it is essential to realize that the majority of markets are characterized by high levels of competition, the
210 sale of every additional unit of product will take additional effort and can lead to sales costs increase, thus, reducing the
211 effect of sales volume growth. Then the marginal cost will increase after a certain level of sales reached, while the
212 financial result will fall. The similar situation arises when industrial units operate with permanent tempo, which results in
213 the piling of finished commodities in the warehouse. If it is not sold, sales costs rise because of the overstocking and
214 increase of the warehouse costs. Therefore, the financial result of operational activity decreases.
215 The mechanism of management of financial results has to coordinate price and product range policies with the
216 policy of fixed and variable costs minimization on the basis of examining the opportunities of product promotion in the
217 market. The objective function of the mechanism is the maximum value of the profit or costs minimization that can be
218 achieved as a result of the imitation experiment based on the proposed models that consider the whole of factors.
219
220 **5. Conclusions**
221
222 The conclusion is drawn that the mechanism of management of financial results of activity of the industrial enterprise
223 offered by authors will allow to solve a problem of increase of reliability and quality of financial planning and will promote
224 formation of financial resources, sufficient for development, use of the financial instruments allowing to solve key
225 problems of management of finance of the enterprise: solvency, liquidity, profitability and optimum ratio of own and loan
226 sources of financing.
227

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Challenges of Albania towards the European Integration

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Abstract

This paper examines the role of European Union has in developing a real democracy. At present, our country faces various challenges while it aligns itself in the road of democratization and in European integration. In my opinion, the most important three are: 1-The need for a well-rounded and good intending political and administrative elite. 2-The need for truly independent government branches as described in the constitution. 3-The need for an independent civic society. The main objectives of this study are to: Define the concept of the Albanian democracy; to identify the key factors affecting the lack of democracy. This paper tries to discuss the present problems and challenges towards the process of democratization and European integration too. At the last is to propose possible strategic approach for democracy to develop the whole society towards the European Integration. The paper is based on different theories related to democracy and political parties. This paper analyzes the relation between Albania and European Union is progressing during the transition period, try to give an overview between their relation these years and takes into consideration the impact of others actors in society in building a real democracy such as are: cultural factors, political parties, civil society and especially the relation between the citizens and representatives of a state (political parties).

Keywords: *democracy, political parties, civic society, independent institutions, democratic values, European integration*

1. Introduction

Albania has been trying to successfully conclude the process of democratization, European integration ever since the collapse of the communist regime. A democratic system is a system that is build and runs based on a necessary set of values, which complement and need each other such as: justice, freedom, security, prosperity; as well as the clean build of a fully functioning democratic system with prevailing democratic values, balanced and independent governmental branches. Equally important, a strong, capable and true to itself civic society adds sturdiness to the fabric of democracy. At present, our country faces various challenges while it aligns itself in the road in European integration. In my opinion, the most important three are:

1. The need for well-rounded and good intending political and administrative elite.
2. The need for truly independent government branches as described in the constitution.
3. The need for an independent civic society.

Due to its isolating past, Albanian society has been suffering for unconditional tolerance and respect of basic democratic values. The absence of tolerance can be seen daily in our lives and it beams down from our politicians to the common people. Albanian society has been suffering for unconditional tolerance and respect of basic democratic values. The absence of tolerance can be seen daily in our lives and it beams down from our politicians to the common people. There are other challenges worthy of mentioning but, I believe that the three stated above are the most important ones. In conclusion, the road that leads to a sound democracy and European Integration is a very hard and complicate road. The integration process cannot be successful without the constructive involvement of all actors in our society. A democratic system can't be successful without democratic parties, political elites equipped with democratic culture, without independent institutions and a self-conscious civic society who takes part and reacts to cultural and system shaping phenomena. Democracy is not means but our common desired end. Democratic values can't be separated from the European countries. Member states of EU need to do a lot to protect the democratic values. It is necessary to create a safe environment for protecting the human rights, free and fair election, freedom and all values related to a democratic system. In this paper I will analyze my country, Albania which is the challenges of democratization towards the European Union

Unfortunately, tolerance to different ideas, thoughts, behaviors, political stands and morals has been low. Beneath the continuous freshly painted cosmetics, the issue of intolerance remains the same. Due to past and present examples,

57 many believe that tolerance will remain simply and ideal for many other years to come. This negative element of our
58 society is continuously supported by examples by our politicians who seem to be unable to put a limit to their political
59 wars. Quite often, the Albanian politics has served as a catalyst for the constant moral deformation of our society by
60 valuing and nurturing uncontrolled militantism. The final intent of this model, followed largely by most politicians, can be
61 easily described in Sartre's words: "Political parties can only be means to achieve the final intent, power. It seems that
62 this chase for power and the misuse of the political parties for this purpose has put to danger the true mission of political
63 parties in democratic societies: the concentration of knowledge and political will that opens the road for continuous dialog
64 between the government and the people. Albanian politics not only does not work towards producing an ever needed
65 message of tolerance; it persists on being polarized and divided on various issues and at war with itself while
66 continuously producing individual accusations and lacking clear vision for the future. Albanian politics needs change. It
67 needs to change the way it thinks and acts as a whole. It needs to be more accepting intra party democracy and change.
68 The lack of new ideas and clear vision are now transparent to most Albanians.

69   In our country, politics shape shifts continuously from grotesque art to unethical business and electoral traffic. It
70 incorporates all those negative elements, lies, manipulation and hypocrisy among many others, which impede democracy
71 to prosper as the people idealize it. The abuse of the system for personal profits shows that most politicians have
72 forgotten that they as the rest of us are citizens with basic equal rights and responsibilities and that the vote is not a gift
73 but a contract that requires them to fully serve democracy as the only way forward.

74   As mentioned above, the need for truly independent government branches as described in the constitution
75 represents another challenge for the Albanian society and its will to European Integration. It has been seen that Albanian
76 politician, after achieving power, focus their energies towards controlling all institutions and governments branches whose
77 independence is assured in the constitution. There have been cases when various institutions have been by products of
78 political will for absolute control and dominance hence they have never been independent. Routinely, newly elected
79 parties and politicians start their attacks on independent institutions by changing the administration and injecting their
80 militants which in many cases have been untrained or unqualified. This new wave of employed militants is easily
81 commended and serves the individual interests of the political leaders; destroying the independence, those institutions
82 might have from the executive branch. Under such a chaos, the branches of government not only have not fulfilled their
83 constitutional duty of controlling each other's activities but also have fallen prey of personal vendettas and mediocre
84 business interests. The inexistence of independent institutions threatens democracy itself and paves the way for negative
85 phenomena such as despotism,   disrespect for the law, absence of transparence etc. It is clear that independent
86 institutions are a necessity for a democratic system. They protect the citizens and their rights from abuse; they pave the
87 way for a sound, healthy and constructive opposition. The independent institutions are sacred as they belong to all the
88 citizens, as they serve them based on the power given to them by the people themselves.

2. An Overview of the Relations EU-Albania

92 Albania has experienced large political, institutional and socio-economic shift in the last 25 years of democracy that
93 followed half a century of dictatorship. The European dream, the desire to join the EU is at strong as it was when the
94 democracy movement dismantled communism in the early 90s. The call of "Making Albania like Europe" has been
95 translated into rational political objectives as European integration has become a priority reflected in the agenda of the
96 main political parties and all government programmes. European integration Represent the highest priority in the policy
97 agenda of the Government of Albania.

98   Albania is a potential candidate for the EU membership following the Thessaloniki European Council of June 2003.
99 On 18 February 2008 the Council adopted a new European partnership with Albania. The Stabilization and Association
100 Agreement (SAA)[1] with the country was signed on 12 June 2006 and entered into force on 1 April 2009, while Albania
101 received the NATO membership on 4 April 2009. It supersedes the Interim Agreement[2] on trade and trade-related
102 aspects, which entered into force in December 2006.

103   In January 2008, the visa facilitation agreement entered into force and for the period of March-June 2008, the
104 European Commission launched the visa liberalization dialogue and presented a road map identifying specific

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[1] *Council of the European Union, Brussels, 22 May 2006, 8164/06, COWEB 76, Legislative Acts and other Instruments- Stabilization and Association Agreement between the European Communities and their Member States, on the one part and the Republic of Albania, on the other part.*

[2] *Council of the European Union, Brussels, 22 May 2006, 8154/06, COWEB 73, Legislative Acts and other Instruments-Interim Agreement on Trade-related matters between the European Community, of the one part, and the Republic of Albania, on the other part.*

105 requirements for visa liberalization with Albania and negotiations on visa liberalization with EU are underway. The visa
106 facilitation and readmission agreement[3] between Albania and the European Community is being implemented. According
107 to Albania 2009 Progress Report[4], the visa liberalization dialogue has made good progress in the areas of justice, liberty
108 and security, but has not yet met all the benchmarks set in the roadmap. Further efforts have been required with regard to
109 the personalization and distribution of biometric passports, border and migration management and the institutional
110 framework to fight organized crime and corruption.

111 Since 2007 the pre-accession financial assistance to Albania is provided under the instrument of Pre-Accession
112 Assistance (IPA). The IPA 2009 agreement was signed on 9th March 2009; IPA 2009 planning process has been
113 completed, while IPA 2010 will start in July 2009. The matter we can say is that the focus includes these areas: home
114 affairs and justice, democratic stabilization, capacity for building an effective administration and social development.

115 The acquis translation process into Albania has started since 2007. Albania applied for the EU candidate status
116 since on 28 April 2009. The Government of Albania has submitted the competed questionnaire with 2285 questions to the
117 EU. Based on this and after the verification from the Commission, it will be seen if it is a positive advise (the Opinion) that
118 the European Commission will prepare on Albania and that will be submitted to the Council of Ministers of the EU. If this
119 will be the case Albania will receive the EU candidate status and will open the negotiations for the full membership into
120 the EU. Taking into the consideration that this process might last up to one year and half depending on the internal
121 development within Albania and the EU, then the political parties in the country should be careful to resolve the possible
122 gaps where the EC might base its opinion.

123
124 **3. EU Integration Path**
125

126 The European Council in Feira in June 2000 confirmed the objective of the fullest possible integration of the countries of
127 the Western Balkans[5] into the political and economic mainstream of Europe and recognized these countries as potential
128 candidate for achieving candidate status and after that being the member of the European Union.

129 In December 2002 this perspective was reaffirmed by Copenhagen European Council. It underlined the European
130 Union's determination and will to continue to support them in their efforts for building real democracy and democratic
131 political parties and effective institutions.. The Brussels European Council in March 2003 stated that "t*he future of the*
132 *Western Balkans is within the EU" and invited "the Council and the Commission to examine the ways and means, based*
133 *also on the experience of the enlargement process to further strengthen the Union's policy towards the region*.[6]" We can
134 say that an important priority of the European Union is integration of Western Balkans countries at the Union because
135 they think that the Europe will not be complete until these countries will part of European Union. They belong to European
136 Union for many reasons such as are: their positions into the region, but not only and the other characteristics of culture.

137 The Stabilization and Association process (SAP) is the EU's policy for relations between the Union and the
138 Western Balkans countries. This process is very useful for Western Balkans countries because help the five countries to
139 develop their reforms in different fields and then they are able to go closer to the European Union being member of it.
140 This process is very important because it guarantees and promotes the stability in this region.

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[3] *Since the entry into force Treaty of Amsterdam on 1 May 1999, Policy of Readmission was accelerated Art. 63(3) (b) EC establishes the authority of the Community to take "measures on immigration policy in the area of illegal immigration and illegal residence, including repatriation of illegal residents. Mandate was given by the Council to negotiate a readmission agreement between the European Community and Albania on 28 November 2002. Three negotiating round were held with the Albanian authorities between May and November 2003. The agreement was then initialed by the European Commission and a representative of the Government of Albania in Brussels on 18 December 2003. Following the initialing of the Agreement the COM officially submitted to the Council the final text together with two draft decisions concerning the signing and the conclusion of it (COM 2004 92 Final of February 2004). Due to European Elections and the considerable time needed to meet additional translation requirements following EU enlargement, the agreement is not expected to be formally concluded before mid-2005. On 2 March 2005, the Council approved the decision on the signing of the Agreement.*

[4] *Commission of the European Communities, Brussels, 14 October 2009, SEC (2009) 1337, Commission Staff working Document-Albania 2009 Progress Report accompanying the Communication from the Commission to the European Parliament and the Council "Enlargement Strategy and main Challenges for 2009-2010", COM (2009) 533*

[5] *The countries covered by the Stabilization and Association process, the EU's policy for the Western Balkans; are Albania, Bosnia and Herzegovina, Croatia the former Yugoslav Republic of Macedonia, Serbia, Montenegro and including Kosovo as defined in the UN security Council Resolution 1244/99.*

[6] *The countries covered by the Stabilization and Association process, the EU's policy for the Western Balkans; are Albania, Bosnia and Herzegovina, Croatia the former Yugoslav Republic of Macedonia, Serbia, Montenegro and including Kosovo as defined in the UN security Council Resolution 1244/99.*

141   The Treaty of the Athens in April 2003, which paves the way to the accession of ten new Member States, the
142   Thessaloniki Summit provides the occasion to give a new impetus to the Stabilization and Association process[7]. Western
143   Balkans has a good example for achieving EU membership from countries of Eastern Europe which really succeed in
144   fulfillment the criteria of European Union. Now it is their turn to show the Europe that they will do the same, will be able to
145   build a real democracy, to have an efficient administration, to respect the human rights especially the minorities, to have
146   independent institutions that works in a good way together but are truly independent from government branches as
147   described in the constitution
148   Albania and other countries of Western Balkans were recognized as potential countries for European Union
149   membership in 2003.Albania was recognized as a potential country for EU membership with other Western Balkan
150   countries in 2003. On 1 April 2009 Stabilization and Association Agreement (SAA) entered into force. Albania submitted
151   its application for membership in October 2013. Albania is participating in the Stabilization and Association process,
152   which provides the legal framework of commitment on some important areas such as are: political, trade and economic
153   issues of the European Union with Western Balkan countries.
154   As regards to the implementation of the SSA it can be viewed in the light of two main indicators. Firstly, is the
155   approval of the laws that are sanctioned in the National Plan for the implementation of the SAA (2007-2012), partly or
156   fully approximated with the *acquis communautaire[8]*. Secondly, is the level of their implementation at central and local
157   level. The approval of legislation or placement of institutional mechanisms is in accordance with the time frame defined by
158   the National Plan for the implementation of the SAA, there are noticed many problems related to ban planning of human
159   and financial resources to implement these legal obligations. Even though the Interim Agreement with the EU has been
160   implemented smoothly, problems related to the above mentioned indicators can be noticed. For example the support of
161   the Parliamentary Commission on integration (through which should be filtered every law as regards to the European
162   integration process) without the necessary analytical and consultative capacities and support can't afford with efficiency
163   the aspects of legislative processes. On the other hand, certain initiatives undertaken by the Government of Albania (i.e
164   trading of D2 petrol) are in open conflict with Articles of SAA. The level of the implementation of the SAA is examined by
165   the Annual Progress Report issued by the European Commission, as well as the annual report from an independent
166   group of experts from the civil society (supported by the Open Society Institute of Albania).
167
168   ## 4.   Challenges of Achieving EU Candidate Status and the Copenhagen Criteria
169
170   A main challenge Albania faces with regard to the European integration process is the fulfillment of the Copenhagen
171   criteria[9] that have been adopted during EU Summit on 21-22 June 1993.
172   To be part of the European Union a candidate member state should fulfill three important criteria: Political criteria
173   which requires stability of all institutions by guaranteeing the political system that is applied in all Europe the democracy;
174   the rule of law, law is the first and the institutions must respect only the law; also human rights and respect for the other
175   different communities (minorities) that live with the major part of society.
176   It is important to point out that being a member state of Europe it is needed to have a good neighbors relations and
177   a good regional cooperation too. Also these states that aspire to be member of Europe should respect the international
178   obligations. After political criteria important is and economic criteria which means having a functioning market and being
179   able to build capacity for being competitive with other countries within the European Union.
180   Albania must show ability to take responsibility of respecting obligation of membership including three areas:
181   political, economic and monetary union. Albania should have real capacity to have an adequate legislation and policies in
182   appropriate to the acquis for having and guaranteeing the sectorial policies, having a functioning justice, independent
183   institutions, security, free and fair elections, an effective staff of administration.
184   The fulfillment of the three criteria: political, economic and EU standards through the *acquis communautaire*
185   represents one of the main long-term challenges for Albania. Since the Stabilization and Association process (SAP) was
186   initiated by a decision from the 1999 European Summit in Cologne, Albania shifted into a new phase of relations with the
187   European Union, conditioned upon the above mentioned criteria. Taking into consideration the current progress with

[7] *Republic of Albania, Ministry of European Integration, National Plan for the Implementation of the SAA (2007-2012), Tirana, September 2007.*
[8] *Republic of Albania, Ministry of European Integration, National Plan for the Implementation of the SAA (2007-2012), Tirana, September 2007.*
[9] *Any country seeking membership of the European Union (EU) must conform to the conditions set out by the Article 49 and the principles laid down in Article 6(1) of the Treaty on European Union. Relevant criteria were established by the Copenhagen European Council in 1993 and strengthened by the Madrid European Council in 1995.*

regard to the EU integration, Albania faces four main problems: 1) overcoming the political instability in relations between ruling parties and opposition, the creation of trust between parties in order not to aggravate into disability; 2) empowering the public administration   by increasing its negotiating capacities and the ability to implement the laws Albania adopts: 3) the functioning of powers as sanctioned by the constitution: 4) defining a clear economic model by considering the principle of sustainable development, thus minimizing the informal economy that is mainly supported by remittances from migration and which stimulates apathy, lack of competition; sometimes also acting as a cover to corruption and forms of economic crimes.

The Madrid Summit of the EU in 1995 defines the Madrid criteria related to capacity building of the public administration of the Southeast Europe that aspired EU membership. They compose a very important criterion. Despite hundreds of Euros donated by the EU and other donors for capacity building of the public administration, "public administration syndrome" in Albania is associated with "Albanian election syndrome". After every political rotation civil servants are part of the so-called "spoil system" that damages the quality of the administration. During the long transition period, these movements have been claimed in many civil cases in courts based on unmotivated movement from the working place. As such the capacities of the public administration still remain weak and they should be strengthened through the continuous qualifications and a well-defined career and wage system.

Besides the Parliament of Albania, as sanctioned in the Constitution of the Republic of Albania, civil society sector and the media should serve as a "watch dog", especially to monitor the implementation of national strategies and European integration commitments. This requires a good knowledge on the European integration process, as well as the inclusion of experts in public debates on these issues.

Therefore, it is needed for consulting with civil society organizations and other actors in society to play a role on reforms related to legal and administration. Civil society sector is represented by many small NGOs which are not as much active to influence on the decisions that government takes. In Albania it seems that these NGOs still remain non-functional and fragmented. Civil society needs to participate in policy and decision making, but in real remain weak and fragile because they are not well-organized. Albania needs and independent and healthy civil society. A solid civil society is e precondition to a healthy democracy. The presence of an active civil society is in itself a new experience for the society as a whole. Its role in intending to shape the democracy and society can't be denied. A strong and healthy civil society can use its instruments and by products to guarantee stable democracy growth (Tocqueville, 1835). For many years now the "Albanian elections syndrome" is being transformed into a real challenge that is exploiting country's energies. On the other hand, without the fulfillment of the minimal level of democracy- having free and fair elections (Schumpeter, 1950) - the liability of all institutions that depend on the parliament can't be guaranteed. Sometimes a stronger conditional politics from the EU has not been very efficient. The last Freedom House Index shows that Albania still continues to face problems with regard to the fulfillment of the political criteria. The fulfillment of the economic criteria and of the European standards is faced with the obvious obstacles that a developing country like Albania has. Due to the long period of communist regime as well as the long transition period, especially that of 1997, Albania still continues to be faced with poverty, weak road and social infrastructure, lack of control and urban territorial planning, bad management of a natural resources, high poverty rate in rural areas, as well as a non-competitive economic model with the other opened regional markets.

5. Conclusions

Albania in tis road towards achieving EU candidate status is mainly faced with political, economic and administrative problems. Firstly, the long political dispute between the Government of Albania and the opposition and the lack of trust in the elected institutions has a negative impact on Albania's image as a consolidated and a functional democracy. Lack of an independent judiciary and a media sector with conflicts of interest of their owners and without the editing independence damages the level of trust of the public related to transparency and accountability. These elements are accompanied by the will to fight organized crime and money laundering indicating the ability to face difficult challenges.

Secondly, the Albanian economy does not represent the model of a competitive economy able to be faced with opened and integrated markets of the EU. The lack of the profiling of the Albanian economy linked with services, tourism and agriculture and based on emigration makes more difficult the strategic aspect of the economic decision-making. For example, from one hand we discuss about tourism in certain areas (i.e Durrës or Vlora) and on the other hand, the investments made in these areas with thermo centrals, petrol processing sites do not meet with the above mentioned

239 approach. The concept of sustainable development that lies in the heart of the Treaty [10]of Lisbon which has entered into
240 force on 1 December 2009, in accordance with its Article 6 represents the economic model of the EU. Meanwhile,
241 Albania's economic model isn't in compliance with this model and sometimes it is in conflict with it. Albania's competitive
242 environment in general, is further complicated by the problems faced with prosperity rights in Albania, the high level of
243 informality, lack of control over the urban territory, as well as a weak quality of the basic infrastructure (water, roads,
244 electricity, sewage, internet etc.)

245 Thirdly, the lack of adequate administrative capacities at central and local level and the high level of corruption at
246 different levels of governance compose another important challenge and needs a strong political will and concrete steps
247 to be overcome.

248 Last but not least, Albania needs an independent and healthy civic society. The strengthening of the civic society is
249 a precondition for a healthy democracy. The presence of an active civic society is in itself a new experience for the
250 society as a whole. Its role in intending to shape democracy and our society cannot be denied. A strong and healthy civic
251 society can use its instruments and byproducts to guarantee stable democracy growth. Even though the civic society is
252 not and should not, be part of politics it does not mean that it should be indifferent to politics that touch our daily lives.
253 Previous experiences of the Western countries with consolidated democracies have shown that civic societies can have
254 the power and the capability to properly cover and evaluate a countries government branches. It is imperative that despite
255 various opinions on various issues the people should consciously agree and adhere to certain cultural and political values
256 and that they should hold any government from any part of the political specter to respect and go by these values.
257 Without this set of common values, the civic society is dead. At present, the civic society is week and inefficient as it is in
258 many cases an extension of various political parties. It reflects the political polarization it serves. These close ties with
259 politics damages its function and its mission as the independent observing eye, serving only the common good, which it
260 should be. If this behavior continues, the civic society will simply transform into a divided militant base.

261 There are other challenges worthy of mentioning but, I believe that the three stated above are the most important
262 ones. In conclusion, the road that leads to a sound democracy and European Integration is a very hard and complicate
263 road. One that I'm confident we can master. Time has shown us that the dream of building a stable democracy can be
264 achieved if we realize our responsibilities. As we steadily embrace democratic principles and turn them into parts of our
265 culture, we pave our way towards the European family. The integration process cannot be successful without the
266 constructive involvement of all actors in our society. A democratic system can't be successful without democratic parties,
267 political elites equipped with democratic culture, without independent institutions and a self-conscious civic society who
268 takes part and reacts to cultural and system shaping phenomena. Democracy is not means but our common desired end.
269 Also the role of European Union is the most important. We need European Union because it is like a mother that helps
270 her child. So, we can develop our democratic values only if we are supported by the members of EU. We need from their
271 previous experience, we need their control and we need their monitoring. If there are next to us only in this way we can
272 implement the democratic values. We can't develop democratic values because we have lack of democratic experience,
273 lack of democratic values. As a conclusion if we want to go into the Europe we need more and more observing eyes, we
274 need more helping of member states of EU member states.

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Model of Control of Financial Results of the Enterprise

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Abstract

In article it is shown that on formation of financial result of the enterprise have impact a row multidirectional both internal, and external factors which define a final indicator - profit (loss) of the enterprise. As a result, the model in which all essential factors having impact on profit of the enterprise, engaged in electric power generation were included was constructed. The constructed model at methodological level solves a problem of identification of reserves of receiving profit of the enterprise. Moreover, the model allows to supervise financial result of the enterprise by identification of the factors which have made negative impact on financial result in the certain period. As a result, the constructed model allows to carry out an assessment of the actions connected with increase or reduction of indicators, entering into model. Therefore, the developed model gives opportunity to supervise financial result both all generating enterprise as a whole, and the separate station including some blocks, and also the separate generating block.

Keywords: *financial results of the enterprise, enterprise profit, Dupont's model, external control, internal control*

1. Introduction

In world practice for the purpose of control of financial results the model Dupont which investigates dependences between the various indicators influencing economic profitability of the enterprise is widely used. Let's construct economic-mathematical model of control of financial results of the enterprise of the power branch which primary activity is electric power generation. The major factor influencing the income, is production capabilities of the enterprise during time which in turn depends on the established electric power at the enterprise and a number of hours in the considered period. The second factor influencing the income, the rated capacity efficiency which characterizes level of loading of available capacities in the considered period is. The third factor defining the income of the generating enterprise, the coefficient of useful holiday of the electric power is. The fourth factor included in model of the income of the generating enterprise, the price of the released electric power in the wholesale market of the electric power which changes owing to enterprise work

58   in basic or peak modes is.

59   As in market conditions, and in a planned economy, the monitoring function is essential in the management of
60   enterprise profit. Different approaches to the control of the company's financial results can be divided into two main
61   areas:
62   - External control;
63   - Internal control.
64   It should be noted that two different approaches to the control of financial results are determined by different
65   objectives in the control (Borodin & Shash & Belokrylova, 2013).
66   External control is usually associated with activities of the state institutions of its fiscal function. Control comes to a
67   range of techniques, which are stated in the laws that regulate the formation, reflection and taxation of financial results of
68   the company. Tax authorities play pivotal role in the control of financial results of the company and also systematically
69   carry out external control of the financial results of the company as a taxable income. Also, external control can be carried
70   out on the initiative of the enterprise creditors (banks, large suppliers). Such control generally comes to carrying out the
71   enterprise external audit or acquisition of times-personal data about its activity (Nechitaylo, 2011).
72
73   **2. Method**
74
75   Internal control of financial results of the enterprise has different objectives and usually carried out in order to find ways to
76   improve enterprise management, to raise funds to increase financial results economic agent, and as a result, execute the
77   main objective of financial management – raise in welfare the owners of the company (Uliyanov, 2010).
78   A number of different directions of the factors, both internal and external, which define resultant of income (loss) of
79   the enterprise, influences financial results of the enterprise. Economic and mathematical models are used as effective
80   tools for monitoring the financial performance of the company in foreign countries and Russian practice, allowing
81   revealing of reserves to increase the profits of the enterprise (Borodin & Shash & Goloshchapova, 2013) DuPont model is
82   widely used to monitor the financial performance all over the world (Borodin & Katkov, 2010). This model was first used
83   be managers of DuPont Company in order to study the relation between the various factors influencing the economic
84   viability of the enterprise. It should be noted that the control of the financial results of the company can be carried out by
85   the modulus of largest financial results, as well as relative value, characterizes profitability. In condensed form DuPont
86   formula is as follows:

87          $$R_A = R_S \times T_A,$$ (1)

88   where R_A - the profitability of the company's assets; R_S - Return on sales; T_A - Asset turnover ratio.

89   In the extended form of DuPont's formula is as follows:

90          $$R_C = R_S \times T_A \times A/C$$ (2)

91   where R_C - the return on equity; A - assets of the company; C – Equity.

92   Russian scientists and economists also pay considerable attention to construction of multifactor models to monitor
93   the financial performance of the company (Bogatin & Shvandar, 1998; Krylov & Vlasova & Zuravkova, 2005).

94   For enterprises producing one type of product offered the following models:

95          $$I = \frac{b(pd - K_N \cdot r) - (1-r)(1+f)}{p-1}$$ (3)

96   where I - the index of business profits; b - the coefficient of variation in production and sales of marketable
97   produce; p - the coefficient of profitability of commercial products in the base period; d - coefficient of variation of prices of
98   commercial products; K_N - Coefficient of variation of the variable costs of the reference period in an analyzed period; r -
99   the coefficient of the variable costs in the base period; f - coefficient of variation of fixed costs in the analyzed period.

100   If the formula presented we replace some of indexes with their equivalent, the result will be:

101          $$K_N \cdot r = g - (1 - r),$$ (4)

102   where g - coefficient of variation of the cost of production of the reference period under the influence of a change in
103   its variable components. Now we can get a second parametric model which is matching with the first one. It will have the
104   following form:

105          $$I = \frac{b(pd - g) - (1-r)(b-1-f)}{p-1}$$ (5)

Both models are equivalent and the choice of some of them is determined by particular circumstances and the availability of the original information.

Transformation of the models in the model of the companies with diversified production is not difficult (Bogachev, 1993; Borodin & Shash & Belokrylova, 2013). It is enough to change the method of calculating the factors included in the parametric model in relation to diversified production.

It should be mentioned that all above-mentioned allow us to monitor the financial performance of the company. However, none of the models takes into account the specifics of the company in various sectors of the economy, making them inapplicable in practice management of specific business entities. In our view, the specific operation of enterprises in various industries in the market conditions is the main criterion, according to which the enterprise should develop the model, which allows monitoring and raising funds in order to increase profitability. The most specific sectors in the economy of any country are natural monopolies, heavy and light industry, enterprises (Ostapenko, 2008).

3. Results

Generalization of the monitoring process of financial results for the enterprise of various sectors is impractical because of obvious differences in factors affecting the profit margin. For example, for trade companies the main factor affecting the financial result is the profit margin, which is defined as the difference between the purchase price and the selling price. At the same time, trading companies has virtually no costs associated with the production process. In other words, the main variable costs of trade companies include transport costs, which is (in most cases) appropriate include in the purchase price of the goods. In this case, factors that characterize the process of sale of products, such as the intensity of sales, service speed should be used to evaluate the influence must be used in order to evaluate the influence of each factor (Kuzin & Uriev & Shakhdinarov, 2001).

Companies engaged in extraction and mining also have their own specifics, which leads to the existence of factors affecting the financial results. However, it should be noted that the enterprise producing various types of resources, are also particularly significant in the formation of the financial result.

Let us define the economic-mathematical model of financial control of the results in energy industry sector, the main activity of which is electricity generation. To describe the factor model of electricity generating companies often used the traditional approach to the calculation of profit:

$$PU = RU - VCU - FCU, \qquad\qquad (6)$$

where PU – income of the generating company; RU – revenue of generating the company; VCU - variable costs of generating the company; FCY - fixed costs of the generating company.

It should be noted that the revenue and variable costs of the generating company, included in the additive model (6), are treated as separate multiplicative parametric models. Consideration of the formation of revenues and variable costs of the generating company enables to evaluate trends that emerged, and to establish due to what factors there is a change. Calculating of revenues and variable costs was carried out in accordance with a number of requirements:

1. The value of intermediate productive indicator equal to the product of the factors included in the model, which reflect certain aspects of the economic activity of the enterprise;
2. Productive indicator can be presented using qualitative or quantitative characteristics. Identify and describe the factors affecting the income of the enterprise that produces electricity.

The main factor affecting the income of the enterprise is the production capacity of that company for a period of time, which in turn depends on the installed electrical capacity at the plant and the number of hours in the stated period. Manufacturing capabilities are defined as the product of the installed capacity of the company and the number of hours in the stated period. The increase in production capacity causes an increase in the company's income, as large manufacturing facilities are responsible for generating a greater volume of electricity at a constant level of capacity utilization.

The second factor affecting the income is the utilization of installed capacity, which characterizes the level of loading of available capacities in the period under review. Increasing the level of the coefficient in-use of installed capacity entails the production of a larger amount of electricity, and, consequently, the growth of the company's revenue.

The third determinant of the income-generating enterprises, is the efficiency of electricity supply. This indicator shows the volume of the company's needs for electricity. The company that generates electricity, pays special attention to reducing their own needs in electricity, since it allows to have a significant impact on the income of the enterprise. The less their own needs, the more productive supply, and, consequently, income.

The fourth factor included in the model of income-generating enterprises, is the price for the electricity in the wholesale electricity market (WEM), which changes as a result of the enterprise operating in the base or peak mode.

Work in peak load conditions allows generating company to count on a great price of electricity, however, work in peak modes associated with increased costs in the form of specific fuel consumption. Increasing the price of electricity supplied to the wholesale electricity market, increase the income of the company.

Let us write the equations of the model of income of the generating enterprises.

Production capacity of the enterprise:

$$PC = C \times T, \qquad (7)$$

where PC - production capacity of the enterprise;
C - installed capacity, mWh;
T - period duration, h.

Installed capacity utilization rate:

$$KIUM = \frac{QP}{PC} \qquad (8)$$

where KIUM - installed capacity utilization rate;
QP - power generation, kWh.

The efficiency of electricity supply:

$$RUT = \frac{D}{QP} \qquad (9)$$

where RUT - the efficiency of electricity supply:
D - electricity supply.

Price for the electricity in the WEM:

$$PE = \frac{RU}{D} \qquad (10)$$

where PE - price for the electricity in the WEM

Revenues of the generating company:

$$RU = PC \times KIUM \times RUT \times PE = PC \times \frac{QP}{PC} \times \frac{D}{PC} \times \frac{RU}{D} \qquad (11)$$

4. Discussion

Let us identify and describe the factors influencing the variable costs of the company that produces electricity.

The main factor determining variable costs is electricity generation. Fuel consumption used for electricity generation, increase with the volume of production.

The second factor is the specific fuel consumption for the production of one kWh of electricity. This factor is qualitative and characterize both the modes of plant's operation (at peak modes significantly increases fuel consumption) and the technical condition of the power unit and the type of fuel used. When fired on a gas or fuel oil, specific fuel consumption is significantly reduced, but its price is not always reasonable for utilizing these fuels. The increase in specific fuel consumption leads to an increase of total semi-variable costs of electricity generation.

Third factors affecting the company's costs, is the specific cost of the fuel in-use. This indicator reflects both the change in the prices of all fuels used in electricity generation and consumption patterns of different types of fuel (gas, fuel oil, coal). Increasing the price of the unit of fuel increases semi-variable costs of generating electricity (Borodin & Katkov, 2010; Borodin & Shash & Goloshchapova, 2013).

Let us write the equations of the model semi-variable costs of the generating company.

Specific fuel consumption for the production of one kWh of electricity:

$$FR = \frac{QF}{QP} \qquad (12)$$

where FR - specific fuel consumption for the production of one kWh of electricity;
QF - total fuel consumption (t. y. m.).

Specific fuel price:

$$FP = \frac{CF}{QF} \qquad (13)$$

where FP - specific fuel price;
CF – fuel price.

206   Semi-variable costs of the generating companies:

$$VCU = QP \times FR \times FP = QP \times \frac{QF}{QP} \times \frac{CF}{QF}$$

207   (14)

208   Semi-fixed costs of generating companies are normalized based on the amount of installed capacity and are
209 included in the model of individual factor.

210   Thus, the influence of various factors on the profit of power generation enterprises can be represented as follows:

211      $PU = PC \times KIUM \times RUT \times PE - QP \times FR \times FP - FCU$ (15)

212   After building the model by the method of elimination, it is possible to observe the impact of each factor on the
213 change of business profits, and, consequently, to identify potential for raising revenue.

214   Change in profit due to changes in production capacity of the enterprise:

215      $\Delta PUPC = \Delta PC \times KIUM0 \times RUT0 \times PE0 - QP0 \times FR\,0 \times FP0 - FCU0.$ (16)

216   Change in profit due to changes in capacity factor:

217      $\Delta PUkium = PC1 \times \Delta KIUM \times RUT0 \times PE0 - QP0 \times FR0 \times FP0 - FCU0.$ (17)

218   Change in profit due to changes in the efficiency of electricity supply:

219      $\Delta PUrut = PC1 \times KIUM1 \times \Delta RUT \times PE0 - QP0 \times FR0 \times FP0 - FCU0.$ (18)

220   Change in profit due to changes in the price of electricity in the wholesale electricity market:

221      $\Delta PUPE = PC1 \times KIUM1 \times RUT1 \times \Delta PE - QP0 \times FR0 \times FP0 - FCU0.$ (19)

222   Change in profit due to changes in power generation:

223      $\Delta PUQP = PC1 \times KIUM1 \times RUT1 \times PE1 - \Delta QP \times FR0 \times FP0 - FCU0.$ (20)

224   Change in profit due to changes in specific fuel consumption for the production of one kWh of electricity:

225      $\Delta PUFR = PC1 \times KIUM1 \times RUT \times PE1 - QP1 \times \Delta FR \times FP0 - FCU0.$ (21)

226   Change in profit due to changes in the specific price of fuel:

227      $\Delta PUFP = PC1 \times KIUM1 \times RUT1 \times PE1 - QP1 \times FR1 \times \Delta FP - FCU0.$ (22)

228   Change in profit due to changes in income:

229      $\Delta PURU = \Delta RU - QP0 \times FR\,\mathbf{0} \times FP0 - FCU0.$ (23)

230   Change in profit due to changes in semi-variable costs:

231      $\Delta PUVCU = PC1 \times KIUM1 \times RUT1 \times PE1 - \Delta VCU - FCU0.$ (24)

232   Change in profit due to changes in fixed costs:

233      $\Delta PUFCU = PC1 \times KIUM1 \times RUT \times PE1 - QP1 \times FR1 \times FP1 - \Delta FCU.$ (25)

234

235 **5. Conclusion**

236

237 Thus, the model was built, which included all the relevant factors that affect the profits of an enterprise engaged in electric
238 power generation. The model constructed solves the problem of identifying reserves for profit enterprise on the
239 methodological level.

240   The main advantages of the model.

241   1.   The model allows you to control the financial result of the company by identifying the factors that have a
242   negative impact on the financial results in a certain period.

243   2.   The model allows the evaluation of the activities related to the increase or decrease of the indicators included
244   in the model.

245   3.   Control of financial results can be monthly, quarterly, annually, which allows to respond quickly to negative
246   changes in the factors.

247   4.   The developed model provides the ability to control the financial results both of the generating enterprise as a
248   whole, and individual station, including several blocks, as well as individual generating unit.

249

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Factors for Customer Satisfaction and Customer Dissatisfaction in Commercial Banks

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Abstract

The banking industry is a key player in ensuring economic development as a result of customer satisfaction. This article investigates the satisfaction trends of 403 respondents in the banking industry in Kenya. The research results were acquired through administration of questionnaire and processed using SPSS 22.0, with special emphasis on descriptive statistics. Based on the research results, the overall level of customer satisfaction is above 50%. Besides, women are more satisfied than men. In addition, presence of bank branches is the most important factor of satisfaction and preferred more by people with university education. High bank charges is the most important factor of dissatisfaction in Kenyan commercial banks. The most important factor of dissatisfaction is favored by more than 50% of the respondents in all the social groups

Keywords: Customer satisfaction, Customer dissatisfaction, Customers, Kenya

1. Introduction

Customer satisfaction enables companies to meet their long-term objectives. This is because customer satisfaction enables companies to create customer loyalty which results to customer retention and most importantly increased profits and market share. Anderson et al (2004) define customer satisfaction as an overall evaluation of a customer's total purchase and consumption experience of a product or service over time. Chakrabarty (2006) on the other hand defines customer satisfaction as how a product or service surpasses customer's expectation.

According to Hoq and Amin (2010), ensuring higher customer satisfaction is important because it translates to low intention of switching banks. Chakrabarty (2006) mentions four factors that can be used to assess customer satisfaction in banks. She mentions the factors as follows: satisfaction with branch (privacy, fast services, employees approach to customers and opening hours); economic satisfaction (bank charges and interest rates), remote access satisfaction (quality of e-banking) and presence of automated teller machines (ATMs). Habibi et al (2013) agrees with the statement and also argues that customer satisfaction can be measured by secrecy, speed of delivery of services, employee behavior, accuracy in provision of services, interest rates, skills and knowledge of personnel, easy accessibility of services and willingness to help. However, service quality and product quality are the most important measures of customer satisfaction in banks. Mihelis et al (2001) on their research on measurement of customer satisfaction in banks propose other different factors for measuring satisfaction as indicated in figure 1 below.
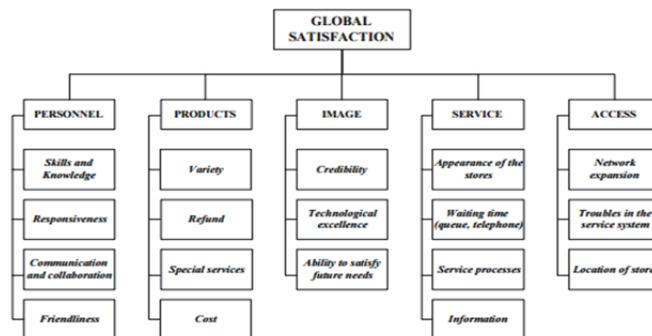
Figure 1. Factors for assessing customer satisfaction in banks
Source: Mihelis et al (2001)

This research investigates factors of customer satisfaction and dissatisfaction in the Kenyan commercial banks. The rest of this research is arranged according to the following sections. Section 2 gives literature on customer satisfaction and dissatisfaction. This is followed by discussion on the methodology. Next, the results are presented. Then, the research results are discussed and finally the paper gives a conclusion.

2. Literature Review

Croxford et al (2005) state that banking as a single industry entails a dozen businesses, such as corporate banking, investment banking, small business banking, wealth management and capital markets. The authors further mention that retail banking is characterized by large numbers of customers, accounts and transactions, a variety of products and services, a high level of dependency on technology and terrific levels of cooperation between banks, retailers, businesses and consumers. Therefore, retail banks use customer satisfaction as a modern approach to monitor their quality and also as a tool for ensuring the development of a truly customer-focused management and culture (Mihelis et al., 2001). The authors further state that assessing the level of a company's customer satisfaction enables immediate, meaningful and objective feedback about customers' preferences and expectations. Furthermore, the authors state that as a result of assessing, the company is able to know its strong and weak links in provision of their services and products that are focused on ensuring customer satisfaction. This is key for the long-term survival of companies. In this respect, customer satisfaction can be differentiated in two ways: transaction-specific and cumulative. According to Anderson et al. (1994) transaction-specific perspective refers to post-choice evaluative judgment of a specific purchase occasion and cumulative refers to the overall evaluation of a good or service after purchase.

Failure to ensure maximum customer satisfaction leads to customer dissatisfaction. Dissatisfied customers usually switch banks, involve themselves in negative words-of-mouth (Abubakar et al., 2014) and customer complains (Shi and Zhao, 2007). However, proper handling of dissatisfied customers, for instance those with complaints usually reinforces their loyalty (Kitapci and Dortyol, 2009). Therefore, it can be concluded that customer satisfaction is associated with feelings of happiness, acceptance, excitement, relief and delight (Hoyer and MacInnis, 2001). These feelings can be achieved by customers when employees are also satisfied (Babakus et al., 2003). Employee satisfaction is created when there is a favorable working environment for employees, good remuneration, availability of promotional opportunities and fair treatment from management and the company at large. Besides employee satisfaction, customer satisfaction is also influenced by seven other factors namely: employee responsiveness, appearance of tangibles, social responsibility, service innovation, positive word-of-mouth, competence and reliability (Singh and Kaur, 2011).

According to Gupta and Dev (2012), satisfaction of customers in the banking industry is key because satisfied customers are able to bring in 100 new other customers because of their ambassadorial roles in communicating positively about their experiences with their respective banks. However, dissatisfaction of customers proves more costly to banks because of the charges that can be involved in bringing in new customers, for instance advertising costs. In addition, dissatisfied customers can be involved in constant complains and return of sold items (Hoyer and MacInnis, 2001) and usually they can influence 1,000 potential customers to have a negative feeling about the company (Gupta and Dev, 2012). Furthermore, for banks to ensure that no dissatisfaction is encountered by their customers, they need to take note of the important elements of customer satisfaction.

Service quality is one of the elements of customer satisfaction (Chakrabarty, 2006). This is because provision of quality services ensures retention and survival of companies. Price is the second element of customer satisfaction (Wruuck, 2013). Furthermore, price is the main reason why customers switch banks (Matzler et al., 2006). Other elements of customer satisfaction are future intentions, situational factors, service features and complaint handling (Molina et al., 2007).

3. Materials and Methods

To achieve the intended research, questionnaire survey on customer satisfaction was used as a method of data collection. Based on Munari et al (2013), customer satisfaction surveys are the main source of information to set strategies aimed at meeting needs or understanding of customer perceptions, most importantly showing relationships and possible areas of improvement for customers. A total of 537 questionnaires were circulated to bank customers of top five banks in Kenya through bank branches and the internet (social media).

Out of 537 distributed questionnaires, 403 were returned. The structure of the respondents is as follows: 43% are men and 57% are women; 81% are individuals under 30 years, 18% are between 30-50 years and 1% are above 50 years; 1% have primary education, 10% have secondary education and 89% have university education.

99   To develop hypothesis, this research takes into account past research done on customer satisfaction in Kenyan
100   banks. For instance, Klynveld Peat Marwick Goerdeler (2013), popularly known as KPMG, conducted a research on
101   customer satisfaction on a sample of 25 000 banking customers across 14 countries in Africa. Their findings were: overall
102   level of customer satisfaction in Kenyan banks is above 70%, presence of bank branches (99%) is the most important
103   factor of customer satisfaction in Kenya and high bank charges (70%) is the most important factor of dissatisfaction.
104   Based on the findings of KPMG (2013), this article formulates the following hypothesis to be tested.
105   H1: The overall level of customer satisfaction in Kenyan is above 50%. Based on gender, more women are
106   satisfied than men.
107   H2: The most important factor of customer satisfaction is presence of bank branches. Individuals with the highest
108   level of education are more satisfied than other members of their social group with this factor.
109   H3: The most important factor of customer dissatisfaction is high bank charges. The factor is favored by more than
110   50% of the members across all the social groups.
111   Based on a significance level of 0.05, the data is processed using SPSS 22.0 with special attention on descriptive
112   statistics. Furthermore, the hypothesis is further tested using Pearson's chi-square test as shown below.

113   $$\sum_{i=1}^{r} \sum_{j=1}^{s} \frac{(n_{ij} - n°_{ij})^2}{n°_{ij}}$$

114   (1)
115

4. Results

117
118   Table 1 gives the results of the overall level of customer satisfaction in commercial banks in Kenya.
119
120   **Table 1.** Overall level of customer satisfaction in Kenyan banks. Source: own
121

Are you satisfied with banking products and services provided?	In total	Gender		Age			Education level	
		Men	Women	Under 30 years	30 - 50 years	Over 50 years	University	Primary and secondary
Yes in %	63,80	58,70	67,50	64,40	63,90	20,00	63,70	64,10
No in %	32,80	39,00	28,10	31,90	33,30	80,00	32,70	35,90
Don't know in %	3,50	2,30	4,30	3,70	2,80	0,00	3,60	0,00
Critical values of χ2		5,99		9,49			5,99	
Calculated values of χ2		5,86		5,33			4,99	

122   **Note:** Secondary education has been used to also refer to respondents of primary education due to minimum number of
123   responses.
124
125   The overall level of customer satisfaction in Kenyan banks is 63.80%. Furthermore, 32.80% of the customers are
126   dissatisfied with their banks. The rest (3,50%) do not know their satisfaction or dissatisfaction status.
127   Besides, women (67,50%) are more satisfied than men (58,70%). It can also be observed that individuals with
128   primary and secondary education (64,10%) are more satisfied than their counterparts with university education (63,70%).
129   Based on the research results, table 1 has confirmed hypothesis No.1 that the overall level of customer satisfaction
130   in Kenya is above 50% and women are more satisfied with the offerings of their banks than men.
131   The most important factors for customer satisfaction in Kenyan banks are depicted in table 2.
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141

Table 2. The most important factors for customer satisfaction in Kenya. Source: own

Which factor (s) satisfies you most in your bank? (you can select up to three factors)		In total	Gender χ2=3,84*		Age χ2=5,99*			Education level χ2=3,84*	
			Men	Women	Under 30 years	30 - 50 years	Over 50 years	University	Primary and secondary
Faster services at branches	%	27,79	27,33	28,14	26,38	34,11	0,00	25,70	44,44
	χ2		0,03		4,74			7,00	
Good quality of products and services	%	23,57	22,09	24,68	23,31	25,00	20,00	23,74	22,22
	χ2		0,37		0,13			0,05	
Presence of bank branches	%	57,82	58,72	57,14	59,20	51,39	60,00	58,38	53,33
	χ2		0,10		1,49			0,42	
Usage of e-banking	%	45,41	48,84	42,86	43,87	55,56	0,00	46,64	35,56
	χ2		1,42		7,47			1,98	
Friendliness of services at branches	%	35,48	37,79	33,77	34,97	34,72	80,00	33,80	48,89
	χ2		0,70		4,41			3,97	
Good network of ATMs	%	43,67	43,60	43,72	42,33	47,22	80,00	44,97	33,33
	χ2		0,00		3,30			2,20	

Note: * critical values of χ2.

The most important factor for customer satisfaction in Kenya is presence of bank branches (57,82%). The results further indicate that individuals with university education (58,38%) are slightly more satisfied than people with primary and secondary education (53,33%). In addition, those over 50 years prefer this factor. Furthermore, individuals with primary and secondary education statistically prefer fast services at branches compared to those with university education.

When comparing the other important factors for customer satisfaction, good quality of products and services (23,57%) is the least important factor of customer satisfaction for bank customers in Kenya.

Table 2 confirms hypothesis No. 2 that the most important factor of customer satisfaction in Kenya is presence of bank branches and this factor is preferred most by individuals with the highest level of education.

Table 3 below indicates the research results for the most important factors for customer dissatisfaction in Kenyan banks.

Table 3. The most important factors for dissatisfaction in Kenya. Source: own

Which factor (s) dissatisfies you most in your bank? (you can select up to three factors)		In total	Gender χ2=3,84*		Age χ2=5,99*			Education level χ2=3,84*	
			Men	Women	Under 30 yrs.	30 - 50 years	Over 50 years	University	Primary and secondary
Very slow services at branches	%	52,61	52,91	52,38	53,37	51,39	20,00	53,91	42,22
	χ2		0,01		2,25			2,19	
High bank charges	%	55,09	59,88	51,52	55,52	51,39	80,00	55,59	51,11
	χ2		2,79		1,68			0,32	
Impersonal approach	%	17,37	18,02	16,88	18,40	13,89	0,00	18,72	6,67
	χ2		0,09		1,90			4,04	
Poor quality of e-banking	%	34,00	31,98	35,50	32,82	37,50	60,00	32,12	48,89
	χ2		0,55		2,10			5,01	
Poor accessibility of bank branches	%	15,14	13,37	16,45	14,42	19,44	0,00	13,97	24,44
	χ2		0,73		2,06			3,42	
Low acceptance of needs	%	42,43	45,93	39,83	44,17	36,11	20,00	44,13	28,89
	χ2		1,50		2,61			3,80	

Note: * critical values of χ2.

160　The most important factor for customer dissatisfaction in Kenya is high bank charges (55,09%). It is evident from table 1
161　that this factor for dissatisfaction is preferred by more than 50% of the individuals from each of the social groups. The
162　factor is also preferred by more men (59,88%) than women (51,52%) and those aged over 50 years. Poor accessibility of
163　bank branches (15,14%) is the least factor for customer dissatisfaction in Kenya.
164　　　　In sum, table 3 above has confirmed hypothesis No. 3 that high bank charges is the most important factor for
165　dissatisfaction in Kenya and the factor is favored by more than 50% of individuals in each social group.
166
167　**5. Discussion**
168
169　According to the results by KPMG (2013), the overall level of customer in Kenya is above 70%. When comparing to this
170　research, visible differences are evident. Based on this article, the overall level of customer satisfaction in Kenya is
171　63,80%. This research further show that women (67,50%) are more satisfied than men (58,70%). When comparing the
172　overall level of customer satisfaction in the structure of education, it is found that individuals with primary and secondary
173　education (64,10%) are more satisfied than those individuals with university education (63,70%).
174　　　　When comparing similarities and differences between this research and other past research on most important
175　factor of customer satisfaction, this research find that presence of bank branches is the most important factor for
176　customer satisfaction in Kenya. KPMG (2013) found that presence of bank branches is the most important factor for
177　customer satisfaction in Kenya. However, differences exist when comparing the percentage of respondents who preferred
178　this factor. Based on this research, 57,82% of the respondents preferred presence of bank branches while 99% of the
179　respondents preferred presence of bank branches in the research by KPMG (2013). In addition, this research finds that
180　individuals with university education (58,38%) are more satisfied than people with primary and secondary education
181　(53,33%) with regards to the most important factor for customer dissatisfaction. Moreover, those over 50 years prefer
182　presence of bank branches more than other members in the social group of age. Surprisingly, this research show that
183　individuals with primary and secondary education statistically prefer fast services at branches compared to those with
184　university education.
185　　　　High bank charges (55,09%) is the most important factor of customer dissatisfaction in Kenya. This factor for
186　customer dissatisfaction gives similar result as KPMG (2013). Furthermore, this research observe that high bank charges
187　is preferred by more than 50% of the individuals from each of the social groups. Additionally, men (59,88%) favor high
188　bank charges more than women (51,52%). In the age structure, high bank charges is favored more by those individuals
189　aged over 50 years. When comparing all the other factors that are responsible for customer dissatisfaction in Kenya, poor
190　accessibility of bank branches (15,14%) is the least important factor for customer dissatisfaction.
191　　　　This research further confirms research by KPMG (2013) on the factors that are essential in determining customer
192　satisfaction and dissatisfaction in commercial banks in Kenya and Africa in general. As per KPMG (2013), presence of
193　bank branches and bank charges determine customer satisfaction and dissatisfaction in Africa. Besides, bank charges
194　are important when determining satisfaction of customers (Uddin and Akhter, 2012). Furthermore, customers usually
195　change banks because of high bank charges (Manrai and Manrai, 2007).
196　　　　By providing the results on the current overall level of customer satisfaction, most important factor of customer
197　satisfaction and dissatisfaction, this article provides insightful information on customer satisfaction in Kenyan banks. The
198　results provide platform for commercial banks in Kenya to provide products and services according to the levels and
199　expectations of customers to ensure maximum satisfaction. Also, by providing current literature on customer satisfaction
200　in the banking industry, this article contributes to research world.
201
202　**6. Conclusion**
203
204　The overall level of customer satisfaction in commercial banks in Kenya is above 50%. The research results indicate that
205　more women are satisfied than men. This confirms hypothesis No. 1.
206　　　　Presence of bank branches is the most important factor for customer satisfaction in Kenya. People with university
207　education prefer presence of bank branches more than those with primary and university education. This confirms
208　hypothesis No. 2.
209　　　　High bank charges is the most important factor of customer dissatisfaction in Kenya. More than 50% of the
210　members across all the social groups prefer this factor. This confirms hypothesis No. 3.
211　　　　Future research should focus on the ways that commercial banks can tackle customer dissatisfaction by
212　considering demographic factors such as gender, age and educational level. As a policy recommendation, banks should
213　lower prices of their products and services so as to prevent customers from switching to other banks.

7. Acknowledgement

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Quality of Life and Senior Travel Motivations and Expectations

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Abstract

The purpose of this study was to investigate how the perceptions of the quality of life of the older people from various parts of Slovenia shape their requirements regarding the tourism travel. This research seeks to investigate the factors that impact the mobility of older people from the perspective of tourism travel. The current research model comprises three hypotheses to explore questions whether perceptions of the quality of life, active learning, and social networking stimulates the mobility of older people through the engagement in tourism travel. Study empirically validated the impact of quality of life dimensions of older people on the tourism travel activities. Perceptions of quality of life, active learning and social networking positively predict the travel mobility of older people.

Keywords: *quality of life, tourism travel, social networking, learning, experience, active aging,*

1. Introduction

A long and happy life was always a dream of human beings. The harmony of human actions, the quality of its work and quality spending of its leisure time are major components of quality of life of elderly people (Ovsenik.,M.,2013). How people think, how we learn and how it affects our behavior, how we fit into society, how we upgrade and transmit knowledge is unique to each individual (Ovsenik.,R.,Ovsenik.,M.,2015). The progress in many scientific disciplines like medicine, hygiene, sport and leisure, and nutrition makes this dream became true even for the non - privileged members of the modern society. Namely, the proportion of older people and especially the population of older people continually increases. This progress will inevitable provoke the changes that will take place in the demographic sphere and will affect all aspects of human life in the future. These changes will imply different family structure, new forms of social networks of older people and different living conditions for the human population. As a result, economy will operate in different circumstances regarding employment, technology and productivity. Societies will have to shape age models on which well-being of older people will depend (Bond et al, 2006). Further, societies will have to invent solutions that will allocate more time for care for others with a new quality of relations between generations. With the aging of human population all over the world, the quality of life of older people will rise the question of their active and mobile life. Further, the need for social and emotional support will dramatically increase. These changes will directly or indirectly affect people's habits, daily routines, social lives, beliefs and values, which may lead to the lower quality of life.

One of the essential elements of the quality of life is their ability and desire to be mobile. Active aging is the framework that bases on the motivation of older people to be mobile and to conduct a healthy and active life. It fundamentally links to the health status, diminishes the impact of loneliness and depression and helps to maintain and renew the social network of older people. Tourism traveling is one of the means of mobility of older people that contributes to the overall mobility and the quality of life of older people.

The framework of the present study illustrates how the perceptions of quality of life of older people influence their desire to engage in tourism traveling. In this study we will investigate, which dimensions of the perceived quality of life of senior tourists shape their expectations about the tourism travel. In this study we will aim at expectations of senior tourists to gain new experience of their behaviour. We will investigate their desire to live through the real life expectations, and through their desire for autonomy to plan and to choose the tourist travel that meets their lifestyle. Further, we will investigate what empowers senior tourist's self-esteem, what are his prerequisites to learn on tourism travel and how he experiences his corporeal mobility through the social networking with other people when traveling.

2. Theoretical Issues

We have seen an increase in focus on subjective well-being and meaning of life of older people in recent years. The result of this activity is a proliferation of definitions and all kinds of measures and models of quality of life. As a result of this endeavor, there is no single definition or single measurement of the construct of quality of life. For Sennett (2003), Bond et al (2006), and Evans (2009), conceptualization and operationalization of the quality of life is an arduous process. Quality of life increasingly associates with qualitative, subjective measures and its objective quantitative aspects. The primary debates on quality of life focuses on the relative importance of subjective versus objective approaches. Researchers are interested in uni or multidimensional quality of life, in the role of values, in the place of self-evaluation, and in the cultural context (Xavier et al, 2003). Quality of life in old age is related to mobility, although the relationship is not clear, in part because the concept of movement lacks a precise definition (Metz, 2000).

3. Quality of Life of Older People

Quality of life refers to an overall assessment of one's life. It includes person's aspirations and achievements and closely connects to the overall satisfaction with life. Several aspects like social, physical, mental and financial determine it and usually interact with each other. Different factors like feelings of loneliness, self-care capacity, overall health, anxiety, and poor financial resources affect life quality of older people. They indicate the satisfaction with life of elderly people (Borg et al, 2006). According to Bowling (1999: 9) the quality of life is an individual response to the physical, mental and social effects of illness on daily living, which influences the personal satisfaction with life.

Quality of life and well-being are vague concepts. Corbin and Strauss (1987) argue that older people often relate their ability to preserve a sense of self with quality of life and with satisfaction with life. The literature dominates by discussion of the different definitions of quality of life of older people. There is evidence of concept's many applications in both scholarly discussion and public debate.

As human beings we hold perception of ideal self-concept, which we always present as the perception of subjectively real self-concept. Czaja (1975) compared six age groups regarding discrepancy between real and ideal self-concepts and the relationship between life satisfaction and difference in self-concepts. He found significant differences among age groups for real and ideal concepts and life satisfaction. He also found differences between age groups regarding life satisfaction. Age of the respondents significantly correlated with real and ideal concepts and life satisfaction. Younger subjects had lower real and ideal self - ratings and were less satisfied with their lives than the elderly subjects. Naing et al (2010) study findings show that factors like education level, illness, self-esteem, family income, family relationship and family support significantly predict the quality of life of older people.

Backman and Hentinen (2001) related self-esteem and life satisfaction with functional capacity and activities of daily living of home-dwelling older people. The persons who responsibly cared for their selves, formally guided and independently carried out their daily activities without assistance from others. Those who showed abandoned self-care did not manage their daily activities without help. Life satisfaction was the highest among the formally guided persons and self-esteem among the responsible ones. Poor life satisfaction and self-esteem correlated with abandoned self-care behavior. It is evident that self-esteem is the fundamental factor of their perception of the quality of their life. It is an image the people have about themselves. Further, it is the indicator how they feel, how they react to work and leisure and what kind of relationship they have with their family, friends and other important people in their lives. In general, it is the complex attitude created in the socialization process in the community as a whole. Additionally, it is the basis of the view of older people of themselves and the world.

4. Emotional Well-Being of Older People

Another important dimension of the quality of life is the self-esteem. According to Železnik (2007) self-esteem is an individual feeling of self-worth and self-respect. It is a dynamic category and may change in the life course of a person. Besides, it may follow new and different path with the changes of the lifestyle and social roles. Such changes often occur when older people become more and more dependent of others. And dependency provokes the feelings of uselessness. Hunter et al (1981) confirmed these statements studying a sample of older people to see what background and personality characteristics form their low or high self-esteem. The low-esteem group had poorer self-reported health, more pain and greater disability. Further, the low-esteem group had significantly higher scores on depression, anxiety and somatization. Other researchers like Ayranci and Ozdag (2006) found out that elderly people who live independently can preserve self-esteem by maintaining their health. Further, Bradley (2002) studied the effects of relocation of old

110 people to a retirement facility and its effect on person's self-concept. His research suggests that residing at a retirement
111 facility is a source of stigma for older people. It is so because of the way it affects their relationship with others.
112 Cotter (2009) study shows that the aging process leads to normative age-related bodily and functional declines and
113 numerous social changes and life events that potentially threaten the self-concept. The difficult changes that older people
114 may face such as death of spouse or severe medical problems can lead to depression or development of low self-esteem
115 and overall dissatisfaction with life. Coleman et al (1993) report in follow-up study show that help with household tasks, a
116 negative attitude of ageing, and perceived inactivity are symptoms of low self-esteem. Contrary, high self-esteem
117 associates with resilience against depression. Resilience is the ability to cope with life's frustrations without falling apart.
118 Proper treatment doesn't suppress emotions or dull a person's ability to feel things deeply. It builds a protective layer and
119 emotional resilience to safeguard a depressive from becoming overwhelmed and disabled by the difficulties of daily life.
120 Studies show that critical factors of quality of life such as independence-related factors, environmental factors, and
121 adaptive factors relate actively. Being active and satisfied with life is an adequate protection against building of low self-
122 esteem and depression. On the other hand the active and mobile life fosters positive future expectations and leads to the
123 motivation to explore yet unused personal potentials.
124
125 **5. Active Learning of Older People**
126
127 Active learning is an imperative process for all generations. It is a way how to cope with everyday problems and situations
128 in all life stages. Suc learning pattern is significant for a generations of older people that must have equal opportunity to
129 learn (Naumanen and Tukiainen, 2008; Smith, 1983). Findings of empirical research from Naumanen and Tukiainen
130 (2008) show that that the continuing education programs for the older people need peer-support through club-based
131 activities. Japelj et al (2006) report shows that Slovenia met the challenges for the education of older people and founded
132 The University of the Third Age through the Gerontological Association. The institution offers a diversity of study
133 programs, organized research journeys and other possibilities for learning.
134 Niederfranke (1992) argues that education for the older people contributes to connecting experiences and the
135 capacity of elderly people to cope with their situation with up-to-date knowledge and with new strategies for solving
136 problems. On the level of individual level educational situation encourages and promotes a transfer of knowledge
137 between older people and younger people. Further, study shows that learning is an important inhibitor of cognitive decline
138 among older adults (Kirkwood et al, 2008). Schuller et al (2004) study aims at another important role of learning in the
139 fight against depression.
140 Feinstein et al (2003) and Field (2009) link participation in learning with life satisfaction and well-being. Older
141 learners report optimism and self-rated well-being. Schleiter (2008) recent study showed that elderly people identify
142 learning as an important element in their subjective well-being.
143 Learning is a crucial factor in the process of building life satisfaction and realizing of the future expectations. These
144 findings correspond with Schuller et al (2004) study that shows how important is the role of the continuous learning in the
145 struggle against depressive feelings. Besides, they are similar with Feinstein et al (2003), Field (2009), and Schleiter
146 (2008) studies link continuous learning with life satisfaction and well-being producing optimistic view of life.
147
148 **6. Social Networking of Older People**
149
150 Shu et al (2003) explored the self-concept of older people residing in retirement centres as well as its relationship to
151 function of daily living and subjective well-being. The subjects comprised a convenience sample of people aged 65 or
152 older from a retirement center in the south of Taiwan. The results show that the older people residing in the retirement
153 center have significantly lower Personal Self and Family Self scores. Further, results indicate that more aged people
154 scoring low have small interaction with others and they do not participate in various social networks. As a result, they
155 report negative self-concept. Results correspond with the findings of the study by Nillson et al (2006) who found out that
156 social capital both at individual and community level directly associates with quality of life of older people in rural
157 environment. Železnik (2007) found out that self-esteem is an indicator of more aged people feelings and their reactions
158 to work and leisure and the symbol of the relationship they have with their family. Establishing formal and informal social
159 networks promotes the life satisfaction of the older people, and releases their social, intellectual and mental potentials.
160 Older people like to travel. Metz and Underwood (2005:5) relate this characteristics of older people with life
161 expectancy. Darcy et al (2011: 179) argue that older travellers are increasingly healthy and affluent and travel more. They
162 are also more demanding and are continually looking for opportunities for special interest travel and they seek innovative
163 experiences. Gibson and Singleton (2012: 198) argue that older people increasingly place travel as a higher priority in

164 their retirement years. Patterson (2006) research findings reveal that older travellers want variety, clear copy in travel
165 brochures, reliable information and value for their money. Thus, older tourists seek new acquaintances to empower their
166 desire for new adventures and experiences. Scott et al (2010: 170) reveal that older people have the desire to be young
167 again and they want to engage in exiting and adventurous activities. The research has also shown that older people
168 prefer real life experiences where they can learn and broaden their minds. Buhalis and Darcy (2011: 179) argue that
169 more aged people are increasingly healthy and affluent and they are travelling more. Besides, they are more discerning
170 and demanding and continually looking for new opportunities for unique travel.
171   Thus, the present study has three goals. First, we were interested and wanted to determine whether the perception
172 of the quality of life of older people affected the desire for tourism travel. Second, we examined whether the different
173 activities and desires to learning motivate older people to travel. Finally, we endeavored to test the relation between the
174 social participation of older people and their desire to travel. Basing on previous goals we modelled three hypotheses:

175 - H1: Older people who perceive good quality of their life like to travel more.
176 - H2: Older people who learn actively like to travel as tourists.
177 - H3: Older people who want to meet new acquaintances and to gain new experiences like tourism traveling.
178

7. Method
180
181 To test the results of the impact of quality of life on the tourism travel of older people we decided to use quantitative
182 methods. We conducted three statistical frameworks. The first one was descriptive statistics, the second was the
183 exploratory factor analysis. Finally, we performed multiple regression analysis to test the hypotheses of the study. We
184 used Statistica 7.0 statistical software to analyze the data from the study. Further, we used statistical software SPSS 20.0
185 to test the appropriateness of the factor analysis for the data reduction and for the extraction of the latent factors.
186

8. Participants
188
189 To test the impact of different dimensions of quality of life on the desire to tourism travel, we recruited   221 retired older
190 people from various parts of Slovenia.
191
192 **Table 1:** Sample of respondents in a research study
193

Sample	N = 221	
Sex	Women	Men
	82	139
Age range	Range	Average
	51-100 years	71,08 years
Education	Participant education	
• Preliminary school	86	
• High school	97	
• College	30	
• Post-graduate	5	
• Doctorate	3	

194
195 The recruitment sample included 82 men and 139 women. Ages of the participants ranged from 51 to 100 years and the
196 average of the participants was 71, 08 years. In respect to education, 86 has some preliminary school, 97, were high
197 school graduates, 30 college graduates, 5 were post-graduate, and 3 held doctorate from various disciplines. The most
198 frequent professions of the participants in our study before retirement were: public servant, technician, professor, teacher,
199 nurse, industry worker, housewife, supervisor in industry, and doctor of medicine.
200

9. Instrument
202
203 To develop a measurement scales of quality of life is a difficult task because there is not substantial standard for it.
204 Feelings about life are subjective, and various factors of well-being are individual too. On the other hand, there is a large
205 body of quantitative research methods that identified core factors of quality of life of elderly people, which can be
206 productively used to measure the quality of life. We self-developed the survey instrument. The 26-item questionnaire

207 consisted of four to ten items for each of the six dimensions. Items reflected the specific content of the perception of the
208 quality of life of older people: quality of life, emotional well-being, their active learning, social networking.
209   We interspersed items from the scales randomly throughout the instrument. Each item in the questionnaire has a
210 five point interval scale ranging from 5 (favorable) to 1 (unfavorable). Questionnaire contained eight demographics items
211 related to the respondent's level within the organization: education, profession, sex, age, dwelling conditions, financial
212 security, health, and time in retirement. We measured these items on ordinal or categorical scale. To measure the travel
213 behavior of the respondents, we used the frequency of their tourism travel in the previous year.
214   We pre-tested the questionnaire with three randomly chosen retired elderly people. One was a retiree with a PhD
215 in political sciences, the other was a housewife, and the third was a technician. We revised the questionnaire on the basis
216 of their recommendations. Because some respondents were apt to have minimal education, they recommended some
217 changes in wording. We sent questionnaires by post or by e-mail to randomly chosen respondents who agreed to
218 participate in the study. The students of a Medical College of University of Maribor in Slovenia approached to some
219 respondents personally.
220
221 **10. Results of the Study**
222
223 We analyzed the data we obtained from the respondents in the study on three levels. Firstly, we used descriptive
224 statistics to describe the data. Secondly, we used factor analysis to reduce the data and to obtain the latent factors of
225 quality of life of older people. Finally, we conducted multiple regression analysis to test the hypotheses of the theoretical
226 construct of the study.
227
228 **11. Factor Analysis**
229
230 We used Principal component factor analysis to obtain small number of latent factors and to prove the theoretical
231 construct of the research. This type of analysis estimates factors which influence responses on observed variables and
232 allow to describe and identify the number of latent constructs or elements. It helps to explore the underlying factor
233 structure of a set of variables it measures.
234   Firstly, we assessed the appropriateness of using factor analysis on data with Kaiser-Meyer-Olkin measure. The
235 diagonal element is greater than 0, 5 (KMO = 0,817) and indicates that factor analysis for the set of data is appropriate.
236 Secondly, we conducted the Bartlett's test of Sphericity (Snedecor and Cochran, 1983) shows that variables are
237 powerfully connected (DF = 352, p = 0,000). We can conclude that factor analysis is the proper method for the data
238 reduction and for the extraction of latent factors.
239
240 **Table 2:** KMO and Bartlett's Test
241

Kaiser-Meyer-Olkin Measure of Sampling Adequacy.		,817
Bartlett's Test of Sphericity	Approx. Chi-Square	2033,439
	df	351
	Sig.	,000

242
243 We included 26 variables in the factor analysis (Table 1). Our intention was to extract four latent factors that represent the
244 theoretical construct explaining the perceptions of older people on the quality of their life. The four latent factors explain
245 the 47, 845 % of common variance of the factors. The first factor we named: »Quality life" explains 24,792 % of variance
246 and comprises ten variables describing the perception of the quality of life of older people. This factor explains the strong
247 desire to fulfill more aged people expectations. It shows that they think that many things that they wanted to do in the past
248 they will leave to the future. Further, older people think that many unfulfilled expectations are waiting its realization. They
249 think that retirement is the game that they have to play actively and jointly create community and full life experience with
250 other people. It is important to emphasize that in this factor older people recognize new challenges for the future. They
251 have the desire to stay fit, plan their activities carefully and think that the future is there to use their mental, intellectual
252 and social potentials.
253   The second factor: "Emotional well-being" explains 8,869 % of variance in the factor model and comprises of z
254 variables. These variables describe the emotional state of the respondents in our research.
255   It encompass many aspects of the causes for low- esteem of elderly people. Put it differently, the opposite factor of
256 depression is resilience: the ability to cope with life's frustrations without falling apart. Respondents described various

257 problems that accompany their process of retirement. One of the strongest is the sadness and resentment along with
258 boring, feeling of emptiness and low opinion of oneself. Respondents report problems with adaptation to retirement life,
259 leaving behind the devotion to meaningful work. Further, they report fear of changes, worries for the future and expected
260 financial problems. This notion is similar to that of Cotter (2009) which shows that aging process leads to normative age-
261 related bodily and functional declines and numerous social changes and life events that potentially threaten the self-
262 concept.

263 Further, the third factor "Active learning" explains only 7,608 % of variance and comprises of 5 variables that
264 describe the learning pattern of the respondents. The third factor explains the desire to learn foreign languages, to
265 document important life events, desire for corporeal and virtual travel through Internet and experience places, people and
266 culture. This factor shows the findings, which are similar to those of Feinstein et al (2003) and Field (2009) that connect
267 participation in learning with life satisfaction and well-being. When they learn, elderly people express optimism and self-
268 rated well-being.

269 Finally, we named the fourth factor: "Social networking" explains 6,576 % of variance and comprises of four
270 variables that describe the building and maintaining of the social network of an older person. When older people think that
271 they are capable of producing bonding and informal network social capital, they have a good starting point to engage in
272 the social fabrics of local community. The opportunity to actively participate in voluntary activities in local community that
273 correspond their abilities, gives them an opportunity to exploit their potentials. On the other hand they have the
274 opportunity to meet new people and to experience new adventures. These findings correspond to that of McMichael and
275 Manderson (2004) who argue that people are happier if they ultimately feel they belong to a community and have various
276 connections.

277

278 **Table 3:** Results of principal factor analysis

279

	Quality of life	Emotional well-being	Active learning	Social Networking	Mean	Standard deviation
Now, when I am retired I take enough time and consume healthy food.	**0,609**	-0,112	0,191	-0,156	3,314	1,147
It is of utmost importance that I do what I want.	**0,611**	0,204	0,031	0,199	4,138	0,944
Contacts with my family members empower my self-concept.	**0,570**	0,049	-0,296	0,183	4,164	0,934
I am convinced that I deserve all good in the world.	**0,677**	0,035	-0,003	0,235	4,077	0,797
I am in a good mood.	**0,578**	0,353	0,125	0,163	3,869	0,966
I am proud of my life achievements.	**0,633**	0,188	0,164	0,050	4,155	0,876
I enjoy the achievements that I reached since I have been retired.	**0,660**	0,024	0,151	0,241	3,739	1,009
I plan my activities since I have been retired.	**0,564**	-0,012	0,179	0,096	3,223	1,206
I have a feeling the time has come for the fulfilment of my expectations.	**0,457**	0,015	0,372	0,246	3,073	1,110
I am the actor in the game called retirement.	**0,462**	-0,025	0,170	0,326	3,220	1,119
I feel sad and depressed when I realize that I am retired.	-0,328	**-0,633**	-0,005	-0,119	1,837	1,066
The initial feeling of pleasure to be retired changed to the feelings of emptiness and boredom.	-0,228	**-0,676**	-0,089	0,004	2,114	1,152
I am worried sometimes about the future.	0,017	**-0,569**	0,002	-0,205	3,273	1,205
It is hard for me to accept the fact that I can afford less since I have been retired.	-0,030	**-0,540**	-0,030	0,000	2,719	1,257
I think that my retirement allows me to go on with my life without any significant changes.	0,345	**0,505**	0,066	0,112	3,846	1,015
My life would be more complete if I would have more friends.	0,019	**-0,583**	-0,161	0,082	2,638	1,174
When I look at my old photos I feel that I am the part of the story they represent.	0,193	**-0,520**	-0,004	-0,028	3,400	1,234
I use Internet a lot since I have been retired.	0,133	0,235	**0,694**	-0,055	2,005	1,370
I take photographs to preserve memories and important moments in my life.	0,139	0,009	**0,645**	0,090	2,239	1,341
I learn foreign languages.	0,083	0,146	**0,725**	0,192	1,605	1,060
I attend the lectures in the programs of the University for the third period of life.	0,015	-0,129	**0,671**	0,269	1,562	0,971
I am satisfied with my sexual life.	0,341	0,297	**0,487**	-0,050	2,693	1,350
New acquaintances bring me the desire for new adventures and experiences.	0,358	0,100	0,221	**0,559**	3,018	1,187
I actively participate in the community life.	0,203	0,079	0,028	**0,859**	2,514	1,343
I have an opportunity to participate in the activities of local community that match my abilities.	0,287	0,204	0,165	**0,717**	2,918	1,353
I participate as a volunteer in a local community.	0,095	-0,015	0,112	**0,811**	1,912	1,313

280

281 To test the internal consistency, that is the closeness of the relation of a set of items as a group or factor, we used
282 Cronbach's alpha coefficient of reliability or consistency. Results show that Quality of life (Cronbach's Alpha = .825),

active learning (Cronbach's Alpha = .732) and social networking (Cronbach's Alpha = .821), have high internal consistency. Emotional well-being (Cronbach's Alpha = .495) does not exceed the threshold of 0.7 (Nunally, 1994), so we dropped it from the further analysis.

12. Regression Analysis

The objective of our research was to examine how the perception of older people about their quality of life motivates their mobility in the form of tourism travel. We regressed the dimensions of quality of life of older people on frequency of tourism traveling. The quality model consists of three independent variables: Quality of life, Active Learning, and Social networking and the dependent variable Tourism traveling. Factor Emotional well-being failed to meet the reliability criteria (Cronbach's Alpha = 0, 459), the accepted level of the composite reliability so we decide to drop it from the further analysis. The output of the multiple regression model shows the results of fitting a multiple linear regression model to describe the relationship between tourism travel and three independent variables. The equation of the fitted model is:

Tourism travel = -1, 1753 + 0, 264718*quality of life + 0, 246797*active learning + 0, 130007*social networking

Since the p-value in Table 2 is less than 0, 05, there is a statistically significant relationship between the variables at the 95, 0% confidence level. The coefficient of determination (R^2) we can define as the proportion of variance in the data explained by the statistical model and not by random error terms or non-included constructs. In addition, we provide information on the adjusted R^2, which accounts for the number of independent variables (Theil, 1961). In the research model the R^2 statistic indicates that the model as fitted explains 21, 182 % of the variability in tourism travel. The adjusted R^2 statistic, which is more suitable for comparing models with different numbers of independent variables, is 20, 092 %. The standard error of the estimate shows the standard deviation of the residuals to be 0, 778. The average value of the residuals (MAE) in the model is 0,605. We used the Durbin -Watson (DW) statistic test of the residuals to determine if there is any significant correlation between independent variables. Since the p-value is greater than 0, 05, there is no indication of serial autocorrelation in the residuals at the 95, 0 % confidence level.

Table 4: results of multiple regression analysis

R^2 (adjusted for d. f.)	21,181 percent
Standard Error of Est.	0,778
Mean absolute error	0,605
Durbin-Watson statistic	1,9837 (p = 0,452)
F-ratio	19,44
p-value	0,0000

According to the results of regression analysis we can confirm and accept the first hypothesis (H1): "Older people who perceive sound quality of their life like to travel more." The independent variable Quality of life has the highest correlation in the model (Beta = 0, 264; p = 0, 0003). Consequently, it is in statistically significant and positive relation to the tourism traveling. We can conclude that quality of life positively connects to the mobility, which gives older people sense of autonomy and independence.

Further, independent variable: »Active learning" has a little lower correlation in the model (Beta = 0, 247; p = 0, 0004). Since the relationship between this variable and independent variable Tourism traveling is statistically significant and positive, we can confirm the second hypothesis in the model (H2):" Older people who learn actively like to travel as tourists." Obviously, when older people learn actively they have the desire for gaining of new experiences, which the tourism travel can deliver.

"Social networking" has the lowest correlation in the model (Beta = 0, 130; p = 0, 0289). We can conclude that the relationship between this variable and dependent variable Tourism traveling is statistically significant and positive. Again, we can confirm the third hypothesis: (H3): "Older people who want to meet new acquaintances and to gain new experiences like tourism traveling."

13. Discussion

The research model we propose provides a framework for understanding motives of older people to maintain their mobility in the form of a tourism travel. Perceptions of older people about the quality of life significantly explain the desire for tourism travel. Older person perception of his or her quality of life significantly associates with the frequency of travel

331 traveling. He feels that the tourism travel is a new quality in his life and a new achievement on the field of mobility. Older
332 tourist has a strong urge to show to his family, relatives and friends his or her results from tourism travel. He has to be
333 proud of his life achievements, so he has to enjoy and engage in a new adventures that tourism travel brings. Older
334 tourist's results define his self-concept, boost his self-esteem and establish his status in the society. Feeling of autonomy
335 in planning of activities of a tourism travel and the feeling that he is the actor in his own game empowers his desire to
336 travel. He has to be aware of what he can do and what he wants and he will enjoy traveling, consuming healthy food and
337 he want to be in a good mood.
338   The results of positive and significant relationship between active learning and frequency of traveling suggest that
339 the positive attitude to the active learning motivates the older person to become mobile and to gain new experiences.
340 Older tourists seek novelties and they are continually looking for new adventures. The results also show that more elderly
341 tourists like variety in learning, so they will find various modes of learning and gaining new experiences when on tourism
342 travel. They want their experiences with tourism traveling to be memorable and he wants to have an opportunity to
343 publish his memories on social media. Older tourists prefer life experiences, to learn from them and to broaden their
344 views. Results corroborate the desire and the intention of more aged people to gain new knowledge and new experiences
345 by engaging in the tourism travel activities. Engagement in different learning pursuits seems to be the vantage point that
346 accelerates the mobility of and older person.
347   The results also show that social networking of an older person appears to be positively and associated with the
348 frequency of tourism traveling. Social networking inevitably associates with the desire of older people for new adventures
349 and experiences. Older people in our study actively participate in the community life. This statement implies that once an
350 older person actively participates in the community life, his or her desire to be mobile strengthens. He likes to broaden his
351 social network with the people he wants. Further, he wants to participate in every community endeavour that matches his
352 abilities. Such a person wishes to engage in tourism traveling, which can match his skills to perform and to gain new
353 experiences. He also wants to associate with the people when traveling that can become his new acquaintances and the
354 part of his social network. For him it is important the feeling that contacts with other people when traveling can empower
355 his self-concept, especially when he shares the joy of going with them. One of the major findings of this study is that the
356 tourism traveling is what he wants without any unnecessary constraints, which the organizers of tourism travel impose. It
357 is evident that older tourists engage in volitional behaviour because it is self-relevant, has subjective meaning and is
358 important to them.
359   We can conclude from the results of the study that social networking builds the foundation for the positive stimuli of
360 an older people to travel and to strengthen his social network. Older person is mobile because such behaviour is self-
361 relevant. It seems that such behaviour has subjective meaning and contributes to the quality of life of an older person.
362 Therefore, a possible explanation of the results of the study is that an older person consider tourism traveling as a mean
363 to achieve higher quality of life. Enhancing the positive perceptions of the quality of life of an older person through the
364 various means of mobility becomes a necessity.

14. Conclusions and Implications

368 Life expectancy of an older population in the world increases. Older people are growing in the dominant social group in
369 the world. They are increasingly healthy and affluent. It is important to note that older people have often tourism travel on
370 their agenda. They are demanding as tourists and are continually looking for opportunities for special interest travel.
371 According to their beliefs, they usually seek innovative experiences and they want variety when traveling. Further, they
372 travel in tourism to ask new acquaintances to empower their desire for new adventures and experiences. They want to be
373 young again and they want to engage in exiting and adventurous activities from real life and broaden their minds.
374   Many several stakeholders like tourism managers, travel agencies, and organizers of tourism activities,
375 gerontologists and workers in communities of practice can use the findings of this study. They can use these results to
376 improve the quality of life of older people, to plan active aging, and to introduce the integral tourism products to potential
377 older travellers. Results of the study reveal additional dimension of the quality of life of older people and gives the insight
378 into the possibilities to enhance the mobility of older people.
379   This study has some limitations too. We focus on perceptions of quality of life of older people to explain the social
380 behaviour using quantitative approach. This approach gives the general notion of tourism mobility of older people, but
381 fails the in-depth insight. Future studies should aim at revealing the deep ingrained expectations of older people to
382 recognize the factors that can enhance their mobility. We suggest a qualitative study with in-depth interviews in various
383 groups with different predispositions for mobility.
384   This study has some limitations. The respondents in the study belong to the right group of older people that are

retired and engage in tourism travel. We know from the previous research that older men and women differ in their definition of the quality of life. The number of men and women participants in the study differs significantly. The sample of the respondents is to low and we cannot generalize the results of the study. Further, we do not know the attitudes of the people who did not want to participate in the study. Further research will be useful to investigate the attitudes of underrepresented older people about the tourism travel.

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