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Valuers’ and Valuation Firms’ Characteristics as Causes of Inaccuracy in Valuation in Nigeria

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Abstract: Studies in a number of countries have identified certain factors as major contributors to inaccuracy in real property valuation. Of these, individual characteristics of valuers and to a lesser degree, the ethical culture of the firms that engage them, are foremost and universal. This study evaluates the predictive and relative importance of individual characteristics of valuers/valuation firms that contribute to inaccuracy in residential property valuation in Lagos, Nigeria. It also includes the results of an empirical study on the level of accuracy achieved by valuers in the study area. Information elicited from senior partners of 250 firms of Estate Surveyors and valuers (appraisers) operating within Lagos metropolis were analyzed using both descriptive and inferential statistics. The study revealed a degree of inaccuracy that is beyond the industry’s tolerance limits. The study also identified the experience and exposure of valuers; the number of valuations undertaken by valuers within a period of time; professional status of valuers; valuers’ familiarity with relevant markets; and interestingly, the gender of valuers, in that order, as factors that significantly contribute to inaccuracy in residential property valuation in the study area. The paper prescribes, among others, quality assurance measures, and a more proactive regulatory framework, as immediate measures required to curb complacency and excesses among valuers and valuation firms in the study area.

Keywords: inaccuracy, contributory factors, valuers’ characteristics, firms’ characteristics, Nigeria.

1. Introduction

Real estate valuation is a very complex task and many factors may account for its inaccuracy. Wyatt (2003) noted that inaccuracy can enter the valuation process at any stage from the inception up to the final valuation. There already exists a consensus among academia, the professionals, as well as the courts, that inaccuracy is inevitable in real property valuations. For instance, the Royal Institution of Chartered Surveyors (RICS), UK’s leading regulatory body on property matters, once remarked that “the valuer and most informed users of valuation recognize that there will be a degree of uncertainty attached to the figure provided” (RICS, 1994:26). In Singer and Friedlander Ltd Vs John D. Wood & Co (1997), the learned Judge remarked that valuation is an art, not a science and that pinpoint accuracy in the result is not therefore to be expected by those who request for it.

Authors like Harvard (2001a) and Wyatt (2003) noted that valuations are carried out within a number of complex interrelated and often conflicting frameworks, and that valuers themselves have their individual characteristics, all of which, one way or the other, influence the valuation process resulting ultimately in inaccuracy or variance. In a study carried out among 97 UK lenders, finance brokers, valuers and investors, all respondents subscribed to the fact that one-to-one relationship between valuation and...
transaction price is not to be expected always (Bretten and Wyatt, 2002).

While inaccuracy in real estate valuation may be widely accepted more or less as lore within property valuation fraternity, the repercussions are nonetheless far-reaching (Parker, 1999). Inaccurate valuation, for instance, is a threat to the credibility and relevance of the valuation profession. If valuations have only a limited likelihood of accuracy, clients may question why valuation is necessary at all and it could mean that performance measurement for investment properties would be a fruitless exercise (Brown, 1991). Inaccurate valuation is also imimical to healthy development of the property market as it tends to undermine investors’ confidence in the operations of the property market, and can lead to sub-optimal decisions by investors and portfolio managers. This in turn, may result into incalculable financial loss to real estate investors and financial institutions. The collapse of the finance and property market in the UK in the 1990s, the “savings and loans” debacle that rocked the USA financial and property market in the 1980s, and the collapse of the Jorgen Schneider property group in Germany in 1994 were associated largely with valuation opinions that were ill-advised (Isaac & Steley, 2000; Yovino-Young, 1997; Baum & Crosby, 1995). With globalization, the world’s economies are more closely linked than ever before, giving the impact of inaccurate valuation wider implications. The international banking community through the medium of Basel Committee is therefore calling for harmonization of valuation standards, due to the large number of loans that are secured on real estate. Inaccurate valuation also contributes to low valuation ratios in property tax administration with both equity and poor revenue yields implications.

By investigating the impact of the contributory factors as it relate to role of the practitioners, it may be possible to decrease the impact of each of the contributory factors systematically and ultimately reduce variance and its potentially grave consequences (Wyatt, 2003).

This paper is in five sections. The next section is literature review. Section three describes the study area and the methodology while section four discusses the results of the empirical study. The last section includes the conclusions and recommendations.

2. Review of Literature

Commentaries on valuation accuracy have so far been both quantitative and qualitative. Quantitative commentaries in Britain and Australia have generally suggested a high level of valuation accuracy (Brown 1991; IPD/DJ, 1990; Parker, 1998); while in the USA the degree of accuracy is much less (Guilkey, Cole & Miles, 1986). The limited reported Nigerian studies have suggested low levels of accuracy (Ogunba, 1997; Ogunba & Ajayi, 1998; Ogunba, 2004).

While these quantitative commentaries provided insight into whether or not valuation inaccuracy does actually exist and the level of accuracy achieved by valuers, they failed to provide any clue to why valuations may be inaccurate. Clues to why valuers often miss their targets are however essential requirements for finding appreciable solutions to the phenomenon of inaccuracy in real estate valuations (Harvard, 2001a).

The emphasis of early research on quantitative analysis rather than the process may be justified on the grounds that the primary concern of stakeholders is the reliability of the final valuation figure rather than how the value was arrived at. However, it has become a widely held belief that most questions raised on inaccuracy in valuation would remain unanswered until sufficient light is shed on the procedural and behavioral aspects of the valuation process and particularly on factors contributing to inaccuracy (Gallimore & Wolverton; Harvard, 2001a, 2000; Diaz, 2002). More attention has therefore been focused lately on causes of inaccuracy in valuation (Diaz 1990a and 1990b; Kinnard, Lenk, and Worzala, 1997; Levy & Schuck, 1999; Harvard, 1999, 2001; Gallimore, 1994 and 1998; Gallimore & Wolverton, 2000; Diaz, 2002; Bretten & Wyatts, 2002). In Nigeria, behavioral research is at present scanty. Amidu (2006), Amidu & Aluko (2007) considered clients’ influence, while Adegoke & Aluko (2007) considered the effects of heuristics. Other authors have only referred to anecdotal evidence on the subject.

The fundamental reason for inaccuracy in real property valuation remains the fact that the true market value which the valuers seek to predict is unobservable and therefore not realizable. For this reason, the valuation profession adopts market prices as proxies for underlying true market values. Thus, the International Valuation Standards Committee defines market value as:

…the estimated amount(prise) for which an asset should exchange on the date of valuation between a willing buyer and a willing seller in an arm’s length transaction after proper marketing wherein the parties had each acted knowledgeably, prudently and without compulsion. (IVSC, 2003:96)
The Royal Institution of Chartered Surveyors (RICS) has officially adopted this definition (RICS, 2010:1). Moreover, even when true value is approximated to market price, the heterogeneity of property and the peculiar characteristics of the property market make valuation (price prediction) inaccuracy virtually inevitable. Unlike the market for equity and gilts, where market prices of securities are easily determined by reference to the prices of similar assets traded in the secondary market, the property market is characterized by heterogeneous commodities; infrequent sales, and lack of centralized trading floor and register – necessitating valuations and largely contributing inaccuracy in valuations.

Beside these conceptual limitations, studies have also identified certain other factors that significantly contribute to valuation inaccuracy. Babawale (2008) identified twenty three such causal factors which were classified into four groups as: property characteristics, the valuation environment, the valuation process, and individual characteristics of valuers/valuation firms. Similar studies have identified the nature and state of the property market (Millington, 1985; Aluko, 1998, Olaleye, 2004, deaehr of market data (Ratcliff, 1975; Olaleye, 2004; Ajibola, 2010); definition of value (Millington, 1985; Baum and Crosby, 1988), client pressure (Aluko, 1998; Levy and Schuck, 1999), type of property (Rushmore, 1993, Breiten and Wyatt, 2002), valuation methodology (Harvard, 2001a), absence of national valuation standards and guidance notes (Valuers and Appraisal Manual, 2001, IVSC, 2001), effectiveness of regulatory framework (Wyatt, 2003), skill, experience and judgment of valuers (Ajayi, 1997; Aluko, 1998), and individual characteristics of valuer and valuation firm (Wyatt, 2003; Levy and Schuck, 1999).

Levy and Schuck (1999) noted particularly that ethical decisions are found to rest squarely in the hand of the individual valuers and to a lesser degree the ethical culture of the firm he works for. Such valuers may behave unethically due to the competitive nature of the valuation market. Valuers are often compelled by economic incentives to act contrary to professional ethics to satisfy their client and avoid conflict over fees and precipitate repeat business. Wyatt (2003) also identified individual behavioral characteristics of the valuers as the main cause of valuation variance and that even in countries like Britain where the profession has tried to enforce more rigorous mandatory standards backed by detailed guidance notes, valuers still fall below the required standard.

This study examines the influence of individual characteristics of valuers and the valuation firms that engage them on inaccuracy in residential property valuation with particular reference to Lagos metropolis. Individual characteristics of a valuer invariably affect his capability to apply established valuation principles, methodology and process efficiently to achieve accurate valuation. Specifically, it includes the gender, academic qualifications, professional status, experience and level of exposure, and familiarity with the market. The relevant characteristics of firms include the age and size of the firm; the structure and the practice standards and ethics.

3. The Study Area

The study area is metropolitan Lagos, Lagos State, South-West Nigeria. Lagos State is one of Nigeria’s 36 states. Lagos metropolis accounts for 37% of the land mass of Lagos State but hosts about 85% of the population giving an average population density of 20,000 persons per square kilometer. The metropolis’ present population is estimated at 17 million which confers on it the status of a mega city and is projected to become the third largest city in the world by the year 2015.

Lagos is considered the most appropriate area for this study for a number of reasons. First, in spite of the fact that the seat of the Federal Government has moved from Lagos to Abuja, Lagos metropolis has remained the nerve centre of the nation’s commercial, industrial, and property investment activities. Lagos metropolis has the most active property market with the highest average property value and stock of investments (Babawale and Koleoso, 2006).

Second, available records with the regulatory bodies - the Nigerian Institution of Estate Surveyors and Valuers; and the Estate Surveyors and Valuers Registration Board of Nigeria - showed that the number of registered firms of Estate Surveyors and Valuers (appraisers) in Nigeria as at January 2009 was 779, out of which 415 (53 %) have either their head office or at least a branch office within Lagos Metropolis. A large proportion of both the providers and the end users of valuations are therefore resident in the study area.

4. Research Method

The study population comprised primarily, registered firms of Estate Surveyors and Valuers (appraisers) within the study area, and secondarily the heads of valuation units/departments in these firms. The
residential properties sub-sector is chosen because it represents the largest stock of real estate assets in Lagos metropolis like most cities of the world (Burke, 1980). Furthermore, the market for residential properties in Lagos is the most active sub-market where sufficient information can be readily garnered for the type of analysis required.

The study was also limited to residential properties sold by private treaty by sampled firms within the last two years prior to the survey, for which there were prior formal valuations. Sales by other methods such as auction, forced sale arising from mortgage foreclosure, and sale by tender do not satisfy the condition of the ‘open market value’ which was specified for the purpose of this study. The poor record-keeping culture observed among most of the real estate consultancy firms in the study area informed the limiting of the time period covered to two years. This same factor renders the adjustments required to make valuations and sales events reasonably contemporaneous impossible without compromising reliability.

Field survey revealed that only government departments and corporate organizations consider it mandatory to obtain a formal valuation report prior to a sale or purchase, while private individuals and businessmen who constitute the bulk of participants in residential property market of Lagos consider prior formal evaluation unnecessary. This informed the need to limit the number of residential properties sold within the last two years required from each firm to only one.

Primary data were gathered through a combination of well-structured questionnaire and in-depth personal interviews in selected cases. In either case, the respondent was the head of the valuation unit, where one exists, or a senior valuer connected with valuation assignments in the firm.

4.1 Sampling Design and Procedure

Previous studies on valuation accuracy in Nigeria that have used Lagos Metropolis as either the sole study area or as part of the study area (Ogunba & Ajayi, 1998; Ogunba, 2004) have used the cluster sampling technique. This was based on the fact that firms of Estate Surveyors and Valuers are to be found in clusters around major business districts of major urban centres.

This study was intended to be wider in scope and more in-depth. As such, a survey of total population (all registered firms of Estate Surveyors and Valuers in Lagos Metropolis) was considered more appropriate as it ensures that all categories of property valuation firms were covered regardless of size, age, organizational structure, practice standards, location etc. This is expected to enhance the reliability and validity of the outcome.

The sample frame for this study is therefore 415 – number of firms of Estate Surveyors and Valuers in Nigeria that have either their head offices or at least a branch office within Lagos metropolis. Two hundred and fifty (250) of the responses received were duly completed and therefore considered satisfactory for further analysis. This represents a response rate of above 60% which is good enough for reliable and valid conclusion.

Secondary data for the study were sourced from journals, text books, and seminar papers on valuation accuracy and related issues within and outside Nigeria especially from the official records of the Estate Surveyors and Valuers Registration Board of Nigeria (ESVARBON), and that of the Nigerian Institution of Estate Surveyors and Valuers (NIESV).

4.2 Model Specification

Though the main thrust of this study is to investigate the effects of individual characteristics of valuers and valuation firms on valuation inaccuracy, it was considered necessary, as stated earlier, to ascertain first the level of accuracy currently achieved by the sampled valuers as a way of establishing whether inaccuracy does in fact exist among residential property valuers in the study area. Traditionally, valuation accuracy was determined by simply comparing valuations with transaction prices (Guilkey, Cole & Miles, 1986; Brown 1991; Cullen, 1994; Matysiak & Wang, 1995: McAllister, 1995; Parker, 1998; Newell & Kishore, 1999; IPD/Driver Jonas, 1998). This aspect of the study therefore hypothesized that there is no significant difference between valuations and subsequent transaction prices of residential properties transacted in Lagos metropolis.

Comparison of valuations and subsequent transaction prices is done usually by calculating the Mean Average Error and the Mean Absolute Error. The Average Error is a measure of bias towards over-valuation or under-valuation and is given by the formula:
AVE = 1/n \(\text{(transaction price – valuation)}\) ……………..\(\text{(i)}\)

The Mean Absolute Error is similar to the Average Error in calculation except that the sign of the individual differences is ignored as follows:

\[ D = \frac{1}{n} |\text{(transaction price – valuation)}| \] \(\text{…………… (ii)}\)

The predictive as well as the relative importance of the explanatory factors is measured by multiple regression analysis. Regression tests, unlike the error metric tests, distinguish any systematic patterns in the differences from pure random elements. Usually, transaction price as the dependent variable is regressed on the independent variable, valuation.

The regression equation employed is therefore of the form:

\[ \text{Sale Price} = \alpha + \beta \text{valuation} + \epsilon \] \(\text{…………………………… (iii)}\)

Where,
\(\alpha\) is a constant which may be required to permit a best fit estimation of \(\beta\).
\(\beta\) is the slope of the fitted regression line and captures the relationship between valuations and transaction prices.
\(\epsilon\), the error term, which may arise from specification error suggesting that the model has left out important explanatory variables; or as a result of measurement error suggesting that the variables cannot be accurately measured.

\(R^2\) and \(\beta\) are perhaps the key indicators from the regression tests. The \(\beta\) measures the predominant trend across the whole data set of sales. A \(\beta\) of 1 indicates no systematic bias, while a score of above 1 would indicate that prices are generally higher than valuations. On the other hand, \(R^2\) score measures how much of the variation in sale prices is explained by valuations.

In Table 1, we have the descriptions and measurements of the eight continuous and dummy variables employed in the multiple regression analysis.

Table 1. Description and Measurement of Variables Included in the Regression Analysis

<table>
<thead>
<tr>
<th>S/No</th>
<th>Variable Code</th>
<th>Variable Description</th>
<th>Variable Measurement</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>ACURF</td>
<td>Measure of accuracy</td>
<td>(\frac{\text{Price-Valuation}}{\text{Price}}) (\times) 100. Low Acurf suggests low level of inaccuracy (or high level of accuracy) and vice versa.</td>
</tr>
<tr>
<td>2</td>
<td>GENDER</td>
<td>The sex of respondents (Estate Surveyors and Valuers)</td>
<td>Male = 1 Female = 0</td>
</tr>
<tr>
<td>3</td>
<td>ACAQULI</td>
<td>Academic qualification of respondents</td>
<td>University graduate = 1 Polytechnic graduate = 0</td>
</tr>
<tr>
<td>4</td>
<td>PROQULI</td>
<td>Professional status of respondents</td>
<td>Registered with the Nigerian Institution of Estate Surveyors and Valuers = 1 Not registered = 0</td>
</tr>
<tr>
<td>5</td>
<td>EXPN</td>
<td>Experience of respondents in real estate valuation</td>
<td>Number of years in practice after graduation.</td>
</tr>
<tr>
<td>6</td>
<td>FAMLIA</td>
<td>Respondent’s familiarity with the market where property locates.</td>
<td>Property locates within firm’s primary market (local government area where firm locates) = 1 Otherwise = 0</td>
</tr>
<tr>
<td>7</td>
<td>SIZFRM</td>
<td>Size of the firm</td>
<td>Number of Estate Surveyors and Valuers in employment.</td>
</tr>
<tr>
<td>8</td>
<td>AGEFRM</td>
<td>Age of the firm</td>
<td>Number of calendar years since established.</td>
</tr>
<tr>
<td>9</td>
<td>NUMAVAL</td>
<td>Number of valuation</td>
<td>Average number of valuation carried out in a month.</td>
</tr>
</tbody>
</table>

5. Data Analysis and Discussions

Table 2. Error Metric Analysis of Valuations and Transaction Data (\(N= 250\))

<table>
<thead>
<tr>
<th>S/N</th>
<th>Statistics</th>
<th>Percent</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>Range</td>
<td></td>
</tr>
<tr>
<td>i.</td>
<td>Valuation exceeding market price</td>
<td>70%</td>
</tr>
<tr>
<td>ii.</td>
<td>Market price exceeding valuation</td>
<td>24%</td>
</tr>
<tr>
<td>iii.</td>
<td>Valuation equals market price</td>
<td>5%</td>
</tr>
<tr>
<td>2.</td>
<td>Mean Average Error (AVE)</td>
<td>.64%</td>
</tr>
<tr>
<td>3.</td>
<td>Mean Absolute Error</td>
<td>68.80%</td>
</tr>
<tr>
<td>4.</td>
<td>Levels of accuracy</td>
<td></td>
</tr>
<tr>
<td>i.</td>
<td>(&gt; 95%)</td>
<td>30%</td>
</tr>
</tbody>
</table>
The results in Table 2 reveal that valuations of residential property among the sampled valuers were accurate to within 5% of the selling price in only 30% of the 250 transactions, 45% were between \( \pm 10\% \) of transaction prices, 72% are within \( \pm 15\% \), while 18% of the valuations are more than 20% in error. Although the data revealed a measure of consistency, there were few extreme values such that the range of valuations exceeding market prices (70%), to market prices exceeding valuations (24%) is quite wide. The Mean Absolute Error is 68.80%, while the Average Error is 0.64, indicating a tendency towards overvaluation.

To test the null hypothesis that there is no significant difference in (the mean score of) the valuations and the subsequent transaction prices for the sampled residential properties, the study employed Wilcoxon Signed Rank Test which is a non-parametric alternative to the repeated measures of T-test. This is used here following the violation of the normality assumption of the two variables (valuations and transaction prices). From Table 2, the \( Z \)- value under the test statistics was found statistically significant at 1% level; Sig. < 0.005. This result suggests that the two sets of scores - valuations and transaction prices were significantly different.

Thus, the null hypothesis that there is no significant difference between valuations and eventual transaction prices of residential properties in Lagos metropolis is rejected. The alternative hypothesis that there is significant difference between valuations and eventual transaction prices of residential properties in Lagos metropolis is therefore accepted. The summary statistics in Table 2 confirm the existence of a considerable degree of inaccuracy in residential property valuation in the study area.

### Table 3 (a-f) Characteristics of the Respondent Estate Surveyors and Valuers

<table>
<thead>
<tr>
<th>Variable</th>
<th>Frequency</th>
<th>Percent</th>
</tr>
</thead>
<tbody>
<tr>
<td>(a) Gender of Valuers</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Male</td>
<td>235</td>
<td>94</td>
</tr>
<tr>
<td>Female</td>
<td>15</td>
<td>6</td>
</tr>
<tr>
<td>Total</td>
<td>250</td>
<td>100%</td>
</tr>
<tr>
<td>(b) Academic Qualifications</td>
<td></td>
<td></td>
</tr>
<tr>
<td>National Diploma (plus direct final)</td>
<td>1</td>
<td>1</td>
</tr>
<tr>
<td>Higher National Diploma (HND)</td>
<td>104</td>
<td>41</td>
</tr>
<tr>
<td>B.Sc. Degree</td>
<td>93</td>
<td>37</td>
</tr>
<tr>
<td>B.Sc. Degree + Post Graduate Diploma</td>
<td>15</td>
<td>6</td>
</tr>
<tr>
<td>HND + Masters Degree</td>
<td>10</td>
<td>4</td>
</tr>
<tr>
<td>B.Sc + Master Degree</td>
<td>24</td>
<td>12</td>
</tr>
<tr>
<td>Total</td>
<td>250</td>
<td>100%</td>
</tr>
<tr>
<td>(c) Professional Qualifications</td>
<td></td>
<td></td>
</tr>
<tr>
<td>ANIVS</td>
<td>214</td>
<td>85</td>
</tr>
<tr>
<td>FNIVS</td>
<td>27</td>
<td>11</td>
</tr>
<tr>
<td>ANIVS + RICS</td>
<td>5</td>
<td>2</td>
</tr>
<tr>
<td>FNIVS + FRICS</td>
<td>2</td>
<td>1</td>
</tr>
<tr>
<td>FNIVS + RICS</td>
<td>2</td>
<td>1</td>
</tr>
<tr>
<td>Total</td>
<td>250</td>
<td>100%</td>
</tr>
<tr>
<td>(d) Experience</td>
<td></td>
<td></td>
</tr>
<tr>
<td>1-5 years</td>
<td>66</td>
<td>26</td>
</tr>
<tr>
<td>6-10 years</td>
<td>94</td>
<td>37</td>
</tr>
<tr>
<td>11-15 years</td>
<td>58</td>
<td>23</td>
</tr>
<tr>
<td>15+ years</td>
<td>22</td>
<td>12</td>
</tr>
<tr>
<td>Total</td>
<td>250</td>
<td>100%</td>
</tr>
<tr>
<td>(e) Average Number of Valuations/month</td>
<td></td>
<td></td>
</tr>
<tr>
<td>0-5</td>
<td>165</td>
<td>66</td>
</tr>
<tr>
<td>6-10</td>
<td>56</td>
<td>22</td>
</tr>
<tr>
<td>11-20</td>
<td>23</td>
<td>9</td>
</tr>
<tr>
<td>20+</td>
<td>1</td>
<td>1</td>
</tr>
<tr>
<td>Total</td>
<td>250</td>
<td>100%</td>
</tr>
<tr>
<td>(f) Acceptable margin of error</td>
<td></td>
<td></td>
</tr>
<tr>
<td>&lt; 5%</td>
<td>56</td>
<td>22</td>
</tr>
<tr>
<td>6-10%</td>
<td>138</td>
<td>55</td>
</tr>
<tr>
<td>11-15%</td>
<td>54</td>
<td>14</td>
</tr>
<tr>
<td>16-20%</td>
<td>22</td>
<td>9</td>
</tr>
<tr>
<td>20%+</td>
<td>2</td>
<td>1</td>
</tr>
<tr>
<td>Total</td>
<td>250</td>
<td>100%</td>
</tr>
</tbody>
</table>

Table 3(e-f) contains relevant characteristics of the Estate Surveyors and Valuers that participated in the study. Table 3(a) shows that 94% of the respondents are male. This suggests that the present generation of Estate Surveyors and Valuers in the study area is predominantly male. According to Table 3(b), all the respondent Estate Surveyors and Valuers are holders of relevant academic qualifications in estate surveying and valuation.
management. Specifically, 41% are holders of Higher National Diploma (HND), 37% have Bachelor of Science degree (B.Sc.), about 1% i.e. 2 people have National Diploma (ND) certificate while 21% have additional post-graduate qualifications including Master of Science (M.Sc.) degrees in Estate Management, Construction Management, Project Management or Business Administration. This suggests a very high minimum academic qualification for practicing Estate Surveyors and Valuers. This is good for the profession in particular and the economy as a whole as it assures valuation users that whoever is registered as a professional estate surveyor and valuer can be reasonably relied upon to provide reliable valuations.

On professional qualifications, Table 3(c) shows that 85% of the 250 respondents are in the “associate” membership category, while 11% were Fellows of the Nigerian Institution of Estate Surveyors and Valuers (NIESV). Four per cent (4%) are in addition, members of the Royal Institution of Chartered Surveyors (RICS), London. Of the 250 respondents, 66 (26%) have less than 5 years experience in private practice while only 13% have more than 15 years experience (see Table 3(d)). On the whole, the 250 sampled valuers represent approximately 2,280 man-years of experience.

Table 3(a-d) shows that all respondents are certified and registered practitioners with cognate experiences in private consultancy services. That is, the research instruments were invariably targeted at senior members of the profession who were expected to have a wider experience of valuation practice and procedure. This group of respondents is also expected to have a greater knowledge base regarding issues related to valuation inaccuracy.

According to Table 3(e), 66% of the respondent valuers carry out between 0 and 5 valuation jobs on the average in a month, only 22% undertake an average of between 6 and 10, and none did anything more than 20. This low average number of valuations carried out by majority of respondents raises questions on scope and depth of experience. All respondents were of the opinion that 100% valuation accuracy is unattainable, 55% suggested an acceptable ‘margin of error’ of ± 5-10%, 14% suggested ±11-15% and none suggested anything above ± 20%. The arithmetic mean of acceptable margin of error based on the mid-point of the class interval was ± 8%. Respondents’ opinion on inevitability of valuation variance and the support of 78% of the respondents for a ‘margin of error’ of between 0 to 10% either side of the “correct” figure are in line with the widely accepted Singer and Friedlander Ltd. V.s. John D. Wood & Co.(1997) benchmark. That none of the respondents suggested above 20% also reasonably agrees with the views of valuers in countries like the UK, USA, and Australia (Wyatt, 2003; Crosby et al., 2003).

Table 4 summarizes the general characteristics of the 250 firms of estate surveyors and valuers covered in this study. From Table 4(a) 31% of the firms were established within the last 5 years and only 9% have existed for more than 15 years. The average firm age is 8.4 years, while the modal age class is 6-10 years. This suggests that majority of the firms were established within the last 10 years; a pointer to the fact that real estate valuation practice in Nigeria is still at its infancy compared to the UK which has the history of property valuation dating back to the 16th century (McNamara, 1999).

### Table 4. General Characteristics of the Sampled Firms of Estate Surveyors and Valuers.

<table>
<thead>
<tr>
<th>Variable</th>
<th>Frequency</th>
<th>Percent</th>
</tr>
</thead>
<tbody>
<tr>
<td>(a) Age of firm (years)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>1-5</td>
<td>79</td>
<td>31</td>
</tr>
<tr>
<td>6-10</td>
<td>92</td>
<td>37</td>
</tr>
<tr>
<td>1-15</td>
<td>57</td>
<td>23</td>
</tr>
<tr>
<td>15+</td>
<td>22</td>
<td>2</td>
</tr>
<tr>
<td>Total</td>
<td>250</td>
<td>100%</td>
</tr>
<tr>
<td>(b) Number of branches</td>
<td></td>
<td></td>
</tr>
<tr>
<td>1</td>
<td>129</td>
<td>51</td>
</tr>
<tr>
<td>2</td>
<td>71</td>
<td>29</td>
</tr>
<tr>
<td>3</td>
<td>26</td>
<td>10</td>
</tr>
<tr>
<td>4</td>
<td>17</td>
<td>7</td>
</tr>
<tr>
<td>5 and above</td>
<td>7</td>
<td>2</td>
</tr>
<tr>
<td>Total</td>
<td>250</td>
<td>100%</td>
</tr>
<tr>
<td>(c) Number of Estate Surveyors and Valuers engaged</td>
<td></td>
<td></td>
</tr>
<tr>
<td>1-5</td>
<td>149</td>
<td>59</td>
</tr>
<tr>
<td>6-10</td>
<td>85</td>
<td>34</td>
</tr>
<tr>
<td>11-15</td>
<td>12</td>
<td>5</td>
</tr>
<tr>
<td>15+</td>
<td>4</td>
<td>2</td>
</tr>
</tbody>
</table>
Table 4(b) reveals that 51% of the 250 firms have only one branch office, 29% have 2 branch offices and only 10% have more than four (4) branch offices. From Table 4(c), the number of Estate Surveyors and Valuers engaged by sampled firms averaged 5 with 59% of the firms engaging between 1 and 5, and only 7% have more than 10 valuers in their employment. Table 3(d) reveals that 64% of the sampled firms employed no valuation standards of any type, while others use one or a combination of the RICS ‘Red Book’ and International Valuation Standards Committee’s (IVSC’s) ‘White Book’.

Table 5. Practice Characteristics of Sampled Firms of Estate Surveyors and Valuers.

<table>
<thead>
<tr>
<th>Characteristics</th>
<th>Yes (%)</th>
<th>No (%)</th>
<th>Total (%)</th>
</tr>
</thead>
<tbody>
<tr>
<td>a) Maintenance of data bank</td>
<td>43</td>
<td>57</td>
<td>100</td>
</tr>
<tr>
<td>b) Availability of a research department or unit</td>
<td>20</td>
<td>80</td>
<td>100</td>
</tr>
<tr>
<td>c) Availability of functional library</td>
<td>20</td>
<td>80</td>
<td>100</td>
</tr>
<tr>
<td>d) Availability of a distinct valuation unit/department</td>
<td>22</td>
<td>78</td>
<td>100</td>
</tr>
<tr>
<td>e) Whether involved in General practice (Yes) or specialized practice (No)</td>
<td>100</td>
<td>0</td>
<td>100</td>
</tr>
</tbody>
</table>

Table 5 contains additional information on the characteristics of the sampled firms. Table 5(e) suggests that none of the 250 firms is a specialist firm. Personal interviews revealed that all professional members of staff tended to carry out a range of real estate consultancy work, of which valuation was only one. In several cases, valuation was subsidiary to property agency and management. Of the 250 firms, according to Table 5(a-d), 43% maintain databanks, 20% have research departments/units, 20% maintain a library and only 22% are big enough to afford a distinct valuation department or unit.

Table 6. Regression Analysis Results - Individual Characteristics of Valuers and Valuation Firms.

<table>
<thead>
<tr>
<th>S/N variables variables</th>
<th>Tolerance</th>
<th>b coeff.</th>
<th>beta weight</th>
<th>t-value</th>
<th>Sig.</th>
<th>Ranking</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>GENDER</td>
<td>.896</td>
<td>-1.167</td>
<td>-1.173*</td>
<td>.031</td>
<td>5th</td>
</tr>
<tr>
<td>2.</td>
<td>ACAQUI</td>
<td>.475</td>
<td>.218</td>
<td>.218</td>
<td>.672</td>
<td>8th</td>
</tr>
<tr>
<td>3.</td>
<td>PROQULI</td>
<td>.564</td>
<td>-1.995</td>
<td>-1.995*</td>
<td>.000</td>
<td>3rd</td>
</tr>
<tr>
<td>4.</td>
<td>EXPN</td>
<td>.426</td>
<td>-2.294</td>
<td>-2.294*</td>
<td>.000</td>
<td>1st</td>
</tr>
<tr>
<td>5.</td>
<td>FAMLIA</td>
<td>.474</td>
<td>-1.305</td>
<td>-1.305*</td>
<td>.016</td>
<td>4th</td>
</tr>
<tr>
<td>6.</td>
<td>SIZFRM</td>
<td>.660</td>
<td>.332</td>
<td>.332</td>
<td>.485</td>
<td>7th</td>
</tr>
<tr>
<td>7.</td>
<td>AGEFRM</td>
<td>.653</td>
<td>.349</td>
<td>.349</td>
<td>.426</td>
<td>6th</td>
</tr>
<tr>
<td>8.</td>
<td>NUBAVAL</td>
<td>.587</td>
<td>-2.008</td>
<td>-2.008*</td>
<td>.000</td>
<td>2nd</td>
</tr>
<tr>
<td>9.</td>
<td>Constant</td>
<td>39.391</td>
<td>22.684**</td>
<td>22.684**</td>
<td>.000</td>
<td></td>
</tr>
</tbody>
</table>

Multiple R = .726; R² = .528 (52.8%); Durbin-Watson = 1.648; Sig. = Significance
Sig. at 0.05 level of significance; **Sig. at 0.01 level of significance; N = 250.

Table 6 summarizes the results of the multiple regression analysis carried out to determine the predictive and relative influence of the explanatory variables employed in the model on inaccuracy. Of the eight explanatory variables only five entered the model and only three of them five make significant contribution to valuation inaccuracy at 1% level. They are: valuer’s years of experience and exposure (beta= 0.272), average number of valuations undertaken by the valuer over a period (beta= 0.226), and
Valuer’s professional status (beta = 0.222), in that order of importance. Two other descriptors contributed significantly at 5% level. These are; valuer’s familiarity with the relevant market (beta = 0.155) and interestingly valuer’s gender (beta = 0.102) – 94% of the respondents are male (see Table 3a). None of the other variables - the size of the firm, the age of the firm, and, valuer’s academic qualification (that is, whether the valuer is a B.Sc. or HND graduate) made any significant contribution. R² = 0.528 implies that the explanatory variables explain 52.80% of variance in valuation inaccuracy which is significant at 99% (F = 33.666) suggesting a good fit for the regression model. The multiple regression equation for the model is given in equation (vi) while Figure 1 is a graphical illustration of the model.

\[ \text{Acurf} = 39.391 - 1.167 \text{gender} - 1.995 \text{proquli} - 2.294 \text{expn} - 1.305 \text{familia} - 2.008 \text{nubaval} \]  
\[ \text{(iv)} \]

The variables are defined in Table 1. Inaccuracy, as measured by Acurf, is inversely related to all the explanatory variables – professional qualification, experience, familiarity with the market, average number of valuations undertaken in a month, and whether the valuer is a male or female.

Figure 1. Relative Influence of Individual Characteristics of Valuers/Firms on Valuation Inaccuracy.

6. Discussion

Valuation of real property is invariably complex, demanding that valuers assemble, analyze and apply a large amount of data. The valuation process goes beyond mere substitution of data into mathematically proven formula. Considerable judgment is involved. Valuation also does not take place in a vacuum; valuers work within a series of complex and interacting frameworks, including that provided by the enabling laws; the regulatory body(ies); the firm the valuer works for; the property characteristics; and an array of market participants. Valuers themselves differ in training, experience, and exposure. All these factors ultimately impact on the works of the valuer and invariably on the accuracy of his valuations.

Of the 250 cases considered, only in 5% did valuations exactly match market prices supporting existing qualitative commentaries that 100% valuation accuracy is a happenchance. The level of accuracy observed exceeded the 10% parameter in 55% of the cases, and exceeded 15% parameter in 32% of the cases. This is close to the average suggested by the quantitative commentaries and precedent reviewed (Matysiak & Wang, 1995; Parker, 1998; IPD/DJ, 2003 and 2004). Given that majority of the residential properties involved in this study do not come under the description “exceptional circumstances”, it can be reasonably concluded that majority of valuations (55%) in the study area exhibited a level of accuracy which is below industry’s acceptable standards. Considerable inaccuracy therefore exists in residential property valuation in Lagos metropolis.

The high academic and professional qualifications exhibited by the respondent valuers suggests that most estate valuers in Nigeria as represented by the respondents are well trained and have considerable years of experience. Although Decree 24 of 1975 (otherwise known as Cap E13, Laws of the Federation of Nigeria, 2007) which established the profession of estate surveying and valuation in Nigeria, makes valuations of proprietary interests in real estate an exclusive preserve of the Estate Surveyors and Valuers, the average number of valuations carried out by the sampled Estate Surveyors and Valuers in this study is...
so meager as to raise questions on scope and depth of experience. This limited scope and activities in valuation assignments could impact negatively on skill acquisition, experience, efficiency and ability of the valuers to ascertain value. Frequent exposure to valuation of property assets of different composition, magnitude and complexity and for various purposes is a prerequisite for the development of a broad based experience and expertise required to bring the local practice to international standards and minimize inaccuracy.

The study reveals that firms within the study area operate mainly on sole proprietorship basis with limited number of partnerships and none operated as limited or unlimited liability companies. Field survey confirmed that a number of thriving partnerships had been dissolved in the past. The practice regulation in Nigeria forbids the use of pseudo names (the name of the firm must include the surname of the sole proprietor or partners) and precludes firms from operating as limited liability companies. The practice is therefore dominated by small-scale firms which may be partly responsible for the low percentage of firms that could afford a functional library, fund research, or have distinct valuation units or departments. Sole proprietorship is naturally limited in scope; innovation; investment in research, information and technology acquisition, among others. Another possible implication of this phenomenon is that only a few of the firms may be able to finance continuous professional development and pursue best practice.

Judging from the proportion of the 250 sampled firms that maintain a functional library (20%), have a research unit or department (20%), and that operate databanks (43%), as well as the number of heads of valuation units that are associated with foreign, national, regional, or international professional bodies for purpose of exposure and development in valuation methodology among others (4%), it can be reasonably concluded that insufficient efforts and resources are committed to information procurement and analysis, skill acquisition and development, and indeed to virtually the entire valuation construction process.

The consensus of all respondent valuers on inevitability of valuation inaccuracy, and their views on the acceptable “margin of error” suggest that valuers in the study area are reasonably conversant with the ongoing worldwide debate on valuation accuracy as well as the potential dangers of inaccuracy and that their views reasonably agree with the opinion held by their counterparts in countries such as the UK, USA and Australia. The valuers in the study area, as typified by the respondents, are therefore reasonably qualified to provide reliable opinion on issues of valuation inaccuracy in the study area.

This suggests a reasonable level of awareness on the subject of ‘valuation accuracy’ among the valuers in the study area. The 250 respondent valuers could therefore be relied upon to provide authentic and reliable information on the subject under study.

The dominance of small-scale firms, sole proprietorships, and general practice does not augur well for the growth and development of valuation profession in the country. This is partly responsible for the low percentage of firms that could afford a functional library, fund a research department, departmentalize by creating a distinct valuation units or departments. The trend of globalization particularly underscores the need for larger firms that are better positioned to have distinct valuation units; maintain functional library and research units with computerized database and therefore acquire more access to information and intra-firm communication.

7. Conclusion

This study confirmed that individual characteristics of valuers in particular, and that of the firms they work for to a lesser degree, contribute significantly to valuation inaccuracy accounting for approximately 53% of inaccuracy in real estate valuation in the study area. This is in line with Levy and Schuck (1999). In particular, the valuers’ years of experience and level of exposure made the strongest contribution to valuation inaccuracy in the study area. Experience and exposure of valuers refers to the duration, scope and depth of valuers’ practice which have direct implications on skill acquisition and expertise. The average number of valuations undertaken by valuers over a given period of time also made unique significant contributions at the desired level of significance probably because this has a direct correlation with skill acquisition and expertise. In a similar study conducted in the UK by Bretten & Wyatt (2002), the respondent valuers were of the opinion that the principal cause of valuation inaccuracy is the knowledge and experience of valuers regarding the property type and more particularly the location.

Going by the results, older and larger firms have not turned their long years in practice and/or their size to any advantage for improved services as inaccuracy is a phenomenon common to all firms in the study area regardless of their size and age. The study also implies that valuations carried out by graduates...
of polytechnics (holders of HND certificate) could be as accurate as those carried out by their university counterparts (holders of B.Sc. degree) under the same circumstances.

8. Recommendations

Valuation being an inexact science, valuers must be assisted to reach their valuation opinions in an impartial and objective manner. A set of well formulated, mandatory and rigorously enforced national valuation standards founded on proven professional ethics and which combines professional considerations with practical needs of the local market place while sufficiently reflecting global best practices in information disclosure, among others, would go a long way to improve the level of accuracy presently achieved in the study area. The new valuation standards prepared by the Nigerian Institution of Estate Surveyors and Valuers which is almost an exact copy of the IVSC version should be revisited to accommodate local contents if it is to be relevant, enforceable and widely acceptable.

Valuation firms should be encouraged to put in place comprehensive quality assurance measures that will make it unlikely for erroneous valuations to slip through the system. The most common of these is internal peer review. This can be achieved by setting up a quality control committee within the firm, whereby before any valuation report is signed out of the firm, it is checked and vetted by a registered valuer to minimize risks of mistakes, omissions and valuations that cannot be substantiated.

The existing valuers’ task environment needs to be greatly improved for competitive professional services. To this end, the regulatory bodies, Nigerian Institution of Estate Surveyors and Valuers (NIESV) and Estate Surveyors and Valuers Registration Board of Nigeria (ESVARBON), must promote measures that will encourage the formation of bigger firms through mergers, acquisitions and takeover as is currently being witnessed in other industries and professions the world over. For example, the existing regulation forbidding firms from operating as Limited Liability and Unlimited Liability Companies and from using pseudo names should be revisited to attract foreign partners and affiliates.

The regulatory bodies should beef up local capacity building through continuous professional development programmes including sponsored research and systematic data procurement and banking. Nigerian valuers should recognize the enormity of the assets under their management and the importance of the property sector to the overall prosperity of the nation and be ready to improve on old practices. This will involve continuous training and conscious unprovoked efforts to embrace international standards and best practices.

References


Evaluation of Transaction Cost of Unlawful Business in Southern Thailand

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Abstract This research aimed to evaluate transaction cost on trade cycle a type of illegal oil between Thailand-Malaysia borders at Sadao Customs Checkpoint, Sadao District, Songkhla Province relating to the trading network of illegal oil, Nathawee District, Songkhla Province and to study certain influence of transaction cost per marginal expenditure for the import of illegal one. Besides, the research found that entrepreneur’s the import procedure of illegal oil was the key factor which were occurred special expenditure about customs official and interception point official’s benefits as well as transaction cost, finally, caused marginal expenditure increased also. Transaction cost on entrepreneur’s the import procedure of illegal oil expended more less approximately 1% of total expenditure, effecting therefore entrepreneurs were able to make a high profitable business in each month. As a result, the research discovered that steps reduced the import of illegal oil, this operation must result to the higher transaction cost and it will be carried out by the information technology systems to manage inventory turnover systems including as open systems that allowed public sectors or association of oil trading business in own province participated to operate with policies administration.

Keywords: evaluation; transaction cost; unlawful businesses; trading network; entrepreneur

1. Introduction

Study on transaction cost on the behalf on accession to the market system which is no decline that is very important because it determines an incentive and returns on investment to entrepreneurs as well as being a measuring equipment for investment movement in manufacturing sectors that comprise how to legal or good regulatory environment, therefore ensures to investors for businesses that allow to operate activities in the market system.

However, driving forces concerning investment stimulation are able yield good outcomes that can occur in outside the business system in which government is not allowed. Even if being able to create a method of collaboration between outside the business networks, for instance, a case study of illegal oil trade between southern borders of Thailand. Although public sector has banned especially the import of oil is without tax payment or it is not authorized to import, nevertheless, if investors can seek pattern and practical criteria for agreement in connection with trading benefits between interception checkpoint officials and oil traders between the borders, this can avoid the law. Even if this has tried to use policies to building preventive justice by an incentive or reward but it can not bar any activities since business of illegal oil trade in the southern borders have been established by public officials and also involvement with income allocation of trading network of illegal oil.

However, Interesting question of this research journal is even if public officials have obtained a
bribe to cause illegal goods transportation between the borders comprising How many is size on transaction cost?, Which is a type of transaction cost?, including How many is collaboration between networks of black business are able arise high transaction cost or less? Because this is meter definition of strong relationships about outside the business system and any party’s opportunistic behavior on unpredicted situations in advance.

The mission of this research journal is to present indicator’s size on transaction cost and relevant evaluative method in cycle the import of illegal oil trades as well as solution guideline in connection with unlawful businesses and illegal oil trade between the borders.

2. Methodology

Research method is operated by primary data in which classifies indicators with nature of transaction cost, proportion of transaction cost and the increase rate of transaction cost in cycle the import of goods by data using from in-depth interviews in the period of October 2010 - January 2011 and social research method is conducted.

Systematic analysis (study on transaction cost in business of illegal oil trade and network regarding trading smuggling of illegal oil between Thailand-Malaysia borders and research associates with formation conditions of transaction cost on coordination of the network within the unique of environment in market) shows transaction cost about information finding, cost of accession to negotiations, cost of opportunism, cost of qualitative measurement including cost in risk of the specialty assets.

The samples are gathered to research as data collection from number of illegal oil entrepreneurs of 5 samples who import illegal oil of Nathawee District, Songkhla Province

3. Literature Review

Transaction cost is expenditure that are linked with using market mechanism can be divided into expenditure in data collection and interpretation, expenditure in negotiation and make a decision, expenditure in control and protection to practice in accordance with any agreement.

Coase has defined transaction cost that affects expenditure on each part of economic activities, as activities and expenditure occur from agreement process which means expenditure what influences coordination and collaboration of the host economy in market economy. Coase (Coase R.H, 1992) has called that “transaction cost of collaboration between buyers and sellers and market formation” (p. 29) while M. Aleksejev (Aleksejev M.M,1997) agreed that transaction cost is trade agreement which has resulted as expenditure in transaction cost, this means “expenditure that arises from buyers or sellers finding. Behavior of the negotiations relating to the topic in any agreement, payment for advice and other services” (p.127). During Jones and Hughes (Jones G.R, Hill C.W, 1982)agreed that makes an agreement together then the occurred “transaction cost is a part on expenditure of agreement tracking, moreover, which also accesses into an agreement”( p.160). This may be a problem, similarly, the concept support of Alchian (Alchian A.,1977) stated that “transaction cost arises because of the existing implement of communication problems, condition tracking of an agreement, the right definition is unclear and other details”(p.64).

Researcher has brought this concept to expand accordingly with practical way of unlawful business by studying expenditure is above an agreement in the occurring condition of illegal trade through the relationship establishment of outside the network system. Despite paying a bribe which is cost of unlawful goods transportation together, which is a contractual agreement for exchange of unlawful business, Does this results to form transaction cost again? If yes, How many is size? Including How does this effect to marginal revenue?

Goal in this research journal is assessment on transaction cost about unlawful business of illegal oil trade between the borders, which are considered such new research shows size on transaction cost occurring in cycle the illegal oil trade with search for marginal revenue calculating proportion of transaction cost as well as how to measure size on transaction cost

4. Results and Analysis

4.1.Components of Transaction Cost of Illegal Oil Entrepreneurs, Nathawee District, Songkhla Province.

1. Cost of information finding (Yi) arises from activities performance relating to the import of
illegal oil as expenditure which causes from results of information finding, oil sources, colleagues, goods and detection asks public official’s cooperation from entrepreneurs occurring in the import process of illegal oil.

For research indicated that information finding to import illegal oil, there are two types such as information finding about import by method of travel and telephone which these patterns of information finding can be divided into two ranges.

1.1 Range of information finding before the import process that consists of information finding on oil resource, colleague finding and route finding for goods transportation. Moreover, entrepreneurs who search information about oil sources found that all entrepreneurs select to find information by travel, there is going to expenditure. Colleague finding that the import of illegal oil must have colleague networks which have to work together consisting of oil traders, customs officials, checkpoint officials, drivers and oil loading masters.

1.2 Range of information finding after the import process that includes information finding about retailers to oil distribution, relating to entrepreneurs who search information about retailers found that all entrepreneurs select to find information by telephone and there is occurring expenditure.

Pattern and method of accession to information sources which obtain from this research can be used to create the equation of transaction cost for information finding of entrepreneurs in the study area.

\[ Yi = PtNt + PsNs \]

By that
- \( Yi \) is transaction cost of information finding in cycle the import process. unit: month.
- \( Pt \) is the average expenditure of connection by telephone.
- \( Nt \) is number of connection by telephone.
- \( Ps \) is the average expenditure of connection by themselves.
- \( Ns \) is number of connection by themselves.

Table 1. Shows expenditure for information finding the production in accordance with difference of method of accession to information.

<table>
<thead>
<tr>
<th>Number of entrepreneur</th>
<th>Pattern on information finding The import process</th>
<th>Average expenditure: Baht/month</th>
</tr>
</thead>
<tbody>
<tr>
<td>0</td>
<td>All telephones</td>
<td>0</td>
</tr>
<tr>
<td>5</td>
<td>Telephone and travel</td>
<td>560</td>
</tr>
<tr>
<td>0</td>
<td>All travels</td>
<td>0</td>
</tr>
</tbody>
</table>

Source: Field Work 2010-2011

Table 1. showed that there is no any entrepreneur to search information by all telephones and travels; all five entrepreneurs search information about the import of illegal oil by telephone and travel will be charged the average expenditure of 560 Baht per month. Obviously, this showed that the import process of illegal oil has information finding, simultaneously. The inquiry found that some information must not travel to find by themselves such as connection with public officials, however, some information does not find by themselves such as search for retailers who distribute oil, it would be a well-known person.

2. Cost of accession to negotiation (Yn) is expenditure arising from an agreement on cooperation of entrepreneurs and public officials in the process to present being a partner on cooperation to the import process of illegal oil. As a consequence, this research found that entrepreneur’s negotiation occurs a pattern such as negotiation by travel.

2.1 Negotiation with customs officials is to make a decision in benefits of Customs Department which showed that 80% of entrepreneurs have chosen to negotiate by travel and without any expenditure. The inquiry found that entrepreneurs will inform with customs officials in advance, then enter into an agreement about benefits that will be obtained while the import process of illegal oil is conducted altogether but it must have protected by an influential person. Only 20% of entrepreneurs do not negotiate with customs officials

2.2 Negotiation with interception checkpoint officials found that all entrepreneurs select to travel into self-negotiations which are divided as 20% with expenditure and 80% without expenditure.

2.3 Negotiation with oil traders indicated that all entrepreneurs select to negotiate by travel and there are 20% with expenditure and 80% without expenditure.

Pattern and method of accession to negotiation has got from this research is able to form the equation of transaction cost in accession to negotiation of entrepreneurs in the study area.
\[ Y_n = T_n + P_n + M_n \]

By that

\( Y_n \) is cost of accession to negotiation.
\( T_n \) is expenditure in negotiation with customs officials.
\( P_n \) is expenditure in negotiation with interception checkpoint officials.
\( M_n \) is expenditure in negotiation with oil traders.

**Table 2.** Shows expenditure relating to accession to negotiation.

<table>
<thead>
<tr>
<th>Entrepreneur (person)</th>
<th>The occurring expenditure</th>
<th>Total (amount)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Free of expenditure</td>
<td>Expenditure/Baht</td>
</tr>
<tr>
<td></td>
<td></td>
<td>500</td>
</tr>
<tr>
<td>Negotiation</td>
<td>4</td>
<td>1</td>
</tr>
</tbody>
</table>

**Source:** Field Work 2010-2011

Regarding table 2., this found that 4 entrepreneurs have no expenditure and the other one with expenditure of 500 Baht. As a result, this study concluded that every agreement will need to be negotiated and pattern of negotiation is not different. However, it will cause expenditure on different production transaction.

3. Opportunism cost (\( Y_h \)) is expenditure occurring in deviate operation out from norm or labors can not run accordingly standards which are defined by employers. These results showed that opportunism cost occurs in the stages of import process of oil which has opportunists.

1) Oil traders (\( P \)) showed that oil traders can not distribute oil, and sold them already, but it is not the initial agreed amount which causes upon entrepreneurs to pay expenditure in the import process. The inquiry on entrepreneurs that would solve such problem with search for oil from alternative sources and crossing to buy oil from Thai border, which is more expensive and representing the average expenditure of 240 Baht.

2) Drivers and oil loading masters (\( W \)) found that drivers do not come to drive an oil transportation vehicle; as a result, entrepreneurs have to search other drivers to replace until occurring the average expenditure of 10 Baht.

Damage that occurs from the opportunistic behaviors of co-workers can be calculated from the equation.

\[ Y_h = P + W + N \]

By that

\( Y_h \) is transaction cost occurring from the opportunism of co-workers
\( P \) is the average expenditure from the opportunism of oil traders.
\( W \) is the average expenditure occurring from drivers and oil loading masters
\( N \) is expenditure caused by the imprisonment of entrepreneurs

**Table 3.** Shows the amount of entrepreneurs that have to lose from opportunism.

<table>
<thead>
<tr>
<th>Entrepreneur (person)</th>
<th>Opportunistic cost</th>
<th>Average driver and oil loading masters (Baht)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Average oil trader (Baht)</td>
<td></td>
</tr>
<tr>
<td>1</td>
<td>240</td>
<td>10</td>
</tr>
<tr>
<td>2</td>
<td>240</td>
<td>-</td>
</tr>
<tr>
<td>3</td>
<td>240</td>
<td>-</td>
</tr>
<tr>
<td>4</td>
<td>240</td>
<td>-</td>
</tr>
<tr>
<td>5</td>
<td>240</td>
<td>10</td>
</tr>
</tbody>
</table>

**Source:** Field Work 2010-2011

Table 3. showed that entrepreneur’s cost arises from the opportunism of oil traders on the average of 240 Baht/entrepreneur and the first and fifth entrepreneur have cost occurring the opportunism of drivers and oil loading masters averaging of 10 Baht, which is charged by telephone to call someone else to drive in place.

4. Cost of goods qualitative measurement is expenditure arising from the acceptance of buyer after price changing and quantitative content, this study found that measurement’s cost of entrepreneur is...
measured by response after price changing price and purchasing content of customers who found that after price of oil has changed, customers do not change the purchasing content which has agreed and still requires the same, this is no charge in this part

Table 4. Amount of entrepreneurs have to lose from cost of specialty asset.

<table>
<thead>
<tr>
<th>Cost of specialty asset</th>
<th></th>
<th>Calculating (%)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Entrepreneur</td>
<td>Venality (%)/month</td>
<td></td>
</tr>
<tr>
<td>1</td>
<td>500</td>
<td>10.42</td>
</tr>
<tr>
<td>2</td>
<td>1,000</td>
<td>20.80</td>
</tr>
<tr>
<td>3</td>
<td>1,000</td>
<td>20.80</td>
</tr>
<tr>
<td>4</td>
<td>800</td>
<td>16.67</td>
</tr>
<tr>
<td>5</td>
<td>1,500</td>
<td>31.25</td>
</tr>
</tbody>
</table>

Source: Field Work 2010-2011

Table 4 showed that the first entrepreneur contains cost of specialty asset (venality) approximately amount of 500 Baht per month or representing as 10.42%, which is money is paid and such cost is less than others. The inquiry found that the entrepreneur conveys goods at nighttime and transportation route will take routes what are not main roads, but avoid to other available routes such as a road in the village where there are no interception checkpoint officials or any checkpoints, which can circumvent the impact of public officials. The second and third entrepreneur occur cost of specialty asset (venality) as 1,000 Baht per month, representing as 20.80% since these entrepreneurs process transportation at daytime. Fourthly, such entrepreneur arises cost of specialty asset (venality) as total amount of 800 Baht per month, representing as 16.67% because of transportation at daytime. Lastly, the entrepreneur occurs cost of specialty asset (venality) as 1,500 Baht per month, representing as 31.25% since this entrepreneur processes transportation at daytime.

These results showed that transaction cost occur in the import process of illegal oil in the study area can be summarized according to cost of each entrepreneur by the following equation formula.

$$T_{zc} = Y_i + Y_n + Y_h + Y_o$$

Table 5. Shows the amount of transaction cost occurring in the import process of illegal oil according to the difference of importing quantity of each entrepreneur

<table>
<thead>
<tr>
<th>Unit: Baht</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Entrepreneur</strong></td>
</tr>
<tr>
<td>Period</td>
</tr>
<tr>
<td>1</td>
</tr>
<tr>
<td>2</td>
</tr>
<tr>
<td>3</td>
</tr>
<tr>
<td>4</td>
</tr>
<tr>
<td>5</td>
</tr>
</tbody>
</table>

Source: Field Work 2010-2011

Table.5 concluded that the import process of illegal oil of the first entrepreneur consists of expenditure as occurring transaction cost about 1,810 Baht/month or representing as 19.42 % of the average transaction cost per month. The second entrepreneur has transaction cost that occurs around 1,800 Baht per month or 19.31% of the average transaction cost per month. The third entrepreneur is to charge transaction cost that occurs about 1,800 Baht per month or 19.31% of the average transactions cost per month. The forth entrepreneur, arising transaction cost is estimated 1,600 Baht/month or representing as 17.17% of the average transactions cost per month. The last entrepreneur, transaction cost occurring expends about 2,310 Baht/month or 24.79% of the average transaction cost per month.
4.2. Profit Analysis on Marginal Profit of the Import Process of Illegal Oil

Profit analysis on marginal profit of the import process of illegal oil in the study area can be calculated from the following equation:

\[ R = U_r - (P_c + T_c + X_i) \]

By that
\( R \) is marginal profit.
\( U_r \) is marginal revenue.
\( P_c \) is cost of goods.
\( T_c \) is transaction cost.
\( X_i \) is expenditure on the import process.

Table 6. Shows total expenditure in the import process of illegal oil per month

<table>
<thead>
<tr>
<th>Entrepreneur</th>
<th>Cost of goods</th>
<th>Expenditure in the import process</th>
<th>Transaction cost</th>
<th>Total expenditure</th>
<th>Calculating (%)</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>1,806,000</td>
<td>84,100</td>
<td>1,810</td>
<td>1,891,910</td>
<td>0.10</td>
</tr>
<tr>
<td>2</td>
<td>264,000</td>
<td>22,500</td>
<td>1,800</td>
<td>288,300</td>
<td>0.62</td>
</tr>
<tr>
<td>3</td>
<td>378,000</td>
<td>25,900</td>
<td>1,800</td>
<td>405,700</td>
<td>0.44</td>
</tr>
<tr>
<td>4</td>
<td>264,000</td>
<td>23,200</td>
<td>1,600</td>
<td>288,800</td>
<td>0.55</td>
</tr>
<tr>
<td>5</td>
<td>2,580,000</td>
<td>116,500</td>
<td>2,310</td>
<td>2,698,810</td>
<td>0.09</td>
</tr>
</tbody>
</table>

Source: Field Work 2010-2011

Table 6 found that goods cost of the first entrepreneur is 1,806,000 Baht that is to divide as other expenditures about 84,100 Baht and transaction cost of 1,810 Baht, representing as 0.10% of total expenditure of entrepreneur. The second entrepreneur has 264,000 Baht that is to classify as other expenditure about 22,500 Baht and transaction cost of 1,800 Baht, representing as 19.31% of total expenditure of entrepreneur. The third entrepreneur has 378,000 Baht that is to classify as other expenditure about 25,900 Baht and transaction cost of 1,800 Baht, representing as 0.44% of total expenditure of entrepreneur. Fourthly, the entrepreneur has 264,000 Baht that is to classify as other expenditure about 23,200 Baht and transaction cost of 1,600 Baht, representing as 0.55% of total expenditure of entrepreneur. Goods cost of the last entrepreneur is 2,580,000 Baht that consists of other expenditure approximately 116,500 Baht and transaction cost of 2,310 Baht, representing as 0.09% of total expenditure of entrepreneur, respectively.

Table 7. Shows net profit in the import process of oil: Baht per month

<table>
<thead>
<tr>
<th>Entrepreneur</th>
<th>Revenue</th>
<th>Total expenditure</th>
<th>Net profit</th>
<th>Average profit/Liter per month</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>2,310,000</td>
<td>1,891,910</td>
<td>418,090</td>
<td>4.98</td>
</tr>
<tr>
<td>2</td>
<td>300,000</td>
<td>288,300</td>
<td>11,700</td>
<td>0.98</td>
</tr>
<tr>
<td>3</td>
<td>468,000</td>
<td>405,700</td>
<td>62,300</td>
<td>3.46</td>
</tr>
<tr>
<td>4</td>
<td>300,000</td>
<td>288,800</td>
<td>11,200</td>
<td>0.93</td>
</tr>
<tr>
<td>5</td>
<td>3,120,000</td>
<td>2,698,810</td>
<td>421,190</td>
<td>3.51</td>
</tr>
</tbody>
</table>

Source: Field Work 2010-2011

Table 7 found that the first revenue earns from oil distribution 2,310,000 Baht per month with all expenditure 1,891,910 Baht and the average profit of 4.98 Bath/ liter per month. The second obtains revenue from oil distribution 300,000 Baht per month with all expenditure 288,300 Baht that also indicated that net profit is 11,700 Baht per month and the average profit of 0.98 Bath/ liter per month. The third entrepreneur gets revenue from oil distribution 468,000 Baht per month with all expenditure 405,700 Baht what also showed that net profit is 62,300
Baht per month and the average profit of 3.46 Bath/ liter per month. The fourth obtains revenue from oil distribution 300,000 Baht per month with all expenditure 288,800 Baht that also indicated that net profit is 11,200 Baht per month and the average profit of 0.93 Bath/ liter per month. The last has revenue from oil distribution 3,120,000 Baht per month with all expenditure 2,698,190 Baht that also indicated that net profit is 421,190 Baht per month and the average profit of 3.51 Bath/ liter per month.

As a result, analysis showed that the entrepreneur, firstly, obtains average profit per liter per month about 4.98 Baht that is higher than other entrepreneurs. The inquiry found that such entrepreneur has transported at nighttime and working as networks, they will have easier handling transportation and entrepreneur does not convey on the main routes can be avoided by interception checkpoint officials better than transportation is conducted at daytime. Moreover, this found that the entrepreneur shares benefits to officials only a checkpoint customs because they can not avoid it. The other entrepreneurs have transported at daytime and low transaction cost, however, expenditure are high due to they have to pay as benefits to both interception checkpoint officials and customs officials approximately 40% of expenditure in the import process to facilitate easy and pat transportation of oil and must have influential persons as wire-puller the transporting process as well.

Thus, we can conclude that each transportation process of oil will have to work as networks and must be transported at nighttime, on the contrary, it will have the higher risk if there is no expertise about the routes that are used to transport, this will reduce expenditure and make profits on marginal revenue, increasingly.

4.3. The Efficient Coefficient Calculation of Transaction Cost (Ket)

The first entrepreneur
Ket = All profit in each month of the import process/the sum of transaction cost.
= 419,900/1,810
= 231.99

The second entrepreneur
Ket = All profit in each month of the import process/the sum of transaction cost.
= 13,500/1,800.
= 7.5

The third entrepreneur
Ket = All profit in each month of the import process/the sum of transaction cost.
= 64,100/1,800
= 35.61

The fourth entrepreneur
Ket = profit in each month of the import process/the sum of transaction cost.
= 12,800/1,600
= 8.00

The fifth entrepreneur
Ket = profit in each month of the import process/the sum of transaction cost.
= 423,500/2,310
= 183.34

Efficient coefficient is calculated from the production of transaction cost to evaluate the chain performance of consumer host in the market what found that the first entrepreneur’s Ket matches as 231.99 that is the ratio of profit 231.99 Baht per month which will charge to transaction cost occurring 1 Baht. The second entrepreneur’s Ket is 7.5 that is the ratio of profit 7.5 Baht per month then will charge to transaction cost occurring 1 Baht. The third entrepreneur’s Ket is 35.61 that is the ratio of profit 35.61 Baht per month then will charge to transaction cost occurring 1 Baht. The forth entrepreneur’s Ket is 8.00 that is the ratio of profit 8 Baht per month then will charge to transaction cost occurring 1 Baht. The last entrepreneur’s Ket is 183.34 that is the ratio of profit 183.34 Baht per month then will charge to transaction cost occurring 1 Baht. By transaction cost occurring is the assurance of achievement to make goods through the import process completely while transition of the average profit’s indicator on the distribution of entrepreneurs which can be calculated from the equation:

\[ A = \frac{PL}{Q} + \frac{PT}{Q} \]

By that
\[ A \] is transition of the average profit’s indicator on the distribution of entrepreneurs
The middle of the transporting routes, representing as expenditure about 40% of total expenditure in the import process of illegal oil. The benefits paid to customs officials and interception checkpoint officials in the import process are very high, representing expenditure of about 20% without the expenditure about this part. Since the entrepreneur is running trading networks and oil transportation at nighttime, which is able to avoid payment on benefits to officials about 95% but must not use the main routes to conveyance, and is to use a route in the villages with no people and officials at nighttime. In addition, this must be a skilled expertise about a influential person in local to participate in the import process. But if there is greatly meaning when is used to compare transaction cost of the growth of indicator that transits through profit from oil distribution and the flow of expenditure, the growth rate of transaction cost on the import process.

From research indicated that the import process of illegal oil is very high that is expenditure faster than the growth rate of import quantity, when making the entrepreneurs have turned to rely on an influential person in local to participate in the import process. But if there is greatly meaning when is used to study the flow of funds in each month of the overview of import process, therefore, is able to compare transaction cost of the growth of indicator that transits through profit from oil distribution and the flow of expenditure, the growth rate of transaction cost on the import process.

The second entrepreneur found that equals to 0.04, if the added transaction cost of the import process of entrepreneur can depend on profit which can make the increased import quantity or reduced them that means the mechanism of divided transaction effects to change the import quantity and influence in the performance of import activities. If the growth rate of transaction cost depends on profit faster than the growth rate of import quantity, when makes the entrepreneurs have turned to rely on an influential person in local to participate in the import process. But if there is greatly meaning when is used to study the flow of funds in each month of the overview of import process, therefore, is able to compare transaction cost of the growth of indicator that transits through profit from oil distribution and the flow of expenditure, the growth rate of transaction cost on the import process.

The third entrepreneur found that equals to 0.27, if the added transaction cost of the import process of entrepreneur can depend on profit which can make the increased profit’s part or reduced them that means the mechanism of divided transaction effects to change the import quantity and influence in the performance of import activities. If the growth rate of transaction cost depends on profit faster than the growth rate of import quantity, when makes the entrepreneurs have turned to rely on an influential person in local to participate in the import process. But if there is greatly meaning when is used to study the flow of funds in each month of the overview of import process, therefore, is able to compare transaction cost of the growth of indicator that transits through profit from oil distribution and the flow of expenditure, the growth rate of transaction cost on the import process.

The fourth entrepreneur found that equals to 0.08, if the added transaction cost of the import process of entrepreneur can depend on profit which can make the increased profit’s part or reduced them that means the mechanism of divided transaction effects to change the import quantity and influence in the performance of import activities. If the growth rate of transaction cost depends on profit faster than the growth rate of import quantity, when makes the entrepreneurs have turned to rely on an influential person in local to participate in the import process. But if there is greatly meaning when is used to study the flow of funds in each month of the overview of import process, therefore, is able to compare transaction cost of the growth of indicator that transits through profit from oil distribution and the flow of expenditure, the growth rate of transaction cost on the import process.

Lastly, the entrepreneur found that equals to 0.27, if the added transaction cost of the import process of entrepreneur can depend on profit which can make the increased profit’s part or reduced them that means the mechanism of divided transaction effects to change the import quantity and influence in the performance of import activities. If the growth rate of transaction cost depends on profit faster than the growth rate of import quantity, when makes the entrepreneurs have turned to rely on an influential person in local to participate in the import process. But if there is greatly meaning when is used to study the flow of funds in each month of the overview of import process, therefore, is able to compare transaction cost of the growth of indicator that transits through profit from oil distribution and the flow of expenditure, the growth rate of transaction cost on the import process.

From research indicated that the import process of illegal oil is very high that is expenditure occurring from benefits what are paid to customs officials and interception checkpoint officials in the middle of the transporting routes, representing as expenditure about 40% of total expenditure in the import process. There are 4 entrepreneurs or, representing 80% with such expenditure and there is an entrepreneur or, representing 20% without the expenditure about this part. Since the entrepreneur is running trading networks and oil transportation at nighttime which is able to avoid payment on benefits to officials about 95% but must not use the main routes to conveyance, and is to use a route in the villages with no people and officials at nighttime. In addition, this must be a skilled expertise about a
route as well, it can reduce expenditure approximately 40% if the import of illegal oil must has a well-known influential person in local behind the import process of illegal oil at daytime but it will not be able to reduce expenditure in the import process.

5. Conclusion

As a consequence, this research indicated that the import process of illegal oil of entrepreneur, such expenditure is benefits on customs officials and interception checkpoint officials are the most important indicator in calculation of marginal expenditure of entrepreneur.

Transaction cost is the second important indicator is calculated about marginal expenditure of entrepreneur which this research results occurring expenditure on benefits of customs officials and interception checkpoint officials, besides, transaction cost effects marginal expenditure of entrepreneur, increasingly. That is to result entrepreneur to obtain a profit from oil distribution dropped. Although there is an influential person who is behind, would not be able to reduce expenditure about benefits of customs officials and interception checkpoint officials as well.

However, it can reduce certain transaction cost are some parts of opportunism from being arrested, hence, illegal oil trade must establish as a complete system by officials who have directly benefits for shareholder status in the activities of illegal oil, therefore, it can be reduced transaction cost. If relationship according to the contractual agreement by verbal that is not to reduce transaction cost because this depends on opportunistic behavior of shareholder importantly, however, transaction cost in the import process of illegal oil of entrepreneur is very less about 1% of total expenditure, therefore, it effects entrepreneurs to make such business to earn very high profits per month. In the other hand, if the high transaction cost is about 50%, those can not continue to be. Because there is no value with risk and investment so that the import process of illegal oil is reduced, it must be make transaction cost higher and this will need to use information technology to manage the flow of goods what is able to detect sources of such business process by automating the data report of oil trucks and transporting routes by these are conducted by special agencies and is independent from the political power of the state. Furthermore, this needs to be unclosed system which population section or “Association of Oil Trading Business” in province to participate in policy management.

References

20 Years of Efforts to Establish and Implement a Quality Assurance System in Greek Higher Education

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Abstract The establishment and implementation of a quality assurance system in Greek universities is a policy theme that always reinforced the conflict in the specific policy arena. Policy document analysis is used for the analysis of the efforts on producing and implementing such policies. Relevant data is drawn by a larger scale research, in which, higher education is considered as a policy arena where actors form networks that try to translate their common beliefs into public policy. Paper’s hypothesis is that quality assurance policies in Greek universities are being developed following and in agreement with corresponding European education policies since Greece is both an EU member and a participant on Bologna process. Although these external influences result the establishment of relative to European developments legislative framework, Greek governments face hindrances during implementation of these policies. To overcome the intense and reactions they indirectly prompt evaluation of universities by various, not institutionalized, evaluation programs.

Keywords: Higher education; European education policies; Quality assurance

1. Introduction

In the present paper we intend to analyze the efforts (and the difficulty) in the establishment and implementation of a quality assurance mechanism in Greek higher education in combination with corresponding “European education policies”1. Our analysis will be divided in two sub-periods that are related with considerably occurrences so much of European educational policies in higher education in general what more specifically for policies on quality assurance.

The interest and pastime of European Union with the field of education policy is relatively recent and substantially is enacted with the signature of Maastricht Treaty, especially with the articles 126-127 (Stamelos and Vasilopoulos, 2004, 59-64). The first sub-period for the quality assurance policies it is completed in 1998. This year is very important at European level for two reasons: (i) the Recommendation on European cooperation in quality assurance in higher education is published (Official Journal of European Communities, 1998) and (ii) the process that one year later has been named “Bologna Process” begins at Sorbonne that has as a goal the formation of the European Higher Education Area (EHEA), where quality assurance is a central action line.

1 By the term “European education policies” in this paper are comprehended education policies formed so much in EU level what in the wider European Area. The former are emanated by European Union bodies and exclusively concern the member-states. The later result with the cooperation of European states, not necessarily member-states, and these policies and actions influences the higher education systems of participating states in a wider European Area. “Bologna process” is an example of such a process in the sector of higher education that shapes the developments at the higher education systems of 47 states.
2. Methodology

This paper follows a qualitative research methodology which is, in contradiction with quantitative research, an "empirical research where the data are not in the form of numbers" (Punch, 2005, 3). For the needs of our research we use policy document analysis as a methodological tool. At this point a note about the analysis on policy documents is essential. As Atkinson and Coffey state “we cannot treat records, however official, as firm evidence of what they report. This observation has been made repeatedly about data from official sources […] it is important to establish a methodological framework for the analysis of documentary realities” (Atkinson and Coffey, 2004, 58). Consequently, the data that are presented in these documents should be read with a critical spirit since they are not scientific texts that have been produced with concrete methods of analysis. And as Prior supports “each and every document stands in a dual relation to fields of action. Namely, as a receptacle (of instructions, commands, wishes, reports etc) as an agent that is open to manipulation by others, and as an ally or resource to be mobilized for further action […] So a further route of analysis for the researcher is to ask questions about how documents function in specific circumstances” (Prior, 2004, 91).

The education policy documents under analysis were produced at two levels, the European and the national (Greek) level. At European level the documents relative to quality assurance higher education policy that have been analyzed were: Commission’s Recommendations, Green Papers, announces and Recommendation of the Council as they are published on Official Journal of European Communities, documents related to university evaluation programs, Ministerial Communiqué of the Bologna Process, etc. At national level the documents that have been analyzed were: the Law 2083/1992 (24th article), the relative to the Law Parliament Proceedings, the Draft Law of 2003, the Law 3374/2005 and the relative Parliament Proceedings, official policy documents related with international and national evaluation programs that Greek universities were involved, as well as published documents produced by key-actors that usually criticized the relative national policies.

3. Quality Assurance and Greek Universities Until 1998

3.1 Developments on Quality Assurance of Higher Education at European Level

Education policy as a field of concern in EU has small history. From 1958 until 1976 ministers of education of member-states were meeting informally, usually at the Council, with the occasion of European meetings. At the decade of 1980 slowly begins an activation of EU in the field of higher education policy. Succinctly the main official documents related with the quality assurance at European level in this sub-period are:

- Commission’s document: “Education and Training in the European Community. Guidelines for the Medium Term: 1989-1992”. In this document seven major action lines were analyzed and the “Improving of Quality of Education through cooperation” was one of them (Commission of European Communities, 1989, 15-16).

- The paper of European Commission on November 1991: “Memorandum on Higher Education in the European Community”. The European Commission proposes that the European higher education should take actions in five specific fields2. It also supports that there are certain horizontal subjects of fundamental importance. The accent for the maintenance and improvement of quality of higher education is one of these horizontal subjects (Commission of European Communities, 1991).

- 20 days later, on 25 November 1991, the meeting of ministers of education in Council lead to proposals related with the quality assessment on higher education:

  “The increasing importance of the European dimension in general and more particularly the introduction of a single market will widen the range of interested parties concerned with quality in higher education in each Member State. […] arrangements for quality assessment in higher education on a national level could be examined at Community level, with a view to reinforcing national quality assessment systems and to providing a way to improve the mutual recognition of diplomas and periods of study. Given the diversity of method used for quality assessment on the national level, national experience could be complemented by European quality assessment experience, without affecting existing responsibilities and powers in the Member States and the autonomy of higher education institutions” (Official Journal of European Communities, 1991).

2 The attendance and access in higher education, the collaboration with the economic life, the life-long education, the open and distance education and, the European dimension in higher education.
In this period is also takes place the first EU project, named: “European Pilot Project for Evaluating Quality in Higher Education”. This pilot project had two years duration and resulted an enormous impact\(^3\) on the growth of a methodology of an evaluation of quality of higher education institutes based on a double system of internal evaluation and visits of external experts (Thune and Staropoli, 1997; Mora and Vidal, 2005).

The “Institutional Evaluation Programme” (IEP) which were designed and implemented by the European University Association (EUA) also begun in 1994. This programme has been designed to ensure that higher education institutions gain maximum benefit from a comprehensive evaluation conducted by a team of experienced European higher education leaders. The initial aims of the Programme were the consolidation of the belief that quality assurance procedures are necessary for universities and that higher institutions should by themselves entered the programme.

### 3.2 Developments on Quality Assurance of Higher Education at National (Greek) Level

#### 3.2.1 The Law 2083/1992

The first law that enacted evaluation processes for every activity of a higher education institution was voted in 1992 by a conservative government (New Democracy administration - ND). The 24th article of law (2083/1992) titled: “Evaluation of activities of Higher Education Institutions” was promoting the enactment of an evaluation system of Greek universities. The legislator settled that in the evaluation should “be taken under consideration the official planning of each Higher Education Institution (HEI)” (article 24, paragraph 1, Law 2083/1992). It has to be mentioned that in the second article of the Law had been determined that the Senate had the responsibility for the preparation of the official planning of the university. The law also established a connection between the results of the evaluation process with the extra public funding of the university. The legislator regulated the creation of an “Evaluation Committee” determining its composition. The evaluation method, the criteria and indicators were not determined, although the law forecasted the procedure under which the research for the best international practices would take place (Law 2083/1992).

Universities had traditionally a generalized mistrust towards the Ministry of Education (MoE). This mistrust was intensified by the general philosophy in the law, according to which the result of the evaluation could have unfavorable repercussions on the evaluated institution, since it could influence a part of the public funding. It was therefore considered that the particular law enacted an evaluation process with “punishment” repercussions and as a result, actors (individual and collective) were activated and reacted in the implementation of the provisions of article 24 of the Law 2083/1992.

The analysis of Parliament proceedings results that the representatives of the governmental conservative party (ND) were in favour with the belief that the result of an evaluation process should lead to ranking. Furthermore, in their effort to particularise the possible criteria of the evaluation process the representatives of the ND party gave importance in the connection between the statuses of academic studies with the success of graduates in the job market. They also promoted the significance of competition between universities and/or departments. The representatives of the majority opposition, at that time, the social-democratic party (PASOK) criticised the possible total dependence of the evaluation process to the MoE. They also considered as a better choice the evaluation process to be assigned in international bodies that are not part of the Greek higher education system. The representative of the minority Left-wing opposition party (SYN) focused the critique on the fact that “[the minister] has the absolute majority of the Evaluation Committee which has 9 members. Since he has 4 naming members it is very likely one from the 5 rectors will be with the side of the minister and consequently acquires the necessary majority […] This Evaluation Committee will determine the specific criteria, the performance indicators, the necessary time for evaluation to take place, and in general the evaluation process and the distribution of public financing of HEI”. The representative of Greek Communist Party (KKE) supported that he cannot analyze and discuss the specific regulations of the law’s articles and comprehend the notion of evaluation. He stated that the confrontation of the acute problems of Greek university and the insurance of the essential resources for its operation should precede and only then someone could discuss and analyse the notion and the methods of evaluation (Parliament Proceedings, 1992a-f).

Substantially, under the weight of reactions mainly inside universities the provisions of article 24

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\(^3\) 47 higher education institutes on 17 different countries participated in this programme.
were not activated and the proposed evaluation system of universities was never applied. The article was finally suppressed by the next government (PASOK) with the law 2327/1995 that enacted the National Council of Education (ESYP).

3.2.2. Greek Higher Education Institutes and Evaluation Programmes

The Greek MoE realising the difficulty and the intensities that had been caused in Greek universities tried progressively to promote a positive evaluation climate and a quality culture in Greek higher education. Thus, MoE tried to promote the involvement of higher education institutions and/or Departments into international evaluation programmes. The intention was that actors inside universities and social partners should begin to acquire a background of knowledge and experiences on evaluation processes in higher education.

Therefore, in the European pilot program “European Pilot Project for Evaluating Quality in Higher Education”, implemented in 1994-95, two Greek institutions were participated (MoE, 1996). In addition, up to present eight Greek higher institutions have been evaluated by the EUA’s International Evaluation Programme.

4. Quality Assurance and Greek Universities from 1998 up to Now

4.1. Developments on Quality Assurance of Higher Education at European Level

On 1998 at EU level the “Recommendation of Council of 24th September 1998 on European cooperation in quality assurance in higher education” was published. This document was the first European step (the second was the foundation of ENQA) for the entrance of quality assurance of European universities at the top of European education policy agenda. In this official paper it was recommended that transparent evaluation systems of quality should be supported and be created. The aim of these actions was not only the safeguarding of quality in the European higher education but also the growth of co-operations between both at states-members and at European-supranational level (Official Journal of European Communities, 1998, 57-58).

At “Bologna Declaration” in 1999 quality assurance was mentioned in one sentence: “Promotion of European co-operation in quality assurance with a view to developing comparable criteria and methodologies” (Bologna Declaration, 1999, 3). However, in combination with the Recommendation of Council on 1998 many European states decided the creation of national independent quality assurance agencies. This development is also stated on the “Trends I” report: “Apart from the quality assurance mechanisms which are in force or are developing at the institutional level, more and more countries establish external evaluation or quality assurance bodies or agencies [... but] the level and scope of the evaluation procedures vary from country to country” (Haug, Kirstein and Knudsen, 1999, 36).

In 2000 ENQA is founded. This development is connected so much with the conclusions by the pilot programme of quality assurance in 1994-95, what by the specific proposals in the Recommendation 98/361/EC of the Council of European Communities.

In the next ministerial communiqué of the Bologna Process at Prague 2001, there was an extensive mention on quality assurance. Specifically, the ministers:

“recognized the vital role that quality assurance systems play in ensuring high quality standards and in facilitating the comparability of qualifications throughout Europe. They also encouraged closer cooperation between recognition and quality assurance networks. They emphasized the necessity of close European cooperation and mutual trust in and acceptance of national quality assurance systems. [... they] called upon the universities and other higher educations institutions, national agencies and the European Network of Quality Assurance in Higher Education (ENQA), in cooperation with corresponding bodies from countries which are not members of ENQA, to collaborate in establishing a common framework of reference and to disseminate best practice” (Bologna Process, 2001, 2).

In Berlin on 2003, 40 ministers of education decided that they should focus their efforts for the next two years in three out of nine action lines, with quality assurance to be one of them. They proposed, that all Bologna signatory countries should form national quality assurance systems with common features up to

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4 The present name of the association (initially network) of ENQA is: “European Association for Quality Assurance in Higher Education”.
5 “(a) A definition of the responsibilities of the bodies and institutions involved, (b) evaluation of programs or institutions, including internal assessment, external review, participation of students and the publication of results, (c) a system of accreditation, certification or comparable procedures, and (d) international participation, co-operation and networking” (Bologna Process, 2003, 3).
the next meeting on 2005 (Bologna Process, 2003, 1 and 3).

In October 2004 another Recommendation related with the quality assurance of European higher education is publicized. This Recommendation led to five concrete measures that, as it was declared, contribute in the mutual recognition of quality assurance systems and of evaluation efforts in the European higher education. Succinctly, (i) all institutions should import or develop internal quality assurance mechanisms, (ii) national quality assurance agencies that already exists should apply the specific elements of quality assurance that are reported in the Council Recommendation of 1998, (iii) quality assurance agencies should cooperate with the ENQA so that a “European Register of Quality Assurance and Accreditation Agencies” to be formed, (iv) institutions should have the possibility to select by the Register the Agencies that will perform their evaluation, and (v) higher institutions should accept and use the results of the evaluation by the quality assurance agencies as the base for their future decision-making (Commission of the European Communities, 2004, 10-11).

In Bergen 2005 ministers of education adopted the proposals of the report “Standards and Guidelines for Quality Assurance in the European Higher Education Area - (ESG)” for the three levels of standards and guidelines on the quality assurance that was submitted by the E4 group6 (ENQA, 2005). They also decided to investigate on the progress during the next two years in the implementation of the standards and guidelines for quality assurance as proposed in the ENQA report (Bologna process, 2005, 5). The three main levels of standards and guidelines in the report was the internal evaluation, the external evaluation and the rules that will condition the creation and operation of the independent national quality assurance agencies. Therefore, in this paper there has been an effort to specify the processes of quality assurance in three levels: in the level of higher institution (internal quality assurance), in the systemic level (external quality assurance) and finally in the level of the “controllers” (evaluation of quality assurance agencies and proposal for the establishment of European Quality Assurance Register - EQAR).

The next year (on 15 February 2006) the Recommendation of the European Parliament and of the Council “on further European cooperation in quality assurance in higher education” was published in the Official journal of the European Union (Official Journal of the European Union, 2006). In this Recommendation all the proposals that had resulted by the previous EU developments, but also many parts of the ministerial communiqué in Bergen of Bologna process was promoted.

The ministers of education in their communiqué at London 2007 declared about the model for the EQAR that:

“we welcome the establishment of a register by the E4 group, working in partnership, based on their proposed operational model. The register will be voluntary, self-financing, independent and transparent. Applications for inclusion on the register should be evaluated on the basis of substantial compliance with the ESG, evidenced through an independent review process endorsed by national authorities, where this endorsement is required by those authorities” (Bologna Process, 2007, 4).

Two years later on the ministerial communiqué at 2009 the progress on the quality assurance action line, so much with the extensive implementation of ESGs what with the creation of EQAR was positively commented (Bologna Process, 2009, 2). Further objectives on the quality assurance in the EHEA were set for the next decade: “We ask the higher education institutions to pay particular attention to improving the teaching quality of their study programmes at all levels. This should be a priority in the further implementation of the European Standards and Guidelines for quality assurance” (Bologna Process, 2009, 4). For the next three years (until 2012), the ministers asked the E4 group “to continue its cooperation in further developing the European dimension of quality assurance and in particular to ensure that the European Quality Assurance Register is evaluated externally, taking into account the views of the stakeholders” (Bologna Process, 2009, 6).

In the next ministerial communiqué of the Bologna Process at Budapest-Vienna the ministers based on assessment that took place with the help of stakeholders, welcomed the “affirmation that institutions of higher education, staff and students increasingly identify with the goals of the Bologna Process”. But as they also state “while much has been achieved in implementing the Bologna reforms, the reports also illustrate that EHEA action lines such as degree and curriculum reform, quality assurance, recognition, mobility and the social dimension are implemented to varying degrees” (Bologna Process, 2010, 1). For the next two years they asked the BFUG “to propose measures to facilitate the proper and full implementation of the agreed Bologna principles and action lines across the European Higher Education Area, especially at the national and institutional levels” (Bologna Process, 2010, 2).

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6 E4 group: ENQA (European Association for Quality Assurance in Higher Education, EUA (European University Association), EURASHE (European Association of Institutions in Higher Education) ESIB, now-days ESU (European Student Union).
4.2 Developments on Quality Assurance of Higher Education at National (Greek) Level

4.2.1 EPEAEK I

At the beginning of this period Greek universities apart from the attendance in European evaluation programmes, they also took part in national evaluations through the Energy “Assessment of Higher education Institutions” that had been financed by the 1st Operational Program of Education and Initial Training (EPEAEK I). Due to this Energy evaluations of Universities and Technological Educational Institutes (TEI) were financed and realized during the years 1998-99. These evaluations were at both Institution and Department level. The main objective was the assessment of both the educational activities in HEI and TEI and the provided services by them. Totally 12 proposals of Institution evaluation and 73 proposals of Department evaluation were approved. Consequently, during these two years evaluations took place in 14 out of then 18 HEI and 11 out of 14 TEI (Kladis, 2000).

4.2.2 EPEAEK II

In 2000 started in cooperation with the 3rd Framework Programme (2000-06) the Greek Operational Programme, EPEAEK II, which was signed in Athens on 29 March 2001. At the presentation of EPEAEK II it was reported that: “the priorities and measures that are developed, are found in affinity with the wider policy of growth of human resources, the National Action Plan for the employment, the National education policy and the direction lines of European Union” (MoE, 2001).

By the previous experiences in Greek education system it appeared that there are some necessary prerequisites for the establishment and implementation of an evaluation system in higher education. A quality culture should have been developed inside and outside universities. Also, infrastructures should have been placed so that the MoE would be able to use the scientific and political mechanisms in order to allocate the essential elements for the quality assurance as well as the suitable structures for the future planning of higher education institutions (MoE- Special Management Service of EPEAEK, 2002).

4.2.3 Draft Law 2003 for a National System of Quality Assurance and Evaluation of HEI

At the same time, as it has already been shown, important developments in quality assurance were taking place at European level. This put extra pressure at national level for the establishment of a quality assurance law in Greek higher education system.

Therefore, the MoE had prepared a complete Draft-Law for the enactment of a quality assurance system. This Draft Law had determined that a National Council for Quality Assurance and Assessment (ESDAP) would have the responsibility and implementation of this system (MoE - Draft Law, 2003). However, this Draft-Law was not promoted in the Parliament to discussion until the next national elections, in which the governing party lost and the neo-liberal conservative party of New Democracy (ND) returned in country's governance. It is very likely that this happened because MoE knew that it would meet difficulties and would cause reactions and intensities in actors mainly inside the Greek university.

4.2.4 Law 3374/2005

The new leadership of MoE began a new circle of consultations for the establishment of quality assurance system, since, Greece as a member of Bologna process, had already undertaken the commitment to enact a national quality assurance system up to the next meeting of Bergen in spring 2005. The public discussions however, were again very intense and the official dialogue was inevitably contrasting, especially during spring 2005 when the draft-law was published for further social consultation. The law was finally voted in July (Law 3374/2005).

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7 EPEAEK I (1994-1999): The Greek “Operational Programme for Education and Initial Vocational Training”. This programme was operated inside the frame of the 2nd Framework Programme of the European Community.

8 Indicatively few papers of that period can be reported. These texts were written with the occasion of the public dialogue about the specific draft-law and reflections, questions, arguments and intense criticism have been developed: Prokou (2003), Theotokas (2003), Apekis (2003), Mplironikolaki (2003), Strevina (2003).

9 A collection of relative articles from Greek daily newspapers can be reported: Theotokas (2005), Venieris (2005), Koumantos (2005), Lavdas (2005), Markatos (2005), Milonas (2005), Maistros (2005).
By the analysis of Parliament Proceedings it appeared that the government recognizes that the role of universities in the modern environment is complex because the widening of access and participation should be combined with reduction in public financing, international competition at educational services and the graduates’ need for efficient entrance in job-market. The representatives of the conservative government (ND) also believed that through the implementation of an evaluation under the specific law and the resulted improvement of quality in higher education, the Greek university would become a place of “academic excellence, scientific vanguard, innovation and attractiveness”. Beside excellence it was also reported the notion of social accountability of the university. In general the rationales presented by government representatives put forth the quality in university as “excellence” and “value for money”.

The speakers of the majority opposition party (PASOK) supported the need for an institutionalized quality assurance system in Greek higher education since it is useful because: “it is inalienable right of state, which in the name of taxed citizens provide financial resources to the public higher education institution, to evaluate efficiency”. Also by the reported proposals of different representatives of PASOK appeared to be in favour of a quality as “value for money” and as “fitness for purpose” (Parliament Proceedings, 2005a,b,c).

The representative of the minority (left wing) opposition party (SYN) supported that the Draft-Law in general “has no relation nor with the quality of higher education neither, much more, with quality improvement and assurance”. According to his rationale the problems in higher education are already known and it is most likely that there is unanimity between actors and networks in Greek higher education so much for their existence, as long as for their hierarchy. During the discussion for the analysis of draft-law’s articles the representative of the left-wing opposition party (SYN) supported notions of quality that adhered more to a concept of a “transformative” approach to quality, and therefore he believes that quality is not measurable. Consequently, through this rationale there is no meaning in enacting an institutionalized evaluation system (Parliament Proceedings, 2005a, b).

The representatives of Greek Communist Party (KKE) appear to espouse the belief that any form of quality assurance would connect universities with economic interests and finally lead to their degradation and their decomposition inside the frame of capitalism. More specifically, for the draft-law was stated that: “in general [the law] tries to convert higher education in a body that will ensure a narrower dependence of university from economic, political or ideological needs of capital. Therefore, [the law] promotes the more effective control of universities by the capitalistic market” (Parliament Proceedings, 2005a,b).

By this policy document analysis appears that generally the two big Greek political parties, with some differentiations, accept that a type of institutionalized evaluation should be implemented in universities. It has to be mentioned though that majority opposition party (PASOK) proposed many changes in the law which were in agreement with the main philosophy of draft-law 2003 with actualized positions due to so much the EU developments of what the E4 group report about quality assurance at the Bologna process in Berger. The two left political parties, with different arguments, were opposed to the specific law and to an institutionalized quality assurance system in Greek higher education.

The difficulty in the enactment of a quality assurance in Greek universities is, by analysis of Greek policy documents, well established. However, it is important to be pointed out the existence of difficulties in the implementation of quality assurance procedures after the voting of a law. Recent proof of this constitutes the referred difficulties and bureaucratic problems that ADIP (Hellenic Quality Assurance Agency for Higher Education) has met in the begging of its operation. As ADIP states in two different reports, these problems, many times, were not emanate by actors who were against to the philosophy, structures and implementation of the law, but from the political leadership and the government itself (ADIP, 2008, 1-4 and ADIP, 2009, 10-12).

39 Harvey and Green (1993) in their discussion of the relationship between quality and standards in higher education identify different aspects of quality: Quality as excellence, as fitness for purpose, as value for money, and as transformation. These different notions of quality obviously have different implications not only on the methods used to measure quality but also on the beliefs and values for the role of University in the modern society: Quality as excellence. This notion of quality underpins the elitist view of the high-quality of an “Oxford” education, which equates it to excellence and high standards. (Harvey and Knight, 1996). Quality as fitness for purpose. This requires that a product or service fulfil customer’s needs, requirements or desires. In a university’s mission of statement its goals are clarified, and at a lower level these goals are defined in the programme’s aims. In this notion of quality universities are required to say what they do, do what they say and then prove it to an external assessor. Quality as value for money. It is a popular notion for quality which equates quality with value for money. Since all public sectors ought to be accountable this notion gives the right to the state, the major financier of higher education, to demand for efficiency and effectiveness. Quality as transformation. In the context of quality in higher education transformation is not restricted to apparent of physical transformation but also to cognitive transcendence with the provider “doing something to the customer rather than just doing something for the customer” (Harvey and Green, 1993, 24).
5. Conclusions

Firstly, it appears that different administrations of Greek MoE have tried to enact and implement evaluation mechanisms in higher education that was closely connected with the related developments at European education policies. More concretely:

- The Law (2083/1992) established an evaluation mechanism of HEI with criteria that would have been decided by an independent committee. This external evaluation should have also taken into consideration the official planning of each HEI. At European level at that time the Memorandum for higher education 1991 had been preceded, and determined the improvement of the quality of European universities as an important horizontal action line. Moreover, in the conclusions of ministers of education meeting in 1991 the improvement and evaluation of quality in the European higher education was also reported as an action line for EU states-member with a prompt that they should follow methods that could be used and analysed in a future comparative study.

- The MoE besides the efforts of higher institutions’ participation to national and international evaluations tried unsuccessfully to enact a Law (in 2003) for the quality assurance of Greek higher education. The draft-law determined that the evaluation processes were supposed to be started with the internal evaluation phase by Internal Institution Units of Quality Assurance, followed by an external evaluation of a group of experts (possibly with international attendance) and would accomplish with the final institutional evaluation report. Respectively, at EU level, the Recommendation 1998 has placed in the top of European education policy agenda the quality assurance and promoted not only the evaluation of universities at national level but also the cooperation between states-member giving an international dimension in the evaluation of European higher education systems. In the Bologna process the quality assurance also became one of the central action-lines. At the Prague communiqué in 2001 was clearly stated the engagement on narrower cooperation so much between higher education systems what in at European level with the cooperation of the independent national quality assurance agencies and national higher education systems with ENQA. The final objective was the configuration of common framework (with internal and external phases in evaluation) for the quality assurance in the European higher education.

- A quality assurance system in Greek higher education was established by the Law (3374/2005). One year before at EU level a Recommendation for the further cooperation in quality assurance of European higher education systems and the proposal for the establishment of EQAR had been announced. In the Bologna process at Bergen the ministers accepted the “ESG” report of E4 group. The proposed evaluation system by the Greek law is generally in line with the ESG report for both internal and external evaluation. It also establishes an independent agency (ADIP) having similar structural characteristics with the ESG guidelines.

Secondly, all the different efforts of enactment of an institutional evaluation mechanism in higher education gave birth to intense reactions during the phases of public dialogue upon each draft-law. And the result of these reactions was by no means negligible: The 24 article of law 2082/1993 was never been activated. Ten years later, although important developments in the European educational policies that promoted actions for quality assurance in higher education had been taken place, the draft-law in 2003 due to the intense reactions was never deposited in the Greek Parliament. Finally, Law 3374/2005 has difficulties and outstanding delays in its implementation during the years 2006-2008 as it is stated in ADIP’s official reports for these years 2008 (ADIP, 2008 and 2009).

Thirdly, parallel with these difficulties many Greek higher institutions and/or Departments have decided to participate in national (EPEAEK I and II) or international (IEP by EUA) evaluation programmes. This argument is proved by the fact that in the period from 1993 up to today 93 international or national evaluations of higher institutions and Departments have been completed. It is important, therefore someone to insists in this central contradiction of Greek case. On the one side, it appears that the State, irrespectively of the governmental schema, has exceptional difficulties of enacting and implementation a legislative framework for the institutional evaluation of higher education. On the other side, when the State prompts indirectly, without being a protagonist, the evaluation of Greek higher education by international programs or national not institutionalized procedures the picture if it is not reversed it changes substantially.

Therefore, it could be claimed that the hypothesis of this paper has been confirmed. The findings by the policy document analysis show that national (Greek) quality assurance policies are in agreement with European education policies. Also, it has been shown that although there are difficulties on implementation of an institutionalised quality assurance system, many Greek universities and/or
Departments in the last two decades have decided to undertake not institutionalized evaluation programmes.

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Reconciliation and Transitional Justice in Macedonia, Ten Years Later

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Abstract
Main hypothesis of the text is: that Reconciliation process in every post conflicting situation is relatively independent of the success of the normative, and institutional arrangement of the agreement for peace. The reconciliation will have to be negotiated and implemented with parallel, separate structure of measures, political will and monitoring system to be successful. Second hypothesis is: that successful reconciliation could be paradoxically victim of the success of the institutional part of the agreement for peace (case of Macedonia). What produce structural problem of long-term stabilization of the country in question

Keywords: reconciliation, peace agreement, structural stability

1. Introduction

From the distance of ten years of the 200 conflict in Macedonia and the process of signing the Ohrid Framework Agreement (OFA) that same year - by which the conflict was resolved and the processes of change were introduced in the Constitution and the institutions of the country's political system, we can draw the conclusion that one of the elements (at least in the theory of conflicts) for stable resolution of conflicts of identity, ethnic, religious character, in the case of Macedonia, seems to be missing. Notably a thoughtful plan is missing for reconciliation between actors or communities that were in conflict.

The reason for this may be controversial, somewhat ironic - the low intensity of hostilities and the absence of ‘blood memory.’ The conflict in Macedonia falls in those with low intensity (up to 1000 casualties; in reality there were two or three hundred, and small-scale destruction). Still, there was also the intense, robust international intervention in the form of strong mediation to resolve the conflict, composed of the US and EU mediators (James Pardew, François Leotard, together with a group of 3 key experts) who put emphasis on negotiating an agreement and its effective implementation. It was done in rather short time span, too short to think about some longer plan of reconciliation, considered at that time as insufficiently important or urgent!

The implementation of the OFA went relatively well and in the meantime it made a ‘career’ as the best deal in the region 'which builds a state', and does not decompose it.

The process of structural and deliberately led reconciliation in this period was again neglected and suppressed by the spectacularity of the political coalition government between the Macedonian parties (first, SDSM - Social Democrats and then VMRO DPMNE - the Christian right with rebel leader Ali Ahmeti and his party DUI).

However, as political coalitions fall in crises and as Macedonia, for various reasons, remains a long period out of NATO and EU integration - the political stability of the country becomes dependent on the stability of interethnic relations and the success of healing the wounds of the conflict. This in turn restores the fundamental importance of the reconciliation on the scene.
2. Reconciliation

In this sense a little bit of theory about the role of this process in post-conflict situations of countries may turn out to be useful.

Namely, reconciliation is a lasting process, an essential resolution of antagonisms that were the basis of a cultural and identity conflict. Reconciliation is to create relations of cooperation between people and groups who participated in a previous conflict. It implies transition from competitiveness to cooperativeness, which includes reconstruction of society, creating conditions for normal cooperation and life.

Some authors call this practice ‘transformation’ (Lederach) or ‘peacemaking’ (Curle). According to their definition, conflict transformation is: such a solution containing the long-term forms of turning the hostile relations into relations of mutual acceptance and cooperation between actors of the conflict. These forms include the reduction of violence, creating conditions for effective justice and direct connection to social structures that solve everyday problems. (John Paul Lederach, 2003).

First to use the term was Galtung (1996) and was on the trace of K. Popper ‘utopian engineering’ (1961).

This process of transforming has something from Nye Josep’s concept of the ‘soft power’: to impose priorities in such manner, so that actors adopt them as their own. (Josep and Power 2004)

Usually the reconciliation process covers three elements of the solution: emotional, cognitive, and behavioral. End of conflict creates, at least initially, much anxiety, uncertainty, and disorientation, both in the victims, and in groups who are to create their new roles in the new beginning. This phase is characterized by disengagement, a sense of irreparable loss, dissolution, de-identification, and disorientation in the new conditions. In such circumstances, the danger of returning to hostilities, rebellion and dissatisfaction are common and current. In its entirety, ‘reconciliation’ helps individuals and groups to create ways and go through a process of self-acknowledgment and ‘healing’, by accepting the ‘other’ as equally valuable.

Reconciliation should ‘release’ victims of the obsessive need for revenge that also results in psychological pain and suffering; it should create a zone of personal safety for perpetrators of crimes so that they would be able to confess them and to report all others who know of them, and thus be able to get closer to the truth of suffering, and when it is possible, to express regret and repentance; and finally, reconciliation should break the vicious circle of mutual violence and injury.

Many times the Archbishop of South Africa, Desmond Tutu, has been rightfully quoted regarding the importance of reconciliation when he says that reconciliation is not illusions and symbolic politics, it is very pragmatic policy. Without forgiveness, there can be no future...

It is good when this practice also develops institutions of regular and permanent communication - the interaction of individuals and groups in which they face (in the initial stages) the pain suffered and gone through, but later used for solving other possible kinds of conflict situations. The conflict usually ends in three parts: an end to the conflict, neutral phase, and phase of a new beginning. Reconciliation begins with a process of so-called transitional or post conflict justice, and it appears immediately after the first part of ending the conflict and ensures the success of subsequent phases.

Transitional justice in its ‘hard’ part is accomplished through trials for crimes committed during the conflict; this also involves commissions for truth and reconciliation and other forms that should make it possible to construct an official history of past conflicts. The process of trials creates an opportunity to open the truth, to hear the voice of victims and grant justice through impartial official procedure, which has the legitimacy and authority. This process makes the delicate balance between the needs of the wider society for a fresh start and the individual suffering of victims of conflict. This phase ends in some sort of trauma reconstruction and in the announcement of the ‘official’ truth; understanding (condemnation of the culprits); and compensation to victims. It is the foundation upon which the new institutions of the system and mediators can solicit the proper ‘social amnesia’ or remission of injustices and crimes committed and achieve lasting peace. Delicacy and the problems of reconciliation are in the context that it touches the emotions and selective memory of the victims and perpetrators of atrocities. Both groups have their own memory and start from it in the process of reconciliation. Each individual and group follows his or her own journey through shame, disgrace, rage, anger, guilt, acceptance, and ultimately peace.

Forgiveness and reconciliation as a social project create resistance among the victims at the individual level. There are atrocities and horror that simply can be neither forgiven nor forgotten. Let us recall two quotes in this context: one is by J. Derrida: ‘... something must remain as madness of the
impossible ...’ And that by H. Arendt: ‘...Some crimes are of such nature that can be neither forgiven nor punished ... After them, remains only silence ...’

Experience shows that one should not insist on ritualized and full forgiveness or reconciliation between victims and perpetrators of crimes. Rather, it is enough to have official unveiling of the truth about atrocities that occurred (proceedings if any against criminals or make a commission for reconciliation) and the symbolic gesture of apology; afterwards, this paves the way for collective identities trapped by conflicting stereotypes (victim / executioner), to find the way to new, changed identities that can live in peace.

One does not need to insist on individual redemption, on grounds of the so-called paradox of forgiveness as well. If one forgives the crime then one forgets what is evil and what is good. It is not necessary to seek revenge, but there is anger and silence that does not forgive or forget about what has been done. Proponents of this experience for individual unforgiving consider unforgiving a moral position - whereby the crimes - the victims, the things committed, exist in their memory and this is their debt to live with every new day.

Forgiveness as a need of society, of institutions, is faced with individual pain. Society should have an understanding of this individual level of suffering, for the silence that emanates from the impossibility of evil and its passing away with time. This implies understanding of the loneliness of the victim, who has a right to be above revenge, and also above forgiveness.

Experience with reconciliation shows better option is to administer justice, namely exposing the truth about what happened (trials); understanding in terms of sympathizing with horror, and reparation for victims.

Important element of lasting reconciliation is curricula that 'reconstruct' the history, collective memory of groups and jointly teach history again. This practice again emphasizes the importance of emotions and symbols for this kind of conflict

3. Ohrid Framework Agreement

What kind of document is the Ohrid Framework Agreement and does it have provisions that imply reconciliation, at least as a follow-up process? Small review of this act, in whose creation was directly involved also the author of this text, would be useful for text itself.

The Ohrid Agreement is a political act of domestic nature, with legal considerations-provisions in sections, which it wants to define precisely. It is neither an international agreement nor a peace treaty.

It is not international because of the parties involved in its making and signing, and regardless of the strong guarantee participation of intermediaries, it is basically an internal act. It is not of peacemaking nature, although there are provisions relating to cessation of military actions and regulatory consequences, as in Macedonia there was no war or state of emergency during the conflict itself. From international aspect, it ranks as low intense internal conflict (in a legal sense, something between rebellion and insurgency).

The intensity of foreign interference is due to the importance of peace that Macedonia represents for the region in the eyes of foreigners, and not a result of the ferocity of the clashes. In addition, it was clearly recognized that foreigners would not give legitimacy to NLA ('National Liberation Army') just by letting it sit at the negotiating table, but they stepped up the legitimacy of the Albanian parties registered and active in Macedonia. Foreign guarantors have taken on themselves the burden of ‘streamlining or articulation’ of rebel demands that went from open racism (in the beginning of the conflict) and later towards human rights agenda. All this proves clearly the inner nature of the Agreement and its strengthening effect on unitary character of the state.

The principles of minority rights that serve as point of departure in the Ohrid Agreement are two: de-territorialization of ethnic rights, their functionalization (except in local government, where it certainly cannot and should not be avoided) and their functionalizing in terms of presenting the identity of the implementing actors (and not as an instrument for political and institutional altering of the Macedonian

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1 Quoted according to: Sources of Resistance to Reconciliation, Erin Ann O'Hara and Sara Sun Beale, Law and Contemporary Problems, 72.2.2009.
3 Professor Vlado Popovski and I were involved in the Ohrid negotiations and the creation of the Ohrid Framework Agreement, as experts on behalf of President Boris Trajkovski. Three international experts, an American lady and two gentlemen from the EU, were present together with us. A kind of a preliminary draft agreement was the concept consisting of two pages of text, referred to the French constitutional judge and Professor Robert Badinter.
democracy). The first means that, consciously and resolutely, territorial solutions to ethnic rights in any kind are omitted (i.e., federalization or cantonization; this is also because of the disaster this model, introduced by the Dayton Peace Conference, had achieved in Bosnia, where it became a stimulus for further ethnic cleansing, and not for democracy). The model, which would implement these principles in the political system, consisted of three basic pillars and a new procedure.

The first was expanding the use of languages of minority ethnic communities (but to a level of clear avoidance of language federalization). Hence precise definition (this section of the agreement has legal provisions) was given for the modality of using the language and for relations of the majority language and the minority languages. This follows the principle of ‘expressing the identity of the person using the language’ and not a symmetric language federalization. This meant that persons, as members of minority communities, can speak their language in Parliament and its working bodies, but the administration of Parliament is run in one language, Macedonian. Laws are also published in the languages of minority communities; courts conduct trials in proceedings which provide mandatory translation; local government is required to exercise mandatory bilingualism if the minority communities are at least 20%, etc.

The second pillar is the precise agenda for equitable representation of minorities in state administration. Thereat, the special priority segments are the police, the military, diplomacy, and finance. This emphasizes the principle of policy inclusiveness as fundamental to the agreement, even where specifically not stated.

The third pillar is the local democracy (expression used by French legal expert Badinter) or local government, where most of the ‘ventilation gases’ of the ethno energy are directed at.

In addition, a ‘defensive’ procedure of voting in Parliament was established for laws that relate directly to ethnic rights - called ‘the Badinter majority’. Namely, it is required for such laws, which were later defined to be 46, including the Constitution, to be passed by two overlapping majorities: first, a majority from all MPs (123), and additionally a majority from the MPs belonging to minority communities (32).

Despite fears of ethnicization of law and politics through the introduction of this 'passive veto' (as one may call this system of voting), such criticism has proved unfounded, and its introduction was justified, without any example of its abuse in the practice of the last ten years.

4. Failing in Success

The Ohrid Framework Agreement does not contain provisions, which provide for elaborate institutions of transitional justice and reconciliation. It contains an obligation to 'disarm the rebels', their socialization (in this context, it does not define specific measures thereof) and a law on amnesty for participants in the conflict. It is a minimalist program of rapid reintegration, which, although basically operating, proved insufficient, and, in some points, disputed until today.

In the OFA itself, the principle of inclusiveness offers, in principle, an opportunity for reconciliation in order (specifically contained in section 1.4 of the introduction to the agreement) to constantly reflect, in the Constitution and laws, the multicultural character of society ..., the element of equitable representation and fairness in the visibility and recognition of the cultures of non-majority communities (a term used in the OFA) as cultures with equal chances for development.

Such basis refers to a process of reconciliation that would lead to such a desirable state of equality of chances for the development of cultural pluralism and self-realization of the cultural identity of the individuals - the citizens.

The last Annex (C) of the Agreement includes a reference to a continuous cooperation with the international forums in the direction of achieving those same goals.

The harder segment of the transitional justice - war crime trials - in the case of Macedonia, has turned controversial. Only persons of state security services were accused (the Minister of Internal Affairs and one officer). The Minister was released after 4 years of proceedings and detention, while the officer was sentenced to 12 years imprisonment.

The court procedure also included four cases of war crimes committed by members of the NLA, all ethnic Albanians. The Hague Tribunal considered them irrelevant under its jurisdiction and returned them for trial in domestic courts. That decision created tensions in Macedonia and a sense of selectivity of international justice. This feeling (especially among the majority population of ethnic Macedonian origin) has narrowed the possibilities for reconciliation between the actors of the conflict, instead of mitigating them. Furthermore, the cases returned for trial in Macedonia caused tensions between government partners from the Macedonian and Albanian blocs - what to do with them next? Albanian
parties sought to suspend and process them under the amnesty law, while Macedonian parties insisted they be tried and brought to an end with a conviction for the perpetrators of the acts. Another fact was also present here - the partisanship and incompetence of the Macedonian judiciary to objectively lead such procedure to the very end, which only complicated the debate. The issue of the four opened Hague cases is still unresolved and to this day remains a subject of political agreement (???) even for the latest government coalition being negotiated while the text is being written (June 2011). The very fact that there will be certain 'political agreement' for these four cases is aggravating circumstance for their processing in the spirit of future reconciliation between the communities. Namely, they should be treated case by case and legally be classified as follows: proceedings in which the NLA leadership is accused for some acts should fall under the amnesty law (2 cases). For cases (2) where the victims were civilians - the proceedings must continue and end with a final verdict. War crimes against civilians cannot fall under the amnesty law; it is also inadmissible for them to have political agreement or bargaining of any kind. Only in this way, justice will be felt, and that is the basis for reconciliation. The families of the victims and families of missing persons (both Macedonians and Albanians) should be approached with a program of reconciliation or forgiveness after that act of justice. The postponement of such administering of justice is aggravating circumstance for the process of reconciliation in Macedonia, after the conflict and the Ohrid Framework Agreement.

Return of IDPs (internally displaced persons) from the conflict in 2001 also remains confusing and unresolved problem. Namely, 700 (?) ethnic Macedonians remain out of their homes (mostly in villages with a predominantly ethnic Albanian population), to this day living in shelter centers (Kumanovo and Skopje). It is hard to understand how the state has found no mode to solve the problem by offering compensation and definite accommodation to these people. This fact, however small, remains a problem hanging above the processes of reconciliation, because members of only one ethnic community (ethnic Macedonians) feel as the very victims; on the other hand, the moral effect from the state’s lack of any concern makes devastating repercussions far beyond the group endangered.

5. Conclusion

There is impression that the reconciliation process in Macedonia has been ‘the victim’ of the successful and fast normative institutional implementation of the Ohrid Agreement? Is such scenario possible? Is not this contradictory to the usual stance that the normative and institutional arrangement of the peace agreement between the parties in the conflict is condition for successful reconciliation process? It seems that such assumption is not entirely correct. Namely, it is insufficient! The Macedonian experience has undoubtedly shown that project of reconciliation between communities in conflict must be specifically designed and implemented. Reconciliation does not happen automatically, per se, as outcome of successful normative and institutional arrangement of peace agreement. Beneath the surface of the seeming successfulness of such agreement, inter-ethnic tension and intolerance might be boiling, with their own pace and dynamism. Having prejudices remains unsolved or even being fuelled!

The Macedonian example is instructive. Namely, since there had been no particular plan for reconciliation, the communities had plans of their own to compensate for their own perception of the conflict (independent of the concluded Ohrid Framework Agreement). The Macedonians, by great reconciliation, the communities had plans of their own to compensate for their own perception of the

Second, the lack of reconciliation project fiercely has come to the surface in the years after the 2001 conflict, as uncontrolled symbiotic nationalism and national demonstration of the Macedonians – through the project: national monuments at every turn (‘Skopje 2014’) and start of the project for ‘antiquitization’ of the Macedonian identity. This reactive nationalist process with the Macedonians was further accompanied by a series of printed editions of textbooks. These textbooks glorify the shadowy
historical materials of the ancient Macedonian identity and historical events that expanded unfounded borderlines between purely the heroic 'ours', and the dirty 'theirs' - completely contrary to the spirit of sharing history (so essential for reconciliation).

Regardless of the participation of the Albanian party in government, the budget is being spent extremely unbalanced in favor of a Macedonian symbolic revolution of national self-persuasion. It disturbs and destabilizes inter-ethnic relations and is contrary to 'the spirit and principles' of the OFA. It was the ‘Macedonian reaction’ to being hurt and lack of channels to handle it through a process of reconciliation (with others and with oneself).

What was the Albanian reaction after the initial euphoria of the conclusion of the OFA? The Albanians in Macedonia claimed that the OFA is an expression of their 'victory' in the fight to improve their status. Ninety percent of the Albanians in Macedonia supported the OFA. The Albanians considered that they should not make other 'concessions' and reconcile with anyone, since they achieved what they wanted, or, at least, it was close to the contents of the institutional and normative framework of the OFA. Since the USA and EU mediators had not initially insisted on any project of reconciliation, the Albanian side forgot it as well. The Albanians only insisted on full implementation of the OFA (although there were different interpretations of what it means to fully implement the Agreement with passage of time and whether it has been implemented or not).

In the meantime, changes had appeared for the Albanians as well. Their status did not change significantly as expected and were found surprised and uncomfortable with the rush of delayed Macedonian nationalism. Not all things were achieved, as it seemed at the beginning, in the early years after the conflict. Something was missing. Although the Albanians were part of the government (through the party that came out of the rebel movement - DUI), this DUI was placed in a position of weaker partner in the government, which only approves and has no real influence in politics. Systematic processes of reconciliation were missing and there was no basis for pressure on the Macedonian side for such policies that would be substantially different and would lead to such things as, for instance: sharing history, balanced historical narratives of all ethnic communities; official history of the conflict and of other historical events, and so on.

As a result, the Albanians have dropped their support for the OFA, although it remains high: initially from 90%, now to 80%.

Meanwhile, the Macedonians, with the passage of time, have increased their support for the OFA: from the mere 1.5%, now to 62%.

What now? Is now the time to actually begin the project of the true reconciliation? Are present conditions ripe for this? Have the Macedonian and Albanian communities ended their own reactive and euphoric perceptions of the Agreement by which they had closed their mutual conflict and perceived it more realistically? In this context, they are finding that the Agreement is not sufficient in one its part: the concept of long-term reconciliation.

This project stands before us. The author of this text is optimistic that this project has chances and, furthermore, is a real need today and tomorrow in Macedonia.

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The Economic Transition of the Balkan Area and the Competitive Framework of the Albania

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Abstract: This paper shows the results of an internship the commercial office of the Embassy of Italy in Tirana. The analysis of the causes of the bad economic performance in the Balkan area can be referred to several phenomena like: the statistical phenomenon of Illusion, the Keynesian theory, the credit market working, the European trade, the structural change shown by Olivier J. Blanchard and of the Cross-cultural transition. Albania has undertaken, with many difficulties, the European-road. Some progresses have been made, but even if some macroeconomic indicators can be read with a positive value, the real economy is heavily dependent on abroad. The country shows a weak economy, the industry is lacking, a growing development has occurred in the service sector, and it is still the agriculture that pulls the country's economy.

Keywords: Economy of transition, Post-communism, GDP, aggregate demand, shock cultural, Albanian agriculture

1. Introduzione

Il quadro economico dei paesi ex comunisti sono in rapidissima evoluzione, negli ultimi anni l'area balcanica occidentale ha intrapreso un complesso e difficile conversione del sistema economico, il passaggio dall'economia pianificata a quella di mercato è lo scopo comune dell'intera area, pur mantenendo le diverse specificità nelle realtà economiche dei singoli stati.

Le ragioni della difficile transizione sono rinvenibili nella struttura delle organizzazioni del socialismo reale e in particolare nell'incapacità di questi di diffondere il proprio progresso tecnico all'interno del loro sistema produttivo a causa di un mercato competitivo assente, la presenza di un sistema monopolista statale e dall'incapacità di comprendere i nuovi stili manageriali.

2. La Transizione Economica nei Balcani

crollo del PIL potrebbe risultare di un’entità maggiore rispetto a quanto rilevato ufficialmente. La teoria dell’illusione statistica chiarisce solo in parte le cause della crisi. In letteratura esistono altri filoni di studi che cercano di spiegare le motivazioni che hanno portato al fenomeno della recessione, nei primi anni della transizione alcuni studiosi hanno cercato di spiegare la recessione in termini Keynesiani come conseguenza di una brusca flessione della domanda, successivamente si è posto l’accento che lo squilibrio sia derivato dal lato dell’offerta. Si è sottolineato che le cause potevano derivare dalla presenza di elementi di disorganizzazione in gran parte connessi con le disfunzioni conseguenti alla diminuzione del sistema di coordinamento centralizzato dell’economia e con l’aumento dei livelli di incertezza. Tra queste anche la forte rigidità dell’offerta nel processo d’adattamento alle nuove caratteristiche della domanda, determinata dall’alto livello di specializzazione che caratterizzava la nuova domanda, l’incapacità delle nuove imprese di cogliere prontamente ed in modo corretto i segnali provenienti dal mercato, la lentezza della riforma bancaria che ha permesso agli istituti di credito di impiegare le proprie risorse in attività alternative rispetto a quelle destinate a supportare le necessità finanziarie del nuovo sistema imprenditoriale locale, l’adozione di politiche macro-economiche troppo rigide (Rosati 1994), il mancato coordinamento tra fornitori, produttori e consumatori dovuto al collasso della pianificazione centralizzata (Roland e Verdier 1999).

A ciò si devono aggiungere ulteriori problemi di funzionamento del mercato del credito, in epoca comunista la struttura della produzione e del commercio aveva reso quasi irrelevante il ricorso al credito. Dopo la dissoluzione del sistema centralizzato, lo sviluppo di un mercato del credito capace di far fronte alle esigenze delle imprese ha richiesto tempo, unito all’impostazione di politiche monetarie restrittive, quasi sempre collegate all’adozione di programmi di stabilizzazione, ha determinato una situazione credit crunch e, quindi, una brusca recessione. Tale fenomeno ha comportato la formazione di equilibri sub-ottimali ed una contrazione persistente del reddito. L’aumento degli arretrati delle imprese e la diffusione di pratiche di baratto rappresentano, in questa prospettiva, gli elementi caratterizzanti di tale situazione e la causa di un rischio di credito molto alto. L’entrata di nuove imprese sul mercato è stata compromessa dal basso livello della fiducia esistente e dalla difficoltà di avviare un’attività facendo fronte agli impegni di pagamento tramite baratto. Tutto ciò avvenne in quanto favorito dalla persistenza di strutture industriali fragili e da sistemi di cambio inefficienti, incidendo non solo sul livello attuale della produzione, ma anche sulle prospettive di crescita dell’economia nel suo complesso.

Un’altra causa è individuabile negli scambi commerciali del mercato paneuropeo. Il riordinamento ha interessato l’area, prima organizzata all’interno del COMECON. Alle evidenti difficoltà create dal doloroso processo di ristrutturazione del sistema economico, si sono aggiunti i problemi derivanti dalla mancanza di coordinamento verificatasi, non solo all’interno delle singole economie nazionali, ma anche tra Paesi che in precedenza erano strettamente interconnessi. Da rirompenti possono essere stati gli effetti esercitati dalla scomposizione della struttura commerciale dal lato della domanda, altrettanto importanti sono state le difficoltà incontrate dal lato dell’offerta. Il crollo degli scambi ha provocato carenze nei rifornimenti di materie prime e di beni intermedi da parte di Paesi prima strettamente interdipendenti gli uni dagli altri, esempio è l’Albania che era dipendente prima dalla Russia poi dalla Cina e infine con le mancanza di input esterni ha provato il collasso del paese. A questa situazione, si sono aggiunti anche notevoli ostacoli dovuti all’insufficienza di valuta convertibile, necessaria per pagare le importazioni, aggravando l’effetto restrittivo sul reddito dei Paesi in transizione.

Un ultimo, ma influente filone della letteratura si è interrogato se il declino della produzione, più che imputabile al verificarsi di una serie di circostanze sfavorevoli, non sia piuttosto una parte inevitabile del processo di riforma. Il passaggio da un sistema ad economia pianificata ad uno di mercato implica la mancanza di adeguamenti verificatasi, non solo all’interno delle singole economie nazionali, ma anche tra Paesi che in precedenza erano strettamente interconnessi. Si sono aggiunti i problemi derivanti dalla mancanza di coordinamento verificatasi, non solo all’interno delle singole economie nazionali, ma anche tra Paesi che in precedenza erano strettamente interconnessi. Da rirompenti possono essere stati gli effetti esercitati dalla scomposizione della struttura commerciale dal lato della domanda, altrettanto importanti sono state le difficoltà incontrate dal lato dell’offerta. Il crollo degli scambi ha provocato carenze nei rifornimenti di materie prime e di beni intermedi da parte di Paesi prima strettamente interdipendenti gli uni dagli altri, esempio è l’Albania che era dipendente prima dalla Russia poi dalla Cina e infine con la mancanza di input esterni ha provato il collasso del paese. A questa situazione, si sono aggiunti anche notevoli ostacoli dovuti all’insufficienza di valuta convertibile, necessaria per pagare le importazioni, aggravando l’effetto restrittivo sul reddito dei Paesi in transizione.

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SS, la domanda di lavoro del settore privato è data dalla curva PP. Tanto minore è il salario reale tanto maggiore è l’occupazione in entrambi i settori. Data la preponderante domanda di lavoro del settore statale, composti da grandi imprese pubbliche che producono quantità stabilite dal Piano centrale, l’occupazione in tale settore (Ls) è all’avvio della transizione pari al tratto = OA, mentre l’occupazione del settore privato (Lp) è inizialmente pari al tratto LA. La disoccupazione è nulla essendo (Ls+Lp) = L. Con l’avvio della transizione si viene a determinare una brusca riduzione della domanda di lavoro nel settore statale a causa della liberalizzazione dei prezzi e della forte riduzione della domanda dei beni pubblici, combinata ad una debole crescita della domanda di lavoro del settore privato a causa dei fattori di disorganizzazione e della scarsa qualificazione del fattore lavoro. L’effetto netto è una riduzione complessiva della produzione e il determinarsi di un vasto fenomeno di disoccupazione pari al tratto U.

Figura 1. Transizione e cambiamento strutturale

Fonte: Blanchard Olivier, (2000)

Le conseguenze dell’impatto della transizione sono possibili analizzarle attraverso lo studio della crescita economica dell’area balcanica. Nell’effettuare un’analisi generale della serie storica della crescita economica dal 1980 al 2010, si evince, che dalla caduta del muro di Berlino, le conseguenze che si speravano di raggiungere nei primi anni, non si sono avverate, bensì vi è stata una decrescita, raggiungendo nel 1991 il picco massimo negativo del 5,8% e riuscendo ad avere un andamento positivo dello 0,1% solo nel 1994.

Effetti negativi si sono ripresentati con la crisi mondiale nel 2009 con un tasso di pari a – 3,6%, un valore migliore rispetto all’andamento dell’UE. Se si analizza il PIL dell’area dell’Est Europa, dei Balcani, della Turchia e dell’Unione Sovietica, dal 1990 al 2010 si evidenzia come la transizione abbia determinato, almeno dal 1989 al 1994, una decrescita economica, sostenuta da variazione negative. Nell’approfondire l’analisi dell’andamento del PIL, Reale (1989–2000) e nello scorporare i dati aggregati per area geografica, si individuano i soli valori dell’area balcanica occidentale (Albania, Croazia, Serbia, Bosnia e Erzegovina, Slovenia, Macedonia e Kosovo) e analizzando tale fluttuazione nel tempo - 1989-2000 - , si evince che mancano informazioni reali sull’andamento del PIL dall’89 all’99 per molti paesi dell’area o almeno sia il FMI che Banca Mondiale non utilizzano nelle loro analisi in quanto poco attendibili. Le motivazione sono da ricollegare al singolo contesto nazionale: mancanza di istituzioni locali per la rilevazione economiche, inefficacia delle istituzioni presenti, problemi burocratici, presenza di conflitti e chiusura economica al mondo occidentale. Anche se l’Albania e la Macedonia presentano dati sull’andamento del PIL dall’89 (Albania) e dal 93 (Macedonia) essi sono poco trasparenti, in quanto presentano ancora i “retaggi del sistema comunista”. Le variazioni del PIL, dal 2001 al 2010, mostrano che i paesi balcanici, nonostante le difficoltà nell’accettare gli standard internazionali ed europei, presentano una crescita economica alquanto costante, mostrano una lieve flessione solo a seguito della crisi mondiale degli ultimi anni.

Dall’analisi si evince che, mentre i paesi dell’Europa dell’est sono riusciti a immettersi sulla strada europeista e di affrontare la transizione con le modalità più adeguate ai diversi contesti nazionali, nell’area balcanica occidentale vi sussistono ancora gravi inefficienze nell’adottare i meccanismi di mercato e nonostante vi sia il sostegno dell’Unione Europea, le diverse specificità nazionali non cedono il passo facilmente, al fine di raggiungere l’integrazione. La crescita dell’area è sostenuta, da una parte, dalle
Organizzazioni Internazionali, attraverso varie misure di intervento, e dall'altra dall'economia delle singole nazioni, che cercano di entrare a pieno titolo nel mercato globale.

Tabella 1. PIL reale (%) dal 1989 al 2010 nell'area balcanica occidentale

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Fonte: Banca Mondiale

3. Cambiamenti degli Standard Culturali


La prima fase risulta contraddistinta da tre fattori principali (Meilich, 1997):
- confusione circa il ruolo delle autorità;
- desiderio di uno stato paternalista;
- mancanza di capacità nel delineare gli sbocchi tra vita pubblica e privata.

Tali fattori si riflettono nella rinascita dei forti sentimenti nazionalistici e dei fenomeni di razzismo e questa può dare una spiegazione dello scioglimento della Jugoslavia a seguito dei contrasti tra Serbia, Croazia, Kosovo e in misura minore dalla Slovenia. La dichiarazione di indipendenza della Slovenia e della Croazia (giugno 1991) è stato il primo attentato all’unità Jugoslava e all’assetto europeo stabilito dalle due guerre mondiali, seguito dalla secessione della Macedonia (settembre 1991) e dal distacco della Bosnia ed Erzegovina l’anno successivo. Il processo di disintegrazione della Federazione Jugoslava, ridotta alla sola amministrazione provvisoria delle Nazioni Unite nella provincia serba del Kosovo, popolato da una consistente minoranza albanese, per poi compiersi nel giugno 2006 in seguito all’esito favorevole in Montenegro del referendum secessionista.

A partire dal 1996-1997 si è avuto un capovolgimento degli standard culturali rispetto all’epoca comunista, si è evidenziato i seguenti fattori di cambiamento:
- la stretta correlazione tra vita pubblica e privata,
- la difficoltà nella creazione di relazioni basate sulla fiducia,
- la variabilità dei livelli di "fiducia in se stessi".

Da un confronto tra le due fasi emerge come i primi anni della transizione, fino al 1991, siano caratterizzati da alcuni standard dell’epoca comunista, in particolare, la totale conformità al sistema e all’autorità, cui si aggiungono la maggiore commistione tra vita pubblica e privata, la dialettica rigida, nel senso di non prevedere vie di mezzo, ma solo rifiuto o accettazione delle diverse situazioni, l’esitazione nel prendere iniziative personali (Rieger, 1991).

Dopo il 1991, il comportamento degli individui risulta, invece, caratterizzato da un forte senso di sfiducia verso le autorità e da un totale rifiuto dello straniero (Meilich, 1996). Questi atteggiamenti possono essere interpretati come i tratti tipici di uno shock culturale collettivo, che si verifica quando gli individui di un paese vedono messa in discussione la propria cultura e passano da un sentimento di rifiuto del diverso a quello di insicurezza circa la veridicità dei propri credi e valori (Törbiörn, 1982).

Secondo la teoria dello shock culturale, il forte desiderio di uno stato paternalista è la naturale conseguenza del sentimento di conformismo tipico della prima fase, la ricerca di una protezione nella vita pubblica rispecchia il senso dilagante di incertezza e i fenomeni razzisti sono la conseguenza della dialettica rigida, cioè del totale rifiuto di compromessi. Tali fattori, derivanti dallo stress subito dalle...
popolazioni dei Balcani a causa della sostituzione degli estranei allo stato, sono connessi, all’arrivo e all’intensità degli investimenti esteri che hanno comportato il passaggio della proprietà delle strutture produttive dalle mani dello Stato a quelle dei capitali esteri, provocando un senso di disorientamento, prima, e di avversione, poi, allo “speculatore capitalista” (Feichtinger, Fink, 1998).


Più aperti al confronto con culture diverse e caratterizzati da un maggiore pluralismo culturale sono i paesi dell’area balcánica occidentale, caratterizzati dalla presenza di diverse etnie e da una lunga tradizione di scambi culturali con l’Occidente e l’Oriente. Anche tali Paesi, tuttavia, presentano una scarsa propensione all’integrazione con culture diverse, come si può evincere dai forti sentimenti nazionalistici. Il modo in cui vengono accettate le diversità e la maniera in cui gli individui di un contesto si relazionano con i portatori di idee e culture diverse influenzano l’assimilazione, da parte degli operatori delle balcanici, dei principi e delle tecniche manageriali trasferite dagli investitori esteri. In particolare, la presenza, nei contesti monolitici, di principi quali la self-identity e la self-categorization (Turner, 1987), comportando un totale rifiuto delle diversità ed una tendenza al conflitto nel caso di confronto tra culture diverse (Calvelli, 1998), sembrerebbero determinare l’insorgere di barriere al trasferimento delle conoscenze nelle alleanze strategiche tra operatori delle aree industrializzate e attori locali. La categorizzazione, in quanto principio che rifiuta il diverso, perché fonte di incertezza, può comportare l’avversione, da parte degli operatori del contesto, verso tutto ciò che si discosta dagli schemi del passato, provocando, in tal modo, un allungamento dei tempi di implementazione del cambiamento e, quindi, la necessità che le nuove pratiche manageriali e le idee che ne costituiscono il fondamento siano accettati consapevolmente dal gruppo.

Ciò implica che il cambiamento culturale delle imprese non possa essere determinato in maniera automatica; la nuova organizzazione risulta esposta a diverse influenze culturali, in quanto essa è il risultato sia dell’influenza della cultura straniera che di quella nazionale e ciò rende necessaria una profonda riflessione sull’effetto delle differenze culturali sulla replicabilità delle pratiche manageriali e sull’entità del cambiamento stesso (Puffer, McCarthy, Naumov, 2000). Queste riflessioni sembrano nei fatti confermate dalle evidenze empiriche. In tutti i Paesi le relazioni d’affari sono rese più semplici dalla possibilità che gli attori locali si relazionino con soggetti vicini al proprio modo di pensare, i cui credi e le cui abitudini non si scontrino con la cultura del luogo. Esempi in tal senso derivano dalla maggiore facilità che i Turchi, ma anche gli Italiani e i Greci, incontrano nel costituire collaborazioni inter-organizzative.

4. La Transizione in Albania

In Albania il difficile e spesso conflittuale processo di transizione da un sistema economico pianificato ad uno più libero e decentrato si è espresso più come incremento di attività economiche private che come affermazione di un modello di economia di mercato. Una ragione di questo esito può essere individuata nel carattere di maggiore rigidità assunto dalla pianificazione economica in questo Paese e, conseguentemente, nell’assenza di qualsiasi dibattito e nella mancanza di esperienze simili a quelli che portarono ad introdurre forme di “socialismo di mercato” in altri paesi dell’Europa Orientale. Questo spiega la situazione attuale: dopo un decennio di transizione è dato constatare una certa vitalità economica e un allungamento dei tempi di implementazione del cambiamento stesso (Puffer, McCarthy, Naumov, 2000). Queste riflessioni sembrano essere confermate dalle evidenze empiriche. In tutti i Paesi le relazioni d’a“fari sono rese più semplici dalla possibilità che gli attori locali si relazionino con soggetti vicini al proprio modo di pensare, i cui credi e le cui abitudini non si scontrino con la cultura del luogo. Esempi in tal senso derivano dalla maggiore facilità che i Turchi, ma anche gli Italiani e i Greci, incontrano nel costituire collaborazioni inter-organizzative.

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L'economia era caratterizzata da una forte polarizzazione tra il settore agricolo tradizionale e il settore terziario. Sebbene l'industria sia aumentata nel tempo nella composizione dell'economia, essa ha continuato ad essere il settore meno sviluppato con un peso molto basso nella composizione del PIL. Il terziario rappresenta il settore in continua crescita equiparandosi a volte al settore primario. La forte crescita avvenuta dal 1994 era il risultato di una profonda trasformazione strutturale, anche se ha avuta una battuta d’arresto nel 1997/98. La crescita era stata sostenuta dal settore dei servizi e dalle costruzioni, il declino della produzione agricola era stata causata da una mancanza di investimenti adeguati alla ri-modernizzazione della tecnologia e la frammentazione del territorio. L'industria ha mantenuto la sua quota del PIL in modo costante, inizialmente con il tessile e calzaturiero e, più recentemente con l'espansione dei materiali da costruzione.

La forte crescita avvenuta dal 1994 era il risultato di una profonda trasformazione strutturale, anche se ha avuta una battuta d’arresto nel 1997/98. La crescita era stata sostenuta dal settore dei servizi e dalle costruzioni, il declino della produzione agricola era stata causata da una mancanza di investimenti adeguati alla ri-modernizzazione della tecnologia e la frammentazione del territorio. L'industria ha mantenuto la sua quota del PIL in modo costante, inizialmente con il tessile e calzaturiero e, più recentemente con l'espansione dei materiali da costruzione.

L'organizzazione *International Crisis Group* afferma che “il 50% del PIL è generato dalle attività illegali, quali il narcotraffico e il contrabbando”. Fin dall'inizio della transizione, il numero delle piccole e medie imprese è progressivamente cresciuto e ha contribuito in modo significativo alla crescita del PIL. L'emergente settore privato opera, in particolare, nei servizi alberghieri, della ristorazione, dei trasporti, dell'industria manifatturiera e della vendita all’ingrosso. Tuttavia, le lacune del sistema giudiziario, la corruzione, la questione irrisolta della proprietà terriera, la scarsità energetica, le inadeguate infrastrutture e l'alto carico fiscale costituiscono, nel loro insieme, un terreno sfavorevole allo sviluppo di questo nuovo settore, disincentivando gli investimenti esteri diretti.

Se si analizzano i dati macroeconomici, il paese presenta dalla caduta del comunismo, tassi di crescita elevati, superando talvolta anche il 6%, ma in realtà l'economia reale è dipendente dall'esterno, in termini di importazioni, rimessi degli emigranti, aiuti internazionali e riciclaggio di denaro sporco. L'Albania al momento della transizione era un paese alla deriva, non poteva essere paragonato economicamente a nessun paese dell'Europa dell'est e non si poteva, quindi, seguire un modello di riferimento già esistente. Qualsiasi attività economica derivante dall'esterno andava a incidere direttamente sui valori di crescita, ma non sviluppando in modo concreto l'economia reale.

Per sostenere la forte crescita del PIL e migliorare gli standard di vita, l'agenda per la riforma deve concentrarsi sulle seguenti priorità:

- Mantenere la stabilità e il consenso su una visione di sviluppo a lungo termine;
- Migliorare la governance e di rafforzare le istituzioni per garantire l'integrità manageriale all'interno della pubblica amministrazione;
- Migliorare il contesto imprenditoriale, promuovere gli scambi, e accelerando l'integrazione regionale per creare un ambiente più favorevole agli investimenti nazionali ed esteri e la creazione di posti di lavoro;
- Il potenziamento delle infrastrutture pubbliche per aumentare la produttività attraverso una migliore definizione delle priorità e di selezione degli investimenti economicamente sostenibile, il rafforzamento della cooperazione regionale in materia di reti di backbone, il miglioramento nella gestione e nella governance dei servizi pubblici e l'impostazione dei prezzi per garantire il recupero dei costi per i servizi delle infrastrutture pubbliche,
- Garantire progressi sul processo di integrazione del paese per accelerare la futura adesione all'Unione Europea.

5. Il Ruolo dell'Agricoltura in Albania

Nell'agosto 1945 il regime varò una legge di riforma agraria in base alla quale le proprietà terriere dei proprietari privati, le aziende del demanio e delle istituzioni religiose erano espropriate e distribuite gratuitamente ai contadini, i quali non potevano alienare o affittare gli appezzamenti ottenuti e per conservarne la proprietà dovevano lavorarvi personalmente e con regolarità. L’anno successivo, il processo di espropriazione era già concluso ed iniziava il processo di collettivizzazione delle terre attraverso l’istituzione di cooperative agricole, utili alla pianificazione economica e al consolidamento del
A partire dal dicembre 1990, la popolazione contadina cercò di sopprimere, con l'appoggio delle nuove forze politiche, le organizzazioni collettiviste, spartendosi gli animali, i macchinari e le costruzioni. Il Partito del Lavoro, in risposta, decise di concedere ad ogni famiglia contadina socia di una cooperativa agricola la proprietà di un appezzamento di terreno e di dieci capi di bestiame. Il 31 luglio 1991 il Parlamento approvò la Legge sulla terra, che disciplinava la privatizzazione della terra. La legge prevedeva lo scioglimento delle cooperative agricole e la distribuzione delle relative superfici agricole agli abitanti dei villaggi in una misura variabile da 0,6 a 3 ettari per famiglia in ragione del numero di componenti. L'assegnazione era gratuita, ma i contadini non potevano vendere né dare in affitto gli appezzamenti. Dall'aprile 1993 un'altra legge disciplinava il risarcimento per gli ex proprietari, ossia coloro che risultavano tali al 1946, e nel 1995 un ulteriore provvedimento rimuove il divieto di compravendita o di affitto degli appezzamenti ricevuti.

L'elaborazione di una strategia di sviluppo agricolo si presentava, particolarmente ardua, le variabili da prendere in considerazione erano molteplici. Oltre i fattori tradizionali dello sviluppo, hanno un “peso” rilevante i fattori culturali. In un'ottica di sviluppo rurale queste considerazioni assumono una maggiore valenza. Le comunità rurali albanesi storicamente sono state delle “organizzazioni” oggi, le comunità che vivono nei villaggi di montagna e lontane dai luoghi di scambio, i comportamenti individuali sono regolati da regole ben definite. Con la liberalizzazione dei prezzi e la privatizzazione delle strutture produttive, anche il mondo rurale albanese ha “scoperto” il mercato e, al vecchio ordine costituito, sarebbe dovuto subentrare secondo il modello interpretativo di von Hayek, l’“ordine spontaneo” del mercato. Questo esito, però, non si è verificato, né, forse, poteva verificarsi, non solo per la ristrettezza del periodo temporale trascorso dall’introduzione del libero scambio, ma anche, e in misura più rilevante, per la mancanza di quelle condizioni, materiali e culturali, che permettono l’affermarsi dell’ordine spontaneo del mercato. Nel Paese balcanico, infatti, ha sempre prevalso l’organizzazione, tanto che un sistema “coerente ed efficace di regole socialmente condivise” (Parri, 1996), qual è il Kanun, costituisce il più antico codice di autoregolazione dei comportamenti individuali tuttora vigente in Europa. In Albania, sia durante il lungo periodo di dominazione turca, sia durante il periodo della pianificazione economica centralizzata, il problema della cooperazione sociale e del coordinamento delle attività individuali è stato affrontato facendo ricorso alla forma dell’“organizzazione”, ovvero a una struttura relazionale deliberatamente istituita per conseguire un insieme di fini determinati.

Dopo diversi passaggi, il disegno complessivo della politica agricola è stata definita nel 1998 nella "Green Strategy" del Ministero dell'agricoltura e dell'alimentazione in questi termini: "il concetto strategico per lo sviluppo dell'agricoltura in Albania è basato sui principi e gli elementi principali del libero mercato. Questo concetto è stato sviluppato in conformità con le richieste e gli effetti del commercio multilaterale, dello sviluppo (WTO, UE, FMI) e in conformità con le direzioni principali del Governo dell’Albania" (Civiche e Lerin 2001). Più concretamente, gli obiettivi principali del Governo albanese, per sviluppare l'agricoltura nel corso degli ultimi anni ha seguito delle linee strategiche ben precise:

- consolidare i risultati della riforma del settore agrario: migliorando le condizioni per la libera impresa;
- crescita della produttività agricola: incentivi al progresso tecnico dei fattori di produzione, aumento degli standard di vita della popolazione rurale attraverso la crescita dei redditi di coloro che lavorano direttamente in agricoltura;
- migliorare l'organizzazione dei mercati agricoli;
- crescita della sicurezza alimentare: qualità e quantità degli alimenti;
- preparazione del settore per la progressiva integrazione con l'UE.

Fin dai primi giorni della democratizzazione del paese (dicembre 1990), la popolazione contadina ha chiesto il ripristino della proprietà privata. Per soddisfare questo requisito, è stato necessario rimuovere le strutture precedenti: le cooperative agricole (CA) e aziende statali. Questo cambiamento è avvenuto nel corso di un breve lasso di tempo e senza il controllo dello Stato, sotto la pressione della rivolta popolare. Su questa base, fino al luglio 1991, il Parlamento albanese ha approvato la "legge della terra", la quale può
essere riassunta come segue:

- la distribuzione delle terre ai contadini precedentemente sotto la proprietà delle cooperative;
- la distribuzione eguagliante delle terre, secondo il numero di persone all'interno di una famiglia;
- la vendita di terreni agricoli per le famiglie contadine registrati come membri del CA al 31 luglio 1990;
- il libero trasferimento dei terreni ai contadini, con la limitazione del divieto per un certo periodo (3-4 anni) alla vendita, l'acquisto o la locazione;
- la restituzione agli ex proprietari (prima della riforma agraria del 1946) dei vecchi terreni.

In tali disposizioni, circa 575 000 ettari di terreni agricoli dovevano essere distribuiti a più di 450.000 famiglie di contadini dando vita a circa 460.000 piccole aziende private, con superfici variabili 0,5-3 ettari per famiglia. Anche se la legge prevedeva un'equa distribuzione della terra, la realtà era ben diversa, soprattutto per ragioni geografiche: nelle zone di pianura (dove i terreni erano migliori) le aziende erano più grandi (da 2,5 a 3 ettari), mentre nelle zone di montagna (dove la terra era povera), le aziende hanno una superficie da 0,6 a 1 ettari. Nel 2000 venne effettuata l'analisi della tipologia di aziende per comprendere le dinamiche dei produttori albanesi e delle loro relazioni con i mercati locali o nazionali.

Sotto una prospettiva globale possiamo individuare tre categorie di aziende:

- **Aziende agricole di sussistenza**, circa il 48% del totale, (gli agricoltori sono a livello di sussistenza, i contatti con il mercato sono quasi inesistenti), queste aziende si trovavano principalmente nelle zone montane e le aree marginale all'interno del paese.

- **Aziende di semi-sussistenza**, circa il 36% del totale, (agricoltori sono l'allevamento soglia fra riproduzione semplice e ampliata), queste aziende si trovano dispersi in tutta l'Albania. Vendono, principalmente nei mercati locali e regionali, circa il 20-30% dei loro prodotti (latte, formaggio, burro, miele, ortaggi, frutta, ecc.)

- **Fattorie correlate con il mercato**, circa il 16% del totale (questi agricoltori sono in grado di ottenere una riproduzione estesa delle loro fattorie e produrre appositamente per la vendita sul mercato) per le aziende di questo gruppo sono specializzate nella produzione di ortaggi, frutta e trasformazione di uva o di latte. Queste imprese sono situate nelle zone di pianura, le zone costiere intorno a grandi città, nei pressi di strade principali e centri di lavorazione, ecc.

**Figura 2. Struttura delle aziende agricole**

**Fonte:** INSTAT, 2000, Tirana

5.1 Le Opportunità dell'Agricoltura

L’Albania offre interessanti opportunità nel settore agricolo, per il clima favorevole ed il basso costo della mano d’opera. Secondo le statistiche dell’INSTAT (2009), l’agricoltura albanese conta circa 360 mila aziende agricole con una dimensione media di 1,2 ettari.

L’agricoltura rappresenta circa il 21% del PIL ed assorbe quasi il 60% della forza lavoro disponibile nel Paese. I metodi sono per lo più ancora quelli tradizionali e questo riduce i margini di crescita e provoca una stagnazione del settore. Lo scarso uso di pochi additivi artificiali, chimici o pesticidi hanno dato via una crescita del BIO, ma manca una legislazione adeguata che lo possa riconoscere come marchio di distinzione dalle altre produzioni. Anche le risorse forestali offrono opportunità per investimenti, in particolare per le società di falegnameria e produzione di mobili. L’industria per la lavorazione dei generi alimentari è di buon livello. Alcuni sotto-settori hanno avuto una notevole evoluzione come quello delle erbe e delle spezie, degli oli vegetali e dei prodotti ittici. La produzione agricola è comunque, ancora oggi, insufficiente per la domanda interna. Sempre di più, con il passare degli anni, le politiche agricole si stanno avvicinando a quelle europee e anche lo sviluppo rurale sta entrando...
come priorità nell’agenda del governo. Nel 2009 è stata creata la nuova agenzia dei pagamenti, una struttura che permetterà di erogare contributi diretti agli agricoltori per un ammontare pari a circa 10 milioni di euro. Il governo ha individuato come settore prioritario l’olivicoltura ponendosi a riguardo obiettivi di sviluppo molto ambiziosi. Altre linee di intervento prioritarie riguardano la trasformazione dei prodotti agricoli, lo stoccaggio dei prodotti, la catena del fresco, la frutticoltura e la viticoltura, l’amilamento delle stalle, le coltivazioni in serra. Inoltre si stanno cercando fonti di finanziamento esterne (oltre che usare meglio quelle interne) per la ristrutturazione delle strade rurali, che in maggior parte sono ancora non asfaltate e costituiscono di fatto una barriera fisica che impedisce ai residenti rurali ed ai prodotti agricoli di raggiungere il mercato e i servizi in generale.

Le problematiche oggi sono comunque anche altre. Esse riguardano: (a) la certificazione legale (il titolo) della proprietà terriera; (b) la frammentazione fondiaria; (c) la estesa conflittualità che origina dall’incerta e non certificata attribuzione della proprietà dei fondi; (d) la mancanza di coordinamento tra i produttori, che genera repentine oscillazioni dei prezzi e il succedersi di fenomeni di sovrapprodizione e di penuria di prodotti; (e) l’inefficienza del sistema della trasformazione che si ripercuote sui produttori agricoli in termini di margini troppo alti e prezzi di vendita troppo bassi; (f) l’assenza di una legislazione per la cooperazione tra gli agricoltori sia nella produzione che nella trasformazione e nella vendita (a questo riguardo ci si aspetta un consistente aiuto dall’Italia per la sua radicata esperienza cooperativa).

Gli agricoltori albanesi hanno anche notevoli difficoltà ad ottenere credito da parte delle istituzioni bancarie, mentre i costi del credito sono per essi generalmente più alti che per le altre categorie economiche, per l’alto coefficiente di rischio che viene generalmente assegnato dalle banche alle attività agricole. D’altra parte, è pressoché inesistente il sostegno assicurativo contro i rischi di mercato o le calamità naturali. In queste due direzioni deve essere sviluppato al più presto un rinnovato intervento pubblico. A fronte di tutte le complesse e rilevanti difficoltà, l’agricoltura albanese si presenta all’Europa come un settore con grandissime potenzialità: la sua geografia permette una varietà molto ampia di prodotti; le risorse idriche non mancano e i canali principali di irrigazione e di drenaggio sono funzionali come un settore con grandissime potenzialità: la sua geografia permette una varietà molto ampia di prodotti; le risorse idriche non mancano e i canali principali di irrigazione e di drenaggio sono funzionali ed efficienti (nuovi fondi pubblici sono stati recentemente stanziati per il loro mantenimento e la creazione di nuovi canali secondari); l’età degli agricoltori e ancora mediamente abbastanza giovane; una notevole parte degli emigranti albanesi in Europa lavora in agricoltura e spesso ritorna nel proprio paese con l’obiettivo di investire nella ristrutturazione delle proprie aziende; il potenziale turistico del paese è ancora notevole e particolarmente intatto e la sua integrazione con l’agricoltura potrebbe aggiungere valore aggiunto, favorendo la diffusione dei prodotti locali e regionali.

6. I Consumi e il Commercio Agro Alimentare

La domanda dei beni alimentari dagli anni’90 si è evoluta sia quantitativamente che qualitativamente. In primo luogo i consumi sono aumentati a causa dell’elevato incremento demografico, ma anche per la maggior domanda individuale, inoltre, vi sono state modificazioni qualitative dei consumi, nonché una diversificazione quali-quantitativa territoriale. A tale domanda diversificata non ha fatto riscontro maggiore domanda individuale, inoltre, vi sono state modificazioni qualitative dei consumi, nonché una diversificazione quali-quantitativa territoriale. A tale domanda diversificata non ha fatto riscontro maggiore domanda individuale, inoltre, vi sono state modificazioni qualitative dei consumi, nonché una diversificazione quali-quantitativa territoriale. A tale domanda diversificata non ha fatto riscontro maggiore domanda individuale, inoltre, vi sono state modificazioni qualitative dei consumi, nonché una diversificazione quali-quantitativa territoriale. A tale domanda diversificata non ha fatto riscontro maggiore domanda individuale, inoltre, vi sono state modificazioni qualitative dei consumi, nonché una diversificazione quali-quantitativa territoriale. A tale domanda diversificata non ha fatto riscontro maggiore domanda individuale, inoltre, vi sono state modificazioni qualitative dei consumi, nonché una diversificazione quali-quantitativa territoriale. A tale domanda diversificata non ha fatto riscontro maggiore domanda individuale, inoltre, vi sono state modificazioni qualitative dei consumi, nonché una diversificazione quali-quantitativa territoriale. A tale domanda diversificata non ha fatto riscontro maggiore domanda individuale, inoltre, vi sono state modificazioni qualitative dei consumi, nonché una diversificazione quali-quantitativa territoriale. A tale domanda diversificata non ha fatto riscontro maggiore domanda individuale, inoltre, vi sono state modificazioni qualitative dei consumi, nonché una diversificazione quali-quantitativa territoriale. A tale domanda diversificata non ha fatto riscontro maggiore domanda individuale, inoltre, vi sono state modificazioni qualitative dei consumi, nonché una diversificazione quali-quantitativa territoriale. A tale domanda diversificata non ha fatto riscontro maggiore domanda individuale, inoltre, vi sono state modificazioni qualitative dei consumi, nonché una diversificazione quali-quantitativa territoriale. A tale domanda diversificata non ha fatto riscontro maggiore domanda individuale, inoltre, vi sono state modificazioni qualitative dei consumi, nonché una diversificazione quali-quantitativa territoriale. A tale domanda diversificata non ha fatto riscontro maggiore domanda individuale, inoltre, vi sono state modificazioni qualitative dei consumi, nonché una diversificazione quali-quantitativa territoriale. A tale domanda diversificata non ha fatto riscontro

La politica di marketing e la logistica dell’organizzazione commerciale riproducono schemi utilizzati in Italia e Grecia, con accordi di collaborazione e joint venture tra imprese albanesi e straniere.
7. Conclusioni

Il contesto macroeconomico dell’area balcanica presenta problematiche relative al processo di transizione e di stabilizzazione: questioni sui diritti di proprietà, dipendenza alimentare dagli aiuti umanitari, problemi di sicurezza e legalità, a queste si aggiungono problemi di tipo strutturale in campo economico, del credito e assicurativi. Le caratteristiche socio-culturali della recessione registrata nel corso della transizione non sono ancora completamente definite, ma è innegabile che abbia prodotto risultati catastrofici dal punto di vista sociale, basti pensare alla massiccia migrazione del popolo albanese verso le coste italiane o a vari scontri interni all’area balcanica.

L’Albania si presenta con un sistema economico fragile, il settore trainante è ancora l’agricoltura, manca il settore industriale, uno sviluppo crescente si è verificato nel terziario. Qualche progresso è stato fatto, ma anche se qualche indicatore può essere letto con valenza positiva, l’economia reale è fortemente dipendente dall’esterno, in termini di importazioni, rimesses degli emigrati, aiuti internazionali e riciclaggio di denaro sporco. Sebbene vi sia una grande vitalità dell’iniziativa privata, vi è una scarsità di fattori che potrebbero favorire il loro sviluppo. La domanda dei consumatori si sta evolvendo, presenta al momento delle differenziazioni tra aree urbane ed aree rurali, con una crescita nelle prime di tipo quantitativa e qualitativa. Negli ultimi anni ha intrapreso la strada europeista, ma vi sussistono problemi sia nell’adozione di tecniche adeguate per il settore agricolo, il quale può diventare il cardine dell’economia albanese, e sia problemi politici, in quanto l’elite si mostra incapace di adeguarsi al cambiamento, ponendo nell’adozione di tecniche adeguate per il settore agricolo, il quale può diventare il cardine dell’economia albanese, e sia problemi politici, in quanto l’elite si mostra incapace di adeguarsi al cambiamento, ponendo il paese in una fase di stagnazione che blocca lo sviluppo richiesto dalla comunità Internazionale e dal popolo Shqiptar.

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Global Economic Meltdown and the Performance of Insurance Industry: Implication for Career Opportunities

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Abstract
The economic and financial crisis, which started in the United States in September 2008, has rattled markets and economies developed, developing and underdeveloped around the globe, and because the world is linked inextricably by globalization the crisis has continued to dominate discussions on global economy. Many countries are experiencing severe closure of companies, loss of jobs, crash of share prices, squeeze in consumer credit facilities, crumbling mortgage facilities among others. In the case of the developing countries of which Nigeria is one, the implications are noticeable in the areas of crash in share prices, dwindling revenues, few direct investments from developed countries, dwindling remittances from Nigerians abroad and possible erosion of foreign resources among others. This paper therefore provides a clarification of the term Global Economic Meltdown, the causes and the performance of the insurance Industry under this situation and the implication for career opportunities.

Keywords: Economic Meltdown, Globalization, Insurance, Recession, Crisis

1. Introduction

The term Economic Meltdown refers to the severe economic recession that is used to describe the current global economic crisis. The concept epitomizes the current economic scenario where virtually all countries of the world have been severely affected. Consequently, the gross domestic product (GDP) of countries has gone into the negative zone, as a result of severe liquidity crunch, giving rise to diverse economic intervention programmes.

Global economic meltdown is a topical issue because of the universal effect. It connotes near catastrophic circumstances necessitating scarcity or unavailability of otherwise available resources, thereby incapacitating many countries from meeting their targets, plans and programmes (.Dieter, 2009) It has many implications for both developed and developing economies. It is characterized by severe closures of companies, loss of jobs, the crash of share prices and squeeze in consumer credit facilities and crumbling mortgage facilities. Also a decline in income growth, declining remittances and budget pressures due to the drastic fall of revenue from various exports of primary product that has led to reduce government spending.

The universality of the impact of the crisis is a direct consequence of the information and communications technology revolution, which unified the world through the internet, and revolutionary technologies like the mobile phone, iPod, phone and so on. These have facilitated interconnectivity of banks, insurance and stock exchange markets universally given that the world is now a global village where what affects one entity quickly impacts the neighbours. It should be noted that economic conditions in every country are strongly influenced by the development of the world economy. It makes itself felt through international trade, global production and international finance.

Consequently, there is a tendency for interest rates or the prices of securities, bonds, and shares in one country to be affected by interest rates and financial prices in others. So instead of a country’s
interest rates being wholly determined by its own conditions, they become the outcome of world forces. (Larosiere, de. J 2009).

2. Causes of Global Economic Meltdown

The global economic and financial crisis has become a major concern for political leaders, economists, and managers of financial institutions around the globe. Addressing the crisis would, however, require knowing the root causes. There are some disagreements as to what constitute a crisis but as related to the issues in discourse, Eichengreen et al (2004) have defined crisis as a sharp change in asset prices that leads to distress among financial market participants. Analyst and scholars have noted myriad causes of the global financial crisis including excessive and corrupt practices of subprime mortgage lending, greed and unregulated capitalism and the massive funding of the war on terrorism and the erroneous belief that the free market principle is perfect, fair and efficient (Bradford, 2008). It has, however been noted in academic journals that financial instability is caused largely by inconsistent monetary and fiscal policy, politicians spending and borrowing excessively, inconsistent and unsustainable macroeconomic policy, weak financial systems and institutions and poor structure of international financial markets (Eichengreen, 2008).

The present global financial meltdown began in August 2007 when the growing payment mortgage deficit, put millions of debt obligation in danger, which was guaranteed and sold to investment banks. The crisis has it root in a banking practice called sub-prime lending or sub-prime mortgage lending in the United States. Sub-prime mortgage is granted to borrowers whose credit history is not sufficient to get conventional mortgages lending or who do not qualify for market interest rate owing to various risk factors such as income level, size of the down payment made, credit history and employment status. This sub-prime mortgage lending is designed to make these categories of individuals own a house at an affordable rate. These mortgages packaged by banks into mortgage backed securities (MBS) and sold to two financial institutions created by US government namely: Federal National Mortgage Association and Federal Home Loan Mortgage Corporations; so as to free banks fund for lending to more prospective homeowners.

These two government institutions in turn repackage the loans and sold them to individual investors, financial institutions like banks, pension funds, hedge funds around the world. In 1994-2004, the US housing market experienced boom, of which sub-prime borrowing was a major contributor to an increase in home ownership rate and demand for housing. Home ownership rate increased from 64% in 1994 to a pack of 79.2% in 2004 (Krugman, 2009). This increase in the demand for home ownership resulted to corresponding rise in house prices and consumer spending. And most homeowners used the increased property value experience in the boom to refinance their home with lower interest rate and take out second mortgage against the added value of using the fund for consumer spending. By 2006, a number of factors like rising gasoline price, the hurricane Katrina, the war in Iran and Afghanistan, the rising food prices due to the global food crisis, led to rising unemployment and decline in business activities. This macroeconomic turbulence translated into increasing default by homeowners, hence, increasing foreclosure rates. Rising foreclosure rate coupled with over building during the boom years led to over rising housing and these led to decline in housing price. US household debt as a percentage of income rose to 130% as at 2007. Some homeowners were unable to finance the loan and they began to default on their loan as it attracts higher interest rate and payment amounts. Other homeowners with limited accumulated equity chose to stop paying their mortgage loan. They were essentially ‘walking away’ from their property and allowing foreclosure. Most of the defaults or foreclosure was sub-prime mortgages. As at October 2007, 16% of these loans were in foreclosure proceedings. By May 2008, it rose to 25% and during the third quarter of 2008, it rose to 45%. Since most of these mortgages were sold to financial institution and individual investors around the world, Mohammed (2008), said it exposed them to the US housing market crisis especially the sub-prime mortgage debtors. Meaning that the mortgage backed securities became a bad loan in book of banks, other financial institution and investors who bought these securities, the bad loan resulted to huge loss by the financial institutions and eventually bankruptcy.

According to the Wikipedia the free encyclopedia (2008), the global financial crisis began in July 2007 when a loss of confidence by investors in the value of securitized mortgage in the United State resulted in a liquidity crisis that prompted a substantial injection of capital into financial markets by the United States Federal Reserve, Bank of England and European Central Bank.

In his own contribution to the cause of the crisis, Samuelson (2008) noted that at the beginning of
the decade, financial firms moved beyond their traditional roles of advisors and intermediaries and seemed to treat the client as mere source of profitability. By investing clients or shareholders funds to purchase stocks, bonds and other securities in what are called principal transactions. Krugman (2009) in his own submission said the profession’s blindness to the very possibility of catastrophic failures in the market economy was based on the belief system and economic theories which held that free markets would by and large always hold or at least quickly recover their stability if shaken.

According to Oyesiku (2009) economic recession doesn’t just occur; certain factors which include dollars collapse, oil price rise, inflation, housing bubble, loss of consumer confidence, excess buying are normally responsible. This current global financial meltdown which began with the US housing bubble in 2006 was aggravated by low interest rates and increased global liquidity. The subprime or near-subprime loans being initiated and sold to banks by the US real estate brokers, as well as the hedge funds, the Structured Investment Vehicles (SIV) and financial instruments such as Collateralized Debt Obligations (CDO), Credit Default Swaps (CDS) and other derivatives were the bane of the crisis. Other factors included the under estimation of the liquidity risk and the employment of short-term oriented incentives schemes. A combination of these factors imposed deleterious effects on the US financial system, which in turn, got translated into the global economy, owing to the wrong decision by the US government not to intervene at a most crucial time.

In view of this, much of the global economic crisis traceable to inefficient regulation of financial factors as well as the needless post-crisis foot-dragging in government intervention, which made the meltdown that, could have been limited to the US economy, to snowball into a global financial dilemma. The far-reaching implication of this US-induced economic quagmire is manifest in a host of recession symptoms, which have already spread not only to other developed economies of the world but also to emerging and transition economies

3. Nigeria and Global Economic Meltdown

Most Nigerians got to realize that the country has begun to take its share of the global financial crisis when the Nigerian stock Exchange starts to record unprecedented losses in the value of shares of companies listed on the market. In 2008, the Nigerian Stock Exchange lost about N556 billion when because of the economic meltdown foreign nationals who had invested in Nigeria pulled out their money to shore up their native economies. Apart from the mega losses by investors in the Nigerian Stock Exchange, other areas in which the current global economic chaos affects Nigeria include:

A general credit crunch from lending institutions for businesses requiring short and long-term money, including banks lending to each other. Even credit-worthy individuals were denied access to bank credit that they had made use of before the crisis. Parallel to the concept of sub-prime mortgage problem abroad is the rife phenomenon of marginal borrowing and lending in Nigeria, whereby investors borrow money from banks to invest in other financial instruments (particularly IPO’s of other banks) with the hope of making profit all around.(Ogunleye, 2009) This may have been Nigeria’s own “sub-prime” problem version, resulting in an exploding domestic stock market and astounding bank profits without commensurate physical development in the country. Huge sums of money were trapped because the stock exchange bubble burst and marginal-borrower–investors failed to realize the anticipated profits.

The economic and social impact of the current global financial crisis is enormous. It has damaged global markets and economies around the world. It has affected business operations and investments by way of reducing domestic and international demand for goods and services and pushing up unemployment as many industries and organizations are shedding off workers. The crisis has also affected national income and budgets, exchange rates and interest rates and slow down economic growth in societies around the globe.

The naira has sharply depreciated against the US dollar and other major currencies around the world. The major thing Nigeria export is oil; that is the major source of foreign currency. And when this source is threatened, there will be a pressure on external reserves which in a fixed exchange regime gets eroded in order to maintain the exchange rate. Long –term effect might exacerbate Nigeria/s longstanding social and economic problems.

The global financial crisis has affected both poor and rich nations; the severity of the impact on individual countries will vary according to their economic, social, political and cultural settings. According to Agaba, et.al (2010), the Nigerian economy has long been in recess before the meltdown due to a number of factors. First, Nigeria has been over dependent on petroleum as a source of income, according to the CBN Governor, Nigeria gets over 95% of its revenue from oil a trend that has been
observed since the 1970’s.

Second, in recent times the activities of the Niger-Delta militants has worsened the situation as the barrels of crude oil produced per day dropped due to militant activities which include kidnapping, stopping operations and damage to oil wells and facilities.

Third, is the high rate of importation; that has been a great menace to the Nigeria economy as many commodities are imported and on the long run other economies benefit from Nigeria. For example, many electronic products are imported from industrialized economy. This has its roots in the inability of the country to engage on genuine industrialization programme.

Fourth, the debt game at all levels. Nigeria as a country is still heavily indebted to The World Bank and International Monetary Fund (IMF).

Fifth, the changing dynamics of over population has also affected the Nigeria economy because adequate plans have not been put in place for the nations increasing population.

Sixth, outright corporate greed exhibited by various companies and service provider have also contributed greatly to the economic situation in the Country.

Seventh, people migrates to major cities like Lagos, Abuja, Port Harcourt causing these cities to be overpopulated and few people left to farm in the states.

Eighth, growing gap between the elite and the impoverished also has its fair share on the nation’s economic meltdown. Other factors are the erosion of human dignity.

4. Effects of the Economic Meltdown on Insurance Industry

The reverberating effects of the meltdown have been felt in the insurance industry, banking industry, and other sectors as exemplified by the collapse in investment.

In the wake of the global crisis, the Nigerian Insurance Industry prided itself as the sector that will salvage the Nigerian economic scene from the turmoil of the financial crisis. As risk bearer, the insurance Industry was of the opinion that it will serve as a hedge to the other sectors.

However, with the unprecedented losses that characterized the financial statement of most insurance companies during the 2008 financial year, observers of economic trends are worried that the risk bearers may be facing far risk. The financial performance of most insurance companies has revealed the impact of the global economic meltdown on the sector, as the result showed a drastic reduction in profits.

Insurance companies traditionally have thrived more on investment income than core underwriting business. Competitive pricing and below par risk rating have been protected by shrewd investment decisions. Current global recession and consequent economic crisis has put a lid on this maneuverability. Falling prices in real estate sector and nose-diving stock markets have already depleted shareholders’ equity and moved the investment portfolio of insurance companies in red zone. Insurance industry follows closely the fortune of the financial sector and is directly impacted by the movements at the macro-economic level. New construction and infrastructure projects have dried up and ongoing projects have been stalled due to inadequate cash injection in the market. Banks are not releasing installments to firms even on limits which were agreed prior to this crisis. This has impacted the engineering class of business in the insurance sector. Inquiries for CAR (Contractors’ All Risks), EAR (Erection All Risks), Machinery Breakdown and Equipment Insurance have almost dried up in the last few months. Construction, infrastructure projects by governments and energy projects by private as well as governments have either been shelved or being delayed and insurance industry will have to live without large premiums for a while.

Continued recession shall have impact on property class of business too. Cost-cutting in the corporate sector may lead to reduced expenditure on insurance. Falling market prices of property shall further bring down the premium volume on property insurance. Business Interruption or Loss of Profit premiums also shall go down due to reduced profit forecasts for most companies. Life insurance sector is likely to see even bigger erosion in volumes and profits. Employee benefit schemes, Workmen’s Compensation, Medical Insurance, Group Life and Personal Accident Insurance, etc. are likely to take maximum hit. With the investment portfolio almost gone, most unit-linked policies, Pension Funds and other investment backed insurance products shall show negative NAV (Net Asset Value) and consumer confidence shall further nosedive. Policy holders are already requesting cancellation of their policies in order to preserve cash in this moment of crisis. Retail insurance sector has similar problems. Low consumer confidence and stringent lending norms for retail customers by banks have led to reduced demand for products and services.
Automobile companies are struggling to keep afloat due to negative sales growth. This directly affects motor insurance premium. Travel industry including airline companies are witnessing lower traffic resulting into reduced travel insurance premium. Reduced sale of property is resulting in reduced premium income on mortgage insurance. Declining international trade and consequent reduction in export and imports have resulted in inflated inventories and consequent redundancy of work force has increased job loss claims. Reduced international trade has also impacted marine cargo and marine hull insurance businesses and premium incomes have dropped substantially.

It has also charged the risk assessment approach of the insurance companies, all the necessary doctrine of insurance and undaunting philosophy are now call into play before a risk is given a cover to forestall a payment for fraudulent claims:

The current crisis has the potential to increase cancellation and reduction in scope of insurance policies as people choose to save money in difficult economic conditions. Additionally, the crisis has the potential to increase not only fraudulent but inflated claims. In its report, the British Insurers Association (ABI, 2010) gave the detected and prevented fraudulent claims related to general insurance increasing by 30% since 2008.

In his book Leadership in the era of economic uncertainty, Charan (2009) writes “Management challenges don’t come any bigger than this. It is not just your business or industry that is in a down turn: the entire global economic system has been wounded”. This statement directly impacts the way insurance leaders operate and therefore need to adjust their most fundamental thoughts about what business will look like and how it will be in the present situation. This will enable the leader to explore changes in assumptions, expectations and perspectives leading to deep change

Ogunbiyi (2009) agreed that there are many challenges facing the operation and management of insurance companies but concluded that adapting innovative techniques experience and new knowledge, insurance will be able to achieve sustainability and visibility in the long term.

Oshin (2009) was of the opinion that if insurance has to play its role in reflating the economy, certain products needs to be in place and they include Credit Swap, banc assurance, mortgage insurance, professional indemnity insurance as well as fidelity guarantee insurance. Insurance companies need to take a cue and concentrate on really good underwriting before it is hit by its own “sub-prime”. New products should be developed and niche markets need to be looked at rather than fighting for the same space. Hard times must be negotiated with a changed business strategy. Competition should give way to collaboration amongst insurance carriers. The events in recent months have shown that completely free economy and unhindered competition needs to be moderated. The industry must build local capacity. Despite our capital raising efforts, we seem to retain too little in the Nigerian market in some cases.

5. Implications for Career Opportunities

The instantaneous and caustic effect of the economic meltdown on several organizational systems worldwide is the inability to maintain the current productive capacity owing to inadequate finance. The global economic crisis is expected to lead to a dramatic increase in the number of people joining the ranks of the unemployed, the working poor and those in vulnerable unemployment.

Based on her development in the labour market and depending on the timeliness and effectiveness of recovery efforts, global unemployment in 2009 could increase over 2007 by a range of 18million to 30 million workers and more than 50 million if the situation continues to deteriorate (ILO, 2009). The ILO report also said that in this last scenario, some 200 million workers, mostly in developing economies could be pushed into extreme poverty.

The ILO message is realistic. We are now facing a global crisis many governments are aware and acting but more decisive and coordinated international action is needed to avert a global social recession.

The current economic situation is bad but there should be no reason to lose hope as there are opportunities in crisis. There are possible job and career opportunities in this global crisis. The key is finding these opportunities and grabbing them even when more people are joining the ranks of the unemployed. One can still find great job and career opportunities if you are proactive and strategic in finding a job or looking for a career.

• Be strategic in your approach. This involves a critical look at or observation of the economic situation, understanding your own economic position and what you want to get out of it in terms of job and career development. Take pain to search the internet. It is more time efficient and cost-
effective. We need to apply to as many organizations as possible without actually zeroing on one or two; this helps in deciding which job interview to prioritize and ultimately which job offer to accept. One cannot afford to be lazy in this period; one should continue sending those resumes.

- **Refine your resume** to highlight knowledge, skills and other professional strengths that will add value to the organization you are eyeing. Focus on your competency highlights. Now more than ever, it is important for professionals to explore online networking opportunities by joining social networking sites or creating their own online career portfolio to showcase their skills and experience. They should consider starting a blog on their area of expertise or creating a website that showcases samples of their work. Professionals can also make an effort to meet other professionals online by communicating through relevant blogs or social networking profiles. When interacting online, it is important that you manage your online reputation to ensure that they always present themselves in a positive, professional manner.

- **Be proactive.** Be the solution. Apply to organizations you deemed would. Need your expertise even if they were not hiring. Most progressive companies. With good Human Resources Management Department usually gives. Chances to people who present themselves as problem solvers.

- **Make professional contacts.** Now more than ever, networking is a critical step towards career advancement. It is important for professionals to build a strong network of business and personal contacts because these relationships can help identify and secure new jobs or career opportunities. Professionals should also maintain positive contact with previous managers, supervisors and co-workers. Along with building a great list of references, these relationships can also be leveraged when searching for a job.

- **Go Niche.** With the competition for jobs increasing, and available jobs decreasing, job seekers are going to find it necessary to seek alternative ways to find job openings. Niche career opportunities are a valuable, yet sometimes overlooked, resource to connect with employers through highly relevant career searches and networking tools. When searching for jobs online, it is beneficial for job seekers to broaden the search to include both generic and niche job sites. Because niche sites are tailored to specific industries and locations, they can prove to be very helpful for candidates who are looking for local jobs or jobs in a specific industry.

### 6. Suggestions for Responding to the Crisis

Nigeria should begin now to take very seriously investment in education and skill training as no nation can compete effectively in the emerging global market place with poorly educated and unskilled graduates. The leading factors of production in the new world economy are said to be technology, knowledge, creativity and innovation. How much land or mineral resources a nation has no longer determines the wealth and progress of nations, but the quality of their human capital. The policy makers should redesign and implement effective monetary and fiscal policies to provide good incentives to individuals and organizations to invest in the economy, and encourage proper competition to increase the quantity of good services.

In the insurance industry, they are concerned with the maximization of returns on their investments through the process of management of both the material and human resources. The inability to satisfy or manage effectively the aspect of human resources often leads to disharmony. Hence it is therefore in the interest of the Insurance Industry to find means of balancing this. Adapting innovative techniques, coming out with new products marketable at this period, experience and new knowledge acquisition, will assist the insurance Industry to achieve sustainability and visibility in the long term.

Continued depressed market and resultant decline in premium volumes (and consequently reduced profits) is likely to put pressure on the management of insurance companies. As they struggle to satisfy their shareholders by providing similar returns as in the past, this could lead to rate cutting, imbalanced portfolio and compromised underwriting. A prudent board and shareholders of the insurance companies would do well to advise the management to concentrate on quality rather than volume of business. Regulators too, have a big role to play under such extraordinary circumstances. Supervision needs to be thorough rather than routine. Emphasis should be on ratios and reserves rather than procedural issues. Solvency ratio and liquidity ratio must remain healthy and technical and other statutory reserves must be robust. There is an eerie silence across insurance industry globally as economic outlook remain uncertain. Economists predicted return to normalcy by the end of 2010. Even if this optimism actually fructifies, the
benefits of normalcy to insurance industry can only accrue in 2011 as the financial environment is yet unstable.

7. Conclusion

The intensity of the severe economic crisis across the world that is still continuing especially in the real sector makes it urgent to seek remedial steps. The world has witnessed the limits of financialization as a sustainable part of economic sustenance.

Government needs to create the base for real sector expansion by reorienting the pattern of investment incentives, possibly with direct controls on speculation by moving far away from the high-risk/high-return profits to the ground reality of real sector development.

Periods of economic meltdown require leaders with purpose and vision. It requires leaders with the qualities of creativity, innovations and vision. Such leaders must be capable of harmonizing resources to bring about progress.

References

The Effect on Job Satisfaction and Stress of the Perceptions of Violence Climate in the Workplace

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Abstract: The concept of violence climate is closely related to safety climate according to the employees’ perceptions of organisational policies, practices and procedures directed towards controlling and preventing all kinds of violence in the workplace. This study aimed to determine the effects of the violence prevention climate on employees’ job satisfaction and stress by determining how they perceive the dimensions of the violence climate. The study was conducted on 118 health workers in a public hospital in Turkey. The study used the 18 item Violence Prevention Climate scale developed by Kessler et al (2008) translated into Turkish. The measurements consist of the 3 dimensions of policies and procedures, practices and responses and pressure for unsafe practices. According to the results obtained from the research, while a positive significant relationship was determined between all the subdimensions of violence prevention climate and job satisfaction, no significant relationship was found between the violence prevention climate and the employees’ stress and anxiety levels. Moreover, a significant negative correlation was determined between depression and the violence prevention climate subdimensions of policies and procedures and practices and responses.

Keywords: Safety climate, violence prevention climate, job satisfaction, work related stress

1. Introduction

Workplace violence, in terms of occupational health and safety, is one of the most important problems of working life. There are several definitions of workplace violence available in literature. Richards (2003) defined as “Incidents where staff are abused, threatened or assaulted in circumstances related to their work, including commuting to and from work, involving an explicit or implicit challenge to their safety, well-being or health”. Workplace violence includes not only physical but also non-physical violence. For example; workplace violence includes physical assault, homicide, robbery, verbal abuse, bullying/mobbing, swearing, shouting, sexual and racial harassment, name calling, threats, interfering with work tools and equipment (Essenberg, 2003, Chappell & Di Martino, 1999).

Fletcher, Cavanaugh, & Brakel (2000) defined as a “work or workplace-related problem negatively affecting the production force or safety of the employees”. Research has shown that violent behaviour in the workplace causes employees to experience stress, anxiety, burnout and depression. In addition, workplace violence is a reason for reduced job satisfaction, and a lower level of job involvement and organizational commitment (Kaukiainen et al., 2001; Dierendonck & Mevissen, 2002; Hepworth & Towler, 2004; Hogh, Henriksson, & Burr, 2005; Bedi & Schat, 2007; Herschovis & Barling, 2009; Merecz, Drabek, & Moscicka, 2009).
Workplace violence negatively affects not only the direct victims of such behavior, but also those who witness such violence. To witness violence of any sort in the workplace may cause concern to workers that they themselves may face this type of violence in the future. Studies have shown that the fear of violence creates a negative relationship between emotional wellbeing and somatic health (LeBlanc & Kelloway, 2002; Schat & Kelloway, 2003).

2. Organizational Climate, Safety Climate and Violence Climate

Despite many years of research on organizational climate, there is still no consensus on a common definition. Reichers & Scheneider (1990) says “Organizational Climate is widely defined as the shared perception of organizational policies, practices, and procedures, both formal and informal”. Zohar (1980 as cited in Williamson Williamson, Feyer, Cairns, & Biancotti, 1997) safety climate is defined as “a summary of the beliefs and perceptions of employees about safety in the workplace”. Neal & Griffin (2002) stated that “Safety climate refers to perceptions of policies, procedures, and practices relating to safety in the workplace”.

Several studies have examined key factors influencing the safety climate in a particular industry, for example, manufacturing (Cheyne, Oliver, Tomas, & Cox, 2002; Cooper & Phillips, 2004; Clarke, 2006), construction (Siu, Phillips, & Leung, 2004), road and bridge construction (Glendon & Litherland, 2001), health sector (Neal, Griffin, & Hart, 2000; Flin, 2007), offshore (Mearns, Flin, Gordon, & Fleming, 2003), grain (Seo, Torabi, Blair, & Ellis, 2004), nuclear (Lee & Harrison) and chemical (Vinodkumar & Bhasi, 2009).

Perceived violence climate is a manifestation of the idea of a safety climate. A positive violence climate will be perceived by employees when management emphasizes the control and elimination of violence by using of safety policies and procedures (Spector, Coulter, Stockwell, & Matz, 2007). Kessler, Spector, Chang, & Parr (2008) says “A positive perceived violence climate may also focus employee attention on recognizing precursors to violence, making them more likely to anticipate escalating situations so that actions can be taken to avoid them. In short, it makes employees more knowledgeable about situations that can lead to violence and how to handle them”. In the absence of clear and sufficiently organized policies, procedures and practices against workplace violence (eg, what kind of behaviour constitutes violence and what disciplinary measures will be taken in cases of such behaviour), there are perceptions that the organisation tolerates such behaviour. These perceptions lay the ground for the continuation of existing violence and allow new violent incidents to arise. There is a relationship between the workplace violence prevention climate and the violence created. The only direct test of violence climate was conducted by Spector et al. (2007). Using a 7- item true-false violence climate scale, they found that violence climate predicted physical violence and verbal aggression among nurses. Additionally, violence climate predicted physical strain, psychological strain (anxiety and depression), and perceived workplace safety. Results from the Spector et al. (2007) study supported that violence climate has important implications for employee exposure to violence. In addition, a supportive working environment against workplace violence both reduces possible negative outcomes by exposing the violence and also plays a preventative role against new violence or the threat of such. A study by Emmerik, Euwema, & Bakker (2007) determined a direct relationship between an unsafe working climate and the threat of violence and a reverse relationship between social support and the threat of violence. Cole, Grubb, Sauter, Swanson, & Lawless (1997) determined a negative correlation between the threat of workplace violence and harassment and support from colleagues. On the other hand, several studies have shown the important role played by institutional support in reducing the negative effects arising from violence (Whittington & Wykes, 1989; Schat & Kelloway, 2003; Gillespie, Gates, Margaret, & Howard, 2010). As can be seen from these studies, for the prevention of, or removing negative outcomes of violent incidents in the workplace the presence of a violence prevention climate is an important factor.

The research hypotheses can be predicted as follows.

Hypothesis 1: Violence prevention climate will be positively related to job satisfaction.

Hypothesis 2. Violence prevention climate will be negatively related to depression.

Hypothesis 3. Violence prevention climate will be negatively related to anxiety.

Hypothesis 4. Violence prevention climate will be negatively related to stress.

Hypothesis 5. Policies and procedures in place to prevent workplace violence increase employee job satisfaction.

Hypothesis 6. Training and practices to prevent workplace violence decrease depression stress and anxiety levels in employees.
Hypothesis 7. Lack of pressure to enforce safe practices to prevent workplace violence increase levels of stress, depression and anxiety for employees.

3. Method

3.1. Participants

The participants in this study were 118 health workers from a single hospital in Turkey. Questionnaires, with free return envelopes, were distributed to hospital staff by random sampling. Anonymity was guaranteed, and information about the study was provided by the hospital management. 175 questionnaires (74%) were returned and respondents with missing values on the research variables were excluded, leaving a total of 118 participants (18.6% male, 81.4% female, mean age 33.5±9.58 years and mean working years 9.6±7.82 years.

3.2. Measures

- **Personal information form**: 7 questions regarding employee age, gender, marital status, education level and years of work.
- **Violence prevention climate scale**: The violence climate scale is an 18-item measure that assesses three dimensions of climate. This was developed by Kessler et al. (2008) and adapted by us for use in Turkey. Questions 1-6 measure the first dimension of policies and procedures. For example, a statement such as “Management encourages employees to report physical violence” in this section measures the policies and procedures observed in the organisation against violent incidents. Cronbach's alpha for policies and procedures = .88.

Questions 7-12 measure the second dimension of practices and response. For example, statements such as “In my unit, employees are informed about potential violence hazards” evaluate the information and training given by the organisation on the subject of workplace violence prevention and how these practices are perceived by the employees. Violence prevention climate scales internal consistency reliabilities (coefficient alpha) were found for practices and response = .89.

Questions 13-18 measure the final dimension of pressure for unsafe practices. Statements such as “In my unit, in order to get the work done, one must ignore some violence prevention policies” measure the priority given by the organisation to workplace violence prevention. Cronbach’s alpha of this scale was .85. In this scale, questions 13, 14, 15, 16, 17, and 18 were reverse coded questions. The higher points obtained indicate a climate oriented to decreasing violence and aggression. This scale was 1 = completely agree to 6 = completely disagree.

As this was the first time a violence prevention climate measurement had been translated and applied in Turkey, factor analysis was performed (Table 2). To measure the adequacy of the sample size to be used, the factor analysis was calculated as Kaiser-Meyer-Olkin sample adequacy statistic 0.802. This value showed a suitable level for factor analysis. The Barlett Test was used to establish whether there was a unit matrix in the correlation matrix obtained in the analysis and a value of p<0.05 was observed.

Using data from the study, an exploratory factor analysis was conducted using the common factor model. An inspection of the scree plot suggested three factors that were subject to varimax rotation. Combined, the three factors accounted for 64.9% of the total variance among the items, with the first three factors accounting for Factor 1 (eigenvalue = 5.63, representing 31.2% shared variance) consists of the six policies and procedures items. Factor 2 (eigenvalue = 3.62, representing 20.1% shared variance) consists of the six practices and response items. Factor 3 (eigenvalue = 2.42, representing 13.4% shared variance consists of the six pressure for unsafe practices items.

In this study, the result of Factor Analysis on the joint items of the violence prevention climate scales resulted in the expected three dimensions (see Table 2) as in the Kessler et al. (2008) studies. The studies of Kessler et al. (2008) have three subscales: Subscale 1, Policies and Procedures (alpha=.95); Subscale 2, Practices and Response (coefficient alpha=.90); and Subscale 3, Pressure for Unsafe Practices (coefficient alpha=.90).

- **Job satisfaction scale**: Job satisfaction was assessed with the 5-item scale developed by Brayfield & Rothe (1951). A five-point agree scale was used with choices ranging from “1 = Completely Disagree” to “5= Completely Agree.” High scores represent high satisfaction. The coefficient alpha was .77.
- **DASS (Depression-Anxiety-Stress) scale**: The Depression Anxiety Stress Scale (DASS) is a promising 42-item self-reporting measure of depression, anxiety, and stress. In this study to assess
depression (14 items), anxiety (14 items), and stress (14 items) as aspects of psychological strain, three subscales which were developed by Lovibond & Lovibond (1995) were used. This scale was translated into Turkish by Uncu, Bayram, & Bilgel (2006). The symptoms of depression, anxiety and stress are measured by 42 statements related to emotional state within the last week. For example, items include “I get angry” for stress, “I feel nervous” for anxiety, and “I felt sad and depressed” for depression. The response choices range from 1 (never or a little) to 4 (most of the time). The alpha for the current scale was .92 for Depression and .91 for Anxiety and .90 for stress.

3.3. Procedures

The survey was conducted at a single state hospital between 13 July and 27 July 2010. The questionnaire in a sealed envelope was distributed to 250 voluntary participants selected by random sampling. Two days later the completed questionnaires were returned to the researchers by the hospital manager. This research was conducted with a sample of hospital workers as they are a population known to be at particular risk for workplace violence.

4. Results

Descriptive statistics, including means, standard deviations and internal consistency reliabilities (coefficient alpha) are shown for all study scales in Table 1.

Table 1: Reliability analysis of the study instruments

<table>
<thead>
<tr>
<th>Scales</th>
<th>Number of items</th>
<th>N</th>
<th>Mean</th>
<th>S.D.</th>
<th>C. Alpha</th>
</tr>
</thead>
<tbody>
<tr>
<td>Job Satisfaction (JS)</td>
<td>5</td>
<td>116</td>
<td>19.40</td>
<td>3.61</td>
<td>0.77</td>
</tr>
<tr>
<td>DASS Totally</td>
<td>42</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Depression</td>
<td>14</td>
<td>105</td>
<td>7.96</td>
<td>7.16</td>
<td>0.92</td>
</tr>
<tr>
<td>Anxiety</td>
<td>14</td>
<td>100</td>
<td>9.40</td>
<td>7.34</td>
<td>0.91</td>
</tr>
<tr>
<td>Stress</td>
<td>14</td>
<td>102</td>
<td>12.82</td>
<td>7.22</td>
<td>0.90</td>
</tr>
<tr>
<td>VPCS</td>
<td>18</td>
<td>118</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Policies and Procedures</td>
<td>6</td>
<td>116</td>
<td>23.91</td>
<td>6.47</td>
<td>0.88</td>
</tr>
<tr>
<td>Practices and Response</td>
<td>6</td>
<td>112</td>
<td>22.95</td>
<td>6.74</td>
<td>0.89</td>
</tr>
<tr>
<td>Pressure for Unsafe Practices</td>
<td>6</td>
<td>115</td>
<td>22.44</td>
<td>5.90</td>
<td>0.85</td>
</tr>
</tbody>
</table>

The factor analyses for the study are shown in Table 2.

Table 2. The Factor analysis of violence prevention climate

<table>
<thead>
<tr>
<th>Violence Prevention Climate Dimensions</th>
<th>Factor loading</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Practices</td>
</tr>
<tr>
<td>Management in this organization quickly responds to episodes of violence.</td>
<td>.219</td>
</tr>
<tr>
<td>Management in this organization requires each manager to help reduce violence in his/her department.</td>
<td>.199</td>
</tr>
<tr>
<td>Management encourages employees to report physical violence.</td>
<td>-.050</td>
</tr>
<tr>
<td>Management encourages employees to report verbal violence.</td>
<td>.316</td>
</tr>
<tr>
<td>Reports of workplace violence from other employees are taken seriously by management.</td>
<td>.161</td>
</tr>
<tr>
<td>Abusive behaviour is not tolerated at work.</td>
<td>.023</td>
</tr>
<tr>
<td>My employer provides adequate assault/violence prevention training.</td>
<td>.692</td>
</tr>
<tr>
<td>My employer provides adequate assault/violence prevention procedures.</td>
<td>.771</td>
</tr>
<tr>
<td>In my unit, violence prevention procedures are detailed.</td>
<td>.782</td>
</tr>
<tr>
<td>In my unit, employees are informed about potential violence hazards.</td>
<td>.869</td>
</tr>
<tr>
<td>In my unit, there is training on violence prevention policies and procedures.</td>
<td>.744</td>
</tr>
<tr>
<td>In my unit, information about violence prevention is distributed regularly.</td>
<td>.841</td>
</tr>
<tr>
<td>In my unit, in order to get the work done, one must ignore some violence prevention policies.</td>
<td>-.290</td>
</tr>
<tr>
<td>In my unit, whenever pressure builds up, the preference is to do the job as fast as possible, even if that means compromising violence prevention.</td>
<td>-.308</td>
</tr>
<tr>
<td>In my unit, human resource shortage undermines violence prevention standards.</td>
<td>-.044</td>
</tr>
<tr>
<td>In my unit, violence prevention policies and procedures are ignored.</td>
<td>-.014</td>
</tr>
<tr>
<td>In my unit, violence prevention policies and procedures are nothing more than a cover-up for lawsuits.</td>
<td>.047</td>
</tr>
<tr>
<td>In my unit, ignoring violence prevention procedures is acceptable.</td>
<td>.129</td>
</tr>
</tbody>
</table>

KMO: 0.802; p: .000 (Bartlett’s Test)
Table 3 contains correlations among all the variables in the study. Hypothesis 1 is addressed in the first column which indicated that violence prevention climate was significantly and negatively related to depression. A good violence climate was positively related to job satisfaction. There is a strong relationship at a significance level of 1% between responsibility and the practices arising from the information and training given by the organisation on the subject of workplace violence prevention and employees’ depression negatively and job satisfaction positively.

Table 3. Correlation analysis among all variables

<table>
<thead>
<tr>
<th></th>
<th>(1)</th>
<th>(2)</th>
<th>(3)</th>
<th>(4)</th>
<th>(5)</th>
<th>(6)</th>
</tr>
</thead>
<tbody>
<tr>
<td>(1) Policies</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>(2) Practices</td>
<td>.399(**)</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>(3) Pressure (R)</td>
<td>-.098</td>
<td>-1.82</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>(4) Job satisfaction</td>
<td>.242(**)</td>
<td>.260(**)</td>
<td>.205(*)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>(5) Stress</td>
<td>-.029</td>
<td>-1.35</td>
<td>.103</td>
<td></td>
<td>-.237(*)</td>
<td></td>
</tr>
<tr>
<td>(6) Anxiety</td>
<td>-.053</td>
<td>-.079</td>
<td>.092</td>
<td>-.120</td>
<td>.732(**)</td>
<td></td>
</tr>
<tr>
<td>(7) Depression</td>
<td>-.198(*)</td>
<td>-.334(**)</td>
<td>.095</td>
<td>-.301(**)</td>
<td>.757(**)</td>
<td>.812(**)</td>
</tr>
</tbody>
</table>

* p <0.05; ** p <0.01.
(R): Reversed

According to the correlation analysis results, the violence prevention climate dimensions of policies, practices and pressure for unsafe practices were found to have a positive significant relationship with job satisfaction. This result supports Hypothesis 1. While the strongest relationship is seen between the dimension of practices and responses and job satisfaction, the weakest relationship can be observed between pressure to perform unsafe practices and job satisfaction.

A significant negative correlation was determined between policies and practices and depression. In the dimension of practices and responses, this relationship was found to be stronger in comparison with policies and procedures. No significant relationship was found between pressure and depression (p>0.05). According to this, while Hypothesis 2 is accepted with the dimensions of policies and practices, it is rejected from the aspect of pressure dimension. No significant relationship was found between the violence prevention climate dimensions and stress and anxiety. In this regard, Hypothesis 3 and Hypothesis 4 are rejected.

At this stage of the study regression analysis was performed to define the strength of relationships between the independent variables of the violence climate subdimensions of policies, practices and pressure and the dependent variables of job satisfaction, depression, anxiety and stress.

Table 4. Result of regression analysis

<table>
<thead>
<tr>
<th>Independent variable</th>
<th>Job satisfaction</th>
<th>Depression</th>
</tr>
</thead>
<tbody>
<tr>
<td>Violence Prevention Climate Scale Dimensions</td>
<td>β</td>
<td>t</td>
</tr>
<tr>
<td>Policies</td>
<td>.067</td>
<td>1.141</td>
</tr>
<tr>
<td>Practices</td>
<td>.127(*)</td>
<td>2.282</td>
</tr>
<tr>
<td>Pressure (R)</td>
<td>.155(**)</td>
<td>2.681</td>
</tr>
<tr>
<td>F</td>
<td>4.90(**)</td>
<td>3.57*</td>
</tr>
<tr>
<td>R²</td>
<td>.12</td>
<td>.10</td>
</tr>
</tbody>
</table>

*p<0.05; **p<0.01
(R): Reverse

In the explanation of the dependent variable of job satisfaction, the subdimension of violence prevention climate stated as given priority by the organisation ‘pressure to perform unsafe practices’ was a significant subdimension (p<0.01) and was seen to explain 12% of the total variables.

Whereas the dependent variable of depression, had a significant negative effect on the subdimension ‘practices and responses’ which includes the information and training given by the organisation on the subject of workplace violence prevention as a subdimension of violence prevention climate, and the variables obtained were revealed to account for 10% of the total variables (Table 4).
The established regression model was found not to be statistically significant in terms of stress and anxiety dependent variables (Table 5). The hypothesis ‘Policies and procedures in place to prevent workplace violence increase employee job satisfaction’ is rejected from the results of the regression model (Hypothesis 5). The hypothesis that ‘Training and practices to prevent workplace violence decrease depression stress and anxiety levels in employees’ (Hypothesis 6) is seen to be accepted in respect of the dependent variable of depression. However, as the anxiety and stress dependent variables were found not to be significant in the established regression analysis model, Hypothesis 6 was rejected in respect of these variables.

5. Discussion

Today, violence is commonly observed in all races and cultures. Violent incidents in the workplace which negatively affect employees’ health and safety present an important problem of health and safety at work. Being exposed to violent incidents at work or being a witness to violence has a negative effect on employees’ feelings towards their work and the organisation. Additionally these types of violent incidents can be a reason for negative outcomes in the workers’ physical and psychological health.

Employees’ perceptions of organisational policies, procedures and practices directed towards controlling and removing workplace violence and aggression, stated as violence prevention climate, is an important concept in the effect on workers’ health caused by workplace violence. Organisational policies and procedures directed towards preventing and controlling workplace violence and aggression create a positive violence climate.

According to the results of this healthcare sector research undertaken in a state hospital, a significant relationship was determined between employee job satisfaction and the influence directed to the subdimensions of a violence prevention climate of policies, practices and unsafe practices. A study by Kessler et al. (2008) determined a significant relationship between job satisfaction and these three dimensions.

While a significant negative correlation was determined between depression and the subdimensions of violence prevention climate policies and practices, no significant relationship was found between pressure for unsafe practices and depression. No significant relationship was found between violence prevention climate dimensions and stress and anxiety. In a study by Spector et al. (2007) a significant relationship was determined between the perceived violence climate and depression and anxiety. While research by Kessler et al. (2008) showed a significant relationship between practices and pressure, no significant relationship was determined between policies and depression. The same study determined a significant relationship between practices, pressure and anxiety.

Furthermore, the regression analysis results determined a significant relationship between practices and pressure for unsafe practices subdimensions and job satisfaction. According to this, organisational practices directed towards reducing violent incidents in the workplace (eg information and training on the subject of violence) and there being no pressures towards unsafe behaviour (eg violence prevention policies and procedures not being ignored) play a role in increasing job satisfaction. The regression analysis results also determined a significant relationship between the dimension of practices and depression. According to this result, the practice of the organisation giving information and training on workplace violence prevention is effective in reducing the rate of employee depression.

Limitations and future directions: As far as we know, this is the first study to assess perceived violence climate by employees of an organization in Turkey. The study has two main limitations. The first is that
the research phase was conducted in a state hospital in the Turkish health sector. Therefore, it is not possible to generalise the obtained data for the whole healthcare sector. The other significant limitation of the research is that the results are restricted to the individual’s perceptions of the violence climate. When the results are being evaluated, the related factors of different individuals’ different perceptions of the workplace violence climate must be taken into consideration. Future studies in different sectors and different cultures will enable all the dimensions of the problem to be addressed. There is also a need for studies examining the effect of the violence climate on employees as well as the organisational results.

References


Overview of the Prime Health Care Performance in Albania

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Abstract  Health is a very important aspect of human life, a fundamental human right. Even philosophically, people often refer to the concept of health as "a goal of existence." For this reason, healthcare should be considered as an important social goal of all individuals, all sectors and all institutions of a country. "Health should be an absolute priority order, as is an 'input' essential for economic development of society." After 1990, the Albanian health faced a degradation and a greater disorganization. From a health system, which face challenges to recovery and treatment of diseases in epidemic form, it should be transformed into a new system that will be faced with new challenges related to the change of economic system, political opening country and its transformation into a country with market economy. No doubt that this radical change brought with it many challenges, but more importantly it was to find the key to realize the fundamental transformation of the health system itself and in the context of that primary. In this regard following the establishment of the Institute of Health Insurance, definitely the most important decision-making was to change the system of financing in the primary system by linking funding to service providers with their performance level. This paper introduces and analyses in general the prime health focusing particularly on the health centers performance by analyzing different indicators. Greater difficulty in this regard was the construction of a scoring system, which can be measured in a realistic and objective performance level attained by the primary service providers. The paper is prepared by exploring the published literature and collecting data through secondary sources. Several data sources have been used to describe the PHC reform as well as the HC performance in the entire territory.

Keywords: prime health care, health center, performance, indicator.

1. Health Care System

The health system in Albania is mainly public. The State is the major provider of health services, health promotion, prevention, diagnosis and treatments for the population of Albania. The private sector is still developing and covers most of the pharmaceutical and dental services as well as some clinics for specialized diagnosis, mainly being situated in Tirana. Ministry of Health takes the leading role in the public sector; it is the developer of policy and health strategies, for its regulation as well as the coordination of all participants both inside and outside the system. The diagnostic and curative health service is organized in three levels: primary health care, secondary hospital service and tertiary hospital service. Public health services and promotion are provided within the framework of the primary health care, supported and supervised from the Institute of Public Health. Other national institutions that offer their services are: the National Centre of Blood Transfusion, Centre for the Development and Well-growth of Children, Dental University Clinic, National Centre of Quality, Safety and Accreditation of Health Institutions and the Centre for the Continuous Education, the National Centre of Biomedical Engineering and the National Centre of Drug's control (MOH,2009).
Primary Health Care (PHC) is currently used as a key reference for health population and development of health systems. World Health Organization (WHO) defines health as “welfare state of complete physical, psychological and social, not just absence of disease or of being impossible”. This definition is applied in practice by offering a range of primary health care from health facilities (HC) in the respective communities.

The main mission of the Primary Health Care is to preserve the continuing improvement of health and to assure a living with the best health conditions for the people in accordance with the objectives “health for all”. It represents the basic level of service where the person directly meets the health service for the first time and offers basic health care, near the people, where they live. Many elements of the public health practice are integrated primary health care services and gives priority to the hygiene-epidemiological situation, population’s health demand, and the most emergent and cost effective programs in the fields of primary health care.

2.1. Health Centers a cell of Primary Health Care

Health Center (HC) is considered the basic unit that provides Primary Health Care. In most of the country, HC is an organization that includes several ambulances. HC staff (including ambulances) consists of managers, doctors, nurses, midwives and support staff. So health care services is not provided in a single building, but through a network of health care providers who work nearby communities. Each municipality has necessarily a HC and every village has an ambulance station and at least one nurse. On average, each HC serves a population of 8,000 people -10,000 (this figure varies significantly in urban and
rural areas), provided a report to doctor / patient about 1 to 2.500 and the ratio nurse / patient about 1 to 400 (MoH, 2010). In cities, some services, like guidance of the woman and child can be placed and operated outside the main HC, but are part of the center, as established in the same administrative division, serving the same population and having the same budget the administration. Services provided by HC respect the procedures and standards of the Ministry of Health to provide acceptable levels of quality, effectiveness and efficiency. HC Personnel formally cooperates with representatives of local government and community.

**HC Mission** - The mission of the HC is to provide community health services of high quality, comprehensive, continuous, integrated and accessible by all. HC staff responds to health needs of patients within the family medicine, mainly through health promotion, disease prevention and curative and palliative care.

**HC Vision** - HC vision is "healthy people in healthy communities." HC achieves this by applying the model of the MF in the community it covers

2.1.1 Values of HC

- **Dignity**: Treatment with respect and consideration of each patient, staff member, community members and understanding the differences between them;
- **Commitment**: Every member of staff is dedicated to the mission of the HC, to the community in general and in every patient particular;
- **Perfection**: HC reaches high level of excellence in fulfilling its mission by promote personal and professional integrity, continuously improvement of the quality and use of knowledge and modern technologies;
- **Integrity**: Staff uses the highest standards of ethics and professionalism and provides higher level of trust, through honesty in daily practice;
- **Collaboration**: HC staff members agree to work with each other, patients, government agencies and non-governmental organizations, donors and community.

2.1.2 Basic Principles of PHC Provided in HC-s are:

- Health care is a right, not privilege;
- PHC is based on implementation of results of the best research and social experience, medical and biomedical;
- PHC is based in the community and addresses the most prevalent health problems by provide preventive, curative, and health promotion;
- PHC encourages maximum involvement and participation of communities in planning, organization, implementation, control of the services offered by the HC;
- PHC is based on a combination of efforts of the health team consisting of doctors, nurses, midwives, dentists, public health workers and community workers;
- PHC requires integration in the chain of referent services, hospitals and access to specialist when needed higher level care.

2.1.3 Characteristics of the Services offered in HC

- Services reside in areas with the highest access for the population and are organized in such way as to be the first point of contact with national health care system;
- Services provided correspond with the main needs of the population (diagnosis, treatment, management and disease prevention and health promotion);
- Patients and families are followed by the same team of health care;
- Services offered are integrated and coordinated with higher levels of service, which provide specialized care as needed.

To exercise his specialty, the family physicians (FP) implements these competencies in three areas: (i) clinical tasks, (ii) communication with patients, (iii) management of HC.

Package includes the services covered by the Institute of Health Insurance (HII). This means that the package comprises a part of the PHC services provided by the HC. In addition to package delivery services, HC is also responsible for services such as surveillance activities for communicable diseases (case investigation, response to epidemics), vaccination in schools, vaccination-related activities outside the HC,
sanitation, etc. HC staff is responsible for reporting these services to the Public Health Directorate (PHD) in the region.

Family Medicine (FM) is a professional discipline which develops essential PHC. On this basis, the family Physicians (FP) should be able to:
1. Manage primary care;
2. Focus care to the individual;
3. Solve specific problems;
4. Offer inclusive care;
5. Provide integrated care;

3. Reformation of the Primary Health Care

3.1 Creation and Completion of Legal Framework

New ideas for development of the services offered by the HC in a higher quality and more directly in community service, were sanctioned in two decisions of the Council of Ministers (CMD Nr. 857 dt. 20/12/2006; CMD Nr.680 dt. 10/10/2007) and then followed by other legal acts and decisions of the HII. These actions had open the way to a profound reform in this service and were applied for the first time in the history of Albanian health care service. These decisions started and changed the mode of payment in all primary health care system by turning page and thus giving the opportunity to develop the system. These decisions were based on a pilot project approved by a Decision (CMD Nr. 811 D1. 16.12. 2005) of 2005 in the district of Berat. After a great work in collaboration with USAID and after assessments by various stakeholders involved in this project (MoH, HII) and evaluating several other pilot projects, it was decided to be followed and applied throughout the territory Albania.

On December 2006, MoH introduced the Reform in Primary Health Care. The aim of the reform is the Improvement of Primary Health Care in a single source setting. It implements the Decision of Council of Ministers No. 857, date 20.12.2006 “For financing Primary Health Care Services” and it consists in:
- pooling of funds for Primary Health Care, near Health Insurance Institute,
- performance based payment,
- autonomy giving to Health Centers, it will be given a certain level of autonomy for objectives setting and in the management of their own resources according to services provided,
- services provided according to the package of services approved by MoH,
- setting in the same star/possibility of public and private sector for financing services provided by them, through the extension of services that are financed through the insurance scheme of Primary Health Care,
- regionalization of health care system, service planning in regional level to better meet population needs.

Implementation of the Reform started on January 2007. After January 2007, HII/RDHI has contracted with almost 420 Health Centre’s all over the country or with 1625 General/Family Practitioners (GFP) and 6636 nurses who provide general services of health care. (MOH, 2009)

3.2 The Main Changes in PHC

Validation of the role of HCII as the only source of fundation to primary health care across the country and the extent of the scheme in this service. This means the unification of financial resources, hitherto fragmented primary care, in a single source.

Clear identification of the role of buyers and providers of this service, which means creating the conditions for the functioning of relationships between buyers and providers contract directly between them represented by the new HC as providers and health insurance scheme as single buyer represented by RDHI.

3.2.1 A New Way for HC Funding

- Fixed monthly payment (fixed) equal to 85% of the budget of HC. This payment for the period 2007-2010 in the history of the annual expenditure of HC and is given in equal monthly installments not later than the last day of previous month. HC uses this budget for:
- Wages and social insurance (doctors, nurses, support staff), o Expenses for goods and services - purchase of medicines and drugs in the use of HC, medical materials, energy, water, stationery,
printing and other costs.

- In terms of investment expenditures such as construction and reconstruction of health facilities, purchase medical equipment and apparatus, they remain an attribute of funding from the MoH.
- Monthly payment based on activity (PA) which is equal to 10% of the HC budget. This budget is given based on the HC number of visits to doctors per day, under a clearly defined standard in HC-RDHI bilateral contract. This transfer amount to the budget of every month from HC RDHI is made no later than the last day of the month.
- 3-month bonus payment (5% bonus). This charge consists of 5% of the budget of HC and considered as payment for quality of service provision in the coverage area of the HC. This amount is paid HC in accordance with the extent of implementation of quality indicators also stipulated in the contract and HC transfer no later than the last day of the first month of next quarter.
- The calculation of FP payment in our present system is made by the follow formula:

\[
FP = p + n + g.p + v + b
\]

P - Payment for prophylaxis  
N - payment for cargo (under coefficients)  
G.P - payment for the location  
V - payments for seniority  
B - pay for performance / bonus.

3.3. Drafting of the New Contract with HC Based on the New Legal Framework

Among the main points of this new contract in 2007 included:
- a new way of financing HC  
- Methods of payment to staff physicians, nurses and assistant that the HC  
- Preservation of the citizens’ right for free choice of MPF  
- Setting standards for PA

The standard of the average number of daily visits to the doctor would be:
- In the city (municipality) 16 visits a day / - In the village (commune) 13 visits per day.
- Establishment of 12 indicators of quality (5% Bonus)
- Ways to control medical and financial activity of HC from RDHI / HII.
- Developing a service package that HC should provide community covering.
- Setting the criteria for the Health Information System (HIS).

At the same time to meet better every aspect of the activity of HC exists and an individual contract(HII, 2007) signed between the leaders of the HC with GFP and secondary personnel that are clearly outlined the obligations and rights of both parties in relation to:
- Labor relations
- Respect the values of reimbursement for any physician.
- Ways of financial control by RDHI / HII

3.3.1. Binding of the New Contracts with HC

All these changed elements were reflected in the new contract which was signed in January 2007 between RDHI for HII and director (manager) of HC as an authority of the new HC. These contracts are clear timetable and are signed every early year. In this way for the first time in history of Albania, HII will not have an individual contract with HC GFP but as a structure already completed legally. Specifically HII made 408 new contracts with the management of HC that provide services with GFP and 5 contracts with health centers covered with specialist outpatient physicians (in Tirana) in total health institutions 413 that provide health care included in our scheme in the entire territory of the Republic. These contracts cover about GFP 1584 and 6660 plus 116 personnel SP(specialist) medium with a high cover of 2487 inhabitants / doctor in the country for the FP(HII, 2008)
Figure 2. Distribution map of Albania RDHI (Regional Directorate of Health-care and Insurance)


Tab. 1. Nr. of HC and FP by RDHI in Albania

<table>
<thead>
<tr>
<th>Region</th>
<th>Nr. of HC</th>
<th>Nr. of Fam. Physicians</th>
</tr>
</thead>
<tbody>
<tr>
<td>Berat</td>
<td>23</td>
<td>96</td>
</tr>
<tr>
<td>Diber</td>
<td>35</td>
<td>61</td>
</tr>
<tr>
<td>Durres</td>
<td>34</td>
<td>200</td>
</tr>
<tr>
<td>Elbasan</td>
<td>52</td>
<td>163</td>
</tr>
<tr>
<td>Fier</td>
<td>46</td>
<td>171</td>
</tr>
<tr>
<td>Gjirokanasr</td>
<td>31</td>
<td>55</td>
</tr>
<tr>
<td>Sarande</td>
<td>13</td>
<td>33</td>
</tr>
</tbody>
</table>

Region | Nr. of HC | Nr. of Fam. physicians |
-------|-----------|------------------------|
| Korce  | 39        | 143                    |
| Kukes  | 18        | 34                     |
| Lezhe  | 21        | 82                     |
| Tirane | 35+5 (Spec.) | 341+116 (Sp.) |
| Shkoder| 37        | 107                    |
| Vlore  | 17        | 89                     |
| Tropoje| 8         | 11                     |

Source: HII, 2009

The responsible authorities for monitoring the contracts with HC are the subordinates structures of HII, designed from RDHI. The are in total 12 units, (by location of prefectures) and in their dependence are 2 RDHI (the saranda’s and topoja’s ones respectively depending on Vlora and Kukes) and 20 RHIA (Regional Healthcare and Insurance Authority).

3.4 The Basic Package of Services Provided from PHC

As an essential element of service delivery by the HC, the package of services is seen in terms of wider coverage of all essential services for the area in which HC exerts its activity. This element is part of the bilateral contract and controlled in terms of its ongoing implementation of HII structures. The importance of this lies in the fact that already every HC and her staff have very thing clear about what package of services should provide to their community and that this health center is funded by HII to
offer this package of services in the best manner possible.

3.4.1. Key Elements of This Package are:

- **Caring for adults** (for illnesses and symptoms prevalent in this category) that includes medical visit, diagnosis, treatment, prescribing, referral and tracking of ongoing.
- **Pediatric care** (for diseases and symptoms most common in this category) that includes medical visit, diagnosis, treatment, prescribing, referral and tracking of ongoing.
- **Caring for children** in terms of monitoring of child growth and development and Immunization.
- **Women's Health and Reproductive Health Care**. This category covers the most common services needed for women receiving services at the PHC.
- **Care for emergency cases**;
- **Health education**, information and promotion of patients health;
- **Prevention** of diseases, including immunizations;
- Management, administration, documentation and disclosure.

Home visits and treatment for people in the coverage area. (Appendix. Nr.1 CMD Nr. 857)

As mentioned earlier in this paper one of the new elements and most important of this reform is the way of financing the HC from HII. This new element in the health care system, require a clear explanation for its mode of application of the HC and it was one of the challenges that HII faced in the beginning of 2007. At this purpose served a series of trainings and meetings organized by various departments of the HII in this period (HII,2009). This process was conducted at all providers levels of primary health care services. Although there were also skeptical about the feasibility of applying this deep reform and particularly of the application of new methods of financing the growth of HC and their indicators (MoH, 2010), we can say that in pursuing these changes in the first years of reform resulted that HC staff welcomed the required changes and they adapted very well to the new methods.

4. The Basic Services in PHC

HC provides first aid for medical emergency, referral of patients (including transportation), and manages the situation in case of natural disasters (including the completion of patient reference documentation and reference)

**Service purpose:**
Provide effectively and on time, first aid for all cases of medical emergency, threatening the loss of life or exacerbate physical and psychological conditions of the person and to treat pain or morbidity as appropriate (individual conditions). Provide first aid by qualified health personnel for evaluation and emergency treatment of problems - contact by phone or person directly:

- **Provision of care in HC in continued service (24 hours);** HC that provide service 24 hours determined with agreement between the MoH and HII.
- **Provision of care in the HC with intermittent service (8 hours).**
- **Provision of care outside the HC.**

4.1 Health Care for Children

4.1.1 Description of Service

Health care for children (0 - 14 years) in the HC is provided with promotional services, prevention (evaluation of growth and development, immunizations, counseling, nutrition) and curative in accordance with relevant guidelines in force.

4.1.2 The Purpose of the Service

Reduction of morbidity and mortality associated with major causes of diseases of children (especially 0-5 years) and the promotion of healthy growth and development of children in family and community. The management of common childhood conditions. Tracking and resolving problems of nutrition during the neonatal period.
4.2 Health Care for Adults

4.2.1 Description of Service

Health care for adults (14 - 65 years) include management of common acute problems and chronic, a large part of which relates to environmental factors and lifestyle. HC provides early diagnosis and management of cases, and intervention at every stage of these conditions for prevention and promoting healthy behavior.

4.2.2 The Purpose of the Service

- To reduce the number of complications of acute conditions and ensuring integrated service for patients with HC chronic disease, respecting clinical guidelines and protocols in force.
- Management of common health problems.
- Chronic problems (diagnosis, treatment, prevention, referral of these conditions is consistent with clinical practice guidelines or protocols applicable).
- Providing assistance to victims of domestic violence (evaluation, treatment, referral and reporting).
- Preventive care and patient education while respecting gender differences

4.3 Health Care for Women and Reproductive Health

4.3.1 Description of Service

Integrated health care for women in the HC covers aspects preventative, promotional, curative and rehabilitative. Services in HC is perceived as general of physical, mental, social, welfare connected not only with diseases or disorders of the genital apparatus, but also with the functions and operation of a lifetime. Such services include: care before, during and after birth for mother and child, family planning, prevention and early diagnosis of breast cancer of cervical cancer, sexual health, care for victims of abuse, prevention and management of the infections of the reproductive system.

4.3.2 The Purpose of the Service

Offering quality services from HC staff for women (reproductive age, pregnancy, at birth / after birth, and menopause) and patients with sexual health problems (male and female). Service aims to reduce morbidity and maternal mortality and prenatal mortality, reducing unwanted pregnancies, reducing unsafe abortions and early pregnancies, reducing premature births and underweight, the provision of safe performance of abortion and control of other infections of the reproductive system.

4.4 Health Care for the Elderly

4.4.1 Description of Service.

PHC for elderly (over 65) provides service in accordance with their specific needs. "Friendly" HC with the elderly adjust their attitude and skills of personnel as well as its internal system, according to the needs of the elderly, promote awareness of these patients about problems and services offered in their support for an healthy active life.

4.4.2 The Purpose of the Service.

To reduce the number of complications of acute conditions and to increase the number of patients with chronic disease, who were provided full service in the HC, observing clinical guidelines and protocols.

5. Results of Reform in its First Year (2007)

As mentioned above, due to the implementation of legal changes in 2007, the Health Insurance Institute
had its focus on a new relationship with HC sanctioned in a new contract. Its core was a new way of measuring performance through building a comprehensive system of indicators.

In the end of 2007 we had the first results from service providers in terms of started reform. By 2006 this indicator despite the documentation was not important for doctors, for HC and for the whole service. There was not a required standard for this indicator so its significance was not known. Considering it as an important element of the HC activity, an element that shows how engaged and committed are the physicians in pursuing the residents in their charge, an element of rational use of working time and as an indicator which brings the stimulus as a result of gaining a big budget with the HC activity in general and for doctors and other staff in particular, at the end of 2007 will see a qualitative and quantitative indicator.

**Tab. 2. Implementation of the PHC indicators 2006-2007**

<table>
<thead>
<tr>
<th>Nr RDHI</th>
<th>Nr of visits</th>
<th>Average Vis./day/Fam.Phys.</th>
<th>PVFT</th>
<th>Total</th>
<th>PVFT/ pop.</th>
<th>Value aver. prescription/</th>
<th>Nr. of Rec.</th>
<th>Rec/pl</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Municip.</td>
<td>Comm.</td>
<td>Region</td>
<td>Total</td>
<td>Vis/</td>
<td>Habitant</td>
<td>(ne %)</td>
<td>Habitant</td>
</tr>
<tr>
<td>1 BERAT</td>
<td>162991</td>
<td>9.3</td>
<td>4.5</td>
<td>6.9</td>
<td>27578</td>
<td>229,767</td>
<td>12.0</td>
<td>49.1</td>
</tr>
<tr>
<td>2 DIBER</td>
<td>80634</td>
<td>6.8</td>
<td>4</td>
<td>5.4</td>
<td>15611</td>
<td>224,202</td>
<td>7.0</td>
<td>43.5</td>
</tr>
<tr>
<td>3 DURRES</td>
<td>173104</td>
<td>5.5</td>
<td>1.9</td>
<td>3.7</td>
<td>31552</td>
<td>434,139</td>
<td>7.3</td>
<td>43.6</td>
</tr>
<tr>
<td>4 ELBASAN</td>
<td>159332</td>
<td>6.3</td>
<td>3.2</td>
<td>4.8</td>
<td>29064</td>
<td>418,679</td>
<td>6.9</td>
<td>40.7</td>
</tr>
<tr>
<td>5 FIER</td>
<td>279431</td>
<td>9.4</td>
<td>4.4</td>
<td>6.9</td>
<td>44099</td>
<td>473,744</td>
<td>9.3</td>
<td>60.4</td>
</tr>
<tr>
<td>6 GJIROKA</td>
<td>64045</td>
<td>8.2</td>
<td>3.7</td>
<td>6.0</td>
<td>13030</td>
<td>146,780</td>
<td>8.9</td>
<td>33.5</td>
</tr>
<tr>
<td>7 KORCE</td>
<td>286597</td>
<td>11.1</td>
<td>5.5</td>
<td>8.3</td>
<td>46874</td>
<td>343,189</td>
<td>13.7</td>
<td>52.5</td>
</tr>
<tr>
<td>8 KUKES</td>
<td>42744</td>
<td>3.7</td>
<td>2.5</td>
<td>3.1</td>
<td>7707</td>
<td>5052</td>
<td>56.6</td>
<td>4228</td>
</tr>
<tr>
<td>9 LEZHE</td>
<td>84002</td>
<td>6.3</td>
<td>3.4</td>
<td>4.9</td>
<td>17237</td>
<td>180,161</td>
<td>9.8</td>
<td>37.7</td>
</tr>
<tr>
<td>10 SHKODER</td>
<td>162458</td>
<td>7.9</td>
<td>4.1</td>
<td>6.0</td>
<td>31979</td>
<td>296,845</td>
<td>10.8</td>
<td>62.4</td>
</tr>
<tr>
<td>11 TIRANE</td>
<td>804848</td>
<td>12.4</td>
<td>7</td>
<td>9.7</td>
<td>125897</td>
<td>746,750</td>
<td>16.9</td>
<td>56.4</td>
</tr>
<tr>
<td>12 VLORE</td>
<td>134409</td>
<td>7.8</td>
<td>3.3</td>
<td>5.6</td>
<td>28448</td>
<td>325,241</td>
<td>8.7</td>
<td>47.3</td>
</tr>
<tr>
<td>TOTAL</td>
<td>2,414,595</td>
<td>7.9</td>
<td>3.9</td>
<td>5.9</td>
<td>419,712</td>
<td>3,940,440</td>
<td>9.8</td>
<td>57.0</td>
</tr>
</tbody>
</table>


**Tab. 3. Implementation of performance and quality indicators 2009-2010**

<table>
<thead>
<tr>
<th>Nr. RDHI</th>
<th>Vis/day physic.</th>
<th>%PVFT / Habitant</th>
<th>Nr. Tot. P</th>
<th>Nr. Tot. of Visits</th>
<th>Nr. Rec.</th>
<th>% rec. /vis.</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>City.</td>
<td>Village.</td>
<td>Region</td>
<td>City</td>
<td>Village</td>
<td>Region</td>
</tr>
<tr>
<td>1 BERAT</td>
<td>11.2</td>
<td>5.9</td>
<td>8.6</td>
<td>23.4</td>
<td>15.0</td>
<td>18.2</td>
</tr>
<tr>
<td>2 DIBER</td>
<td>10.1</td>
<td>6.7</td>
<td>8.4</td>
<td>16.9</td>
<td>13.2</td>
<td>15.0</td>
</tr>
<tr>
<td>3 DURRES</td>
<td>6.6</td>
<td>3.1</td>
<td>4.9</td>
<td>13.7</td>
<td>7.4</td>
<td>10.5</td>
</tr>
<tr>
<td>4 ELBASAN</td>
<td>7.4</td>
<td>4.4</td>
<td>5.9</td>
<td>12.6</td>
<td>8.3</td>
<td>10.5</td>
</tr>
<tr>
<td>5 FIER</td>
<td>10.8</td>
<td>8.6</td>
<td>9.7</td>
<td>22.9</td>
<td>22.0</td>
<td>22.4</td>
</tr>
<tr>
<td>6 GJIROKA</td>
<td>9.5</td>
<td>3.4</td>
<td>6.4</td>
<td>16.5</td>
<td>8.1</td>
<td>12.3</td>
</tr>
<tr>
<td>7 KORCE</td>
<td>12.7</td>
<td>7.5</td>
<td>10.1</td>
<td>27.6</td>
<td>17.0</td>
<td>22.3</td>
</tr>
<tr>
<td>8 KUKES</td>
<td>7.2</td>
<td>6.2</td>
<td>6.7</td>
<td>9.8</td>
<td>16.2</td>
<td>13.0</td>
</tr>
<tr>
<td>9 LEZHE</td>
<td>6.2</td>
<td>5.2</td>
<td>6.7</td>
<td>20.3</td>
<td>10.3</td>
<td>15.3</td>
</tr>
<tr>
<td>10 SHKODER</td>
<td>11.3</td>
<td>5.8</td>
<td>8.6</td>
<td>16.9</td>
<td>10.5</td>
<td>13.7</td>
</tr>
<tr>
<td>11 TIRANE</td>
<td>12.8</td>
<td>10.6</td>
<td>11.7</td>
<td>23.0</td>
<td>21.6</td>
<td>24.8</td>
</tr>
<tr>
<td>12 VLORE</td>
<td>9.6</td>
<td>4.6</td>
<td>7.1</td>
<td>16.6</td>
<td>8.3</td>
<td>12.5</td>
</tr>
<tr>
<td>TOTAL Repub.</td>
<td>9.8</td>
<td>6.0</td>
<td>7.9</td>
<td>18.8</td>
<td>13.2</td>
<td>15.9</td>
</tr>
</tbody>
</table>


Comparing the two tables above we clearly see that at the end of the first reform have significant changes in indicators of HC across the country. So for the first indicator (Average / visits / day / Family Physician) they have the following reports:

• Nr. between. visits / day for FP in urban areas is 9.8 in 2010 compared to 7.9 in 2007
• Nr. between. visits / day for FP in rural areas is 6.0 in 2010 compared to 3.9 in 2007
• Nr. between. The visits / day for FP to national level is 7.9 in 2010 → compared with 5.9 in 2007. In another way we can say that this indicator showed an increase of 33% in 2010 compared with 2007, but nevertheless is still far from the standard set in the contract of 16 visits in urban and 13 rural (HII, 2010).
5.1 Percentage of PVFT and Recommendations

Regarding the second indicator comparable to 2007 that is exactly the percentage of people that made a visit for the first time (PVFT) during a calendar year to the FP. This indicator is associated with attendance and choice of the doctor by individuals, respecting principles of constitutional and the Charter of Patients Rights to choose the family physician free.

For the performance of this indicator we can say that:

- Conduct PVFT's in 2010 → 15.9% compared with 9.8% in 2007 and expressing the increase in % we can say that in 2010 we see an increase of 62% compared to 2007 (relative index). This reflect growth of this indicator in urban areas and in rural areas. One other indicator is required in 2010 under the contract was the percentage reduction in the number of recommendations(Rec.) by the FP in terms of medical specialists. The performance of this indicator shows that:
  - In 2010 this indicator was 10.8% compared to 2007 where the figures was 12.3% , we have an annual decrease of 1.5% but still not at the required standard.

In all of these indicators we can say that, despite the fact that not all indicators placed in the contract in 2007 due to lack of necessary information were measured and evaluated , many of them were evaluated and implemented. The results achieved in measurable indicators were very satisfactory and encouraging to all staff of HC.

In summary what has been achieved during the first year of reform which may be significant in consolidating the reform are:

- HC staff as an autonomous entity in their activity began to think, act and work as a partner authority structures
- Doctors and the entire staff of HC realize that by increasing the performance of their work will come improvement of service to the population that is contribution to the scheme and at the same time in accordance with the rates of performance indicators, so budgets and HC will significantly improve and doctors together with their staffs would be awarded better than the precedent year.
- HC Improvement of drug supply and other medication for their services in late 2009(HII,2009) was another sign that rose sharply to a better service and faster in the coverage area

5.2 Obstacles Encountered During the Reform Implementation

Some of the factors that influenced lack of measurement and evaluation of all indicators in 2007 were:

(i) The election of the governing structures of HC. This procedure began to be applied during the second quarter of 2007 and consequently it brought changes in management staff of HC. In front of them came different and difficulties tasks in the function of organization and operation of the center.

(ii) Establishment and operation of boards (two boards) was an influential factor in the maintenance and operation of the HC. There was a delay and uncertainty in the initial work of the board, which impacted negatively on the total performance of the objectives of the HC. Not in all regions during 2007 boards were a determining factor for the reform advance, in some cases due miss understanding of the reform as well as their competences.

(iii) The large number of performance indicators (12) and the requirement to meet all the indicators in order to obtain the bonus, was an influential factor in their implementation, in the absence of complete information, especially on the part of the legacy data by MOH

(iv) As in any other field, experience is very important factor for achieving a goal. Governance structure of the health centers showed no experience responding to the importance of the indicators and consequently the realization brought new difficulties.

(v) Lack of health managers, particularly inadequate education of managers HC

6. Reflections and Results of Reform in 2009-2010

Given the experience created in the first year of reform (2006-2007), especially in dynamic problems as well as tracking the results of indicators in 2009, nowadays is necessary to make changes. These changes consist in the number of indicators as well as their types. In this sense the focus of the HII structures at the end of 2010, during the preparation of new contracts , was:
6.1 The Importance of Establishing Indicators in Service of Providers and Beneficiaries

Awareness to understand the importance of establishing indicators from the perspective of service providers and beneficiaries. The value of indicators lies in the fact that:

• give us a clear vision of compliance and fulfillment of all the elements arising from the contract signed between the HC and RDHI.
• Show quality of HC services provided to the population, facing RDHI, which fund the health insurance scheme in the region
• Show professional values of every HC staff, within the current HC autonomy sanctioned by the legislation
• Provide sufficient information allowing the HC make comparisons with other HC in the region or in the whole country that have the same terms, or quasi same.
• And finally, last but not least, the implementation of these indicators apply a well known formula, already applied in the scheme of health insurance: "One of the best reward for a better job"

7. The Types and Characteristics of Performance Indicators

For us it is important that the service providers would understand better the characteristics of the set indicators and create a strong foundation for their implementation. Indicators must be simultaneously and objective likewise should met the condition of being SMART (specific, measurable, attainable, realistic, transparent).

7.1 Characteristics of Indicators and their Relation to the Services Provided.

a) How valid
• Serve to assess the real situation of the stage of HC
• It is possible to make comparisons
• Serve to analyze and to improve
• Cover the main services and the most significant activity of HC
b) Reliable
• Accuracy of data about the indicators
• Existence of the possibility of processing their exact
c) Regarding the structure and organization of the HC
• Indicators serves HC and their staff to have a more satisfactory financial return
• have direct connection with work made from the HC staff Physician / Nurse
• Are related to the budget
• Reconnect direct service to the patient
• Their importance is recognized by the staff of HC
d) The potential to measure
• They are understandable for all structures to manage the measurement and evaluation
• There are appropriate programs for measuring and evaluating their
• There are sufficient human resources to cover the workload
• There is a plan of action in case of unforeseen difficulties
e) Objective
• Has a degree in data fictitiousness
• Match the terrain HC (Mountain / Hilly) etc.
• It includes all categories of doctors who may have a HC

7.2 Payment Based on Activity (PA) Indicator

After negotiations with the Association of FP and the Order of Physicians the number of visits from 16 units in urban areas and 13 in rural areas decreased, making as well as a breakdown by category of physicians (MOH,2010).
Sharing daily visits to their doctor by category:
• Urban HC (municipality)
FP for all patients ages 12
FP to increase 12 "

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Rome, Italy, 2011 www.mcser.org
FP for children 10
Specialists Physician(SP) 10
• HC in Rural Field / hilly area 9
• HC in Mountain / Deep Mountain area 6
This division would be more realistic and will respond to territorial and different specifications that have HC

8. Payment Based on Quality Indicators (5% Bonus)

Major changes were made to the number and types of quality indicators. These changes consisted in:
• Reduction of the number of indicators from 12 to 6 indicators.
• Changing the type of their activity to respond better to HC, the values of reimbursement, the epidemiological situation and reproductive health priorities of health policies in Albania. For the first time are set clearly defined formulas for calculating these indicators and a punctuation system depending on their importance.

Tab. 4 Types and tables of bonus indicators in 2010

<table>
<thead>
<tr>
<th>Nr.</th>
<th>Indicator</th>
<th>Points</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Percentage of enrolled patients who were visited for the first time (PVFT) within one year by the FP</td>
<td>15</td>
</tr>
<tr>
<td>2</td>
<td>Prescription average cost per diagnose, per selected diagnose</td>
<td>20</td>
</tr>
<tr>
<td>3</td>
<td>Percentage of chronic patients, visited every month by FP</td>
<td>15</td>
</tr>
<tr>
<td>4</td>
<td>Percentage of the pregnant women who received the first visit within the first quarter of the pregnancy</td>
<td>15</td>
</tr>
<tr>
<td>5</td>
<td>Percentage of children 0-14 years, completely vaccinated</td>
<td>20</td>
</tr>
<tr>
<td>6</td>
<td>Percentage of HC staff participating in Continuing Medical Education.</td>
<td>15</td>
</tr>
<tr>
<td></td>
<td><strong>TOTAL</strong></td>
<td><strong>100</strong></td>
</tr>
</tbody>
</table>

Source: HII, 2010

8.1 Percentage PVFT's Conducted Within the Calendar Year by Family Physicians

The purpose of establishing this indicator is that the HC and all its staff may be in closer contact with the population they cover. Increased contacts with residents registered with General Physicians in HC, enables a better understanding of the disease situation and the epidemiological area and as a result will realized capture, detection and treatment of diseases in the earliest stage. It will carry out likewise one of the main goals of PHC and health policies, which is seen as the gate opening at MF health system. Achievement of this objective will enable the realization of the first bonus indicator. HC in order to reach the maximum of 15 points for every 3-Month in the first quarter the amount should be 25% of PVFT for all patients enrolled in the HC / in the second quarter(II 3-M) should reach the figure of 12% / in third quarter(III, 3-M)should reached 8% and in fourth quarter (IV 3-M) should reach 15% of PVFT for all patients enrolled in the HC. In total corresponds to 60% which should also be the standard at the end of the year.

8.2 Prescription Average Cost per Diagnose, or per Selected Diagnose.

This indicator relates to the average cost of the prescription for diagnosis, and for several selected diagnoses based on region. In this case the diagnosis determined by each Regional Director is made known to all HC in the region following the closure of the 3-month period. At the end of each 3 month period, should be extracted in total 4 diagnoses (Dg) with higher refund amount, where in the first position should be placed the Diagnose with the highest value, the second is the Dg with little lower value than the first one, and so on the third and the fourth.
For each diagnosis extracted HC obtain 5 points, meeting the required 20 Points on this indicator.
• The importance of this indicator lies in the importance of treatment of patients with cost effectiveness.
• At the same time assessment of this indicator makes it possible to respect the values of reimbursement for physicians, HC and the region in general.

To obtain 5 points for every Dg, the average reimbursement for a prescription with a given Dg, prescribed by doctors of a HC should not be higher than 5% of the average value of the prescription for the same diagnosis calculated in base of the region. Otherwise HC gets 0 points for Dg.

8.3 Percentage of Chronic Patients Visited Every Month by FP

This indicator is set to have a better monitoring of patients correctly as chronically recorded at each FP, which occupies the largest volume and the work of the physician and at the same time the major share in the reimbursement of medicines. By setting this indicator is aimed at:

• A better understanding to the situation of chronic and chronic morbidity from HC
• Planning of monthly visits by each FP for this category of patients and their continuous tracking

For this indicator which is equivalent to 15 points, HC is required to contact 95% of chronic patients each months. If this value is not achieved then number of accumulated points depends on the rate achieved and scores obtained.

8.4 Percentage of the Pregnant Women who Received the first Visit within the first Quarter of the Pregnancy

This is a new indicator introduced for the first time in the 2008 contract. This type of indicator is applied in many countries as a qualitative indicator and in the situation of our country takes a special importance.

By this indicator we intend:

• Capturing of pregnancy among women in the 3-M's first lien which has a particular importance to the health of mother and child.
• Follow-up continued until the birth of pregnant women by applying rigorously all the decisions, guidelines and protocols on reproductive health in Albanian Republic
• Greater engagement of all HC staff: Physician / Nurse / Midwife

This indicator is measured by the number of pregnant women visiting for the first time in 3-month period of pregnancy on the total number of pregnant women visited for the first time during a 3-month period. If the HC reaches that quarter of all visits made for the first time is in 90% of pregnant women which are in their first 3-month period of pregnancy than it receives 15 points.

8.5 Percentage of Children 0-14 Years, Completely Vaccinated

By this indicator

• HC and all its staff may recognize the most rigorous way of vaccination situation for the category 0-14 years and greater commitment to the work of staff nurse / midwife.
• Rigorous implementation of all protocols and rules of the vaccination calendar in Republic of Albania
• Playing a greater role in the process of immunization by the FP, especially in rural areas. Making the visit by the doctor before vaccination.
• Administration of a highly accurate documentation at the HC on the issue of vaccination and accurate reporting of this activity at RDHI States and all other institutions associated with the implementation of this process.

Implementation and completion of the vaccination schedule at over 90% means 20 bonus points for the HC.

8.6 Percentage of HC staff Participating in Continuing Medical Education

This is the latest indicator of the table but not the last of its importance

• Continuing Medical Education (CME) is an indicator appreciate from all primary health care services in developing countries and for our country takes a special importance in order to build capacities in vocational and higher levels to enhance the quality of service to patients.
• Insurance Institute for achieving this indicator suggests and encourages all staff to create HC leadership facilities for the staff, to have all the possibilities to participate in all types of training that is recognized and regulated by the MOH, the HII and the Faculty of Medicine. Any training was required to be recorded and documented by the HC. So this report is accurate and verifiable.

Standard to gain 15 points by this indicator requires that 90% of HC staff have plan to perform a training
and any procedure must be documented at the HC. In total, if any HC catches 100 points at the end of a 3-month period, it receives in its budget by 5% as is enshrined in the contract. If this figure is not reached then the HC will benefit proportionally to the total level of points achieved.

9. Implementation of the Indicators During 2009-2010

9.1 Implementation of Bonus Indicators (5%) During 2009-2010

In April, under all of the documented information was coming from the HC assessment of indicators for a 3-month period of 2008 and this process continued throughout the 3 months period. As noted in the chart below realization of quality indicators from the first (I) 3-month period to IV it has increased what indicates a greater commitment to HC from one quarter to another to absorb the fund.

![Graph of the bonus performance for each 3-month, 2010](image)

**Source:** MoH, 2010.

9.2 The Annual Average Realization of Quality Indicators by 12 Regions and the Republic

![Implementation of the Bonus indicator by region, 2010](image)

**Source:** MoH, 2010

In total we can say that the bonus for 2010 was at 62.6%. The HCs in other words have gained on average an extra budget by 62.6 percent from the bonus fund.

The Implementation for the first time in our scheme of these quality indicators, although the difficulties of beginning, worked well and all contracted HII structures contributed to the realization of these indicators, The introduction of new concepts to improve the quality of service and their implementation on the ground, has been a major challenge in 2010.

9.3 The Percentage of Patients Visiting for the First Time in a Calendar Year.

The first indicator relates to the percentage of patients visiting for the first time in a calendar year by the
family doctor (PVFT). How does evolution of this indicator over the years?

**Tab.5. Nr of patients visited for the first time in HC, within a year.**

<table>
<thead>
<tr>
<th>Year</th>
<th>Ne %</th>
<th>Patients visited for the first time in HC, within a year.</th>
</tr>
</thead>
<tbody>
<tr>
<td>2006</td>
<td>9.8</td>
<td>419,712</td>
</tr>
<tr>
<td>2007</td>
<td>15.9</td>
<td>633,991</td>
</tr>
<tr>
<td>2008</td>
<td>17.3</td>
<td>696,147</td>
</tr>
<tr>
<td>2009</td>
<td>26.1</td>
<td>783,917 (364,215 more than 2006)</td>
</tr>
<tr>
<td>2010</td>
<td>28.1</td>
<td>827,358 (407,646 more than 2006)</td>
</tr>
</tbody>
</table>


If we compare with 2006, the year before the reform, we have 407,646 more patients who have received service at the HC.

Although many service providers worked so much and consequently the quality indicator was increased considerably in the last two years it still remains far from the standard required in the contract and from HII objectives.

**Fig. 5. % of Patients visited for the first time in HC, within a year**

Factors that may affect the growth of this indicator would have been:

- Increase access and awareness of citizens on payment of health contributions and equipping them and the ensured categories with health booklet as the only document to obtain free visits.
- This point would serve to increase the value of this indicator but also the number of visits.
- Respect of the reference correctly in all levels of health system.
- Strengthening the role of FP as the first gate receiving health care.
- Develop and implement national health programs for different categories of population control and prevention of various diseases.

9.4 The Number of Visits (PA) in 2010.

In relation to the number of visits as an indicator of the Activity of Physicians (PA) and staff of HC in general As mentioned above in 2010 were made changes compared to 2007. So from the end of 2009 the performance of this indicator is based on territorial divisions of the HC, the types of HC and according to categories of physicians in the structure of HC. Measurement and assessment of this indicator is made each month from RDHI and the table below shows the trend for each month.

**Fig. 6 Average number of daily visits per month in 2010**
Characteristic as noted in chart no. 4 is that in the months July-August we have a decrease in number of visits a phenomenon which occurs in the entire territory of the Republic and almost every year in this period.

9.4.1 The Number of Visits by Location

The following table describes the realization of no. of visits by location of HC for 2010, compared to the required standard

<table>
<thead>
<tr>
<th>Nr HC</th>
<th>REGION</th>
<th>CITY</th>
<th>Mountain village</th>
<th>Others village</th>
<th>Tot. region</th>
</tr>
</thead>
<tbody>
<tr>
<td>24</td>
<td>BERAT</td>
<td>11.6</td>
<td>5.2</td>
<td>8.1</td>
<td>9.6</td>
</tr>
<tr>
<td>34</td>
<td>DIBER</td>
<td>10.9</td>
<td>6</td>
<td>8.8</td>
<td>9.2</td>
</tr>
<tr>
<td>34</td>
<td>DURRES</td>
<td>7</td>
<td>1.5</td>
<td>5.5</td>
<td>5.7</td>
</tr>
<tr>
<td>52</td>
<td>ELBASAN</td>
<td>9.3</td>
<td>4.5</td>
<td>6.7</td>
<td>7.5</td>
</tr>
<tr>
<td>46</td>
<td>FIER</td>
<td>11.8</td>
<td>5.8</td>
<td>9.2</td>
<td>10.2</td>
</tr>
<tr>
<td>31</td>
<td>GJIROKASTER</td>
<td>8.3</td>
<td>4</td>
<td>4</td>
<td>6.1</td>
</tr>
<tr>
<td>39</td>
<td>KORCE</td>
<td>14.4</td>
<td>7.3</td>
<td>9.6</td>
<td>11.3</td>
</tr>
<tr>
<td>18</td>
<td>KUKES</td>
<td>8</td>
<td>5.7</td>
<td>8.5</td>
<td>7.3</td>
</tr>
<tr>
<td>21</td>
<td>LEZHE</td>
<td>7.9</td>
<td>5.3</td>
<td>5.5</td>
<td>6.7</td>
</tr>
<tr>
<td>35</td>
<td>TIRANE</td>
<td>14.2</td>
<td>10.5</td>
<td>10.4</td>
<td>12.1</td>
</tr>
<tr>
<td>36</td>
<td>SHKODER</td>
<td>10.3</td>
<td>4</td>
<td>6.2</td>
<td>7.7</td>
</tr>
<tr>
<td>17</td>
<td>VLORE</td>
<td>12.2</td>
<td>5.7</td>
<td>7.9</td>
<td>9.7</td>
</tr>
<tr>
<td>13</td>
<td>D. SARANDE</td>
<td>9.9</td>
<td>4.2</td>
<td>5.6</td>
<td>7.6</td>
</tr>
<tr>
<td>8</td>
<td>D. TROPOJA</td>
<td>14.9</td>
<td>8.3</td>
<td>8.3</td>
<td>11.5</td>
</tr>
<tr>
<td>408</td>
<td>Total vis/day/physician</td>
<td>10.8</td>
<td>5.6</td>
<td>7.4</td>
<td>8.7</td>
</tr>
<tr>
<td></td>
<td>The Standards</td>
<td>12</td>
<td>6</td>
<td>9</td>
<td>10</td>
</tr>
</tbody>
</table>

Implementation in %

<table>
<thead>
<tr>
<th>Nr HC</th>
<th>CITY</th>
<th>Mountain village</th>
<th>Others village</th>
<th>Tot. region</th>
</tr>
</thead>
<tbody>
<tr>
<td>24</td>
<td></td>
<td></td>
<td>5.2</td>
<td>8.1</td>
</tr>
<tr>
<td>34</td>
<td></td>
<td></td>
<td>6</td>
<td>8.8</td>
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<tr>
<td>34</td>
<td></td>
<td>1.5</td>
<td>5.5</td>
<td></td>
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<tr>
<td>52</td>
<td></td>
<td>4.5</td>
<td>6.7</td>
<td></td>
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<tr>
<td>46</td>
<td></td>
<td>5.8</td>
<td>9.2</td>
<td></td>
</tr>
<tr>
<td>31</td>
<td></td>
<td>4</td>
<td>4</td>
<td></td>
</tr>
<tr>
<td>39</td>
<td></td>
<td>7.3</td>
<td>9.6</td>
<td></td>
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<tr>
<td>18</td>
<td></td>
<td>5.7</td>
<td>8.5</td>
<td></td>
</tr>
<tr>
<td>21</td>
<td></td>
<td>5.3</td>
<td>5.5</td>
<td></td>
</tr>
<tr>
<td>35</td>
<td></td>
<td>10.5</td>
<td>10.4</td>
<td></td>
</tr>
<tr>
<td>36</td>
<td></td>
<td>4</td>
<td>6.2</td>
<td></td>
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<tr>
<td>17</td>
<td></td>
<td>5.7</td>
<td>7.9</td>
<td></td>
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<tr>
<td>13</td>
<td></td>
<td>4.2</td>
<td>5.6</td>
<td></td>
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<tr>
<td>8</td>
<td></td>
<td>8.3</td>
<td>8.3</td>
<td></td>
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<tr>
<td>408</td>
<td></td>
<td>5.6</td>
<td>7.4</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>9</td>
<td></td>
</tr>
</tbody>
</table>

In this table we can see that the realization of the number of visits in urban areas is 90% compared with the standard and mountainous and hilly areas is carried out respectively at 93 and 82 percent. The total figure of the Republic which is averaging 8.7 visits per day for each doctor or 88% of the required standard is a satisfactory figure and that if we consider that it is only for the insured visits. This percentage translated into economic terms means that all HC in average, in 2010 took in their budget 88% to 10% of payment activity. In some HC especially in urban areas, Berat, Vlora the benefit of 10% was realized at 100%.
Table 7. Average number of visits per day in years.

<table>
<thead>
<tr>
<th>Area</th>
<th>2007</th>
<th>2008</th>
<th>2009</th>
<th>2010</th>
</tr>
</thead>
<tbody>
<tr>
<td>Rural</td>
<td>3.9</td>
<td>6</td>
<td>6.7</td>
<td>6.9</td>
</tr>
<tr>
<td>Urban</td>
<td>7.9</td>
<td>9.8</td>
<td>10.8</td>
<td>12.9</td>
</tr>
<tr>
<td>Republ. Average</td>
<td>7.9</td>
<td>8.7</td>
<td>9.9</td>
<td>11.7</td>
</tr>
</tbody>
</table>


Fig. 7 Average nr of visits of insured patients in years

Source: HII, 2010. Family physician(FP); Specialist physician(SP)

The average number of visits in 2007 compared to 2006 is increased → 33%
The average number of visits in 2008 compared to 2007 is increased → 10%

Or expressed differently this indicator (performance and quality of service) has increased from 13% in 2009 compared with 2008 and 67% compared with 2006.

By comparing 2008 with 2006 is increased by 47%. The increased average number of visits shows a greater attendance of HC from the population, a greater confidence to FP, which suits the policy of preventive and prophylactic (MoH, 2010).

9.4.2 Number of Visits in Town and Village

In the chart below provides a distribution of number of visits in town and village, reflecting also the accessibility of FP and HC versus population.

Fig. 8. The percentage of visits in village / city during 2010.


10.1 Implementation of Indicators

The comparisions of the figures in the table demostrates the indicato r implementation in 2010 higher in value compared with the precedent period. Therefore in 2010 HC had more budget benefits.

Table 8. Indicator Implementation 2009-2010

<table>
<thead>
<tr>
<th>Indicator</th>
<th>2009</th>
<th>2010</th>
<th>Difference in %</th>
<th>Difference in Value (thausand )</th>
</tr>
</thead>
<tbody>
<tr>
<td>Fix Budget (85%)</td>
<td>94.5%</td>
<td>98.6%</td>
<td>4.1%</td>
<td>601,162 thousand</td>
</tr>
<tr>
<td>PA budget(10%)</td>
<td>71.3%</td>
<td>81.3%</td>
<td>10%</td>
<td>88,925 thousand</td>
</tr>
<tr>
<td>Bonus (5%)</td>
<td>42.6%</td>
<td>67.5%</td>
<td>24.9%</td>
<td>82,662 thousand</td>
</tr>
</tbody>
</table>


10.2 The Budget for HC Activities

In the following figure we can see the budget for HC activities dispalyed for two diferent periods. Its clear that the budget for activitities in 2010 was higher than 2009, regardless the region.

Fig. 9. Budget for HC activities

Source: MoH, 2010

10.3 Bonus Realization

As we can see from the fig.10 the realization of the bonus(5%) in the period of 2010 despite from the region is higher in values.

Fig. 10. Bonus realization in different regions

11. Conclusions

The package of services and implementation of indicators built a new relationship between HII and HC, where the contracting process remains essential to health centers. Thus, health centers, referred to the new legal framework, have a greater financial autonomy and administrative towards the use of funds and the secondary income. During this period every employee salaries is doubled and each employee of health centers benefit 14 salary per year (of which 2 salary bonus). Thanks to reforms, we can say with certainty that the number of insured persons registered, so people who have received the booklet compared with 2005, the number of persons who have received health card is almost doubled. However, the issue of identifying the full insured people, we think that will get the final solution after production and putting into use the health card for which is being worked. On the other hand HII itself, has made a better control on the allocation of funds by their performance on the health centers. So in 2009, increased absorption of funds from health centers for the performance indicator (number of visits) at 200% compared with the beginning of the reform (2007). This growing trend of interest of the population to use the health system through health insurance scheme has come as a result of measures taken by the Insurance Institute for improving the health service, in particular of the primary, which are:

(i) - financial reforms undertaken in primary health care in v.2007, which has financially motivated health personnel and thus increased quality of health care to patients

(ii) - better health care coverage across the territory of the country, from both quantitative and qualitative

(iii) - Strengthening the referral system at all levels of health care by strengthening the role of family physician as a "gateway entrance" to other levels of care.

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Trends and Determinants of Job Search Intensity of Unemployed Females: Empirical Evidence from Egypt

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Abstract The present study examines trends in unemployed females' job search intensity in Egypt in an important era of transition away from public sector employment guarantee. It examines determinants of job search intensity of unemployed females, modeling search intensity as the total number of job search methods used by the unemployed. The empirical analysis is based on the Egyptian Labor Market Surveys of 1998 and 2006. A comparative descriptive approach is used to analyze the difference between males' and females' search intensity. The study uses logistic regression analysis to examine the determinants of unemployed females' search intensity. Empirical findings suggest that the unemployed tend to search more intensively. However, this increase hides gender differences in search intensity. The gender gap in search intensity widened between 1998 and 2006. This gap is wider among youth than among all unemployed workers. Examining determinants of females' search intensity reveals a significant effect of personal, household characteristics and labor market conditions. The relationship between age and search intensity is inverted U-shaped. Education, previous work experience, and household wealth have significant positive effects on search intensity. Females in labor markets where the unemployment rate is higher search more intensively.

Keywords: labor economics; job search; search intensity; gender; Egypt.

1. Introduction

Job search intensity plays an influential role in determining the job seeker's future status in the labor market. In the market economy where job seekers can not depend on the public sector to provide work, the job seeker should be more active in job search and use multiple search methods rather than rely on a single method strategy. Raising job search intensity seems to be more important for females. The economic theory suggests that there is lot of possible explanations for the gender gap in unemployment rates. On the supply side, one of the main explanations is that females have lower job search intensity.

In Egypt, the unemployment rate for females is 2.5 times the unemployment rate for males. Females are more likely to suffer unemployment. The situation is much worse for youth females; the unemployment rate for females aged 15 and 29 is 40.2% (CAPMAS*, 2008). Females, especially educated females, have been depending for decades on the public sector employment guarantee. This is now not possible due to the transition to a market-oriented economy. It is therefore more important to raise females' job search intensity if unemployment in Egypt is not to become more concentrated among them.

However, there is insufficient empirical information on job search behavior in Egypt. Different studies on job search have emerged in the last two decades. The majority of these studies analyzed job search behavior in developed countries (Holzer, 1988; Blau and Robins, 1990; Gregg and Wadsworth,

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* Central Agency for Public Mobilization and Statistics, Egypt.
1996; Böheim and Taylor, 2002; Osberg, 1993; Weber and Mahringer, 2006; Lindeboom, Van Ours & Renes, 1994; Eriksson, Lilja & Torp, 2002). Fewer studies analyzed job search behavior in developing countries and in economies in transition (Addison and Portugal, 2001; Woltermann, 2002; Masague, 2008). For CEECs*, search literature focuses on the effect of the unemployment benefits system on search duration (Lubyova and Van Ours, 1997; Hinnosaar, 2004; Smirnova, 2003). Nevertheless, there is little work in the Egyptian literature that explicitly analyzes job search behavior. Wahba and Zenou (2005) examined the impact of the size and the quality of social networks on the probability to find a job in Egypt using the 1998 Labor Market Survey.

This study responds to the gap in the empirical literature with respect to the in-depth study of females' job search behavior in Egypt. It aims to examine trends in unemployed females' job search intensity in an important era of transition. Moreover, it examines determinants of job search intensity of unemployed females.

The paper is divided into six parts. Section 1 is the introduction. Section 2 presents a literature review on job search intensity. Section 3 describes data and methodology. Section 4 traces changes in females' search intensity and the gender gap in search intensity in the Egyptian labor market. In section 5 determinants of females' search intensity are examined. Section 6 concludes.

2. Literature Review

Labor economics place great emphasis on job search as a vital activity in the labor market. The main purpose of this activity is to obtain employment while information about employment opportunities is imperfect and costly to acquire (Smith, 2003; McQuaid et al., 2005; Rones, 1983; Zaretsky and Coughlin, 1995; Marquez & Ruiz-Tagle, 2004).

However, doing a job search is not enough; success in a job search depends on “the intensity with which the worker searches for a job” (Smirnova, 2003, p. 8).

2.1 Job Search Intensity, Concept and Measures

The decision how intensively to search is the job search intensity. The literature presents many alternatives to measure job search intensity. Most studies have measured job search intensity using the number of job search methods used (Boheim & Taylor, 2002; Smith, 2003; Smirnova, 2003; Masagué, 2008; Salas-Velasco, 2007). Other measures used include the number of job applications made during the reference period (Gautier, González & Wolthoff, 2007) and time spent in job search (Krueger & Mueller, 2008).

2.2 Job Search Intensity and Labor Market Outcomes

Job search behavior significantly affects job seeker's labor market outcomes in terms of employability, job quality, and returns. One of the main employability factors that are generally identified in literature factors is the intensity of job seekers' search (McQuaid, 2006; Kanfer, Wanberg & Kantrowitz, 2001, Van Hooft, Born, Taris & Filer, 2005). The positive relationship between job search intensity and the probability of receiving and accepting a job offer is a common finding in both theoretical and applied literature.

\[
p_o = p_o(d, s)
\]

Where \( p_o \) is the job offer probability, \( d \) is the level of demand in the labor market demand and \( s \) is the intensity of search activity undertaken by the job seeker, “\( p_o \) is increasing in both \( d \) and \( s \)” (Eriksson et al., 2002, p. 6).

The effect of search intensity on employability has been found to be positive and statistically significant (Barron & Gilley, 1981; Holzer, 1988; Marquez & Ruiz-Tagle, 2004; McQuaid, 2006; Boheim & Taylor, 2002; Smith, 2003; Addison & Portugal, 2001; Hinnosaar, 2004; Van Hooft et al., 2005; Salas-Velasco, 2007). This positive effect was more pronounced among the most vulnerable in the labor market, such as new entrants and job losers (Kanfer et al., 2001; Van Hooft et al., 2005).

Moreover, several studies indicated that job search intensity positively affects employment quality, because a more intense job search is likely to result in more job opportunities and more information on these opportunities allowing the job seeker to choose the best alternative (Saks & Ashforth, 2002; Van Hooft et al., 2005; Tasci, 2008).

* Central and Eastern European Countries.
Labor market search models imply that the more intensively a job seeker searches for a new job, the higher is his potential labor income. The positive relationship stems from the matching process; if the job search intensity is higher, the job seeker gets more job offers, which increases the probability of finding a job which is a good match to his labor market skills. Thus, persons who search more intensively will be more productive at their future jobs and earn higher salaries (Room, 2004; Bowen & Doyle, 2004; Boheim & Taylor, 2002).

In addition, more intensive job search results in lower unemployment duration. The duration of unemployment was found to negatively affect job seekers' future returns. It has been found that unemployment results in earnings some 10% lower than pre-unemployment earnings (Arulampalam, as cited in Boheim & Taylor, 2002). Thus, higher job search intensity is necessary for the unemployed so as to avoid earnings reductions through shortening unemployment duration.

2.3 Gender Gap in Job Search Intensity

The economic theory suggests that there is lot of possible explanations for gender gaps in the labor market. On the supply side, one of the main explanations is that females have lower job search intensity (Masagué, 2008).

Evidence gathered from empirical literature suggests that females have significantly lower search intensity than males (Tasci, 2008; Smirnova, 2003; Eriksson et al., 2002; Room, 2004). They use fewer search methods. However, some empirical literature suggests that the gender difference in search intensity do exist but is small (Van Hooft et al., 2005). There are different hypotheses explaining gender gaps in job search. These hypotheses may be divided into three main groups.

2.3.1 Social Roles Hypotheses

The household responsibility hypothesis (McQuaid, 2006) argues that given traditional family arrangements, females have more domestic responsibilities than males. This, in turn, results in having less time than males to search. The labor supply theory (Smirnova, 2003) suggests that female job search intensity might be disproportionately affected by the presence of young children. In addition, as females have more alternatives to devote their time to than men; they have an option that is largely unavailable to males, that is to be inactive, having zero search intensity (Kondylis & Manacorda, 2006).

2.3.2 Differences in Job Search Costs Hypotheses

Job search costs are argued to be higher for females. Females face more difficulties in job search. While it is easier for males to find a job through their social networks, females have fewer work contacts in their social networks. Thus, females find it more costly to get information about opportunities in the labor market and to get a job (McDonald & Elder, 2006). On the other hand, it is argued that as females have a larger share of household work including taking care of children, ill and disabled persons in the household, they have a higher opportunity cost of search than males (Room, 2004).

2.3.3 Differences in Job Search Benefits Hypotheses

One of the main determinants of job search activity is search benefits in terms of job finding prospects and expected returns which are lower for females than for males (Room, 2004). Females anticipate discriminatory treatment in the labor market.

2.4 Socio-Economic Determinants of Job Search Intensity

Apart from a number of rather descriptive analyses of job seekers' use of different channels of search, relatively few empirical studies attempt to explain differences in individuals' search effort. Few studies were conducted to analyze main determinants of job search intensity in developing countries, none in Egypt. The main determinants of job search intensity may be classified in three main groups; personal, household characteristics, and labor market conditions.
2.4.1 Personal Characteristics

The main personal characteristics that were found to have significant impact on job search intensity include age, education, unemployment duration and previous work experience.

Different empirical literature has shown that youth are usually more active in job search. The study of search behavior in three Nordic countries (Eriksson et al., 2002) shows that there is evidence that elderly workers are less likely to search and when they do, they use fewer methods. However, in Turkey, it was observed that there was an inverted U-shaped relation between age and job search intensity (Tasci, 2008).

The theoretical and empirical literature emphasizes the positive significant effect of education on job search. Higher education levels are expected to result in more intensive job search. Theory hypothesizes that the higher the educational attainment, the higher is the individual's expected lifetime earnings and thus the higher is the motivation to search for a job (Smirnova, 2003). The positive effect of education on job search intensity has been found to be more significant among females than among males (Van Hooft et al., 2005; Tasci, 2008).

The results about the effect of unemployment duration on job search are mixed (Hinnosaar, 2004; Masagüé, 2008; Konle-Seidl, Eichhorst & Zingerle, 2007; Marquez & Ruiz-Tagle, 2004; Eriksson et al., 2002). It differs from one labor market to another. It may have a negative effect, leading unemployed job seekers to decrease their search intensity because of discouragement. Moreover, the longer the unemployment duration, the more difficult for the job seeker to find a job as employers take the duration of the unemployment as a negative signal about the unemployed job seeker's human capital and qualifications. On the contrary, the longer unemployment duration of job seekers may result in more intense search if the job seeker relies on receiving unemployment benefits for which his/her eligibility ends after a certain period of time.

2.4.2 Household Characteristics

Bigger households and a large number of children imply a high dependency ratio and thus put more pressure to search for work. However, the effect of the presence of children has been found to differ significantly between males and females. In the case of males, it raises job search intensity to support those children. In contrast, the presence of children has been found to reduce females' search intensity (Masagüé, 2008). The marital status variable has been found to have a significant negative effect on females' job search (Bowen & Doyle, 2004).

Both search theory and empirical literature suggests that urban residents are more likely to search more intensively than rural residents. This difference reflects differences in search costs and benefits. On one hand, job search is more likely to pay off in urban areas, as there are more developed labor markets in which it is more likely that there are a lot of good high return jobs that are worth searching for, more than in rural areas. On the other hand, costs of search are lower in urban labor markets due to the high density of employers and lower transportation costs (Smirnova, 2003; Tasci, 2008).

2.4.3 Labor Market Conditions

Job search intensity has been found to be inversely related to the unemployment rate. It is lower in labor markets with very high unemployment rate and few job opportunities available which discourage the unemployed (Salas-Velasco, 2007; Hinnosaar, 2004; Marquez & Ruiz-Tagle, 2004; Boheim & Taylor, 2002; Barron & Gilley, 1981; Bowen & Doyle, 2004). However, one empirical study in Turkey found that increases in unemployment rate increase job search intensity (Tasci, 2008).

3. Data and Methodology

The empirical analysis is based on two data sets; the Egypt Labor Market Survey of 1998 (ELMS 98) and the Egypt Labor Market Panel Survey of 2006 (ELMPS 06). Both the ELMS 98 and the ELMPS 06 are nationally representative household surveys. They were carried out by the Economic Research Forum (ERF) in cooperation with the Egyptian Central Agency for Public Mobilization and Statistics.
The questionnaires for the two surveys were designed to ensure comparability of the data over time. The two surveys collected information on individual characteristics, employment characteristics and unemployment. The two surveys provide information on job search activity of unemployed workers.

A comparative descriptive approach is used to analyze differences between males’ and females’ job search intensity in the Egyptian labor market in 1998 and 2006.

The effects of personal characteristics, household characteristics and labor market conditions on females’ job search intensity are examined using ordinal logistic regression.

4. Unemployed Females’ Job Search Intensity in Egypt

Job search intensity (N) is measured as the total number of job search methods used by the unemployed worker, following different empirical job search literature (Holzer, 1988; Smirnova, 2003; Masagué, 2008; Salas-Velasco, 2007; Brown & Taylor, 2008). Most empirical studies have measured job search intensity as the number of job search methods used. In addition, the two surveys used here provide data on the number of search methods used, while they do not provide data on number of job applications made during the reference period nor on time spent in job search.

Therefore, job search (N) intensity is measured as follows:

\[ N = d_1 + d_2 + \ldots + d_{14} \quad (1) \]

Where: \( d_i \) is propensity to use job search method \( i \), \( i=1\ldots14 \), \( d_i \) equals 1 if this method is used and zero otherwise.

4.1 Gender Gap in Job Search Intensity (1998-2006)

Table (1) shows job search intensity among job searchers, for both males and females. It shows job search intensity for all males and females and for youth males and females.

<table>
<thead>
<tr>
<th>Table 1. Job Search Intensity (N) 1998-2006</th>
</tr>
</thead>
<tbody>
<tr>
<td>Males 15+</td>
</tr>
<tr>
<td>1998</td>
</tr>
<tr>
<td>2006</td>
</tr>
<tr>
<td>2006/1998</td>
</tr>
<tr>
<td>Females 15+</td>
</tr>
<tr>
<td>1998</td>
</tr>
<tr>
<td>2006</td>
</tr>
<tr>
<td>2006/1998</td>
</tr>
<tr>
<td>Male/female relative gap</td>
</tr>
<tr>
<td>1998</td>
</tr>
<tr>
<td>2006</td>
</tr>
<tr>
<td>2006/1998</td>
</tr>
<tr>
<td>Total 15+</td>
</tr>
<tr>
<td>1998</td>
</tr>
<tr>
<td>2006</td>
</tr>
<tr>
<td>2006/1998</td>
</tr>
<tr>
<td>Males 15-29</td>
</tr>
<tr>
<td>1998</td>
</tr>
<tr>
<td>2006</td>
</tr>
<tr>
<td>2006/1998</td>
</tr>
<tr>
<td>Females 15-29</td>
</tr>
<tr>
<td>1998</td>
</tr>
<tr>
<td>2006</td>
</tr>
<tr>
<td>Male/female relative gap</td>
</tr>
<tr>
<td>1998</td>
</tr>
<tr>
<td>2006</td>
</tr>
<tr>
<td>Total 15-29</td>
</tr>
<tr>
<td>1998</td>
</tr>
<tr>
<td>2006</td>
</tr>
</tbody>
</table>
| Notes: Differences between males and females, and also between 1998 and 2006 are statistically significant \( p<0.01 \).

Between 1998 and 2006, search intensity increased. Unemployed job searchers whether males or females, youth unemployed or all the unemployed workers, tend to exert more efforts in job search. Search intensity increased at a higher rate among unemployed youth than among all unemployed workers.

While search intensity for job searchers in 1998 ranges from one method to nine methods, the maximum job search intensity value increased in 2006 by 33.3% to 12 methods. This is due to the transformation in the Egyptian labor market which forces job seekers to depend on themselves in getting jobs rather than depending on the public sector employment guarantee. Unemployed workers are forced now to use more job search methods to find work. The unemployed worker searches now more intensively to get a job. However, this increase hides gender differences in search intensity. Unemployed males search more intensively than unemployed females in both 1998 and 2006. When unemployed males and unemployed females search for jobs, unemployed females are obviously less active in their search  

\(^1\) For more details about the two surveys, refer to Assaad (2007).
than males. The gender gap in search intensity is wider among youth. Youth females are the least active in job search; they have the lowest job search intensity. In contrast to males, youth females are less active than all unemployed females. Youth females’ search intensity is lower than females' average search intensity.

Between 1998 and 2006, the gender gap in search intensity decreased slightly among all unemployed workers. However, it increased slightly among unemployed youth.

Table (2) reports job search intensity for both unemployed males and females, excluding registering at public employment office from job search methods used ($n_{no\text{-}gov}$).

**Table 2. Job Search Intensity ($n_{no\text{-}gov}$) -1998-2006**

<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Males 15+</td>
<td>2.5885</td>
<td>3.5799</td>
<td>1.38</td>
</tr>
<tr>
<td>Females 15+</td>
<td>1.9105</td>
<td>2.7690</td>
<td>1.45</td>
</tr>
<tr>
<td>Male/female relative gap</td>
<td>1.35</td>
<td>1.29</td>
<td>(-)</td>
</tr>
<tr>
<td>Total 15+</td>
<td>2.2252</td>
<td>3.1058</td>
<td>1.40</td>
</tr>
<tr>
<td>Males 15-29</td>
<td>2.5201</td>
<td>3.5830</td>
<td>1.42</td>
</tr>
<tr>
<td>Females 15-29</td>
<td>1.9100</td>
<td>2.7332</td>
<td>1.43</td>
</tr>
<tr>
<td>Male/female relative gap</td>
<td>1.32</td>
<td>1.31</td>
<td>(-)</td>
</tr>
<tr>
<td>Total 15-29</td>
<td>2.1862</td>
<td>3.0877</td>
<td>1.41</td>
</tr>
</tbody>
</table>

**Notes:** Differences between males and females, and also between 1998 and 2006 are statistically significant $p<0.01$.

Data in table (2) shows that female unemployed job searchers do obviously a less active search compared with male unemployed job searchers if registering at public employment office is excluded from search methods used. Job search intensity excluding registering at public employment office tended to increase at a relatively lower rate than job search intensity without excluding registering at public employment office. It increased among both males and females and among youth males and females.

However, unemployed males are still more likely to search more intensively for work than unemployed females. The gender gap in search intensity widens when registering at public employment office is excluded from search methods used. This gap is wider among unemployed youth than among all unemployed workers in 2006. While the rate of increase in search intensity was higher among youth males than among all males, it was lower among youth females than among all females.

Depending on search intensity excluding registering at public employment office from search methods used, the same conclusion is reached. Females are less active than males in job search, youth females are the least active job searchers.

4.2. Socio-Economic Characteristics and Differences in Unemployed Females' Job Search Intensity (1998-2006)

The literature review shows that the main socio-economic characteristics that affect job search intensity may be classified into three groups; personal characteristics, household characteristics, and labor market conditions.

4.2.1 Personal Characteristics

**Table 3. Personal Characteristics and Differences in Unemployed Females' Job Search Intensity 2006**

<table>
<thead>
<tr>
<th>Age</th>
<th>N</th>
<th>Education</th>
<th>N</th>
<th>Unemployment duration</th>
<th>N</th>
</tr>
</thead>
<tbody>
<tr>
<td>12-14</td>
<td>0.00</td>
<td>No School Certificate</td>
<td>0.60</td>
<td>1</td>
<td>1.90</td>
</tr>
<tr>
<td>15-19</td>
<td>1.82</td>
<td>Basic Education</td>
<td>1.52</td>
<td>2</td>
<td>2.55</td>
</tr>
<tr>
<td>20-29</td>
<td>2.96</td>
<td>Secondary Education</td>
<td>2.77</td>
<td>3</td>
<td>3.00</td>
</tr>
</tbody>
</table>
Table (3) illustrates differences in unemployed females' search intensity by age, education, unemployment duration and previous work experience.

There is an inverted U-shaped relation between age and females' job search intensity (figure 1). Up until age 40, unemployed females' search intensity increases with age. After that, unemployed females become less active as they get older. Unemployed females (50+) are not active in job search.

**Figure 1. Age and unemployed females' job search intensity**

Analyzing differences in unemployed females' search intensity by educational level reveals that more educated unemployed females are more active job searchers than less educated unemployed females. Unemployed females' search intensity is higher, the higher the educational attainment. On one hand, more educated females have higher incentive to find work; they have better labor market opportunities. Thus, job search is expected to pay more educated females off more than less educated females. The expected returns of more educated females are higher; earnings of females (15+) with post secondary education and above are 3.5, 28.2, 68.4 times higher than earnings of females with secondary education, basic education and no school certificate respectively. On the other hand, more educated females are more able to do job search using a variety of methods.

With respect to unemployment duration, it is found that longer unemployment duration puts more pressure on unemployed workers to search more intensively. According to the unemployment duration (measured in months), unemployed females are classified in five quintiles. Those in the first quintile have been unemployed for ten months or less, while those in the fifth quintile have been unemployed for more than 96 months (8 years). The longer the unemployment duration, the higher is the job search intensity.

2 Author's calculations from the Egypt Labor Market Panel Survey 2006.
Table (3b) illustrates differences in job search intensity of unemployed females with different characteristics of previous work experience. These characteristics include existence of previous work experience, length of work experience and type of previous work experience; formal or informal. Unemployed females with previous work experience are significantly more active in job search than female new entrants. The length of work experience \((L)\) is measured as follows:

\[
L = 2006 - \text{year of entering the labor market} \quad (2)
\]

According to the length of work experience, females are grouped into 5 quintiles. The length of experience is less than 7 years for the first quintile; it ranges from 8-13 years for second quintile; 14-22 years for third quintile; 23-36 years for fourth quintile and 37+ years for fifth quintile. Comparing search intensity across these five quintiles, it is found that the higher the length of work experience, the less intensive is job search. This is more obvious for the fourth and fifth quintiles (23+ years). Unemployed females who previously were working informally search more intensively than those who previously were working formally. The first group belongs usually to poor households. Unemployment is unaffordable to them, especially as they are not covered by the social security system. It is worth mentioning that even in the new social insurance law 135/2010 that has recently been approved, the self employed, casual and informal workers are excluded according to article 47 from the benefits of the unemployment insurance.

4.2.2 Household Characteristics

Household characteristics that affect job search intensity include household economic conditions; dependency ratio; marital status; and presence of children.

<table>
<thead>
<tr>
<th>Wealth quintiles</th>
<th>N</th>
<th>Dependency ratio</th>
<th>N</th>
<th>Presence of Children*</th>
<th>N</th>
<th>Marital Status and Presence of Children*</th>
<th>N</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>2.2</td>
<td>High</td>
<td>3</td>
<td>No children (in HH)</td>
<td>2.8</td>
<td>Not married, no children</td>
<td>2.8</td>
</tr>
<tr>
<td>2</td>
<td>2.5</td>
<td></td>
<td></td>
<td></td>
<td>2.9</td>
<td>Married, no children</td>
<td>2.9</td>
</tr>
<tr>
<td>3</td>
<td>2.9</td>
<td>Low</td>
<td>2.6</td>
<td>Children (in HH)</td>
<td>2.9</td>
<td>Not married, with children</td>
<td>3.3</td>
</tr>
<tr>
<td>4</td>
<td>3</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>Married with children</td>
<td>2.2</td>
</tr>
</tbody>
</table>

Notes: Differences between different groups are statistically significant \(p<0.01\).

* Questions about presence of children in the household are asked only to all ever-married females between 16 and 49 years old.

Table (4) reports the difference in unemployed females’ job search intensity by household economic conditions. The wealth index is a composite index constructed of several indicators to measure the household economic status. The individuals surveyed were grouped into five quintiles according to the wealth index. It is found that the higher the household economic status, the higher is unemployed females’ job search intensity.

However, comparing reasons for not being active among unemployed females in the lowest two quintiles with reasons for not being active among the highest three quintiles may explain part of this difference. Expecting that there are no jobs is the main reason. It is more important among the lowest two quintiles; 58% and 42% of unemployed females in the lowest two quintiles respectively. This is simply because they are less educated; thus they do not expect to find jobs easily. Low level of education is the main reason for 2.7% of unemployed females in the lowest two quintiles compared with 1.5% of unemployed females in the highest three quintiles. Besides, due to their low level of education, they are more likely to work at jobs for which males are preferred. In addition, they are more likely to work inside the household and not to be allowed to work outside the household.

Households surveyed were divided into two main groups according to the dependency ratio. The first group has a dependency ratio greater than the average dependency ratio for all households surveyed; the second has a dependency ratio lower than average household dependency ratio. Comparing females’
search intensity between the two groups shows that unemployed females living in households where the dependency ratio is higher search more intensively as high dependency ratio puts more pressure on them. Unemployed females with children have generally less job search propensity than those who do not have children in the household; 0.85 vis-à-vis 0.88. However, while unemployed females who have children in the household are less likely than unemployed females with no children in the household to search for jobs, when they search for jobs, they search more intensively. When they search for jobs, they are usually under stronger economic pressure than those with no children, thus they search more intensively. This is obvious comparing search intensity among females according to both their marital status and presence of children. Females are classified into four groups according to both marital status and presence of children in the household (table 4). Evaluating differences in search intensity between these four groups, it is found that females who are not married and have children in the household are the most active in job search, followed by married females with no children. The first group needs to work to support their children while the second has no children to take care of and have enough time to search for work. The other two groups are less active in job search. Married women with children have other responsibilities which are time consuming and their husbands traditionally are expected to work and support their own families. The other group; females who are unmarried with no children, are usually supported by their families.

4.2.3 Labor Market Conditions

Table 5. Labor Market Conditions and Differences in Unemployed Females’ Job Search Intensity 2006

<table>
<thead>
<tr>
<th>Unemployment Rate</th>
<th>N</th>
<th>Region</th>
<th>N</th>
</tr>
</thead>
<tbody>
<tr>
<td>lower than average</td>
<td>2.76</td>
<td>Greater Cairo</td>
<td>2.4</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Alex and Suez Canal</td>
<td>4.6</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Urban Lower Egypt</td>
<td>3.3</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Urban Upper Egypt</td>
<td>2.5</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Rural Lower Egypt</td>
<td>2.8</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Rural Upper Egypt</td>
<td>2.2</td>
</tr>
<tr>
<td>higher than average</td>
<td>2.9</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Notes: Differences between different groups are statistically significant p<0.01.

The surveyed individuals are divided into two groups according to labor market conditions. The first group lives in areas where the unemployment rate is lower than average unemployment rate in Egypt, and the other group lives in areas where unemployment rate is higher than average unemployment rate. Females living in areas where unemployment rate is higher than the national average rate are more active in job search than those living in areas, where unemployment rate is lower than the national average rate. Comparing females’ search intensity by region, we reach the same conclusion that the higher the unemployment rate; the higher is the job search intensity. Unemployed females in regions with highest overall unemployment rate and female unemployment rate; Alex and Suez Canal, Urban Lower Egypt in urban areas, Rural Lower Egypt in rural areas, have the highest search intensity.

5. Determinants of Unemployed Females’ Job Search Intensity in Egypt

5.1 Economic Model to Estimate Determinants of Unemployed Females’ Job Search Intensity

The model used here to estimate determinants of unemployed females’ job search intensity in Egypt follows the methodology adopted in job search literature (Eriksson et al., 2002; Boheim & Taylor, 2002; Smirnova, 2003).

The job search intensity decision; deciding how intensively to search, is described as follows:

\[ N_t = N(P_t, H_t, L_t) \]  

\[ N_t = a + P_t + H_t + L_t + \text{it} \]  

\[ 3 \]

3 Author’s calculations from the Egypt Labor Market Panel Survey 2006, where job search propensity is measured as the percentage of the unemployed who did a job search using any method.

4 Overall unemployment rates are: 10.2%, 13.1% and 9.3%, female unemployment rates are: 19.1%, 31.1%, and 25.6% respectively (Assaad 2009).
Nit is job search intensity of the ith individual. It is an ordinal qualitative variable. Pi is a set of personal characteristics, Hi is a set of characteristics of individual's household, and Li is labor market conditions.

Pi is a vector of personal characteristics that include age, education, and existence of previous work experience. Hi is a vector of individual's household characteristics that include economic status measured by the wealth index, household size, dependency ratio, being head of the household, and marital status. Li is a vector of labor market characteristics that differ by region.

However, in the ELMPS06, questions related to job search are asked only to unemployed individuals. Thus, there is a sample selection problem. Since the estimations based only on unemployment criterion, i.e. ignoring the selection bias, may lead to biased and inconsistent results, there is a need to tackle this problem. The most common approach used in the literature to solve this issue is Heckman's (1979) two-step procedure, in which, we jointly model selection into the sample, i.e. unemployment, and the final outcome, i.e. job-search intensity. Hence, the effects of individual characteristics, household characteristics and labor market conditions on job search intensity are estimated by employing selectivity corrected logistic model.

There are two stages in this approach. In the first stage of the model we estimate the unemployment choice of the survey respondents, where the independent variable is "unemployed"; it is a dummy variable taking the value of 1 if the respondent is unemployed, and zero otherwise. In the second stage, the determinants of job search intensity are estimated. This approach follows the methodology of other job search literature (Eriksson et al., 2002; Tasci, 2008).

The Heckman model requires that the selection equation; unemployment choice equation here, “contains at least one variable that is not related to the dependent variable in the substantial equation” (Smits, 2003, p. 4); the job search intensity equation here. This variable affects unemployment but does not directly affect the outcome studied; which is job search intensity, except through its effect on unemployment.

Macroeconomic conditions as shown in different literature significantly affect unemployment (Tasci, 2008; Tansel, 2002; Baker, Glyn, Howell & Schmitt, 2004; Berument, Dogan & Tansel, 2006). Economic development measured by GDP per capita in the province/state level have been used as a determinant of the probability of being unemployed as shown in different economic literature (Tasci, 2008; Tansel 2002; Berument et al., 2006). Focusing on females, a higher per capita GDP is generally accompanied by a higher female participation and employment rates (Perugini & Signorelli, 2007).

5.2 Results and Discussion

As Nit is an ordinal qualitative variable; higher values of Nit are associated with higher search intensity; equation (4) is estimated using ordinal logistic regression.

Table (6) shows the results of ordinal logistic regression. The likelihood ratio chi-square shows that the overall model fit is good. All coefficient estimates are significant at the 1% level, except for living in Greater Cairo.

With respect to personal characteristics, the results assert again that females (15-39) are the most active in job search. The parameter estimates for females younger than 40 is positive, except for those younger than 15. Again, the relationship between age and job search intensity is inverted U-shaped. The odds ratio for females (30-39) is higher than females (15-29). This raises concerns about youth females' future labor market prospects. Females’ education positively affects job search intensity. Unemployed females who have completed at least secondary education tend to search for work more intensively than unemployed females without such education. Unemployed females with previous work experience search more intensively than those with no work experience. Those who have worked before need to find jobs more than others, so as to compensate for the decrease in their incomes to keep their incomes and their standard of living from deteriorating. They have more incentive to find work. In addition, they usually are well informed about the labor market and search methods.

Household characteristics significantly affect job search intensity. Unemployed females from wealthier households do a more intensive job search. They are usually more educated and have higher aspirations. Although females in larger households are less likely to search for work due to their domestic responsibilities, when they search they tend to search intensively. When they search, they are usually under more economic pressures. Thus, higher independency ratio and being married also result in more intensive job search. Females who are heads of their households have lower job search intensity.

With respect to labor market characteristics that differ by region; it is found that females in labor markets where the unemployment rate is higher have to search more intensively to find work.
Table 6. Determinants of Unemployed Females’ Job Search Intensity (N)
(Ordinal logistic estimation, probabilities modeled are of higher search intensity)

<table>
<thead>
<tr>
<th>Explanatory Variable</th>
<th>Estimate (B)</th>
<th>S.E.</th>
<th>Odds Ratio</th>
</tr>
</thead>
<tbody>
<tr>
<td>Age (reference category: 40+)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Age (1) &lt;15 -</td>
<td>-24.9</td>
<td>0.000</td>
<td>1.5E-11</td>
</tr>
<tr>
<td>Age (2) 15-29</td>
<td>0.513</td>
<td>0.013</td>
<td>1.67</td>
</tr>
<tr>
<td>Age (3) 30-39</td>
<td>0.837</td>
<td>0.014</td>
<td>2.31</td>
</tr>
<tr>
<td>Education (reference category: secondary and above)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Educational Level: below secondary</td>
<td>-0.06</td>
<td>0.012</td>
<td>0.94</td>
</tr>
<tr>
<td>Ever Worked Before (reference category: never worked before)</td>
<td>0.286</td>
<td>0.006</td>
<td>1.33</td>
</tr>
<tr>
<td>Wealth</td>
<td>0.178</td>
<td>0.002</td>
<td>1.19</td>
</tr>
<tr>
<td>Household Size</td>
<td>0.02</td>
<td>0.001</td>
<td>1.02</td>
</tr>
<tr>
<td>1/dependency ratio</td>
<td>-1.31</td>
<td>0.011</td>
<td>0.27</td>
</tr>
<tr>
<td>Head (reference category: head)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Not head</td>
<td>0.480</td>
<td>0.008</td>
<td>1.6</td>
</tr>
<tr>
<td>Region: Reference Category (Rural Upper Egypt)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Region (1)-Greater Cairo</td>
<td>0.001*</td>
<td>0.006</td>
<td>1.001</td>
</tr>
<tr>
<td>Region (2) – Alex. and Suez Canal</td>
<td>1.91</td>
<td>0.008</td>
<td>6.8</td>
</tr>
<tr>
<td>Region (3) – Urban Lower Egypt</td>
<td>0.60</td>
<td>0.006</td>
<td>1.82</td>
</tr>
<tr>
<td>Region (4) –Urban Upper Egypt</td>
<td>0.02</td>
<td>0.007</td>
<td>1.02</td>
</tr>
<tr>
<td>Region (5) – Rural Lower Egypt</td>
<td>0.4</td>
<td>0.005</td>
<td>1.49</td>
</tr>
<tr>
<td>Marriage (reference category: married)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Not married</td>
<td>-0.360</td>
<td>0.004</td>
<td>0.698</td>
</tr>
<tr>
<td>Selection term</td>
<td>-0.938</td>
<td>0.005</td>
<td>0.39</td>
</tr>
<tr>
<td>N</td>
<td>725</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Likelihood Ratio Chi-square</td>
<td>209558.1</td>
<td></td>
<td></td>
</tr>
<tr>
<td>DF</td>
<td>16</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Pr&gt;Chi-square</td>
<td>&lt;0.0001</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Notes: All estimates are significant at the 1% significance level, except for *.

6. Conclusion

Job search is a vital activity in the labor market. It is more important now than ever to raise females’ job search intensity if unemployment in Egypt is not to become more concentrated among females. However, there is insufficient empirical information on job search behavior in Egypt. This study evaluates the gender gap in search intensity in the Egyptian labor market, and the changes in this gap between 1998 and 2006, to examine what effect the transition towards a market-oriented economy away from the public sector employment guarantee is having on females’ job search intensity, and examines determinants of unemployed females’ search intensity.

The results show that between 1998 and 2006, the unemployed tended to search more intensively. However, this increase hides a gender gap. Females search less intensively than males in both 1998 and 2006. Moreover, the gender gap is wider and tends to increase among unemployed youth than among all unemployed workers. This gap is even wider excluding registering at public employment office from job search methods used. Females are not only less active in job search, but they are also still more dependent on the government to find work. Youth females are the least active in job search. This is due to the transformation of the Egyptian labor market which results in lack of job opportunities in the public sector, where females especially educated females used for decades to find what they consider relatively good quality jobs. This raises concerns about females’ labor market prospects and increases the need to focus on increasing females’ search intensity. Raising job quality in the private sector, ensuring enforcement of the labor law, forcing contracts and strong supervision is needed to make females, especially youth females, more optimistic about private sector jobs and hence to search more intensively outside the public sector.

There is an urgent need to support females’ job search through providing more information on job search methods, other than registering at public employment office. Providing such support through
schools and colleges might be helpful for educated females.

Examining determinants of females' search intensity reveals significant effects of personal, household characteristics and labor market conditions. There is an inverted U-shaped relation between age and females' search intensity. Females aged 15-39 are more active in job search than younger and older females. Among females aged 15-39, youth females (15-29) are less active than those aged 30-39. Education and existence of previous work experience positively affect females' search intensity. Females living in larger households with high dependency ratio are more active in job search. Females in labor markets with high unemployment are obliged to search more intensively to find work.

References


Modeling the Dynamics of Money Income in Nigeria: a Co-Integration Approach

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Abstract This study examined the relationship between real output, monetary aggregates, price, interest rate and exchange rate using Nigerian data. Analysis of the time series properties of the data revealed that the series are cointegrated which indicated that there is a long-run relationship among the variables. We specified an error correction model to analyze the nature of relationship among the variables. The data for the analysis were sourced mainly from the publications of the Central Bank of Nigeria. The result of the parsimonious model revealed that the error correction term of the broad money model came out with the right sign and significant, implying that a shock is rapidly (39%) accounted for in subsequent periods. A one period lag of real exchange rate and price has a negative relationship with output and significant while M2 and interest rate are positively related to real output and also significant. The result of the variance decomposition analysis revealed that the Nigerian data supports the Monetarists' explanations of business cycles and recommends however that a combination of both monetary and fiscal policies be explored by the relevant authorities.

Keywords: Monetary aggregates, cointegration, Nigeria, exchange rate Interest rate VDC

1. Introduction

The relationship between the trend growth in money stock and business cycle fluctuations has for long been a subject of intense controversy. Hasan (2010) neatly classified the related literature into two broad groups namely: equilibrium theories comprising of the classical school, monetarists, new classical and the real business cycles theories. The other group - disequilibrium theories comprised of the Keynesians and the new Keynesian schools.

The ‘equilibrium’ theories opined that output and employment in the economy always tend to hover around the equilibrium level. According to them, a movement away from equilibrium levels is caused by monetary or real shocks. Freidman (1968), for example argued that changes in the growth rate of the money stock causes a movement of output from its equilibrium level. The new Classicalist however, contended that only unexpected movements in aggregate demand or money stock account for business cycles. The monetarist again recognized that in the short run, change in the trend growth of the money stock exerts a significant impact on output (Ajayi and Ojo 2006). On the other hand, the “real business cycle” (RBC) school contended that money supply is endogenous and a function of output which is determined by such exogenous factors as technology or real ‘stochastic shocks’ (Hasan 2010). The 'equilibrium' theories however reached a common conclusion on the long-run neutrality of money stock in affecting output and employment.

The ‘disequilibrium’ theories of business cycle as represented by the Keynesian and the new Keynesian economists contended that ‘aggregate demand’ shocks are the main causes of cyclical movements in output from its trend. The new Keynesians argued that actual demand policies determine real output and employment due to price and wage inertia (Gordon 1982), and hence concluded that stabilization policies “matter”. Although several papers have investigated the money-output nexus in Nigeria (see Ajayi and Ojo, 2006); Akinlo (2007); several of the issues are largely unresolved. For example
Chuku (2009) using a SVAR model found that price-based nominal anchors do not have a significant influence on real economic activity whereas the quantity based nominal anchors (M2) affect economic activities modestly. Other studies (Chimobi and Uche (2010), Odusola and Akinlo (2001), Egwaikhide, Chete and Falokun (1994), which investigated various aspects of output, inflation and money, reported mixed results. This provided the first justification for this study. Also, given the lack of consensus on the empirical literature on Nigeria money – output relationships, this study seeks to investigate the characteristics of the target-goal relationship among monetary aggregates and output, prices, interest rates and exchange in terms of an intermediate target and informational variable using Nigerian data set. This approach will enable us access the information content of monetary aggregates so as to see whether monetary aggregates are informative about future movements in the variables of interest. Our findings will reveal which of the business cycle theories explain the Nigerian situation. The remainder of the paper is organized in sections. Following this introduction, section 2 presents a brief review of the related literature. Section 3 describes the methodology. Section 4 discusses the empirical results while section 5 concludes.

2. Review of Related Studies / Theoretical Anchorage

Understanding the sources of business cycles is an issue that has elicited much theoretical and empirical research. As noted earlier, between the Keynesians, monetarists and real business cycle schools was the controversy over the relative effectiveness of monetary and fiscal policies. Thereafter, several studies investigated the relationship between money and income. In presenting this review we shall organize it in two parts. First, we shall review studies based on developed and developing countries and second, we shall review those that are based on Nigeria.

Friedman and Schwartz (1963) contended that there is a strong correlation between monetary aggregates and output and submitted that innovations in monetary variables have the potential for remedying cyclical fluctuations. However Bernanke and Mihov (1998) argued that the effectiveness of monetary policy will depend on the type of instrument used because the growth rate of monetary aggregates could be exogenously determined.

Employing time series data and standard co-integration methodology, Abbas and Husain (2006) investigated the relationship between money and prices in Pakistan and concluded that a long-run relationship existed among money income and prices. The study also reported a bi-directional relationship between money and inflation. Hossain (2005) using Indonesian data also found similar results as the study reported that given economic growth, there existed a long-run causal relationship between money supply and the level of inflation.

Agenor (1991), Morley (1992), pooling data from several countries investigated the effects of devaluation on output growth. Using regression methods, both studies reported that depreciation of the level of the real exchange rate exerted a contraction effect on output growth. Rodriguez and Diaz (1995) fitted a VAR model to Peruvian data in efforts to determine the nature of cycles in that country. The study reported that output growth was explained by its own shocks. A similar result was reported by Ndung’u (1997) for Kenya. Ndung’u also reported that there is a bi-directional causality between inflation and exchange rates.

Hasan (2010) investigated the characteristics of target-goal relationship and output, prices, interest rates and exchange rates in terms of a good intermediate target. He employed a five-variable VAR analysis using India data and found that M1 and M2 may not serve as good intermediate targets. The result also showed that the interest rate is subject to a feedback from the non-policy variable such as price.

Odusola and Akinlo (2001) examined the link among naira depreciation, inflation and output in Nigeria. The study revealed the existence of mixed results on the impacts of exchange rate depreciation on output. The study also found that the impacts of the lending rate and inflation on the output were negative and that output and parallel exchange rate are the major determinants of inflation dynamics in Nigeria. The study however did not investigate the role of monetary aggregates on output.

Chimobi and Uche (2010) investigate the relationship between money, inflation and output in Nigeria and found that M2 appears to have a strong causal effect on real output and prices. The study found no long-run relationship between money supply, inflation and output in Nigeria. This result is rather surprising.

Chuku (2009) examined the effects of monetary policy shocks on output and prices using a structural vector auto regression approach on Nigerian data series. The study found that monetary policy
innovations have both real and nominal effects on economic parameters depending on the policy variable selected. The study also concluded that price-based nominal anchors (for example minimum rediscount rate and the real exchange rate) do not have a significant influence on real economic activity. The study failed to analyze the long-run equilibrium relationship.

3. Materials and Methods

3.1 Data

The data used for this study are annual series covering the period 1970 – 2009 on five variables as described below:

\[
\begin{align*}
\text{RGDP} &= \text{real output} \\
M_1 &= \text{narrow money} \\
M_2 &= \text{broad money} \\
\text{CPI} &= \text{Price Index} \\
\text{IR} &= \text{Interest rate} \\
\text{REER} &= \text{real exchange rate}
\end{align*}
\]

All the variables except RGDP and REER are in nominal. Before proceeding with the estimation, the time series properties of the data must be carefully evaluated so as to avoid spurious regression (Engel and Granger (1987). In this regard the Augmented Dickey Fuller (ADF) test was considered good given the fairly large size of the data sets (Enders). The results of the ADF unit Root test is reported in table 1 below.

Table 1. ADF Unit Root Test

<table>
<thead>
<tr>
<th>Variable</th>
<th>ADF Test Statistic at Levels</th>
<th>ADF Test Statistic at 1st difference</th>
<th>Order of Integration</th>
</tr>
</thead>
<tbody>
<tr>
<td>M_2</td>
<td>-0.0803</td>
<td>-3.7844</td>
<td>1(1)</td>
</tr>
<tr>
<td>M_1</td>
<td>-0.4190</td>
<td>-7.0566</td>
<td>1(0)</td>
</tr>
<tr>
<td>IR</td>
<td>-1.4577</td>
<td>-5.0069</td>
<td>1(1)</td>
</tr>
<tr>
<td>RGDP</td>
<td>-2.7615</td>
<td>-8.7277</td>
<td>1(1)</td>
</tr>
<tr>
<td>REER</td>
<td>-0.2128</td>
<td>-3.6480</td>
<td>1(1)</td>
</tr>
<tr>
<td>CPI</td>
<td>-2.9180</td>
<td>-0.6313</td>
<td>1(0)</td>
</tr>
</tbody>
</table>

Source: Authors computations.

From the results of the ADF unit root tests, M_1 and CPI are found to be stationary at levels while the other variables are 1(1). In specifying our models, the variables would be used at the levels at which they are stationary. The ADF test was also applied to the residual of the regression of a static model using the variables at levels. The result shows that it is stationary at levels.

Having confirmed the order of integration of the variables, we then test whether there is a long-run relationship between the dependent and the explanatory variables. The Johansen co-integration test was conducted. Table 2 below presents the Johansen co-integration test.
Table 2. Johansen Cointegration Test Result

<table>
<thead>
<tr>
<th>Hypothesized No. of CE(s)</th>
<th>Eigenvalue</th>
<th>Trace Statistic</th>
<th>5 Percent Critical Value</th>
<th>1 Percent Critical Value</th>
</tr>
</thead>
<tbody>
<tr>
<td>None*</td>
<td>0.784964</td>
<td>146.9114</td>
<td>94.15</td>
<td>103.18</td>
</tr>
<tr>
<td>At most 1**</td>
<td>0.712729</td>
<td>90.04431</td>
<td>68.52</td>
<td>76.07</td>
</tr>
<tr>
<td>At most 2**</td>
<td>0.445353</td>
<td>43.89319</td>
<td>47.21</td>
<td>54.46</td>
</tr>
<tr>
<td>At most 3</td>
<td>0.330614</td>
<td>22.08451</td>
<td>29.68</td>
<td>35.65</td>
</tr>
<tr>
<td>At most 4</td>
<td>0.177321</td>
<td>7.232938</td>
<td>15.41</td>
<td>20.04</td>
</tr>
<tr>
<td>At most 5</td>
<td>0.000296</td>
<td>0.010953</td>
<td>3.76</td>
<td>6.65</td>
</tr>
</tbody>
</table>

*(**) denotes rejection of the hypothesis at the 5%(1%) level.

Trace test indicates 2 cointegrating equation(s) at both 5% and 1% levels.

Source: Author's computations

From table 2, Trace test indicates 2 cointegrating equations at both 5% and 1% levels. Since there is growing evidence in favour of the trace statistics compared to the maximum eigenvalue statistics (Kasa, 1992), we accept the trace test results. This result shows that there is a long-run relationship between output, price and monetary variables which the monetary authorities may exploit in the formulation of monetary policies. Also the evidence of a cointegrating relationship rules out the possibility of spurious correlation and Granger non-causality among the real output, money stock, interest rates, prices and exchange rates. This permits us to specify a dynamic long-run equation between output and its determinants in the following form:

\[
\begin{align*}
\text{RGDP} & = a_0 + a_1 m_1 + a_2 \text{CPI} + a_3 \text{IR} + a_4 \text{REER} + e_1 - - (1) \\
\text{RGDP} & = b_0 + b_1 m_1 + b_2 \text{CPI} + b_3 \text{IR} + b_4 \text{REER} + e_2 - - (2)
\end{align*}
\]

Where
\[
\begin{align*}
a_1 > 0; a_2, a_3, a_4 < 0 \\
b_1 > 0, b_2 b_3, b_4 < 0
\end{align*}
\]

and \(e_1\) and \(e_2\) are the error terms.

Since the cointegration tests showed the existence of a long-run relation among the variables, we test for unit root of the residuals from the static regression of the variables at levels in (1) and (2) above. If they are found to be stationary, we then incorporate them into a dynamic long-run error correction specification of equations (1) and (2). The ADF unit root test on the residuals of (1) and (2) above shows that the residuals are stationary at levels, which is a further evidence of cointegration among the variables. The residual series generated in (1) and (2) above are then incorporated into (1) and (2) as the error correction term (ECM-1) and (ECM-2) respectively thus:

\[
\begin{align*}
\Delta \text{RGDP} & = h_0 + h_1 \Delta \text{RGDP} (-1) + h_2 \Delta m_1 + h_3 \Delta \text{CPI} + h_4 \Delta \text{IR} + \\
& + h_5 \Delta \text{REER} + \text{ECM} (-1) + U_1 - - - (1') \\
\Delta \text{RGDP} & = g_0 + g_1 \Delta \text{RGDP} (-1) - g_2 \Delta m_2 + g_3 \Delta \text{CPI} + \\
& + g_4 \Delta \text{IR} + g_5 \Delta \text{REER} + \text{ECM} (-2) + U_1 - - - (2')
\end{align*}
\]

Where, \(\Delta\) indicates first differences and \(\text{ECM}_1(-1)\) and \(\text{ECM}_2(-1)\) are the lagged error correction terms and the \(U_1, U_2\) and the error terms. The coefficient the of error correction term (ECM) depicts the speed of convergence to equilibrium in the event of a shock. In estimating equations (1') and (2') we adopted the general- to – specific
framework by specifying an over-parametised error correction model given the need to identify the main dynamic patterns in the model and to ensure that the dynamics of the models have not been restricted by a too short lag length (Komolafe (1995). For (1') and (2') we estimate the over-parametised versions using a lag length of 4 using the OLS methods. The over-parametised equation is then simplified until theory consistent and data coherent parsimonious result is achieved.

In the (1') model the results turned out to be weak and m; was not significant. We decided not to report the results. The result in the (2') equation turns out better and together with the VDC results reported latter in this study would enable us to analyse the dynamic relationships between output, price and monetary variables. Table 3 below presents the results of model (2').

4. Presentation and Analysis of Results

Table 3. Results of the parsimonious model

<table>
<thead>
<tr>
<th>variable</th>
<th>Coefficient</th>
<th>Std. Error</th>
<th>t-Statistic</th>
<th>Prob.</th>
</tr>
</thead>
<tbody>
<tr>
<td>DLREER(-1)</td>
<td>-0.698798</td>
<td>0.146390</td>
<td>-4.773544</td>
<td>0.0000</td>
</tr>
<tr>
<td>DLREER(-2)</td>
<td>-0.049846</td>
<td>0.155323</td>
<td>-0.320916</td>
<td>0.7506</td>
</tr>
<tr>
<td>CPI(-1)</td>
<td>-0.407148</td>
<td>0.198256</td>
<td>-2.053643</td>
<td>0.0483</td>
</tr>
<tr>
<td>DLM2</td>
<td>2.833005</td>
<td>0.586330</td>
<td>4.831761</td>
<td>0.0000</td>
</tr>
<tr>
<td>DLM2(-1)</td>
<td>0.656294</td>
<td>0.465277</td>
<td>1.410665</td>
<td>0.1690</td>
</tr>
<tr>
<td>DLIR(-1)</td>
<td>1.798383</td>
<td>0.409333</td>
<td>-3.349345</td>
<td>0.0001</td>
</tr>
<tr>
<td>ECM(-2)</td>
<td>-0.398301</td>
<td>0.118932</td>
<td>-0.3809</td>
<td>0.7506</td>
</tr>
<tr>
<td>C</td>
<td>0.170068</td>
<td>0.191139</td>
<td>0.889761</td>
<td>0.3809</td>
</tr>
</tbody>
</table>

R-squared          | 0.582358    | mean dependent var | 0.072560 |
Adjusted R-squared | 0.481548    | S.D dependent var  | 0.524013 |
S.E. of regression | 0.377308    | Akaike info criterion | 1.077301 |
Sum squared resid  | 4.128482    | Schwarz criterion  | 1.425608 |
Log likelihood     | -11.93008   | f- statistic       | 5.776776 |
Durbin-Watson stat | 1.728412    | prob (F-statistic) | 0.000295 |

Source: Author’s Computations

From table 3, the error correction term (ECM² (-1)) came out with the expected negative sign and is significant at the 1% level. The ECM² also indicates that the speed of convergence to equilibrium is 39.8%. That is, if there is a shock in RGDP, 39.8% of it will be eliminated in the next period.

From table 3 above, M² turns out to be positively related to RGDP and significant at the 1% level. This indicates that the monetary authorities could significantly affect economic activities and output by varying the level of broad money stock. The price level (CPI) has a negative relationship with real output suggesting that the level of inflation diminishes real output after a one period lag. Also from table 3, a period lag of the real exchange rate has a negative sign and significant at the 1% level. The observed negative sign indicates that with a lag length of 1, an inverse relationship exists between real output and real exchange rate. This tends to suggest that devaluing the naira will depress real output after a period lag. This is not surprising because the effects of devaluation in a mono-commodity driven economy on output would be negative. This result is similar to Agenor (1991) which found that depreciation of the real exchange rate exerted a contractionary effect on output. Edwards (1989), Agenor (1989) also found that at least in the short-run devaluation tended to reduce real output. The interest rate variable turns out to carry the unexpected positive sign and significant at the 1% level. This result however may be a reflection of the structural rigidities within the financial system in Nigeria. Overall the model results indicate that monetary aggregates, inflation and the real exchange rates have significant impact on the level of real output in Nigeria for the period under study. Although table 3 above indicated the nature of the relationship that existed among the dependent and explanatory variables, the causal links are not revealed. In order to analyze the dynamic characteristics of the major macroeconomic variables, variance decompositions (Sims 1980b) were computed and reported in table 4 below:
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Table 4. Variance Decomposition
Variance Decomposition of LRGDP:
Period
S.E
LRGDP
1
0.336546
100.0000
2
0.590500
39.20524
3
0.784811
24.70639
4
1.006993
15.13572
5
1.333859
8.673460
6
1.685055
5.434906
7
2.011620
3.847005
8
2.338682
2.908494
9
2.663098
2.297491
10
2.979236
1.878455
Variance Decomposition of LM 1:
Period
S.E
LRGDP
1
0.546010
0.020714
2
0.680863
0.268088
3
0.866591
1.007894
4
1.033077
2.034993
5
1.210964
2.696082
6
1.395703
3.491707
7
1.541157
4.170110
8
1.698173
4.546542
9
1.854138
4.697253
10
1.991615
4.934956
Variance Decomposition of LM 2:
Period
S.E
LRGDP
1
0.151546
2.254606
2
0.233603
3.186814
3
0.294073
3.516937
4
0.355693
2.707474
5
0.413746
2.269411
6
0.474837
1.938249
7
0.538025
1.724195
8
0.599394
1.569002
9
0.659138
1.400243
10
0.717170
1.255444
Variance Decomposition of LCPI:
Period
S.E
LRGDP
1
0.320049
4.795746
2
0.686271
4.100792
3
1.079932
4.670002
4
1.535291
5.025826
5
1.985173
5.247806
6
2.427241
5.487559
7
2.870806
5.491849
8
3.302137
5.404326
9
3.718096
5.315871
10
4.119531
5.189860
Variance Decomposition of LREER:
Period
S.E
LRGDP
1
0.391321
22.304331
2
0.813563
19.59768
3
1.379903
14.07459
4
1.954663
13.24347
5
2.509430
13.39319
6
3.102138
12.92985
7
3.685652
12.42608
8
4.239139
12.16827
9
4.771479
11.952662
10
5.279592
11.72515

LM1
0.000000
0.169322
1.706264
3.062250
6.746661
10.12044
12.75786
15.52422
18.64065
21.41777

LM2
0.000000
5.913950
5.343421
6,402075
6.515638
6.262935
5.309599
4.376942
3.730396
3.228665

LCPI
0.000000
46.45722
61.46154
70.47262
74.38396
75.14410
74.95247
73.81451
71.75638
69.62740

LREER
0.000000
4.830905
4.004690
3.237365
2.627742
2.344136
2.504584
2.632014
2.641623
2.691454

LIR
0.000000
3.423364
2.777692
1.689965
1.0525536
0.693474
0.628476
0.743814
0.933468
1.156259

LM1
99.97929
77.60380
52.37105
43.29075
34.07987
26.33891
21.89451
18.11708
15.20846
13.22675

LM2
0.000000
0.018763
8.744889
9.778459
8.323807
7.863753
7.714341
7.297221
6.843693
6.443445

LCPI
0.00000
18.06926
35.36399
43.03706
52.53939
60.12845
63.90419
67.30829
70.32722
72.15197

LREER
0.000000
2.695788
1.664802
1.226424
1.626414
1.534910
1.471120
1.567505
1.634818
1.747125

LIR
0.000000
1.344302
0.847376
0.632314
0.734440
0.642266
0.845727
1.163358
1.288559
1.495758

LM1
18.49341
22.05874
26.24487
34.09681
40.14559
43.66294
46.06115
48.05503
49.99580
51.55410

LM2
79.25198
73.06050
67.68628
59.64694
53.49631
50.07129
47.55946
45.26599
43.17221
41.51058

LCPI
0.000000
1.125122
0.945688
0.849422
0.629680
0.494187
0.387080
0.318266
0.266619
0.229356

LREER
0.000000
0.044392
0.076488
0.059696
0.142922
0.295102
0.419172
0.489836
0.526599
0.581991

LIR
0.000000
0.524436
1.529738
2.639659
3.316096
3.538234
3.848942
4.301876
4.638535
4.868522

LM1
0.376482
2.113304
3.725919
5.282651
7.918805
10.40039
12.93235
15.64614
18.10565
20.44460

LM2
13.88918
15.59152
14.68525
12.02237
9.998535
8.543192
7.264634
6.245704
5.408655
4.696366

LCPI
80.93859
77.87915
76.72493
77.34721
76.34498
74.71297
73.08680
71.11082
69.17771
67.29885

LREER
0.000000
0.129370
0.092411
0.200870
0.279000
0.405976
0.526364
0.640308
0.764417
0.876289

LIR
0.000000
0.185861
0.101491
0.121067
0.210877
0.449913
0.698007
0.952702
1.227700
1.494037

LM1
2.662038
2.783426
1.274405
0.657479
0.508072
0.963123
1.884498
2.924263
4.161570
5.604418

LM2
1.149860
4.418570
7.370960
7.929660
7.718865
7.494894
7.125137
6.534222
5.891938
5.361338

LCPI
9.064654
43.30481
63.47817
69.70292
72.67730
74.60927
75.60153
76.06954
76.09470
75.64067

LREER
64.81914
29.14997
12.58757
7.363516
5.000472
3.543407
2.633872
2.025007
1.608823
1.318516

LIR
0.000000
0.745539
1.214311
1.102957
0.702096
0.459453
0.328882
0.278695
0.290352
0.349902

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Variance Decomposition of LIR:

<table>
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<tr>
<th>Period</th>
<th>S.E</th>
<th>LRGDP</th>
<th>LM1</th>
<th>LM2</th>
<th>LCPI</th>
<th>LREER</th>
<th>LIR</th>
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<tr>
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<td>0.193450</td>
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<td>0.734898</td>
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<td>7.382017</td>
<td>1.768889</td>
<td>31.03861</td>
<td>19.77943</td>
<td>28.79737</td>
</tr>
<tr>
<td>3</td>
<td>0.365765</td>
<td>10.34328</td>
<td>18.34470</td>
<td>7.484536</td>
<td>21.38906</td>
<td>16.37328</td>
<td>26.06515</td>
</tr>
<tr>
<td>4</td>
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<td>15.72133</td>
<td>13.06714</td>
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<td>15.96339</td>
<td>26.88982</td>
</tr>
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<td>6</td>
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<td>6.752513</td>
<td>18.07932</td>
<td>20.93781</td>
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<td>14.10324</td>
<td>25.70494</td>
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<tr>
<td>7</td>
<td>0.618443</td>
<td>5.723617</td>
<td>16.32974</td>
<td>23.02032</td>
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<td>0.726487</td>
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<td>13.71807</td>
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<td>12.22751</td>
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<td>24.24829</td>
<td>10.98946</td>
<td>21.63461</td>
</tr>
</tbody>
</table>

Cholesky Ordering: LRGDP, LM1, LM2, LCPI, LREER, LIR

Source: Authors computations using Eviews

The variance decomposition shows the proportion of forecast error variance for each variable that is attributable to its own innovation and to innovations in the other endogenous variables. The variance decomposition also can be interpreted as the causality flows from one variable to the other. In this sense the variance decomposition conveys a sense of dynamics of the system. Hasan (2010) opined that since variance decompositions account for the absolute size of an economically important variable regardless of its statistical significance, we caution therefore that the causal inferences embodied in our earlier models may be different from those causal inferences obtained in the variance decomposition analysis.

From table 4, RGDP ‘own shocks’ variation ranged from 1.9% to 100% over the ten year horizon. At the end of ten-period forecast horizon M2 innovations explain 3.22% of the forecast error variance of real output (RGDP) while RGDP innovations only explain 1.25% of the variation in M2. This demonstrates that the causality flowing from M2 to real output is stronger than a reverse causality from output to M2. Also, at the end of ten-period forecast horizon, M1 innovations explain 21.4% of the forecast error variance of real output while RGDP innovations only explain 4.9% of the variation in M1. The causality from M1 to RGDP is stronger than the reverse causality. IR innovations explain 1.49% of the forecast error variance in CPI at the tenth-period horizon which implies a weak price effect while CPI explains 24.2% of the forecast error variance in IR which means that a strong causality runs from CPI to IR. Price (CPI) innovations explain 72.2% and 22.9% of the forecast error variance in M1 and M2 respectively at the end of tenth-period forecast horizons which suggest a strong causality runs from CPI to money stock.

As for exchange rate, CPI innovations exert a significant and discernible effect (75.6%) on the movement of exchange rate whereas RGDP innovations exert a weak effect (11.72%, table 4) on the movements of exchange rates.

To sum up, although M1 did not perform well in our error correction model, yet the variance decomposition results indicate that M1 exerts a discernible impact on income (RGDP), suggesting that M1 is a leading indicator in explaining output. This result may be due to the fact that Nigeria is largely a “cash” economy. From table 4, we observe that movements in M1 and M2 also result from movements in the goal variables such as prices (72.5% for M1) and real output. We attempt to conclude then that the use of M1 and M2 as intermediate targets for monetary policy may not be too effective. For price (CPI) variability, innovations in M1, M2 and RGDP explain the bulk of movements observed in price. This implies that M1 and to a little extent M2 may serve as an appropriate monetary aggregate to attain the goal of price stability. For IR variability, innovations in price (CPI), M2 exchange rate and M1 explains the substantial movement in interest rates (IR). Hence exchange rate, price and M1 may serve as the appropriate price and monetary aggregates to control interest rates.

5. Conclusion

The identification of the empirical characteristics of monetary aggregates in terms of a good intermediate target and informational variable is less investigated in Nigeria. We adopted a cointegration approach in an attempt to fill this gap.

The study revealed that a long-run relationship exists between real output, monetary aggregates and price. The one period lag of real exchange rate, broad money and the one period lag of interest rate as
well as one period lag of price are significant in explaining movements in real output within the Nigerian economy. Innovations in the price level (CPI), broad money (M₂) and exchange rates explain substantially (see, table 4) movements in interest rates. These variables could serve as appropriate aggregates to control interest rates. Output growth was explained weakly by its "own shocks" (table 4)

Since movements in M₁ and M₂ also result from movements in the goal variables such as prices and output (see table 4), the use of M₁ and M₂ as intermediate targets for monetary policy may be effective. Overall, these results are supportive of the Monetarists explanation of business cycles. Given these results, which indicate the information content and forecasting value of monetary aggregates (M₁, M₂) and interest rates, monetary authorities in Nigeria should adopt a wider range of real and financial variables as well as fiscal actions that are mutually supportive in the management of the domestic economy.

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Lima: Banco Central de Reserva del Peru.
Regional Competitiveness and Development with the Reference to the Situation in Albania

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Abstract Democratic Albanian local governance is a prerequisite to the meaningful decentralization of infrastructure management. When people participate in defining visions for sustainable development for their communities, in formulating strategies for equitable access to services and resources and in setting priorities for action, they have endorsed. Participation also sharpens their awareness of the interrelations between economic, social and environment issues. This is a highly significant feature of infrastructure Albanian programs and carries important role for local development. This Albanian reform allows banks to better evaluate the creditworthiness of potential borrowers, facilitating access to credit for firms and individuals. Albania also strengthened investor protection. A new company law requires that disinterested shareholders approve transactions between interested parties and obligates those parties to disclose all information on the transaction to the public. The law also reinforces directors’ duties and requires directors, when found liable, to pay damages and return profits to the company. A new bankruptcy law approved during 2008 provides a more efficient framework for closing a business.

Keywords: Reform of public health, Sustainable Infrastructure Program, Network of drinking water, Private organizations, Efficiency of financial resource.

1. Introduction

There is need to invest in training and employing public health professional available with appropriate skills as well as health manager. There has been substantial improvement in education of the health managers and public health professional etc, by establishing the new programs as well as the schools, however, varies considerably between countries. Reforms which were initiated are more fragmented with pilots and local initiatives but are not consistently implemented within national policies. Those changes focus on:

- Reducing direct state involvement through decentralization.
- Privatization reform orienting various actors to market forces and competition improving the guidelines of resource allocation decision. Also there is a particularly urgent need to increase the availability of public health mangers in those countries that are introducing market-based health sector reforms. The purpose of this paper is to present an overview of the current situation in general status of health care system the role of government and public investment on the health care system, a portrait of the organization of the latter, the current situation of training in public health administration and management as well as the overview of the current education practice in the area of health administration. (Albania - Rural Water Supply and Sanitation Strategy, 2009)
2. Objectives

2.1 Water Infrastructure in Albania.

Despite good progress in those areas, Albania needs to do more to improve its ranking in other indicators. In addition, much remains to be done because the report doesn't measure other important indicators that have significant impact on the business climate like corruption, infrastructure and the efficiency of the public administration. Reform of public health function will succeed only if there are enough professional available with appropriate skills.

Our nation enjoys the health, economic, and environmental benefits of an extensive network of drinking water, wastewater, and storm water infrastructure. However, those systems are quietly aging beneath our feet. If those systems are to continue to provide the services we have come to expect, we need to change the way we think about and reinvest in that infrastructure. EPA is partnering with a broad group of stakeholders to help ensure our water infrastructure keeps working effectively. Visit our sustainable water infrastructure pages to learn more about this growing challenge and how we can meet it. To meet the infrastructure challenge, we need to expand beyond traditional solutions.

The existing pattern of water supply and water quality services in the region is highly fragmented, with more than 1,000 providers operating in the multicounty region area, like many other metro areas in the United States, large-special purpose authorities such as the Allegheny County Sanitary Authority (ALCOSAN) can achieve substantial economies of scale through joint management agencies.

Although private organizations may not have direct voting power in what mix of organizations is chosen to implement the plan, they could very well influence how the public and its elected and appointed representatives make these choices.

Decentralization has given local governments the discretion and scope they need to take a lead role in responding to the challenges of economic downturn, degradation of the urban environment, and social hardship. They institute bold initiatives and innovative practices. Western European nations have put in place sophisticated frameworks to provide local governments with technical and financial assistance.

3. Methodology

The methodology of this research is creating the frame conditions for innovations and institutional system of innovation. The proposed definition of the field of entrepreneurship is complex, as is the phenomenon itself. It’s of interest only if it allows researchers to reach a minimum level of consensus on what the field is and is not.

3.1 Drinking Water Infrastructure Needs Survey and Assessment

Local water utilities must make significant investments to install, upgrade, or replace equipment in order to deliver safe drinking water and protect public health. Every four years, EPA conducts a survey of the anticipated costs of these investments and reports the results to Congress. The results are also used to help determine the amount of funding each state receives for its Drinking Water State Revolving Fund program, which funds the types of projects identified in the survey.

Fig 1. Water system and need to invest

Source: (EINV 2009, STATISTIC)
The third report to Congress, released in 2009, is based on data collected from utilities in 2007. EPA found that the nation’s 53,000 community water systems and 21,400 not-for-profit non community water systems will need to invest an estimated $334.8 billion between 2007 and 2027. The European Union supplements these national programs with coordinated assistance aimed at promoting economic development, assisting distressed localities and fostering social inclusion. Infrastructure is an important component of these programs. (Official Journal of the European Communities, L175, pages 40-48).

- Inefficiency because the health system is highly centralized, bureaucratic and unresponsive to citizens.
- The public sector has suffered from serious shortages drugs and equipment and a lack of skills to manage the institutions.

The consequences of those problems have been shown in: declining the level of quality of care and declining staff. The World Bank report 1993 (investing on Health) pushed forward debate in the role of governments in health by combination of the three key issues such as:

- Investment in health of the poor can reduce the poverty and its consequences in health status, improving government spending in health such as (finance package of communication disease)
- Promote diversity and competition in provision of health services increasing the private sector and improving the mechanisms of health insurance and helping them how those markets function

The WHO regional office for Europe’s in “Health 21” offers a pragmatic approach to link the health improvement to the development of economic and social infrastructure.

3.2 The Current Situation in Albania Management Health System and the Role of Government on it.

After the breakdown of the state socialism some changes have occurred in the legal framework as well as in the governmental policy and reimbursement of health care. The goal of the government’s strategy for economic development during the 2001-2004 the Ministry of Health with its district-level branches, the body for policy formulation, decision making and management. During the first public administrative reforms in 1990 more administrative authority has been taken away from the centre authority and given to the regional. The MOH has yet the important role on controlling health budget because remains the major funder and provider of health care services. A state welfare system in early 1990 has provided a small benefit for unemployment and those officially below the poverty line.

However, the benefits are meagre (basic benefit per month is about 18%) and the administration of the programs inconsistent like this graph.

![Image of infrastructure of drinking water](MOH Report 2010)

The latest Public Investment Program (PIP) (three-year period) assumes rapid increases in the level of public investment linked to the increasing utilization of external financing. The sectors which have had the most success in securing external financing commitments for their projects have been transport, agriculture and social safety net, where total commitments secured during the years 1994-1995 represented more than 50% of the sector resource allocation for the 1995-1997 PIP.
By contrast, relatively little success was achieved in securing financing for the environment, housing, and urban and rural infrastructure. In 1993, the Government of Albania prepared a National Environmental Action Plan which includes an action program for short, medium and long terms actions as well as a series of priority projects related to sewage treatment, urban waste, deforestation etc.

The NEAP was approved by the Government in January 1994. On the basis of the NEAP, several environmental projects and programs are now being undertaken with the assistance of international donors such as the Environment Program for Albania- PHARE, the National Water Strategy- PHARE, Water treatment systems in different regions.

3.3 Water Using Sector and Health Problems

Albania has abundant water resources, composed of rivers, lakes, underground waters, springs and coastal waters. The basin of the Albanian hydrographical network is settled in the South Western part of the Balkan. The rivers of Albania are short in length and have small hydrographical basins because of the position of the country. Lakes are important components of the Albanian hydrographical network. In Albania, there are 247 natural lakes of various types and dimensions. The general water area of the Albanian lakes is 461 km².

Albania is a water-rich country, and much of its economic activity is dependent on the utilization of water resources. Over 90% of the energy production is from hydropower plants, while agriculture is critically dependent on irrigation. However, the inadequate and poorly maintained infrastructure in each of the water-using sectors and the absence of institutional co-ordination has resulted in the lack of water supplies becoming a key constraint to many economic activities and to satisfying basic social needs. (Albanian health care report 1999)

The Government's role in the management of water resources has been to develop and implement policies and strategies which promote the conservation and efficient use of water. For that purpose, the Government has begun the preparation of a National Water Strategy (with funding by the EU) to set out polices concerning the efficient management and protection of water resources, and to specify an appropriate legal framework for the management of water resources.

This involves measures to broaden the tax system, improvements in tax administration, elimination of the remaining price subsidies, rationalization of social services, public administration reform and utilization of external support. This, in turn, will require strengthening of institutional capacities for budgetary planning, accounting, reporting and expenditure control. In strong local government leadership and active community participation were keys to implementing an integrated plan involving urban planning, infrastructure, and economic development.

4. Conclusions and Recommendation

Sanitation presents even more problems than drinking water. Sanitation coverage in urban areas is almost the same as drinking water coverage. Urban areas have mostly combined sewage and storm water collection networks that discharge into near bay surface water-bodies. About 40% of the urban population has a sewer connection. In rural areas, only a small portion of the areas with piped water supply is equipped with sewer networks. Most rural areas have individual household wastewater collection systems, principally simple pit-latrines with no drainage pipes. Upgrading of sewer networks hasn’t kept pace with the general development of infrastructure, and the materials and technology used haven’t been improved.

Presently, there’s no treatment of wastewater in Albania; its discharge in water bodies, especially in coastal tourist areas and delicate ecosystems, is a major environmental concern for the government, business, community, wide public. The distribution problem also has a seasonal aspect: much more water is needed during the summer growing season; when rainfall is scarce, rural drinking water is often misused for irrigation; and the tourist resort areas use large amounts of water.

The main issues handled out in this presentation are: strengthening local government leadership and initiative; partnership between municipalities and NGOs; concluding all of these in the community-based approaches to infrastructure services and neighbourhood revitalization. The participatory municipal management process was institutionalizes ensuring representation of women and marginalizes groups.
1. promoting privatization of the housing stock and fostering the development of micro-enterprises
2. Ensuring the sustainability of activities initiated
3. Promoting the reliability of successful initiatives.

Albanian government will be reality these points:

- A dynamic local government leadership
- A coherent strategy acted upon with determination
- A healthy climate of cooperation with business
- Local government’s investment initiatives to jumpstart the stagnant economy
- Creative use EU funds to implement local policy
- Efficient municipal administration

Albania currently offers a great deal of opportunity for entrepreneurship. In recent years, Albania has been trying to promote entrepreneurship among the youth. The promotion of YES (Youth Entrepreneur Seminars) seminars has had a positive impact on the young prospective entrepreneurs. An institutional framework plays an important role for interactive learning which leads to innovation.

Now, the national institutional conditions for technological innovation are referred to as a national innovation system. Three basic functions have to be fulfilled by innovation systems: reduction of uncertainties by providing information, the management of conflicts and cooperation, and the provision of incentives. We can define a national innovation system as a complex of institutions, i.e. actors, in a nation, which are directly related with the generation, diffusion, and appropriation of technological innovation. Under this definition we can identify four groups of actors in a national innovation system, i.e. business firms, public research institutes, universities and government.

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Impact of Logging on non Timber Forest Products (ntfps) in the Rainforest of South Eastern Nigeria

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Abstract This study examined the impact of logging intensity on forest diversity in Iwuru, Akamkpa Local Government Area of Cross River State, South Eastern Nigeria. Specifically, it considered the effects of logging intensity on availability of non-timber forest products (NTFPs), which include timber species and non-timber tree species as well as shrubs and climber species with NTFPs values. The study depended largely on the collection of primary data through direct field measurements carried out during forest inventory exercises in sample plots with lightly logged, moderately logged, severely logged and unlogged tropical rainforest in the study area (Iwuru). The unlogged sample plots were of various sizes depending on the type and quantity of samples to be considered. The collected data were analysed using two types of analytical statistical models, that is, statistical means and analysis of variance (ANOVA). From the statistical mean analysis, the mean value for NTFPs ascribed as “good” decreases from unlogged sample plots (31.40), through lightly logged (13.68) to moderately logged (4.71) and intensively logged plots (0.79). However, more species recorded as “minimal”, “moderate” and “severe” were in highly logged plots. The result from the analysis of variance indicates a relatively high f-value of 4.749 and very low p-value of 0.003 indicating a significant relationship between logging and availability of NTFPs. It is established that logging intensity significantly affects the quality and quantity of NTFPs. The policy implications of findings are explored.

Keywords: logging impacts, non-timber forest products, rainforest, cross river state, Nigeria

1. Introduction

Tropical rain forests including those found in Cross River State are very rich in biodiversity. Such forests thus possess very wide varieties of economic trees with timber and non-timber forest products (NTFPs) yielding species, and several climbers and shrub species, which are vital sources of natural resources and household incomes for rural populations. These highly diverse varieties of species are also of great importance to regional and world economics (ODA, 1993; Park, 1992; CTA, 1994; CTA, 1995; Kokwara, 1994: Bisong, 1999; Ajake, 2000 and Balogun 1994).

According to Park (1992:57) commercial logging is a major disturbance of forest area and biodiversity. He stated that, “commercial logging poses a serious threat to tropical forests and is responsible for a quarter of the annual loss of primary rainforests around the world”. Laird (1999) also indicated that logging operations directly affects both present and future harvests of timber and non-timber forest products (NTFPs) as well as reduce species and forest structural diversity. Park (1992) further noted that selective logging methods are almost as destructive as clear-cut logging methods. In the selective logging operations, there is the need for access to selected trees of mature age through access
and log-retrieval roads or routes. This results in considerably high destruction of neighbouring and immature plants and tree species in the forest environment. This usually occurs because of the high species diversity. The loggable trees are thus often scattered, resulting in the need to destructively search through forests. The close arrangements and interconnectivity in the forest structure also result in induced bruising, breaking and destruction of surrounding forest species. The possible consequences on fauna diversity through habitat losses are usually very high (Gomez – pompa et al, 1972; Plumwood and Rontley 1982; Bowonder, 1987: world wide fund for Nature 1988: Sting and Dutilleux 1989; Cross 1990: Park 1992, Balogun 1994 and Bisong 1999).

Significant biodiversity losses could have ecological, economic, biotechnological, socio-cultural, educational and nutritional repercussions not only on local economies and human populations where they occur, but also on the entire human race.

In view of the above, it is clear that there is a dire need to examine the impact of logging operations on the THFs of Cross River State which has about forty percent of the remaining THFs of Nigeria and about seventy-five percent of its population inhabiting those forest areas. For this purpose Iwuru community in Akamkpa local government area (LGA) has been selected.

The pertinent questions to be asked are numerous and they include the following:

• What are the contributions of logging intensity to the quality and quantity of NTFPs of tree, shrub and climber classes?
• What logging strategies are appropriate for the minimization of damage to forest vegetation structure and composition?

The major purpose of this research is to identify the impact of logging operations on NTFPS diversity in the tropical rain forests (TRFs) of Iwuru Community in Akamkpa local government area (LGA). Logging shall be taken as the selective or non-selective extraction of economic trees for timber. Not included in this study is the impact of logging on fauna species.

As such the specific objective of this study include:

1. To examine the effects of logging operations on the quality and quantities of non timber forest products in tree, shrubs and climber species in the tropical rainforests of Iwuru Community.

2. To recommend possible approaches to the minimization of the negative effects of logging in the study area.

The null hypothesis tested in this study states:

“That logging intensity has made no significant contribution to the stocking rate and quality of non-timber forest products in Iwuru.”

1.1 Logging and non-Timber Forest Products (NTFPS)

Park (1992) has pointed out that the rainforests provides (apart from timber which can be extracted through logging operations) other wealth for people such as fruits, foodstuff, industrial raw materials and medicine. Thus, a wide spectrum of goods and services can be obtained from the rich store house of the rainforests. Kemp et al (1993) indicated that the role of non-timber forest products (NTFPs) is very important to the long-term conservation of the forest resources and genetic diversity. According to FAO (1984 and 1985) the concern for NTFPs as regards in situ conservation of genetic resources can be dually considered. Firstly for the contributions to the conservation and management of forest resources and secondly because of their intrinsic values as part of the genetic diversity of the ecosystems.

John 1992, Dykstra and Heinrich 1992 and Whitmore 1991 in Laird (1999) acknowledged that logging operations have direct effect on present and future harvests of timber and NTFPs. This can result in the reduction in species and distortion of forest structural diversity. Based on studies by Johns 1988 and ulh and Viera 1989 carried out in Eastern Amazon, for instance, it was observed that in order to log 52m3/ha or eight trees, logging operations destroyed 26% of other tree stands. The consequences on the growth of NTFPs, soil compaction and fertility and topsoil are very high.

Logging roads construction inflicts direct damage to forest species, with badly planned logging operations taking up between 6-20 percent of forest area for road network (uhl and Vieira 1989; Johns 1992: Johnson and Lindgreen 1990 in Laird, 1999). The most severe damages by logging roads to non-timber forest products is through the access roads which opens the forests, wildlife and NTFPs diversity to exploiters (Wilkie et al, 1992, Caldecott 1989).

Laird (1999) pointed out that selective logging systems cause damage which is usually patchy because of varying population densities of traded NTFPs, while such species with limited geographical ranges, poor dispersal ability and few seedlings in the understorey have little survival chances if exposed
to high logging intensities. Such damage is highest in rare and specialized species. However logging operations can promote the well being of some NTFPs species which thrive better in disturbed forests and roadsides.

2. Method

2.1. Study Area

The study area selected for this study include the tropical rain forests of Iwuru community (Latitude 05° 24’ 03’’ and longitude 08° 13’ 19’’) in the Akamkpa local government area (LGA), South-eastern Nigeria. Akamkpa local government area of Cross River State (CRS) has its administrative headquarters in Akamkpa. (Latitude 5° 18’ 45’’ and Longitude 8° 21’ 10’’). The climate of Iwuru and indeed the whole Akamkpa LGA is tropical humid in nature. The rainfall is usually between 250 to 500 millimeters from November to April. Between the months of May and October precipitation rises above 2000 millimeters. Annual rainfall ranges between 2000-3000 millimeters. The temperature ranges between 25°C-27°C around January, but in July it hovers slightly above 30°C. Humidity is about 75-95 percent in January, but towards the end of the year humidity reduces gradually to culminate in the harmattan period (Asuquo 1987). These unique combinations of high rainfall, humidity and temperature have interplayed to develop an equally unique, highly complex and most diversity rich vegetation which is ever green all year round.

The vegetation is evergreen tropical rainforest which is a form of closed forest of which both the tropical moist deciduous, deciduous and semi-deciduous forests found outside West Africa also belong.

The tropical rainforest is a unique community of plants and animals (park, 1992). This ecological zone in Iwuru is thus highly rich in biodiversity like all other Tropical Rain Forests (TRFs). The average tree heights range between 50 to about 65 metres and sometimes above this latter height. The forest is home to highly valuable tropical hard woods and non-timber forest products on which the rural and regional economies depend.

2.2. Method

This research depended on only primary data collection. This is obtained from field measurements carried out in the tropical high forests of the study area. Thus, secondary data were not utilized for the testing of hypotheses.

2.2.1. Stock Inventory Method

The study of field measurement adopted for this study is the stock Inventory Method (SIM). Field observations and measurements were carried out on twenty-four types of sample plots with different logging intensities. This ranged from the Unlogged plot for control, to the lightly, moderately and severely logged plots. Measurements on each of these plots were the number of forest trees felled, number and levels of trees damaged, number of trees and seedlings (natural regeneration) affected as well as quantity and quality of non-timber forest products in logged and unlogged plots laid in the tropical rainforests of the study area.

2.2.2. Sampling Technique

The stratified random sampling technique was employed for the collection of primary data in order to ensure that relevant areas with different logging activities were sampled. A total of 24 sample plots were laid with Unlogged, lightly logged, moderately logged and severely logged plots having six each. Fig. 1 shows the layout of the plot. Each plot was one-hectare (100m x 100m). Trees from 30cm dbh and above were considered while seedlings from 5cm and above in height were enumerated.

3. Classification of Plots

Plots were classified into Unlogged, lightly logged, moderately logged and severely logged. The level of canopy cover and the number of trees (30cm and above) per hectare influenced this classification. For instance, a plot was classified as unlogged when there was 90 – 100% canopy cover and the availability of
about 150 trees with dbh 30cm and above. Lightly logged plots had about 70% canopy cover with about 120 trees with dbh 30cm and above. For moderately logged plots, the canopy cover was about 50% with about 70 trees of the prescribed dbh per hectare. Severely logged plot had about 40% canopy cover with about 35 trees of the said dbh per hectare.

Figure 1. Layout of Sample Plots of One Hectare each for the collection of data on Impact of Logging on Forest Regeneration, Stocking, Non-Timber Forest Products (NTFPs) and Damage to Unlogged trees.

Source: Researcher’s Field Work Design

3.1. Classification of the Level of Destruction of Plants by Logging

Indicators for quality of plants sampled were “Good”, “Minimal”, “Moderate” and “Severe”. A plant was regarded as “Good” where there was no visible sign of injury on it. The term “Minimal” was used where there was a slight injury on the plant e.g. slight debarking while “Moderate” was applied where at least a branch of the plant was broken and “Severe” where the plant was uprooted or killed. The extent of damage to trees in the sampled plots were used as indicators to determine the quantity (stocking level) and quality of NTFPs in the sampled plots.

4. Flora/Fauna Species, non Timber Forest Products (NTFPS) And Their Utility Value

Tables 1 and 2 respectively show some NTFPs, flora/ fauna species and their use value. NTFPs commonly occur in the logging sites and are depended upon by communities for food, drink, snacks and construction purposes. The medicinal value of the forest management (flora/ fauna) are also indicated.

Table 1. Non-Timber Forest Products Found In Iwuru Tropical High Forests and Their Uses

<table>
<thead>
<tr>
<th>S/n</th>
<th>Botanical names of non-timber forest products (NTFPS)</th>
<th>Venacular (Efik)</th>
<th>Common names</th>
<th>Uses</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>Gnetum africanum</td>
<td>Afang</td>
<td>Salad</td>
<td>Vegetable</td>
</tr>
<tr>
<td>2.</td>
<td>Labianthera africanum</td>
<td>Editan</td>
<td>-</td>
<td>Vegetable</td>
</tr>
<tr>
<td>3.</td>
<td>Hensia ernata</td>
<td>Atama</td>
<td>-</td>
<td>Vegetable</td>
</tr>
<tr>
<td>S/n</td>
<td>Scientific names of economic plant and animal species found in iwuru forests</td>
<td>Venacular names (Efik)</td>
<td>Common names</td>
<td>Uses</td>
</tr>
<tr>
<td>-----</td>
<td>--------------------------------------------------------------------------------</td>
<td>-----------------------</td>
<td>--------------</td>
<td>------</td>
</tr>
<tr>
<td>1.</td>
<td>Drypetes floribunda</td>
<td>-</td>
<td>Drypetes</td>
<td>Bark is used for the treatment of heart diseases</td>
</tr>
<tr>
<td>2.</td>
<td>Enantia chlorenta</td>
<td>-</td>
<td>-</td>
<td>Bark is used for the treatment of malaria fever</td>
</tr>
<tr>
<td>3.</td>
<td>Monninda lucida</td>
<td>Mbubuk ikon</td>
<td>-</td>
<td>Root and bark are used for the treatment of malaria fever</td>
</tr>
<tr>
<td>4.</td>
<td>Alstonia boonei</td>
<td>Ukpo</td>
<td>-</td>
<td>Bark is used for the treatment of sexually transmitted diseases</td>
</tr>
<tr>
<td>5.</td>
<td>Caesia ferrugina</td>
<td>Uten Ebua</td>
<td>-</td>
<td>The root is used as an aphrodisiac</td>
</tr>
<tr>
<td>6.</td>
<td>Schomato-phytum magnificum</td>
<td>-</td>
<td>-</td>
<td>This is used in the production of anti-snake venom</td>
</tr>
<tr>
<td>7.</td>
<td>Fagara species</td>
<td>Ukek</td>
<td>-</td>
<td>The bark of this plant suppresses sickle cell anaemia</td>
</tr>
<tr>
<td>8.</td>
<td>Milicia excels</td>
<td>Offriyo</td>
<td>Iroko</td>
<td>Has anti-fungal action</td>
</tr>
<tr>
<td>9.</td>
<td>Garcinia mannti</td>
<td>Okok</td>
<td>Chewing stick</td>
<td>Has anti-bacterial properties which prevents tooth decay</td>
</tr>
<tr>
<td>10.</td>
<td>Carica papya</td>
<td>Pawpaw</td>
<td>Pawpaw</td>
<td>Treatment of boils, swellings and malaria fever</td>
</tr>
<tr>
<td>11.</td>
<td>Nauclea latifolia</td>
<td>-</td>
<td>Opepe</td>
<td>Leaves used to remedy stomach infections</td>
</tr>
<tr>
<td>12.</td>
<td>Elaeis guineensis</td>
<td>Eyop</td>
<td>Palm tree</td>
<td>Leaves used to treat cough. Kernel oil is used in preparation of antidote against poison, juvenile epilepsy, convulsion and Skin diseases are treated with preparations from palm trees</td>
</tr>
<tr>
<td>13.</td>
<td>Bryophyllum pinnatum</td>
<td>-</td>
<td>-</td>
<td>The leaves are used to cure respiratory diseases such as asthma, whooping cough and bronchial problems</td>
</tr>
<tr>
<td>14.</td>
<td>Harungana Madagascarienses</td>
<td>Oton</td>
<td>-</td>
<td>Leaves are used to cure skin infections while latex are used to cure fresh wounds</td>
</tr>
</tbody>
</table>
5. Impact of Logging Intensity on non-Timber Forest Products

The data in Table 3A to 3D was obtained from a stock inventory survey of non–timber forest products (NTFPs) in the tropical rainforests of Iwuru. The sample plots of one-hectare sizes each include plots, which are unlogged, lightly logged, moderately logged and intensively logged. Only tree species of 30cm dbh and above as well as shrubs and climbers with NTFPs values were enumerated.

Both the statistical means and Analysis of Variance (ANOVA) were adopted in analyzing the data, which was used to test the null hypothesis, which states “that logging intensity has made no significant contribution to the stocking rate and quality of non-timber forest products in Iwuru”.

The indicators for quality include such parameters as “Good” where there appears to be no visible injury to encountered plant species, “Minimal” where there is visible sign of body injury to an encountered plant species; “Moderate” where at least a branch of an encountered plant species was broken; and “Severe” where the enumerated individual species has been uprooted or is dead.

Based on the results of the statistical mean analysis of data in Table 3 as presented in table 4(A), we observed that the mean value for the total number of NTFPs found to be “Good” in Unlogged tropical rainforest sample plot is 31.400. This diminished to 13.6889 in the lightly logg ed tropical rainforest sample plot. The mean value further reduced from 4.7111 in the moderately logged tropical rainforest sample plot. to 0.7889 in the intensively logged tropical rainforest sample plot.

This shows a significant reduction in the quantity and quality of NTFP species graded as “Good” as logging intensity increases. This is corroborated by the percentage of total sum in table1 which shows distinct reduction from 52.1 percent in the Unlogged sample plot to 1.3 percent in the intensively logged sample plot. Both the columns presenting values on standard deviations and sum of totals also indicate similar trend.
<table>
<thead>
<tr>
<th>S/n</th>
<th>SPECIES</th>
<th>UNLOGGED PLOT</th>
<th>LIGHTLY LOGGED PLOT</th>
<th>MODERATELY LOGGED PLOT</th>
<th>SEVERELY LOGGED PLOT</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>Popn Minimal</td>
<td>Moderate Severe</td>
<td>Popn Minimal Moderate</td>
<td>Moderate Severe</td>
</tr>
<tr>
<td>6.</td>
<td>Dacroydes edulis</td>
<td>4 2 0 1</td>
<td>3 1 0 1</td>
<td>2 0 1 0</td>
<td>0 0 0 0</td>
</tr>
<tr>
<td>7.</td>
<td>Ricinodendron heudoliti</td>
<td>1 0 0 0</td>
<td>0 0 0 0</td>
<td>0 0 0 0</td>
<td>0 0 0 1</td>
</tr>
<tr>
<td>8.</td>
<td>Pentaclethra macrophylla</td>
<td>3 1 0 0</td>
<td>3 3 0 0</td>
<td>2 1 0 1</td>
<td>0 0 0 0</td>
</tr>
<tr>
<td>9.</td>
<td>Chrysophyllum giganteum</td>
<td>1 0 0 0</td>
<td>2 1 0 1</td>
<td>1 0 0 0</td>
<td>1 0 1 0</td>
</tr>
<tr>
<td>10.</td>
<td>Gentonia mannii</td>
<td>2 1 0 0</td>
<td>2 0 0 0</td>
<td>2 0 1 1</td>
<td>0 0 0 0</td>
</tr>
<tr>
<td>11.</td>
<td>Tetrapleura tetraptera</td>
<td>1 0 0 0</td>
<td>1 1 0 0</td>
<td>1 0 0 1</td>
<td>0 0 0 0</td>
</tr>
<tr>
<td>12.</td>
<td>Afzelia africana</td>
<td>0 0 0 1</td>
<td>0 0 0 0</td>
<td>0 0 0 0</td>
<td>0 0 0 0</td>
</tr>
<tr>
<td>13.</td>
<td>Poga eloesa</td>
<td>5 1 1 0</td>
<td>3 1 1 0</td>
<td>2 0 1 0</td>
<td>1 0 0 1</td>
</tr>
<tr>
<td>14.</td>
<td>Cola lepidota</td>
<td>1 0 0 0</td>
<td>0 0 0 0</td>
<td>0 0 0 0</td>
<td>1 0 0 1</td>
</tr>
<tr>
<td>15.</td>
<td>Milicia excelsa</td>
<td>1 1 0 0</td>
<td>0 0 0 0</td>
<td>1 0 0 0</td>
<td>0 0 0 0</td>
</tr>
<tr>
<td>16.</td>
<td>Canarium schweinfurthii</td>
<td>1 0 0 1</td>
<td>1 0 0 0</td>
<td>0 0 0 0</td>
<td>0 0 0 0</td>
</tr>
<tr>
<td>17.</td>
<td>Cala nitida</td>
<td>3 1 0 0</td>
<td>4 2 2 0</td>
<td>1 0 1 0</td>
<td>2 2 0 0</td>
</tr>
<tr>
<td>18.</td>
<td>Enanta chlorantha</td>
<td>2 0 0 0</td>
<td>2 1 0 0</td>
<td>0 0 0 0</td>
<td>1 0 1 0</td>
</tr>
<tr>
<td>19.</td>
<td>Diospyros classiflora</td>
<td>1 0 0 0</td>
<td>2 0 0 0</td>
<td>2 1 0 0</td>
<td>0 0 0 0</td>
</tr>
<tr>
<td>20.</td>
<td>Baillonella tucisperma</td>
<td>1 0 0 0</td>
<td>0 0 0 0</td>
<td>1 0 0 1</td>
<td>1 0 0 1</td>
</tr>
<tr>
<td>21.</td>
<td>Cylicodiscus gabunensis</td>
<td>0 0 0 0</td>
<td>1 0 1 0</td>
<td>0 0 0 0</td>
<td>0 0 0 0</td>
</tr>
<tr>
<td>22.</td>
<td>Diospyros piscatinal</td>
<td>2 1 0 0</td>
<td>2 1 0 1</td>
<td>0 0 0 0</td>
<td>0 0 0 0</td>
</tr>
</tbody>
</table>

Source: Researcher's Field Data

Table 3B. Quantity and quality of non-timber forest species enumerated in sample plot with different logging intensities
<table>
<thead>
<tr>
<th>S/n</th>
<th>SPECIES</th>
<th>UNLOGGED PLOT</th>
<th>LIGHTLY LOGGED PLOT</th>
<th>MODERATELY LOGGED PLOT</th>
<th>SEVERELY LOGGED PLOT</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Poptn</td>
<td>Minimal</td>
<td>Moderate</td>
<td>Severe</td>
<td>Minimal</td>
</tr>
<tr>
<td>27.</td>
<td>Xylopia aethiopica</td>
<td>3 1 0 1</td>
<td>1 0 0 0</td>
<td>0 1 0 0</td>
<td>0 0 0 0</td>
</tr>
<tr>
<td>28.</td>
<td>Cola pachycarpa</td>
<td>6 2 0 0</td>
<td>2 0 0 0</td>
<td>3 0 0 0</td>
<td>2 1 1 0</td>
</tr>
<tr>
<td>29.</td>
<td>Masionia acuminata</td>
<td>8 1 1 1</td>
<td>6 2 1 1</td>
<td>2 1 0 0</td>
<td>3 0 1 0</td>
</tr>
<tr>
<td>30.</td>
<td>Elaeis guineensis</td>
<td>1 1 0 0</td>
<td>0 0 0 0</td>
<td>0 0 0 0</td>
<td>0 0 0 0</td>
</tr>
<tr>
<td>31.</td>
<td>Monodora myristica</td>
<td>3 0 0 0</td>
<td>2 0 0 0</td>
<td>2 1 0 0</td>
<td>0 0 0 0</td>
</tr>
<tr>
<td>32.</td>
<td>Cola edulis</td>
<td>3 1 0 0</td>
<td>1 1 0 0</td>
<td>2 0 0 0</td>
<td>1 1 0 0</td>
</tr>
<tr>
<td>33.</td>
<td>Cona edulis</td>
<td>1 0 1 0</td>
<td>0 0 0 0</td>
<td>1 0 0 0</td>
<td>1 0 0 0</td>
</tr>
<tr>
<td>34.</td>
<td>Ceiba pentandra</td>
<td>4 0 0 0</td>
<td>2 0 1 0</td>
<td>0 0 0 0</td>
<td>0 0 0 0</td>
</tr>
<tr>
<td>35.</td>
<td>Drypetes floribunda</td>
<td>3 2 0 0</td>
<td>2 0 0 0</td>
<td>2 0 1 0</td>
<td>1 0 1 0</td>
</tr>
<tr>
<td>36.</td>
<td>Morinda lucida</td>
<td>0 0 0 0</td>
<td>1 0 0 0</td>
<td>1 0 0 0</td>
<td>0 0 0 0</td>
</tr>
<tr>
<td>37.</td>
<td>Inidea citita</td>
<td>2 1 0 1</td>
<td>0 0 0 0</td>
<td>2 0 0 0</td>
<td>1 0 1 0</td>
</tr>
<tr>
<td>38.</td>
<td>Parkia bicolor</td>
<td>2 0 0 0</td>
<td>1 0 1 0</td>
<td>0 0 0 0</td>
<td>0 0 0 0</td>
</tr>
<tr>
<td>39.</td>
<td>Raphia africana</td>
<td>0 0 0 0</td>
<td>2 1 0 0</td>
<td>1 0 0 0</td>
<td>0 0 0 0</td>
</tr>
<tr>
<td>40.</td>
<td>Dialim guineense</td>
<td>1 0 0 0</td>
<td>1 0 0 0</td>
<td>1 1 0 0</td>
<td>1 0 1 0</td>
</tr>
<tr>
<td>41.</td>
<td>Laphira elata</td>
<td>3 2 1 0</td>
<td>1 0 1 0</td>
<td>0 1 0 0</td>
<td>0 0 0 0</td>
</tr>
<tr>
<td>42.</td>
<td>Piptadenistra africana</td>
<td>3 0 0 0</td>
<td>1 0 0 1</td>
<td>1 1 0 0</td>
<td>0 0 1 0</td>
</tr>
<tr>
<td>43.</td>
<td>Pterocarpus milhaeddii</td>
<td>2 0 1 0</td>
<td>2 2 0 0</td>
<td>1 0 1 0</td>
<td>0 0 0 0</td>
</tr>
<tr>
<td>44.</td>
<td>Pycnanthus angolensis</td>
<td>6 1 0 1</td>
<td>3 0 0 0</td>
<td>3 0 2 0</td>
<td>2 0 0 1</td>
</tr>
</tbody>
</table>

Source: Researcher’s Field Data

Table 3C. Quantity and quality of non-timber forest species enumerated in sample plot with different logging intensities
Table 3D. Quantity and quality of non-timber forest species enumerated in sample plot with different logging intensities

<table>
<thead>
<tr>
<th>S/n</th>
<th>SPECIES</th>
<th>UNLOGGED PLOT</th>
<th>LIGHTLY LOGGED PLOT</th>
<th>MODERATELY LOGGED PLOT</th>
<th>SEVERELY LOGGED PLOT</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>Popn</td>
<td>Minimal</td>
<td>Moderate</td>
<td>Severe</td>
</tr>
<tr>
<td>51.</td>
<td><em>Newbouldia leavis</em></td>
<td>1</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>52.</td>
<td><em>Panda oleosa</em></td>
<td>3</td>
<td>1</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>53.</td>
<td><em>Saxoglotis gabonensis</em></td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>54.</td>
<td><em>Alchornea cordifolia</em></td>
<td>1</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>55.</td>
<td><em>Blighia sapida</em></td>
<td>2</td>
<td>0</td>
<td>0</td>
<td>3</td>
</tr>
<tr>
<td>56.</td>
<td><em>Mandia stipitata</em></td>
<td>7</td>
<td>0</td>
<td>1</td>
<td>0</td>
</tr>
<tr>
<td>57.</td>
<td><em>Zanthoxyum zanthoxyloides</em></td>
<td>1</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>58.</td>
<td><em>Albizia zygia</em></td>
<td>1</td>
<td>1</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>59.</td>
<td><em>Erythrophleum sauvelian</em></td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>60.</td>
<td><em>Gnetina arborea</em></td>
<td>1</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>61.</td>
<td><em>Hylocladon gabunense</em></td>
<td>8</td>
<td>2</td>
<td>1</td>
<td>0</td>
</tr>
<tr>
<td>62.</td>
<td><em>Anthocleista vogelii</em></td>
<td>1</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>63.</td>
<td><em>Diospyros species</em></td>
<td>1</td>
<td>1</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>64.</td>
<td><em>Lovoa trichiloidei</em></td>
<td>1</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>65.</td>
<td><em>Mammea africana</em></td>
<td>1</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>66.</td>
<td><em>Terminalia ivorensis</em></td>
<td>1</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>67.</td>
<td><em>Barteria fistulosa</em></td>
<td>2</td>
<td>0</td>
<td>1</td>
<td>0</td>
</tr>
</tbody>
</table>

Source: Researcher’s Field Data

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Table 4. Statistical Means of Differences in Quality and Quantity Non-Timber Forest Products in Sample Plots with Different Logging Intensities.

<table>
<thead>
<tr>
<th>Qty of NTFPs</th>
<th>Forest Type Logging Intensity</th>
<th>Mean Qty NTFPs</th>
<th>Mean N</th>
<th>Std. Deviation Qty NTFPs</th>
<th>Std. Deviation N</th>
<th>% of Total Sum Qty NTFPs</th>
<th>% of Total Sum N</th>
<th>Sum Qty NTFPs</th>
</tr>
</thead>
<tbody>
<tr>
<td>A Good</td>
<td>Unlogged</td>
<td>31.4000</td>
<td>90</td>
<td>185.8218</td>
<td>83.8382</td>
<td>52.1</td>
<td>6.3</td>
<td>2826.00</td>
</tr>
<tr>
<td></td>
<td>Lightly Logged</td>
<td>13.6889</td>
<td>90</td>
<td>43.8452</td>
<td>42.4542</td>
<td>22.7</td>
<td>78</td>
<td>1232.00</td>
</tr>
<tr>
<td></td>
<td>Moderately Logged</td>
<td>4.7111</td>
<td>90</td>
<td>24.4542</td>
<td>4.08820</td>
<td>78</td>
<td>83.9</td>
<td>424.00</td>
</tr>
<tr>
<td></td>
<td>Intensively Logged</td>
<td>0.7889</td>
<td>90</td>
<td>1.0</td>
<td>83.9</td>
<td>1.3</td>
<td>1.3</td>
<td>71.00</td>
</tr>
<tr>
<td></td>
<td>Total</td>
<td>12.6472</td>
<td>360</td>
<td>102.9314</td>
<td>4553.00</td>
<td>25.0</td>
<td>25.0</td>
<td>4553.00</td>
</tr>
</tbody>
</table>

Source: Researcher’s Field Data
In the same table 1(B), we also observed almost a totally similar trend except that the highest mean value is observed in the lightly logged tropical rain forest sample plot since species graded as “Minimal” were considered here (1.6556) while the next higher mean value is recorded in the Unlogged plots (1.6222), a difference of 0.0334, which is notably insignificant. The diminishing mean values for moderately and intensively logged sampled plots are 0.8556 and 0.6778 respectively. These indicate that qualitatively and quantitatively more species graded as “Minimal” were enumerated in lightly logged plots. The relatively high level of bruised individuals in the Unlogged plot may have been caused by natural processes of tree ageing and falling, thunderstorm damage, animal actions and so on; but when compared to the 31.400 mean value of “Good species in table 4(A), the relatively high level of bruised species in the unlogged sample plot may be considered as insignificant. Both the percentage of total sum and sum totals for table 1(A) confirm all earlier observations.

In table 4 (C & D), lightly logged plot recorded the highest statistical means for species graded “Moderate” (0.9222) and “Severe” (0.9667). This may be due to the fact that although the quantity of timber species extracted qualifies the plot as lightly logged, the methods and equipments adopted in logging operations may have caused more severe damage relative to other sampled plots. Table 4 (E) presents the totals for all the sample plots. This reveals very distinct disparities in the distribution of species when quantity is considered. The highest mean value reflecting highest population is recorded in the Unlogged plot (8.4806), the next higher value in the lightly logged plot (4.3383), moderately logged plot (1.7361) and the lowest statistical mean value in the intensively logged tropical rain forest sample plot.

Based on the observed highly significant disparity in the distribution of species with different quality values as shown especially in table 4 (A-D) and different quantity as especially shown in table 4 (E), the null hypothesis “That logging intensity has made no significant contribution to the stocking rate and quantity of non timber forest products in Iwuru is rejected and the alternative hypothesis “that logging intensity has made significant contributions to the stocking rate and quantity of non-timber forest products in Iwuru is accepted.

6. Conclusion and Recommendations

The findings from this research have revealed that logging intensity significantly influences forest flora diversity and that the higher the logging intensity, the greater the damage to the forest flora population. Consequently, these could have dire effect on the general forest ecosystem and severe implications on the availability of socio-economic, industrial and medical (health) dependent natural resources obtainable...
from this highly precious type of vegetation.

To ameliorate or totally eradicate these possible problems, the following recommendations have been made. These, if adopted, where relevant, would contribute immensely to the present strategies of governments, local and international, non-governmental agencies (NGOs) and other stakeholders in the conservation and management of the tropical rain forests of Cross River State and inevitably other similar regions in Nigeria, or else where in the world.

The concessional programme for allocation of tropical rainforests for logging should include the monitoring and actual co-ordination of the logging activities. Stock survey should be carried out while trees to be logged should be carefully selected and marked out by officials of the Forestry Commission. Severe penalties should be meted out to lawbreakers. Forest areas with rare endemic species should not be logged while sloppy areas, which are highly prone to erosion, should be excluded from logging.

There should be a compulsory system of replacement of at least three seedlings for every one tree logged. Emphasis should be given to indigenous species over exotic ones. No logging should be carried out close to stream and other perennial water sources. Participatory management strategies incorporating the multiple views and opinions of the various tiers of governments, communities, local and international non-government agencies (NGOs) should be encouraged.

The possible consequence of logging activities on NTFPs and wildlife populations on which rural populations depend largely should be a priority in the list of factors considered for granting logging concessions. Most productive NTFPs collection areas should be protected from logging operators. More environmental friendly logging strategies should be identified through increased research and encouraged. Minimum and maximum logging intensities for all logging concession areas should be stipulated and highly destructive machines and vehicles discouraged from the area.

The construction of logging roads and log retrieval trails should be planned before logging operations commence. This should be based on mapping strategies, which reduces the opening of the forest to other users (such as farmers, hunters and house developers) and at the same time reduces forest destruction.

The importance of forest disturbance and canopy openings to regeneration of certain commercially favored timber species and NTFPs should be identified and such moderate processes should not be totally discouraged. There should be-pre-logging environmental impact assessments, which culminates in the submission of environmental impact assessment reports on which logging operations can be adjustably executed.

An increasingly high proportion of the income from felled trees and NTFPs should go to the rural communities or individuals as the case may be. This would encourage natural resource conservation since the rural people so deprived of possibly using the forest areas for farming can still earn highly valuable income.

Logging companies and even powered chain-saw logging operators should be mandated to be involved in rural infrastructural development, employment of the members of the host communities and support of other socio-economic activities of such host rural settlements.

Adequate funds should be provided by government, individuals and Non-governmental Organizations (NGOs) with the view to raising nurseries and plantations. Also, more forestry personnel should be employed, trained and motivated in order to police the forest and reduce the indiscriminate felling of trees.

Research should be carried out by foresters to develop fast growing trees as well as those resistant to fire and pathogenic attack. Developed countries that produce a lot of green house gases should sponsor re-afforestation programmes in third world countries whole-heartedly. Cross River State, which has a high percentage of biodiversity, should be well considered.

Serious awareness campaign should be created Government and environmentalists on the important role played by the forest as the current national tree planting campaign are a mere ritual as well as radio and television propaganda. The negative impact of deforestation through logging should be made known to the masses.

A cheap and readily substitute for fuel wood should be sought immediately. Already there are kerosene and gas, which unfortunately are neither cheap nor readily available thereby, rendering trees vulnerable to destruction in Cross River State.

Environmental Laws should be revised and fully implemented to carry severe jail terms and fines. At present, very few if any defaulter had ever been prosecuted under those laws. Efforts should be made towards the domestication of some wild animals, economic timber trees and non-timber forest producing plants. Intensive agriculture where tree leaves and animal droppings are used to
fertilize the soil and several species of crops are planted on the same plot should be encouraged. This will reduce the technique of shifting cultivation and multiple use of the land will be enhanced leading to forest conservation.

Bush burning should be discouraged and where it is unavoidable, then fire tracing should be employed to prevent the fire from spreading beyond the proposed area.

References


Comparative Study of Work Output and Wages of Construction Craftsmen in the Nigerian Public Sector

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Abstract Work output of construction craftsmen in the service of the Federal Republic of Nigeria was the focal point of this study, compared on an annual basis to the wages they received. Comparison was also made of the wages in both the private and the public sectors. The aim of the research was to quantitatively verify the authenticity of the assumption of the general public of Nigeria that the skills of the craftsmen in the public sector were being underutilized. The Federal Government Ministry of Works offices in three of the north-central states were used for the survey. Each of the three state field offices had four departments that were having construction craftsmen of various trades as the core employees. Each of the twelve heads of departments was interviewed based on prepared questionnaire, on the volume of direct-labour work the department undertook annually. Records of the wages of the craftsmen were obtained from the accounts department while some craftsmen filled and returned questionnaire relating to their perception of the work. Percentages were used for data analysis. The results show that the wages of the craftsmen in the public sector were lower than the wages their counterparts in the private sector receive until the 1999 when the wages of the former were increased. It was equally found that the values of work output of the public sector craftsmen were infinitesimally small when compared to their wages over the period covered by the investigation. The employers were actually paying the wages of the craftsmen for work not done.

Keywords: Craftsmen, direct labour, public sector, wages, work output.

1. Introduction

Nigeria is still extremely short of trained, skilled and professional manpower, but in terms of the totality of the labour market, the former scarcity of wage labour supply has been transformed into almost a permanent surplus. In contrast to the pre-independent day, the problem now is how to stem the tide of rural migration to cities in search of wage employment. Indeed ninety-one million of the one hundred and forty million total Nigerian population are projected to reside in urban centres by the year 2025 (Ekpiwhre, 2009). The aim of the research was to quantitatively verify the authenticity of the notion of the general public of Nigeria that the skills of the craftsmen in the public sector were being underutilized.

2. Review of Relevant Literature

2.1 Characteristics of the Construction Industry Labour Market

Aggregating all construction site labour forces in Nigeria together would indicate that a large proportion
of the total working population of the country is involved. Indeed the National Population Commission (NPC), the Federal Office of Statistics (FOS), the Nigerian second and third national development plans put the population proportion of this group of the workforce in Nigeria as third after those of Agricultural workers and Sales workers respectively (NPC, 1998 and FOS, 1999). Andawei (2002) is of the opinion that the Construction Industry in Nigeria is the largest employer of labour. The industry participants who, though are from diverse disciplines, are mainly tradesmen and unskilled labourers. The buyers of labour in the construction industry are the employers, while each worker constitutes the sellers of labour.

Like any other industry, labour market for the building industry is comprised of: (a) public service sector (PSS), (b) organised private sector (OPS) and (c) informal private sector (IPS).

It is basically understood that the buyer of the construction labour is the Employer while each construction worker constitutes the seller of labour. The first two sectors operate a buyer’s market but the informal private sector is the seller’s market in Nigeria.

2.1.1. The Public Service Sector

This is a regulated market with the inflows (and sometimes the quits) highly under the control of the employer either by way of governments planning embargoes on employment and periodic retrenchment of labour force. This public sector policy prevents employment from growing. The direct labour projects with which the public sector building operatives were associated are seldom done any longer. Where it is carried out, it is of minimum extent and application. It more often ends up either abandoned or completed with compromised quality, excessive delays, high overhead costs or a combination of these.

Whereas in the real sense of it, direct-labour, by definition refers to the wages of the workers that actually manufacture a specific product, or the direct production cost which includes only those people who are directly making the product (Wikipedia). Direct-labour actually involves employees who are directly involved in the production of goods or services. Thus direct-labour costs are part of the costs that are assignable to a specific product, cost centre or work order (business dictionary, Toolingu).

2.1.2. The Organised Private Sector

This comprises mainly, of the multinational (foreign but indigenised) construction firms and wholly indigenous firms employing ten or more staff. The employer group here is dominated by the multinationals that are serviced by the Nigerian tradesmen. Mogbo (2002) observed that salaries and remuneration received by the tradesmen working in the multi-national firms, which although are higher than those offered by indigenous contractors of the same sector, are but a pittance compared to the volume of profits made by the multinationals. He further stated that generally, the multinationals always repatriate their huge profits to their own home countries.

The bulk of Nigeria's capital spending goes to this sector, especially to the multinational contractors. (Mogbo 2002) asserted that a close study of the annual budgets of Nigeria may indicate that once the multinationals are paid for major construction works, the residue is only for the running of the status quo (payment of salaries and general administration) with nothing left for other meaningful development projects.

2.1.3. The Informal Private Sector

The informal private sector of the industry consists mostly of individuals and small firms; small in terms of any or a combination of the followings; capital employed, labour turnover, profit margins, category of registration and the sizes of projects handled. These small firms operate at low profit margins and so they try to avoid high labour turnover by recruiting as occasion demands. This is by far the sector containing the largest proportion of the Nigerian labour market mainly because it is the easiest to enter and the demand for its service is always high. This sector controls about 60% of labour force in urban areas and the figure is put at 80% for the rural area (Fajana 2000). Fajana (2000) believes the sector to be experiencing the lowest wages in the country. This assertion may be valid when the number of days of non-employment per annum is considered. Pilot survey may likely show this sector to be having many “idle” days per annum, especially during raining season and during economic recession.

The firms in this sector, especially in Nigeria, depend mainly on casual labour. This casual labouring aspect means job security is non-existence for this group of the labour force. For want of assurance of
supply of steady income to the household, such casual labourers are always on the lookout for permanent
employments in other sectors of the industry.

2.2. The Economy of Labour

Mansfield and Odeh (1991) observed that when labour supply is high, productivity is also high and that
the converse is true during low supply period. They adduce the reason to job security. That is, workers
tend to compete and show better performance in order to keep their jobs when jobs are harder to come
by – high labour supply period.

2.2.1. Labour Demand Characteristics

The demand characteristics of building construction are inelastic. A specific amount of labour is required
for a specific project, no matter the amount of labour available. Similarly, no matter the change in unit
price of the labour, the quantity of labour required for a piece of work remains constant.

2.2.2. Labour Supply Characteristics

The supply characteristics of building labour are unlike the demand characteristic, they have some
elements of elasticity. Generally, when a little change in price of labour occurs the supply tends to respond
to it correspondingly. Increase in unit price of labour attracts increase in supply, and vice versa for the
decline in unit price. The high mobility of labour across the sectors would not be able to adjust the
variations in labour demand that would result and thereby creating a vacuum in the deserted building
construction industry with negative effects on the output of the industry.

For the skilled labour of the industry, mobility to other industry is not laterally feasible as the skill is
peculiar to the industry. To fit into other industry will necessitate retraining which may not augur well for
the economic life of the transferee. Hence the skilled worker is fixed to the industry. In developing
economies new entrants to the labour market would prefer to avoid such low-wage earning industries or
sectors.

The public sector wages are supposed to be the regulator for those in the private sector. The
informal private sector, instead of responding to actions in the public sector is only responsive to the
dictates of the market forces. As brought out by the pilot survey shown in the Table 1 below, the wages of
the informal private sector had gone up twice within 20 months of the wage adjustment in the public
sector of the Nigerian economy.

Table 1. Pilot Survey Showing Building site Operatives’ Daily Wages (Informal Private Sector) in Abuja and Minna – Nov. 2000

<table>
<thead>
<tr>
<th>Operation</th>
<th>Daily Wages</th>
<th>Daily Wages</th>
<th>Skilled Labour</th>
<th>Unskilled Labour</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Abuja ₦</td>
<td>Minna ₦</td>
<td>Abuja ₦</td>
<td>Minna ₦</td>
</tr>
<tr>
<td>Concreting</td>
<td>700 – 900</td>
<td>800 – 1000</td>
<td>300 – 400</td>
<td>400 – 500</td>
</tr>
<tr>
<td>Block laying</td>
<td>600 – 700</td>
<td>700 – 800</td>
<td>350 – 400</td>
<td>300 – 400</td>
</tr>
<tr>
<td>Plastering/ Screeding</td>
<td>600 – 700</td>
<td>700 – 800</td>
<td>250 – 350</td>
<td>300 – 400</td>
</tr>
<tr>
<td>Carpentry</td>
<td>600 – 700</td>
<td>700 – 800</td>
<td>N.A</td>
<td>N.A</td>
</tr>
</tbody>
</table>

Source: Field Survey

Relative wage levels will, along with other factors, bring about a movement of wage earners from one
enterprise, industry or region (where there is a surplus of manpower) to another where it is in short
supply.

The ILO (1992) believes that the main reason that makes wages to be a basic issue in every country
in the world is that wages are the main source of income for wage earners and at the same time a major
production cost for the enterprise. A worker and his family depend almost entirely on his wages to meet
their needs: the basic (food, shelter, clothing), esteem and self actualization needs. Therefore he is always
concerned with increasing (or at least maintaining) his purchasing power.
2.3 Productivity Appraisal

The productive sector of the Nigerian economy is suspiciously be-devilled with under-employment of its labour resources resulting in low productivity as noted by various observers (Okwa, 1981; Akerele, 1991 and ASCSN, 2001). The poor performance cuts across both the public and the private sectors (FOS, 1997). Moreover, the public sector salary and wages structure forms the basis for the private sector wage structure. Sobowale (2000) observed that capacity utilization of the manufacturing industry in Nigeria had been on the 30 per cent average since the introduction of Structural Adjustment Programmes (SAP) in 1986.

Prokopenko (1987) was of the opinion that tools such as Gross Domestic Product (GDP), Gross National Product (GNP), National Income (NI) or Value Added (VA) may not reflect a true picture of the nation’s (or sector’s) economic health. He then suggested that measurement of the absolute level of productivity can be achieved through an appraisal by means of a series of indices. Total Productivity, Pt, is measured with the aid of the formula

\[ Pt = \frac{Ot}{(L + C + M + Q)} \]

Where
- \( Ot \) = total output
- \( L \) = labour input factor
- \( C \) = capital input factor
- \( M \) = material and purchased parts
- \( Q \) = other miscellaneous goods and services input factor.

Productivity indices help to evaluate economic performance and the quality of social and economic policies. However, it is worth noting that appraisal of the public sector productivity takes into consideration factors that are different from those of the private sector. In the public sector, the output compared with the input is its efficiency. Achievement of set objectives is the main determinant of how efficient a public organization is. The impact the programme of a particular public sector organization makes on the beneficiary is a measure of its effectiveness or its efficiency.

3. Methods

A detailed study of the utilization of the capacities of the construction craftsmen in the public sector of the North-central states of Nigeria was carried out, though limited to craftsmen of the Federal Ministry of Works domiciled in the north-central states. Data were collected through historical means (record in the departmental files), questionnaire administration and oral interviews with the heads of departments.

The study relied on data systematically collected from the craftsmen through responses to the questionnaire, from the supervisors (directors of departments) through historical data, questionnaire and interviews and from the accounts department of each Ministry of Works in the selected states. The accounts department of the ministry was the source of historical data collection for the wages and salaries of the site operatives (craftsmen and labourers). This seeks to obtain information on total annual expenditure of the ministry on salary and wages of the craftsmen—labour input data.

The target population of the respondents to the questionnaire and interview comprised of the departmental heads and the selected craftsmen of the Ministries of Works. The proportion of the craftsmen that was served with questionnaire was selected by simple multi-stage random sampling. Each trade of the craftsmen available in the Ministries was covered proportionately. See Table 2 for the numbers of craftsmen issued with questionnaire in each trade. The entire questionnaire were appropriately filled and returned.

Table 2. Distribution of the Sampled Craftsmen by Trade Groupings

<table>
<thead>
<tr>
<th>Total No</th>
<th>% of Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Mason/Tiler</td>
<td>23</td>
</tr>
<tr>
<td>Carpenter/Glazier</td>
<td>14</td>
</tr>
<tr>
<td>Welder/Blacksmith</td>
<td>5</td>
</tr>
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### Table 3. Average Minimum Wages and Salaries for Junior Workers in Major Sectors of the Nigerian Economy, 1992-1999 (N Per Annum).

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<td>1977</td>
<td>2397</td>
<td>2500</td>
<td>2668</td>
<td>3837</td>
<td>5996</td>
<td>9370</td>
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<td>7. Trading &amp; Business service</td>
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<td>8. Transport &amp; Communication</td>
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### Table 4. Comparison of Wages of Craftsmen in the Public Sector with those in the Private Sector.

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<td>1977</td>
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<td>38.84</td>
<td>56.92</td>
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</table>

**Source:** Table 3
The comparison of the wages of construction craftsmen in the public sector with those in the private reveals that the former group was trailing behind the latter until 1999 when the latter was overtaken by the former in terms of the wages, Table 4.

Table 5. Value of Work done Annually (Nm) by each department 1992 – 2001

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<td>1.00</td>
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<td>1.00</td>
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<td>0.28</td>
<td>0.27</td>
<td>0.54</td>
</tr>
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</table>

Source: Field Survey

KEY TO DEPARTMENT CODES
F = Federal Ministry of Works, State branch
01 = State 01, 02 = State 02, 03 = State 03
B = Building Department
C = Civil Engineering/Highway Department
E = Electrical Engineering Department
M = Mechanical Engineering Department.

Table 5 is presenting the total annual worth of the work carried out by the craftsmen in each of the twelve departments for the period 1992 – 2001. On the other hand Table 6 is denoting what it cost the employers to retain the services of their employee craftsmen annually over the same ten year period.

Table 6. Departmental Annual Labour Input Costs (Nm) 1992 – 2001

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<td>0.34</td>
<td>0.36</td>
<td>0.37</td>
<td>2.78</td>
<td>1.87</td>
<td>4.13</td>
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</table>

Source: Field Survey,
Annual wage bills of the production line staff per operational department of the Ministries investigated were in millions of Naira (Table 6) while the annual labour outputs were in most cases less than two hundred thousand naira worth (Table 5). The wide gap between the values of labour input and output observed in the period 1998 – 2001 is probably due to the salary increases carried out for the civil servants during the period; and without the period recording any appreciable increase in the work output of the craftsmen.

The annual average returns of the employers investment on craftsmen was always negative, indicating that the craftsmen were not mainly employed to have work output of bigger values than the costs of labour input. It was further found that part of what contributed to the insufficient supply of work to the public sector construction craftsmen was unorthodox means by which construction/maintenance works were given out on contracts by the state or federal executive as well as the unavailability of fund to execute the budgets.

### Table 7. Nigeria’s Annual Average Manufacturing Capacity Utilization Percentages 1990 – 2001

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<td>40.3</td>
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<td>32.4</td>
<td>34.6</td>
<td>36.1</td>
<td>42.7</td>
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</table>


### 5. Conclusions

These results show that craftsmen labour capacity is seriously underutilized in the public sector, confirming the assertions of Okwa (1981), Akerele (1991) and the Association of Senior Civil Servants of Nigeria (ASCSN, 2001). The main factor responsible for this underutilization is the non-availability of fund to the departments for implementing the planned annual production. The withholding of fund from the departments to execute the work could be traced to the background reason of the unorthodox means by which the executives (Ministers) were issuing out the work to the private sector by contracts.

These results suggest that employment of the construction craftsmen by the public sector bears very little relationship with labour productivity. Among the issues raised in the analyses of the craftsmen responses to the questionnaire was the dissatisfaction of the craftsmen with the capacity underutilization that they were subjected to. Most of them preferred change of employment to enhance full utilization of their skills. It can be inferred from this work that policy simulation in establishing public sector construction/maintenance outfit in Nigeria does not accord sufficient priority to optimal utilization of labour resource in which case the staff strength of such departments does not have any relationship with workload or output.

With the level of labour performance indices found operating in these public sector departments it is evident that there is the need for government position in responsibilities and functions to be shifted towards proper utilization of the construction labour capacity in the sector. The followings are also suggested for the long run economic viability of the departments.

The study of labour performance in the public sector should be a continuous and consistent project. By this, there would be well built-up data banks, which should be published regularly. The published data will be useful for various forms of evaluation of the public sector labour market. This, in turn, will facilitate proffering of appropriate solutions to the problems of labour capacity utilization.

### References

Albania: Health Care System in the Course of Health Reform. An Overview of Health Insurance System

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Email: sllavkakurti@fakultetiekononime.edu.al

Abstract This paper introduces and analyses in general the Health Care System (HCS) focusing particularly on the Health Insurance System (HIS) in Albania, as a country in a period of transition. The Government of Albania is in the process of reforming and modernizing its healthcare sector and is moving towards the establishment of a more sustainable health financing insurance system. The aim is to obtain a clear referential structure for the further development of the health insurance system and for the establishment of effective, managing and administrative capacities. This paper is prepared by exploring the published literature and collecting data through secondary sources. Several data sources have been used to describe the health performance in Albania. The review includes several references and, by covering OECD countries, the concepts included here serve us to better know and understand the actual situation of HIS, and what is more to be included in a “general plan” for the preparation of the directives for the organization, implementation, observation, and evaluation of the steps that have to be undertaken for the reformation of the health insurance in Albania. Albania should develop an explicit, comprehensive revenue collection strategy that considers all available methods, such as direct taxation, indirect taxation, social security contributions, voluntary health insurance, and user charges, in order to optimize revenue collection.

Key words: Health insurance system, health reform, health system financing.

1. Introduction

A famous historian of medicine, Hirschfield, close to a century ago wrote “… some see health insurance primarily as a measure of mass education and public health, other argues as an economic instrument to initiate a reorganization of medical practice. Others see it as a tool to save money, while others are confident that it will significantly increase costs”.

Health systems financing represents one of the four core functions of the health system. The other three are stewardship (oversight), creating resources (investment and training) and delivering services (provision). The aim of the financing function is to make funding available and to set the right financial incentives so that all individuals have access (financially and geographically) to effective public health and personal health care (WHO, 2000). Health system financing is supposed to contribute to the achievement of the health system goals of improved health, fairness of financial contribution and responsiveness. To do this, it should meet the following targets: (i) generate sufficient and sustainable resources for health (ii) use these resources optimally (by modifying incentives and through appropriate use of these resources) (iii) ensure that everyone has financial accessibility of health services. To achieve these targets and guarantee financially fair, population-wide access to effective, essential health care, three sub-functions are distinguished in health financing schemes: revenue collection, pooling and purchasing. It is assumed that if these sub-functions are strategically designed, the targets can be met. Based on these terms, an analytical framework has been developed to facilitate the design and monitoring of health financing systems (Carrin and James, 2004).

Health Insurance Scheme was considered as a significant mechanism for the reformation of the health system. It had to introduce changes concerning ways of financing and improved the services
This mechanism which based on solidarity principle had to mitigate financial effects resulting from the shifting of the system from a centralized into a market economy, a process during which the Albanian citizens had to cope with the real cost of health services. Health insurances are compulsory and are based on paying of contributions by economically active individuals and by the state budget for the remaining part of the population unable to pay contributions. The steps led to the stabilization of Health Insurance Institute (HII) finances and creation of great possibilities to draft ambitious projects concerning expansion of insurances scheme. According to a project developed by the Albanian Government, which concerns implementation of a deep reform in the financing of health services, HII will become the main agent in financing the public health care sector. The challenges for health insurance scheme are very ambitious, necessary and with social cost. We must consider the fact both main political factors accept that health reform is more difficult and complex, after the property reform.

2. Health Care Insurance in Albania

The health care insurance defends people from health risk when they fall ill and consequently from financial risk. In principle, the Health Insurances collect financial contributions from many people, be them ill ones or not. These contributions are gathered together and are used as expenditures to help people who suffer tragic events. Thus, the health insurances are a mechanism for the distribution of the risk over time and among many people. The growing interest in health insurances implies the development of more resources for health care.

It was Prince Otto Eduard Leopold von Bismarck, the creator and first chancellor of the German nation–state in 1871, who first decided national compulsory health insurance and then the other states followed it one after another. Lenin after the Bolshevik Revolution (1917), Britain (1945), Canada (1950-1960), and so on, until today where almost all developed countries have set up this system. In Albania the first health insurance system was built in 1927, system which has some similarity with Bismarck model, but it was limited only to public administration employees. During the period of the communist regime (1944-1990) many aspects of health care policy in Albania continued to follow the Soviet Shemasko model. In ‘90 and with the collapse of the communist regime, government services have suffered several problems and the emphasis was switched to hospital care. During the years of transition, the Albanian has made extraordinary efforts to solve these problems helped by aids from international donors. Currently we have Bismarck solidarity health insurance system based on contractual relationships and quasi-public arrangements.

3. Administrative Affair

3.1. Health Insurance Institute

The Health System in Albania involves a number of structures, organizations and stakeholders. The health services in our country are covered by public and private service suppliers. The health insurances in the Republic of Albania are organized and led by the HII. The HII covers primary health care services, including general practitioner and specialist visits, as well as the reimbursement of a list of outpatient pharmaceuticals ("positive list"). In contrast, hospital care remains under direct state administration. Established in 1995, for the development of a national model in the field of health insurances in Albania, it is an independent body funded by payroll tax contributions as well as contributions from the self-employed and farmers, and governmental budget contributions for the dependent (non-active) population. HII is an independent public institution, a non-profit-making one and which operates in a local level via regional directories of the Health Care Insurances. It offers health care and at the same time it generates and distributes health resources.

The Administrative Council is the supreme executive body, and it consists of representatives of participant actors in the scheme that HII represents. The health insurances scheme is obligatory, contains solidarity and guarantees the insured free choice of the doctor. It has under its responsibility: i) All the Albanian citizens who are permanently settled in Albania. ii) All the foreign citizens who work here and pay contributions for the health insurance. The health insurances scheme is considered as a very important mechanism for the health system’s reformation in general. It has to introduce the changes that are related to the financing ways, to raise the number of health care resources as well as to improve the services’ quality and to reduce the financial effects that are a result of passing from a centralized system to a market-based economy, which is a process that obliges the Albanian citizens to afford the health
services at a real cost. For 16 years, total spending on drugs reach 55% of the HII budgets or about 360 million $, 29% on General Practitioner salaries or about 193 million $ and 6% on administration or about 38 million $ (HII, 2010).

3.2 The Government’s Role

The government is the major provider of health care services. They are organized on three levels: (i) primary health care is provided at health centers and polyclinics; (ii) secondary health care is provided at districts hospitals (51 hospitals in 36 districts); and (iii) tertiary health care is provided at the University Hospital Centre (CHU) located in the capital Tirana, where more than one-fifth of the population lives. The government plays a decisive role in the operative issues, for instance, in determining the general structure, the health budget, or a fixed contribution fee. The budget should meet the parliamentary approval. Every year, the Government and the Parliament set the limits on the budget and the contribution’s percentage of compulsory health insurances on the basis of which the Institute develops a financial plan, which have to meet the approval of the Ministry of Finance1 and that of the Health Ministry2. The actual tendencies of the reform imply that the Health Ministry is planning to withdraw from the procedural matters of health care and to raise the autonomy of HIS.

Figure 1. Organizational structure of Albanian Health System.

Source: LTSHCD (2007) Note: HII (Health Insurance Institute), IPH (Institute of Public Health), AMB (Ambulatory), H&E (Hygiene and Epidemiology), DENT (Dental), HC (Health Centres), POLYC (Polyclinic), SPE (Specialised), HOSP (Hospital)

4. Financial Issue

4.1 The Financing Resources and the Administration of the Contributions from HII

Based on its statute, HII provides funding from: contributes of the insured (ii) donations and (iii) other

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1 MoF Allocates money to all ministries including Ministry of Health and provides local government with earmarked funds
2 MoH Provides comprehensive public health services, primary preventive and curative care services through its facilities.
income. Although by 2005 the increase of the contribution rate has been relatively good, averaging 15%, year 2007 marked a significant improvement in improvement in revenue growth of HII, about 24% compared to 2006. Continued upward pace in years.

In 2010-n, revenues from health insurance were four times higher than in 2000 and two times higher than 2005. The percentage of the health insurances contributions changes according to the population categories. The funds of HII in 2010 are mainly collected from the health insurances contributions, paid from the active population (54%), as well as from the state’s budget transfers, as a contribution to the inactive population (45%).

**Figure 2. Health Insurance Institutes revenues, 2010**


The contribution’s percentage from the public and private sector workers is 3.4% of the monthly salary. 50% of it is paid from the employer and 50% from the employee. The contribution’s percentage for the self-employed ones in town and village is calculated according to the minimal monthly salary, annually approved by the Council of Ministers. The contributions vary from 7% in town, to 3% in mountainous regions and 5% in lowland ones.

In general, all EU countries suffer the problem of saving the membership of rural areas. The other challenges are, demographic changes, as well as the fall of work-force, whose results are noticed in the reduction of the income basis. There are over 600 thousand contributors to the health insurances in Albania. For 16 years the revenues collected from the health insurances contributions are about 340 million $ and from state budget about 340 million $, too. The contributions to health insurance are collected from Tax Office. Today, Albania has the lowest amount of contribution in Europe. (Vasili, P., MoH, 2011).

**Figure 3. Health Insurance Institute Expenditures, 2010.**


In expenditures – the important part is occupied by Primary Health Care (PHC) with 5.899 million Lek (45%), reimbursement with 5.927 million Lek (45.2%), while the expenditures of the Durres Hospital are about 5% and the administrative expenditures about 4%.

The total health expenditures for health in Albania increased from 52 to 65 billion LEK in the period 2007 – 2009. As compared to earlier estimates the privately financed share is significantly lower.

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3 Look at Appendix 1, Figure 1. Financing of health expenditures, 2007-2009
In total, 5.7% of the GDP is devoted to health in 2009, 50% public funded, 47% privately funded, and 3% financed by Foreign Programs. The Albanian share of GDP devoted to public health care expenditures is the lowest share in Europe together with Cyprus. (Development and Institutionalization of National Health Accounts (NHA), 2010, Albania).

4.2 Source of Funding, Provider of Health Care Services and Goods, Functionally Defined.

Source generation for health insurance scheme in Albania is based on various sources such as the contribution of the active population, the State 4 co-payments and voluntary health insurance contributions. This amount of contribution varies between different social groups, based on their work relations and their geographical factor. One of the core tasks of the HII is to collect and channel funds earmarked for health benefits covered by the national single payer health insurance scheme. The economic and financial situation for the last year, was: In Revenues – the state contribution for the inactive population excluding the hospital service, is of 7.235 million LEK, so 53% of the total amount, while the contribution of active population is of 46% or 6.304 million LEK. If we are going to include the state contribution for the hospital service, the figures shall be 75% comes from state budget and 25% of health insurance contributions comes from the active population. (HII data, 2010)

Figure 4. Revenues of Health Insurance Scheme, 2010


The functional classification highlights the dominance of medical goods in the allocation of financial resources within the Albanian health sector.

Figure 5. Revenues from contributions and expenditures for Health Insurance 2000-2011 (in million LEK)

Source: MoF, 2011.

In European countries, 70% - 90% of health expenditure is financed from tax revenue or public contributions (OECD, 2009). The public health care funding is very low in Albania and accounts only for

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4 According to the law waged persons (economically active), paying compulsory insurance contribution at a fix wage rate, are considered as main financers of HII as it is also the State.
41.6% of total expenditure on health (Table 1), whereas the share is 70.8% in Poland and even 85.2% in the Czech Republic.

Table 1. Healthcare expenditure in Albania and OECD countries

<table>
<thead>
<tr>
<th>State</th>
<th>Total expenditure in % of GDP</th>
<th>Per capita in US-$ (purchasing parity)</th>
<th>Share of expenditures in % public expenditures</th>
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<tr>
<td>Albania (2004)**</td>
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<td>70,0</td>
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<td>Germany</td>
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</table>


This data reveals an obviously crucial point of Albania’s health policy: Public funding is far below the level, which is generally required for achieving universal access to health care.

5. The Structure of the Health Services that are Financed by HII

In Albania, the health packet, that is covered by health insurances, covers only a small part of the health expenditures, or only one part of health services, in other words basic services. It is sure that even this aspect is related to the income level, collected by the health insurances, which comes as a result of two main factors: (i). the low level of contributions and (ii). the illegality level in economy.

The insured people benefit:
• 50-100% of the cost of drugs included in the Reimbursement Drug List (RDL) (420 generic drugs in RDL, 2010). A considerable amount of the general expenditures on the Albanian health are used for the drugs’ reimbursement. This amount is about 39% of the expenditures and about 40% of the HII annual expenditures.

• Family doctor’s services

• Free visit to general practitioner

• Pharmaceutical service

• 90-100% of the cost of 12 tertiary unique examinations.

• The primary health care services, as well as hospital services in the city of Durres. This is a pilot project which has started since the year 2001.

• HII makes contracts with the services’ suppliers, such as doctors, chemists etc, for the health services financing.

The major part of health care schemes in European countries, suffer from sub financing. A basic principle of public finances for the health financing system is to raise enough revenues to provide individuals with basic packages of essential services and financial protection.

**Figure 6. Trends of public sector health and HII expenditures**

The average of the health spending in European countries is around 10-11% of the GDP. The total health spending (public and out-of-pocket) is about 5-6 % of the GDP in Albania. In order to improve the health services for population, it is necessary to raise this percentage to at least 7% of the GDP (Financial situation of HII, 2010). This assumes an improvement of the system to collect the taxes and the payrolls and also be informed of the percentage that Albania is ready to pay for the health of its population.

Albania is lined up the last among all the regional countries, as referring to the health sector financing. The governmental expenditures in Albania, during the years 2000 - 2008, occupy 3% of the GDP (World Bank, Albania Health Sector Note, No. 32612 – AL, 2006).

As a percentage of the total expenditures, public expenditures remain in low figures (~40%) when compared to the private ones, which are higher (~60%)6. The public health financing is realized through general taxation, income tax (health contributions), and some donations. The health system has macroeconomic impact, due to the way that the health care expenditures are related to the GDP and the public expenditures, therefore they are often facing similar challenges, such as the financial stability. So, we have had and will be having debates on the health system’s future.

According to the World Bank (2006), the public health financing system is fragmented and fails to give providers the incentives for efficiency and quality improvements, nor does it establish clear lines of accountability. The finance system is fragmented with the MoH paying for hospital care, non-physician salaries and at times other operating costs for primary health care, as well as capital costs, while the HII pays for salaries of PHC physicians, prescription drugs and high-end diagnostics. Financing responsibilities have changed repeatedly over the past several years. Together, this situation has led to a

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6 Household or out-of-pocket: Spending by people on health services provided by health providers for them.
6. Aspects of the Reform Undertaken Until Now

The health sector reform launched in 1992 found varying degrees of support from different stakeholders, such as the government, parliamentarians, health providers and the population. This made it possible to implement successfully some key elements of reform as follows: the privatization of pharmacies and dentistry services; the introduction of private medical practice; an autonomous health insurance fund managed by the Health Insurance Institute; the transformation of most rural hospitals to outpatient clinics; the reorganization of national health care service in a unified university hospital; more managerial autonomy for district health administrations; subsidies for the national essential drugs list; the creation of mechanisms for drug registration and licensing etc. During the year 2006, HII undertook a range of precautions to reduce the reimbursement cost, such as reduction in the list of reimbursable drugs, reconsideration of the profit margin of the chemists and wholesaler, settlement of fixed tariffs for each prescription, as well as the settlement of some limits on the drugs’ use. All these undertaken precautions led to the stabilization of the HII finances as well as to great possibilities to initiate ambitious projects which have to do with the expansion of the insurances scheme. In conformity with the project of the Albanian Government, which has implemented deep reforms in the health insurances financing, HII became the only one from the public sector to finance in the health care.

Starting from January 2007, the Health Care Insurance Institute is the only financing source on the primary health service. It is the first time that there is a clear determination of the roles of the main actors. From this period, Health Centers (HC) will be independent; will have their own bank account and the Institute will have a bigger role in the process of collecting and delivering the funds. HII is trying to make contracts with these centers for the packet of services that they will offer. It is the first time that there will be applied this mixed formula on the centers’ payments, 85% of which will be a fixed one, 10% will be based on the center’s activity and 5% bonus depending on its performance. These have brought about many changes in financing and a kind of the system’s decentralization. This is a very ambitious project which aims at raising the health center’s productivity through introducing the market elements, such as the flexible budget, competition among the centers and the secondary income.

This is just the first step towards the final draft of the contracts which are related to the services’ performance and which will be further developed. In a second phase, after the Health Ministry will have fixed the tariffs for the medical staff, will have set new standards for the services, will have calculated the services’ cost and will have accredited the primary health care centers, HII will buy more services according to the performance.

In 2009, the financing reforms was expanded in the secondary and tertiary health services where HII has been major hospital financier. This had at the same time the support of the private initiative in offering the services.

6.1 Management of the Health Insurance Reform

The arrangements concerning health financing and health care provision in Albania and elsewhere are usually facing complex challenges, as they have to conciliate autonomy and systemic performance. Needs a series of statutes are required for regulating activities of autonomous health insurance schemes and safeguarding transparency and reliability, contracting new types of providers and, thus, for developing adequate contractual frameworks. Needs the legal attributions to contract providers at the primary, secondary and tertiary health care level. While the role of the MOH is continuously shifting from healthcare provision to legislation and regulation, the relevance of the HII as single public contractor and payer has been rising considerably. Against this background, and as a part of the national debate on a new health financing law in Albania, the question of HII’s level of autonomy and its capacity to organize the health system are key factors of social health protection and of the overall system performance. Autonomy of public health insurance schemes comprises political, financial, organizational, normative and contractual aspects.
6.2 The Trends of Health Financing Reform

The Albanian healthcare system requires additional reform steps both in primary health care and hospital service delivery. In the context of improving and strengthening the health insurance scheme, HII is always looking to further develop its capacities. This effort has to be accompanied by a number of changes in the existing legislation in order to strengthen the scheme. For further improving health care, strong political will seems to be indispensable. Furthermore, improved legislation concerned, enhanced institutional capacities, radically improved service management, intensified vocational training of service providers and international expertise will be required. Will be needed a series of other concrete interventions and measures, in order to improving the Albanian public health insurance scheme. This will include the strengthening of the role of HII as the sole purchaser of publicly financed health services; therefore the insurance scheme has to be provided with the right to select the best service providers available. A series of legal amendments for increasing the institutional autonomy of the HII will be necessary for improving performance. An important step is undoubtedly the approval of the new health insurance law, which is expected to strengthen the role of the HII as the purchaser of health care services from public and potentially also from private providers. Contracting opportunities with private providers for increasing access to qualitative services might be another option. Contribution collection has to become more effective and a transparent and reliable co-payment system will be indispensable. Expanding population coverage is another key element for transforming the HII into a relevant public protection. Therefore broader financial, managerial and structural autonomy of public providers will be required for guaranteeing access of all Albanians to HII services. This is promising to allow for achieving sufficient flexibility and increasing access of the population to necessary healthcare services.

6.3 Achievements of Reforms in Health Insurance System

As a part of the ongoing health sector reforms in Albania, the HII started in 2007 the reform in Primary Health Care (PHC) to measure and evaluate performance indicators and in 2008 six quality indicators were introduced and assessed. These indicators comprise the percentage of persons that visited a Health Center (HC) for the first time in a year, the average prescription cost per diagnosis, follow-up of chronic patients, reproductive health care, immunization and continuous medical education. While some of reasons, such as the low quantitative and qualitative levels of service delivery, the centralized financing mechanism, the lack of autonomy and management capacities of Albanian hospitals and severe gaps and weaknesses in the supply and administration of drugs, equipments and other medical materials at hospital level, had created an increasing need for reforming the hospital sector. The main achievement of reforms in health insurance system until now can be divided in two direction. (i) in primary health care, (ii) in hospital reform.

(i) Achievements of the Primary Health Care Reform.

During the years 2008 and 2009 one of the main challenges was the introduction of new concepts for improving service quality and their implementation in the field. Other improvements in recent years that have had impact on the PHC service delivery were the formulation and implementation of a basic benefit package since January 2009, the set up of the health information system, a new supervision system and the screening process for population enrolment. During the year 2008, about 250,000 additional HII beneficiaries visited for the first time the General Practitioners (GP) at their HC compared to 2006. Financial benefits of the performance in 2009 by the HC have increased by 25% compared to 2008 and by approximately 200% versus 2007. Despite the difficulties in the set up, the implementation of quality indicators in the Albanian health insurance scheme worked out well and all the providers, which had been contracted by the HII, contributed to the successful implementation.

(ii) Achievements of the Hospital Reform.

As main achievements of the hospital reform so far, it has to be pointed out that the HII has drafted and entered into contractual arrangements with four university hospitals, 12 regional hospitals and 23 municipal hospitals for delivering and financing inpatient and specialized outpatient services. Hospital authorities have in turn started to individually contract their employees. The HII is financing the salaries and other expenditures regarding personnel wages, health and social contributions of the staff, and other goods and services. There is a new method in place for reporting the hospital activities that will allow the HII to have a more comprehensive view of the level of services offered by the hospital. Hospital providers are now enabled to fully use secondary revenues for hospital needs and purposes. In the light of strengthening the autonomy of hospital management, it will
be very important to ensure the establishment and functioning of regional managerial health authorities in order to assure financial and managerial self governance, a certain level of independence regarding the delivery of services and a more flexible system of payment based on the performance of each provider.

7. The Strategies for Implementation the Reform

An ideal health system would be the system that is able to provide basic health services, easily accessible and acceptable quality in the population and high efficiency. The main aim of the following strategies is reform of the current health system based on models of successful experiences enabling the realization of final objective: “security and continual improvement of healthcare for the population”

- Preparing/ changing the regulatory procedures:
- Elaboration of a new model of “autonomous hospital”
- The hospitals is given the status of the non-profit public institutions;
- The hospitals keep the incomes from the co-payments;
- The health system is based on a foundation of primary health care;
- The (standard) costing of the major activities of the hospital;
- Financing the hospitals with a global budget (lessons taught by the experience of the hospital of Durres);
- The development of the model of the contractual relationship between HII and the hospitals;
- The computerization of the medical and economic activity of the hospitals;
- The expansion and improvement of the managing knowledge and capacities of the hospitals as a response to the new financing system;
- Human resource rationalization and development
- More managerial autonomy is given to districts and to create health regions.

7.1 Strategic Priorities in

i) growing the managing capacities
- Elaboration of a “new model of hospital management” adapted to the conditions of hospitals in Albania
- Setting up the standards, norms and clinical protocols in management of health services.
- Restructuring the MoH in order to improve the capacities of policy making and creating and completing the necessary structures in the field of health insurance policies.
- Expanding of partnership public-private.
- Encouragement of special service privatization at all the levels of health care.
- Empowerment of control and monitoring capabilities of the private health activities in order to protect the health of the population from abuse and harmful practice.
- Reposition of manager role at public health institutions.
- Consolidation of quality approach system and security of health system.
- Empowerment of the monitoring/evaluation unit, which will observe the developments in healthcare system and will contribute to the orientation of the strategies and activities.

ii) growing the health services’ access
- Management of primary health care system through expansion and strengthening of the autonomy of the primary service aiming the scheme “public financing and autonomous services (private)”
- Define of basic package of health services and its monitoring
- Establishment of a mechanism for coordination of all information system, which serve to the health system in Albania.
- Empowerment of family doctor institution and improvement of its image.
- Re construction of health service providers network, due to geographical, demographic and privatization policies conditions
- Improvement of refer system
- Maintaining and developing of programs for public health
- Decentralization of health system with the final goal his autonomy, as an optimal solution for good management and the system integrity.

iii) financing the health system
Reinforcement of HII role as strategic purchaser of health services in public and private system

Improvement of the financing health system legislation.

Direct contracting of service providers as health working in groups or individuals (general physicians/family)

Improvement of collecting contribution system

Efficiency at collecting contribution from salaries

Adoption of a combined model of payment per capita in payment for services (fee for services), in order to avoid negative effects of a single payment form.

Consolidation of contributions from obligatory insurance for inactive population, from state budget

Reconsideration of the contribution rate

Establishment of mechanisms to measure the cost-effectiveness of health services, particularly those secondary and tertiary, which are more expensive (management of information system)

Decreasing of informality

Presentation of co-payment

Identifying the insured population through health card

8. Conclusions

The Health Insurance Institute is committed to consolidating efforts to strengthen the management of the health insurance system. It is necessary for the HII to raise its capacities, to set the progress standards as well as the reporting systems and at the same time, to create a suitable transparency and monitoring process as regards performance.

Remaining challenges include strengthening control in the market; increasing transparency in the various commissions that make decisions, setting a profits packet for the public financing, revision of the level of pharmaceutical distribution margins implementing co-payments and developing an informing and monitoring system of the progress by the services suppliers. The success of these efforts will depend greatly on the future organizational model adopted as well as on the improvements in the rules and management capacities of the health system. The existing data of the HII must be improved by the use of tools to analyse expenditures in order to pool health risks and the use of routinely available data to provide information for risk management. There are available standardised management models and tools that can be easily adapted.

There is evidence that the introduction of standardised organisation and management structures in hospitals can result more efficient in the use of resources and also improve the service quality. This requires qualified and motivated managers using modern management tools and suitable training courses.

There is evidence that encouraging providers to measure their performance and compare it with other peer groups can help to improve standards. There are examples of systems of performance management, which introduce the “benchmark” system to improve the quality and efficiency of their services, against similar types of providers, which support the introduction of national standards.

Albania, as a country that accede to be part of EU, also in order to achieve all these objectives, need assistance and collaborative relationships with the European Partners as well as with the homologous institutions which implement advanced schemes on the health insurances sector.

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### Appendix 1

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<th>Variable</th>
<th>2007</th>
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Discoursal Variation and Gender: The Case of Compliment Responses Among Male and Female Persian Speakers

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Abstract This study was aimed at investigating the discoursal variation of compliment responses (CRs) among male and female Iranian Persian speakers. A total of 60 elementary Iranian teenage EFL learners participated in the study. The data were collected through the application of written discourse completion tasks (DCTs), with four situations, i.e. appearance, character, ability and possession. The analysis of the data showed that both male and female groups mostly preferred Accept strategies in almost all the four situations; however, female participants took side with Evade strategies when receiving compliments for possession. The findings have generally a practical relevance to the speech communities under study by providing guidelines for the use of CRs. They have also pedagogical implications, helping males and female Persian speakers respond to compliments in a culturally acceptable manner.

Keywords: Compliment, compliment response, gender, Persian speakers, discourse completion tasks.

1. Introduction

Hobbs (2003:249) defines a compliment as a speech act which explicitly or implicitly bestows credit upon the addressee for some possession, skill, characteristic, or the like, that is positively evaluated by the speaker and addressee. According to Brown and Levinson's (1987) theory of politeness, complimenting is largely a positive politeness strategy since it signals the complimenter's noticing of and attending to the complimentee's interests and needs. The complimenter makes the receiver feel good about her and helps the person realize that her effort has been appreciated. Holmes (1988:462) states that compliments are “positively affective speech acts, the most obvious function they serve is to oil the social wheels, paying attention to positive face wants and thus increasing or consolidating solidarity between people”. He points out (1988) that compliments should function as positively affective speech acts and can be considered as phatic communion, a type of speech with ties of union which are created by a mere exchange of words. In our daily lives, we generally exchange compliments as an effort to keep relationships solid. In other words, compliments are supposed to be for rapport instead of report and for cooperation instead of competition in Tannen's terms (1986, 1993 & 1996).

A compliment response (CR, hereafter) is a response to a compliment. These speech acts (a
complement and its response) are conversational devices of interpersonal relationships in our daily life. The use of CR as a phatic expression may also play a particular role in maintaining the solidarity of interpersonal relationships and the harmony of social interaction. For example, in this study a female informant mentioned that her answer to a compliment on appearance (“Hey, you look great! You’re really beautiful today”) would be “Cheers! So do you”, even if the addressee was not good looking.

2. Background of the Study

Conversation analytics have paid attention to CRs in order to investigate their underlying structures. The first person who investigated CRs pragmatically in context was Pomerantz (1978). Her findings demonstrated that speakers of different languages and language varieties followed different patterns when responding to compliments. Since then, many linguists have focused their attention and drawn insights into the phenomenon of CR (e.g., Pomerantz, 1978; Manes & Wolfson, 1981; Wolfson, 1983; Holmes & Brown, 1987; Holmes, 1988; Herbert, 1989, 1990; Wierzbickz, 1991; Nelson, G. L., Al-Batal, M. & Echols, E., 1996). Within this line of research, several studies have been conducted in different contexts focusing on males and females patterns of compliments and CRs. Holms (1998) and Herbert (1990) in their studies on gender in complimenting and CRs found differences in syntactic pattern and lexical choice by men and women. They assumed that females used compliments for keeping solidarity while males regarded compliments as potential face threatening acts or actual assertion of praise. Jia's (1997) studies on CRs strategies have shown a great difference between Chinese and American's use of CRs: Some compliments that could be adopted by one culture would be rejected by another. For example, strategies of ‘scale down’ and ‘questioning’ were used more in Chinese context than in English one. Chinese also appeared less interested in complimenting others.

Likewise, in a series of studies on compliments, Holmes (1986, 1988) developed three main categories of CRs: Accept, Reject, and Deflect/Evade. Her data indicated that in New Zealand, the category of Accept is the most frequent one (1986, 1988). She further examined the role of gender in the process of responding to compliment and found that males ignored or legitimately evaded a compliment more often than females did (Holmes 1986). Jaworski (1995) in a study on Polish compliments, points out that male often use compliments in order to negotiate in group power relation, whilst females tend to exchange compliments to achieve relational solidarity. For Herbert (1990) differences in the use of compliments and compliment responses between males and females and their preferences to use some patterns more or less, represent a cultural choice of modesty. He found that females used fewer instances of disagreeing with compliment and males had a higher tendency to question or fail to acknowledge the compliment.

3. The Study

Since among the large body of research, there are a few studies and little empirical research on Persian compliments and CRs, (e.g. Eslami Rasekh, 2000; Sharifiyan, 2005) and few studies on gender differences regarding the use of CRs, the researchers in this study attempted to identify variations in the use of CRs between male and female Persian speakers. This study is important as it focuses on data from the perspective of gender differences in the use of CRs, which is crucial for successful communication across the two genders. Moreover, the participants of this study are Iranian teenagers, a section of society which has been overlooked for this issue. It is expected that findings will add a new dimension to the research into CRs, and provide refreshing insights to this field of study.

The specific research question was:
How do male and female Persian speakers use CR strategies at macro and micro levels, with respect to four situational settings?

As mentioned above, in terms of classification of CRs, Holmes' taxonomy (1988, 1993) was used: He categorizes the CR strategies into three main acts: Accept, Reject and Deflect/Evade (which are called Macro level, hereafter). Each main act also has further subdivided strategies (Micro level, hereafter). (See Table 1 below for more details).
Table 1. Holmes’ categories of CRs

<table>
<thead>
<tr>
<th>Macro level</th>
<th>Micro level</th>
<th>Examples</th>
</tr>
</thead>
<tbody>
<tr>
<td>Accept</td>
<td>1. Appreciation token</td>
<td>&quot;Thanks&quot;); &quot;Thank you&quot;); &quot;Cheers&quot;); &quot;Yes&quot;); &quot;Good&quot;</td>
</tr>
<tr>
<td></td>
<td>2. Agreeing utterance</td>
<td>&quot;I know&quot;); &quot;I am glad you think so&quot;); &quot;I did realize I did that well&quot;); &quot;Yeah, I really like it&quot;</td>
</tr>
<tr>
<td></td>
<td>3. Downgrading/qualifying utterance</td>
<td>&quot;It’s nothing&quot;); &quot;It was no problem&quot;); &quot;I enjoyed doing it&quot;); &quot;I hope it was OK&quot;); &quot;I still only use it to call people&quot;); &quot;It’s not bad.&quot;</td>
</tr>
<tr>
<td></td>
<td>4. Return compliment</td>
<td>&quot;You’re not too bad yourself&quot;); &quot;Your child was an angel&quot;); &quot;I’m sure you will be great&quot;); &quot;Yours was good too.&quot;</td>
</tr>
<tr>
<td>Reject</td>
<td>1. Disagreeing utterance</td>
<td>&quot;Nah, I don’t think so&quot;); &quot;I thought I did badly&quot;); &quot;Nah, it’s nothing special&quot;); &quot;It’s not&quot;); &quot;Don’t say so.&quot;</td>
</tr>
<tr>
<td></td>
<td>2. Question accuracy</td>
<td>&quot;Why&quot;); &quot;It’s right&quot;); &quot;really?&quot;</td>
</tr>
<tr>
<td></td>
<td>3. Challenging sincerity</td>
<td>&quot;Stop lying&quot;); &quot;Don’t lie&quot;); &quot;Don’t joke about it&quot;); &quot;You must be kidding&quot;); &quot;Don’t, come on.&quot;</td>
</tr>
<tr>
<td>Evade</td>
<td>1. Shift credit</td>
<td>&quot;That’s what friends are for&quot;); &quot;You're polite&quot;); &quot;No worries&quot;); &quot;My pleasure.&quot;</td>
</tr>
<tr>
<td></td>
<td>2. Informative comment</td>
<td>&quot;It wasn’t hard&quot;); &quot;You can get it from (store name)&quot;); &quot;It’s really cheap.&quot;</td>
</tr>
<tr>
<td></td>
<td>3. Request reassurance</td>
<td>&quot;Really?&quot;</td>
</tr>
</tbody>
</table>

3.1. Methodology

The research question was investigated through data collection involving written DCTs, with four situational settings appearance, character, ability and possession (See appendix 1). There are two reasons for using DCT. As Lorenzo-Dus (2001) argues, DCTs can provide a sound template of stereotypically perceived requirements for socially appropriate CRs in the groups studied. It also enables the researcher to obtain sufficient data in a relatively short period of time. That is, DCTs are effective and efficient when they suit the purpose of the study. As it is generally accepted, however, every data gathering technique has its strengths and weaknesses, depending on the aim of the research. For example, DCT may be adequate when the aim is to make probability-based assertions and/or broad generalizations, while recording naturally occurring talk-in-interactions will suit better if the aim is to study actual language use and/or provide a description of the organization of talk-in-interaction.

3.2. Participants

A total of 60 participants contributed to this research, 30 male and 30 female teenage native speakers of Persian. The average age in both groups was 15. A language background survey was also conducted to ensure that participants were suitable informants. All participants were elementary students of a language center. Consent forms were also signed by participants.

3.3. Procedure

All participants were sufficiently informed of the aims and scope of the study. Then, the DCTs were distributed. The participants were asked to imagine themselves in the situations and write down the answers they would naturally give in each situation. Afterwards, all participants were codified and their answers were classified based on Holmes’ taxonomy (1988, 1993).

3.4. Data Analysis

A contrastive analysis of CRs between male and female Persian speakers was carried out to identify different CR patterns between the two groups. Table 2 below gives examples of participants’ CRs in which P stands for participants, S for situation, A for Accept, R for reject and E for evade. In addition, the numbers along with these abbreviations refer to the codes assigned to participants, situations and the types of strategies at micro level respectively. Therefore, A4 means Accept: Return compliment (see table 1 for further information)
Table 2. Examples of CRs

<table>
<thead>
<tr>
<th>Male</th>
<th>Examples of CRs</th>
</tr>
</thead>
<tbody>
<tr>
<td>P30,S1</td>
<td>“nazar e lotfe tost, to ham xoshtip shodi. ” “It’s kind of you; You’re handsome too” (A4)</td>
</tr>
<tr>
<td>P16,S2</td>
<td>“chakeretam” “I’m at your service” (A3)</td>
</tr>
<tr>
<td>P12,S4</td>
<td>“200 hezar toman pulesh ro dadam” “It cost me 200’000 tomans. (E2)</td>
</tr>
<tr>
<td>P4,S4</td>
<td>“na, hamash mobil e farghi nadare” “No, they are all cell phones; There is no difference” (R1)</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Female</th>
<th>Examples of CRs</th>
</tr>
</thead>
<tbody>
<tr>
<td>P5,S1</td>
<td>“xeili mamnoon” “Thanks a lot” (A1)</td>
</tr>
<tr>
<td>P18,S2</td>
<td>“kari nakardim, vazifamoon bood” “It was nothing, It was my duty” (A3)</td>
</tr>
<tr>
<td>P23,S1</td>
<td>“velesh kon, bixiyal!” “No worries! Take it easy!” (E1)</td>
</tr>
<tr>
<td>P8,S4</td>
<td>“ghebeli nadare” “It’s worth nothing” (R1)</td>
</tr>
</tbody>
</table>

4. Results

In this section, the findings of the use of CRs are presented in two parts: 1) general patterns (macro level) and 2) patterns in the four settings (including micro level).

4.1. The General Pattern of CR Strategies

Fig. 1 below shows general patterns used by male and female groups at macro level. An apparent trend demonstrated in Fig. 1 is that the preference for both groups is in the order of Accept, Evade and Reject: that is, both groups prefer ‘Accept’ the most and ‘Reject’ the least. It illustrates that at macro level, males and females in this study actually follow the same order of preference in the use of CRs. Even so, the females use more Reject, and less Accept than males do.

![Figure 1. Macro patterns of CRs](image)

4.2. The CR patterns Corresponding to the four Specific Situations

The findings presented with regard to the four settings, appearance, character, ability and possession enabled us to see the detailed distribution of CRs and to provide an in-depth analysis of the data.

4.2.1. CRs for Appearance

Fig. 2 shows that the macro level pattern in the setting of appearance is in accordance with the overall macro level pattern shown in Fig. 1. Both groups opted more for Accept strategies than the other two (i.e. Reject and Evade). Additionally, the females used more Reject and Evade but less Accept strategies than the males did.
Fig. 3 shows that, at the micro level, there is no uniform trend between males and females similar to the one shown at the macro level in Fig. 2. In addition both groups preferred Return compliment and Appreciation token to the other strategies. In particular, males used more Return compliment than females and females used more Appreciation token than their male counterparts. Another noticeable tendency is that neither group made much use of Agreeing utterance, Downgrading, Disagreeing utterance, Question accuracy and Challenging sincerity.

4.2.2. CRs for Character

Fig. 4 shows that both groups still preferred Accept as their first preference. This macro level pattern for both groups is remarkably similar to the general macro-level pattern in Fig. 1.
Fig. 5 implies that at micro level, when receiving a compliment relating to character, both groups would be more likely to use Downgrading utterance, which is a 'self-praise avoidance' strategy. Moreover, males used more Downgrading than females did.

![Figure 5. Micro patterns of CRs to character compliment](image)

**4.2.3. CRs for Ability**

Fig. 6 shows the macro-pattern of ability CRs, which differs partially from Fig. 4 of character CRs, but is similar to the general macro-patterns presented in Figs. 1 and 2. The most frequently used CRs are again Accept strategies, followed by Evade and Reject. This may indicate that both male and female speakers would probably be happy to accept compliments on their abilities.

![Figure 6. Macro pattern of CRs to ability](image)

Fig. 7 displays that at micro level females used more Return compliment and Appreciation token than males did. In addition, males used more Informative Comment than that of their female counterparts.

![Figure 7. Micro pattern of CRs to ability compliment](image)
4.2.4. CRs for Possession

Fig. 8 shows that the majority of males again followed the usual macro-pattern to accept compliments straight away, but females answered differently about compliments on possession. They used Evade most and equally Reject and Accept strategies. It may show that females were less comfortable taking compliments on their possession than they were, for instance, on appearance.

![Figure 8. Macro pattern of CRs to possession compliment](image)

Fig. 9 demonstrates that Appreciation token, Disagreeing utterance and Informative comment are the three preferred strategies for females. However, for males Downgrading utterance as well as Return compliment is mostly preferred.

![Figure 9. Micro pattern of CRs to possession compliment](image)

5. Discussion

Having presented the findings of CR strategies used by male and female groups and based on the research question, this section aims at interpreting the above findings.

The results show that there are similarities between male and female Persian teenage speakers regarding the use of Macro strategies, namely, Accept, Evade and Reject. 71% of the responses by male informants and 65% of them by female informants fall into the Accept category. The next preferred strategy is Evade. There is also similarity between males and females in the frequency of Evade CRs (males 22% and females 21%). For the last strategy (i.e. Reject) males show 5% and females exhibit 13% tendency toward rejecting strategy when receiving compliments. These findings are in contrast with Sharifiyan’s study (2005) in which he found that Iranians used formulaic expression to allow them avoid acceptance of compliments, which can be considered as self-praise. Yousefvand (2010) also reported Iranian speakers rarely reject a compliment with a clear negative answer. She points out that Iranians make use of CRs such as “I have done nothing”, “You make me feel ashamed” etc. in a way that they generally mean no. I’m not that good. I don’t deserve your praise. Since our participants in this study were teenagers with average age of 15, the contradiction with these two studies may indicate the importance of age as an important variable in investigating compliments and CRs.
Interestingly, although female informants preferred Accept strategy in general, they used more Evade strategies for the last situation (possession). While male informants followed the usual macro pattern for all four situations (i.e. Accept, Evade and next Reject). With respect to micro level, there are also similarities and slight differences between two groups. Males and females showed preference toward Return compliment when receiving compliments on their appearance; however, males used most Return compliment than females did, but in the next most used micro strategy, Appreciation token, female showed more tendency than their male counterparts. For the next situation, character, again both groups demonstrated their preference on Downgrading but males used more Downgrading than females did. In a study by Kryston-Morales (1997) more females tended to downgrade the compliments than males. Yousefvand (2010) concluded that males prefer to apply formulaic expressions response type to weaken the complimentary force by avoiding self-praise whereas females favor accepting the compliment. For the third situation there were significant differences at micro level. Return compliment was the most used strategy (70%) for females in comparison with males (30%). Males also preferred Informative comment more than females. A similarity can be seen between male and female groups regarding responses to ability and possession compliments. As mentioned above, Informative comment was the most frequently used strategy by male in responding to compliment about ability and it is the same for female when responding to compliment about possession, the last situation. Downgrading is the most frequently used strategy for male when responding to a compliment about possession. In contrast to Sharifiyan’s findings about Persian speakers (2005), Australians tend to show Downgrading toward compliments about their talents not possession.

Overall the findings show that both groups preferred most Accept strategies in almost all four situations; however, females preferred most Evade strategies when receiving compliments for possession. On the whole, the findings are in line with other studies carried out in foreign contexts (Manes and Wolfson, 1981; Gajaseni, 1994; Nelson, Al-Batal, and Echols, 1998; Baek, 1998; Yu, 2004). However, they are amazingly in contrast with results obtained from Iranian context. It can be explained that the age of the participants probably plays a significant role in the occurrence of these changes and contradictions. More studies with respect to age are needed to show the reasons of this kind of variability.

6. Conclusion

This study examined the CR strategies used by male and female teenage Persian speakers. The linguistic manipulations of CRs shown in this study indicate that no universal model of CRs would work because different genders have different sets of protocols; moreover it is found that age plays a significant role in responding to compliments. The findings in this study suggest that cross-linguistic CR patterns are different at both macro and micro levels. While both groups followed the same preference order of Accept, Evade and Reject strategies, females used less Accept, and more Evade and Reject, than males. At the micro level, there were marked differences in the use of CRs; for instance, males used more Downgrading utterance for possession compliment, but females used more Informative comment in this situation. In general, results suggest that there are several variables which have influence on the use of CRs, beside gender which was our focus in this study; it is also found that age has a significant role in the way of responding to compliments. Since our participants were teenagers, the findings vary with other studies which have been carried out in Iranian context. It is hoped that other researchers focus their attention on this significant variable in Iranian context with Persian speakers from different age groups.

6.1. Implications

Misunderstanding of the use of CRs between two gender groups may trigger communication breakdowns, generating polarized CRs. A successful communication between males and females would not be achievable if, for example, females expected that modesty should be express by using Evade and Reject strategies, but the males interpreted such strategies as hypocritical and insulting.

The findings in this study confirm that males and females have different expectations and follow different linguistic and cultural protocols. It is reasonable to assume that linguistic misunderstandings will occur when communication events involve people with different perceptions of and responses to the use of CRs. This study has practical relevance to the speech communities under study by providing guidelines for the use of CRs. It is also useful for pedagogical purposes, helping males and female Persian speakers respond to compliments in a culturally acceptable manner. Further research on CRs used among male and female Persian speakers may use a different methodology (for instance, natural recordings, to see what
people actually say in talk-in-interaction), or a different age group (such as young adults or children), to see if the findings of this study still hold.

References


Appendix 1

Survey on Compliment Responses
(English Translation):
Dear participant: This survey is designed to study compliment responses among male and female Persian speakers. Please fill in the questionnaire carefully in order to help us fulfill this survey. Your participation is greatly appreciated.

Name:
Sex: male [ ] female [ ]
Age:
English Level:
Do you speak Persian as your first language (your mother tongue)? If not, which language do you speak?
Appendix 2

Instrument – Discourse Completion Task
Four situations in which you receive a compliment are described below. Imagine that you are in these situations and write down what you are most likely to answer in each situation

Situation 1 (Appearance)
Your friends have organized a party to celebrate the end of semester. You've dressed up for the party. As you arrive at the party, one of your friends says: “Hey, you look great! You're really handsome/ beautiful today.”
You answer:

Situation 2 (Character)
One of your friends together with his/her family has recently moved in a new apartment. S/he asks you to help him/her arrange the things. It takes you several hours to put all the things away. As you are about to say goodbye, your friend says: “Thank you! You are really kind and helpful”.
You answer:

Situation 3 (Ability)
After you have completed a presentation, your classmate says: “Wow, that's brilliant, I hope I can do it the way you did. Well done!”
You answer:

Situation 4 (Possession)
You have bought a new mobile phone. When you receive a call, your friend notices that your phone is a different one. Having looked at it and tried some functions, s/he says: “Wow, how smart! My mobile does not have such functions. It is really great!”
You answer:
The Correlation Between the Number of Hours Spent on Reading and Language Competence Gained?

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Abstract In academia, there is a sort of hidden argument about the factors which shape effective reading and the amount of language competence gained through reading. In this regard, few believe that the number of the hours spent daily on reading different sources will lead to effective reading and high language competence regardless of the fact that how this amount of time is spent. On the contrary, some believe that the number of hours has nothing to do with effective reading and this time measurement criterion has no validity in relation to effective reading and the development of specialized language competence. Accordingly, the present paper tried to consider the essential factors which lead to effective reading and the development of specialized competence. Moreover, it aimed at providing evidence of the fact that high specialized language competence is basically the result of effective reading rather than the number of hours spent on reading something.

Keywords: Effective reading, Factors, Time measurement, Criterion

1. Introduction

In academia, reading comprehension is one of the most fundamental skills to be developed in a significant way to end into high specialized language competence. Generally speaking, reading skill is defined and considered as the ability to read and comprehend a given text (Williams, 1989; Lewis and Reinders, 2003). In this regard, many different factors such as jargon familiarity, text familiarity, and genre familiarity play an essential role in effective reading and the necessary competence gained through reading. Regarding the factors which affect effective reading, few has been said directly (Williams, 1989; Lewis and Reinders, 2003; Berg, 1998; Lowes et al., 2004; Fairbairn and Fairbairn, 2001).

However, the important issue which the present study has focused on is that the number of hours spend on reading has a little or nothing to do with effective reading and the development of the specialized language competence. In other words, those who claim that if one person spends more hours behind his/her chair reading s/he develops more specialized competence than those who spend fewer hours. This claim is nonsense if we ignore the quality of reading. Actually, one can develop his/her specialized language competence while spending fewer amount of time than others. The correlation between the number of hours spent on reading and language competence gained is something which has not been referred to by any scholar including the above-mentioned researchers. In academia, few believe that the more time you spend on reading a text, simply because you cannot comprehend it by the first time, means that you are learning more than those who spend less time on the same text! This claim is made based on no rational. However, this research strongly disagrees with this justification. To put this simple, for example, spending 10 hours on reading different books does not reflect the fact that you learn more and develop a better competence than another proficient reader who spends 5 hours. Later, I will discuss that this 5 hours more time spent may go for checking the meaning of unfamiliar jargon or lack of comprehension by the first time reading.
Accordingly, the present research takes the view that the more time you spend on reading something daily does not necessarily mean that you are increasing your specialized language competence.

2. Some Factors Which Lead to Slow Reading and Comprehension

In this part some critical issues which lead to slow reading will be considered. It should be mentioned that these few factors mentioned here cause language learners spend more time on a piece of work which can be covered in no time by proficient readers.

2.1. Puzzling Over Unfamiliar Words and Jargon

Some language learners puzzle over every unfamiliar word or jargon they encounter during reading a piece of work. In order to find the meaning of those unfamiliar words, they may immediately refer to their dictionaries which may hinder the speed of reading. This happens while at the beginning levels of reading comprehension courses it has always been said not to seek help from the dictionary all the time. However, the amount of time spent on looking up a word in the dictionary does not lead to effective reading although it is integrated in the reading process!

2.2. Repeatedly Going Back Over What has Just Been Read to Check Understanding

Some proficient readers can comprehend what they read by the first time whereas some other readers may have to read the same text more than one time in order to make sure they have fully comprehended it. This will cause the slow readers to spend more time on the same piece of work. Consequently, it is transparent that they have to spend more hours on reading the same materials than what I call proficient readers.

2.3. Reading Out Loud or Under the Breath

Generally, reading loud aims at improving pronunciation. It is believed that reading loud reduces the reading speed. Accordingly, in order to minimize the amount of time spent on a reading text, silent reading should be put into consideration.

3. Some Factors Which Lead to Smart Reading and Comprehension

If you have come up with the idea to join those who believe that spending many hours on reading does not guarantee that you have more competence than those who spend less hours, the following suggestions can aid you save up your time and spend it on other language skills, for example, speaking proficiency.

3.1. Reading the Introduction and Conclusions

Reading the introductions or conclusions of chapters or articles first to gain an overview of a chapter or even a book itself. This may be enough to give you the key points that you need for ‘reveal’ reading purposes.

For other reading purposes, this initial review of introductions or conclusions will help you to gain an overall sense of the main points made by the author.

3.2. Find the Main Idea

As known, most books, articles and other well-written sources are broken up into paragraphs or sections. Within each paragraph or section you can try and identify the key point, which is the sentence or sentences upon which the others are built.

3.3. Reduce Anxiety

Anxiety can cause language learners to re-read sentences to reassure themselves that they have understood. This can slow the reading process down and lead to frustration at the slow progress made.
Moreover, it causes the language learner to spend more time with little output.

3.4. Guess the Meaning of Unfamiliar Jargon

As was mentioned earlier, some readers spend much of their time on what they claim to be effective reading on looking up the unfamiliar jargons in their dictionaries! This is a common reading habit that can also slow the reading process. Many students who encounter unfamiliar or difficult words stop reading at that point and check the meaning of the word in a dictionary. However, it is often better to keep reading, as you can often gain more information later from the text, which can then clarify the points you did not initially understand. You could always underline words you did not immediately understand and if their meaning does not become clear from continued reading, you can check later. This technique will lead you spend less time on reading a text.

As emphasized earlier, an essential skill in reading is the ability to identify key points or ideas and primary words in reading. If you can try and isolate first the main points in any section of text, you can then try and pick out the words that support the main points and try and give less attention to the rest. This can speed your reading and help you gain a sense of the subject matter more quickly without having to spend many hours struggling with few pages.

3.5. Note Making not Note Taking

Smart reader is about becoming more involved with what you read. One important way of getting involved is by making notes. Making notes is different from taking notes. As the matter of fact, note making becomes a more active experience when you have to select what you think is relevant and important. This is opposed to note taking, when you just copy down what you read in a book in an unselective way. Note making means summarizing or highlighting what you feel is important or relevant to note.

4. A Survey Regarding Factors Affecting Slow Reading

Regarding the above-mentioned factors which affect slow reading or smart reading, a questionnaire consisting of some yes/no questions was utilized. Accordingly, the questionnaire was prepared and given to 20 senior lectures. The questionnaire mainly aimed at targeting the following questions through some subset questions:

- Is there a significant one to one relationship between the number of hours spent on reading daily and language competence gained?
- Is it true to say the more time you spend on reading than other language learners means that you are developing a better specialized language competence?
- What factors mostly lead to slow reading?

5. Results and Discussion

The results of the survey indicated that 43% of the participants agreed that unfamiliarity of the readers with the specialized jargon makes them spend more time than they should on looking up the meaning of the unfamiliar vocabulary in their dictionaries. 28% considered anxiety as the second factor which makes a reader spends more time on a piece of work. 22% have to spend more time because they do not comprehend what they read by the first time. This also piles up the number of hours spent on reading. 7% considered other factors such as the quality of the materials as a factor which makes someone spends more time on reading.
The ultimate aim of the present paper was to investigate the correlation between the number of hours spend on reading and the amount of language competence gained. Accordingly, the results obtained from the questionnaire were indicative of the fact that the number of hours spent on reading does not necessarily lead to effective reading and more language competence.

The findings of the present study shed more light to the studies conducted by many scholars (Williams, 1989; Lewis and Reinders, 2003; Berg, 1998; Lowes et al., 2004; Fairbairn and Fairbairn, 2001) in relation to factors which affect the speed of reading and the amount of time spent on comprehending any given texts. Accordingly, jargon familiarity, text familiarity, and genre familiarity have an essential role in effective reading and the necessary competence gained through reading.

In this study, it was found out that anxiety as an important factor has a lot to do with effective reading. This can be related to the Affective Filter Hypothesis proposed by Krasch (1981) which highlights the fact that a number of affective factors play a facilitative role in language learning. These factors are: motivation, self-confidence and anxiety.

Krashen claims that learners with high motivation, self-confidence, a good self-image, and a low level of anxiety are better equipped for success in second language acquisition. Low motivation, low self-esteem, and debilitating anxiety can combine to "raise" the affective filter and form a "mental block" that prevents comprehensible input from being used for acquisition. In other words, a high affective filter inhibits acquisition, whereas a low affective filter promotes it. In the same line, language learners with high affective filter may have to spend more time comprehending the language input than those who have low affective filter.

The clinical implication of the present study is that the factors such as Reading the introduction and conclusions, finding the main idea, reducing anxiety, and guessing the meaning of unfamiliar jargon which lead to smart reading should be considered more by those slow readers. Accordingly, much time can be saved up and spent on boosting other language skills in general or specialized competence in particular.

However, other factors such as background knowledge and the age of the language learner which may boost or hinder the speed of comprehension and language learning should also be taken into consideration in future studies.

6. Conclusion

In academia, there are two viewpoints regarding the number of hours spent on reading and effective reading which leads to the development of the specialized language competence. Few believe that the number of the hours spent daily on reading different sources will lead to the development of the specialized language competence regardless of whether that reading which they refer to is effective or not. On the contrary, some believe that the number of hours has nothing or very few to do with the effective reading which leads to the enhancement of the specialized language competence. According to this point of view, this time measurement criterion has no validity in relation to effective reading. In other words, spending 10 hours on reading different books does not guarantee that you learn more than another reader who spends 5 hours or less.
Accordingly, the present paper tried to consider the essential factors which lead to effective reading and the development of language competence. Moreover, it aimed at providing evidence of the fact that the high specialized language competence is basically the result of effective reading rather than the number of hours spent on reading something.

To sum up, unfamiliarity with different jargons, anxiety and lack of comprehending any texts by the first time reading are among the most important factors which may force the language learner spends more time on reading and comprehending something. So this more spent time does not mean it has been spent effectively.

References

Learning Strategies in Second Language Learning and Teaching

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Abstract The aim of this paper is to provide a contemporary portrait of second language learning and teaching and to illustrate ways teachers can incorporate these ideas in their own teaching practice. It attempts to clarify some of the fuzziness by trying first of all to establish basic terminology and going on to discuss definition and classification of language learning strategies. This article provides an overview of language learning strategies for second language teachers. Using language learning strategies and training in the L2 class not only encourages learners in their language learning but also helps teachers reflect on and improve their teaching. The development of language learning strategy theory and how it fits into the framework of contemporary language teaching and learning for students who speak other languages is examined, and research on language learning strategies to date is reviewed.

Key-word: learning strategies, research, second language acquisition, teaching.

1. Introduction

Within the field of education over the last few decades a gradual but significant shift has taken place, resulting in less emphasis on teachers and teaching and greater stress on learners and learning. In parallel to this new shift of interest, how learners process new information and what kinds of strategies they employ to understand, learn or remember the information has been the primary concern of the researchers dealing with the area of foreign language learning.

This paper aims to provide an overview of language learning strategies for second language teachers. It outlines the background of language learning strategies, gives various definitions of language learning strategies presented by several researchers, trying first of all to establish basic terminology and going on to discuss classification of language learning strategies by different researchers. It also stresses the importance of language learning strategies for foreign language learning and pedagogical implications.

2. Background of Language Learning Strategies

Research in language learning strategies began in the 1960s. Particularly, developments in cognitive psychology influenced much of the research done on language learning strategies (Williams and Burden 1997:149). In most of the research on language learning strategies, the primary concern has been on "identifying what good language learners report they do, to learn a second or foreign language, or, in some cases, are observed doing while learning a second or foreign language." (Rubin and Wenden 1987:19).

Aaron Carton published his study entitled “The Method of Inference in Foreign Language Study”, which was the first attempt on learner strategies. After Carton, in 1971, Rubin started doing research
focusing on the strategies of successful learners and stated that, "once identified, such strategies could be made available to less successful learners". Rubin (1975) classified strategies in terms of processes contributing directly or indirectly to language learning. Wong-Fillmore (1976), Tarone (1977), Naiman (1978), Bialystok (1979), Cohen and Aphek (1981), Wenden (1982), Chamot and O'Malley (1987), Politzer and McGroarty (1985), Conti and Kolsody (1997), and many others studied strategies used by language learners during the process of foreign language learning.

3. Definition and Characteristics of Language Learning Strategies

All language learners use language learning strategies either consciously or unconsciously when processing new information and performing tasks in the language classroom. Since language classroom is like a problem-solving environment in which language learners are likely to face new input and difficult tasks given by their instructors, learners' attempts to find the quickest or easiest way to do what is required, that is, using language learning strategies is inescapable.

O'Malley and Chamot (1990) defined Language Strategies as "the special thoughts or behaviours that individuals use to help them comprehend, learn, or retain new information". Oxford (1992/1993) provides this helpful definition: "...language learning strategies -- specific actions, behaviors, steps, or techniques that students (often intentionally) use to improve their progress in developing Second Language skills. These strategies can facilitate the internalization, storage, retrieval, or use of the new language. Strategies are tools for the self-directed involvement necessary for developing communicative ability." (Oxford, 1992/1993, p. 18)

From these definitions, a change over time may be noted: from the early focus on the product of Language Learning Strategies (linguistic or sociolinguistic competence), there is now a greater emphasis on the processes and the characteristics of Language Learning Strategies. At the same time, we should note that Language Learning Strategies are distinct from learning styles, which refer more broadly to a learner's natural, habitual, and preferred way(s) of absorbing, processing, and retaining new information and skills, though there appears to be an obvious relationship between one's language learning style and his or her usual or preferred language learning strategies.

4. Language Learning Strategy Classifications

Oxford divides strategies into two major classes: direct and indirect. Direct strategies refer to subconscious tasks, which are inherently learnt while indirect strategies refer to more conscious strategies. These two classes are again subdivided into six sub-groups of memory, cognitive, compensation, social, affective and meta cognitive. These subsets are interwoven with each other, creating an occasional overlap in the strategy groups. Oxford's inventory is attractive in number of ways.

O'Malley and Chamot (1990: p.99), on the other hand, have distinguished strategies into three categories: cognitive, meta -cognitive and social/affective. Cognitive strategies are specified as learning steps that learners take to transform new material, for instance, contextual guessing and relating new information to other concepts from memory. Meta -cognitive strategies involve consciously directing one's own efforts into the learning task. Social/affective strategies involve interaction with another person or taking control of ones' own feelings on language learning.

Macaro (2001) conceptualizes all language learning strategies as standing in a continuum without a clear line dividing the strategy types into particular areas. Cognitive strategies lie at one end with their inherent, subconscious and meta -cognitive/social/affective at the other end with their conscious, evaluative strategies.
5. Importance of Language Learning Strategies in Language Learning and Teaching

Since the amount of information to be processed by language learners is high in language classroom, learners use different language learning strategies in performing the tasks and processing the new input they face. Language learning strategies are good indicators of how learners approach tasks or problems encountered during the process of language learning. In other words, language learning strategies, while non observable or unconsciously used in some cases, give language teachers valuable clues about how their students assess the situation, plan, select appropriate skills so as to understand, learn, or remember new input presented in the language classroom.

Meta cognitive strategies improve organization of learning time, self-monitoring, and self-evaluation. Cognitive strategies include using previous knowledge to help solve new problems. Socioaffective strategies include asking native speakers to correct their pronunciation, or asking a classmate to work together on a particular language problem. Developing skills in three areas, such as meta cognitive, cognitive, and socio affective can help the language learner build up learner independence and autonomy whereby he can take control of his own learning.

Lessard-Clouston (1997:3) states “that language learning strategies contribute to the development of the communicative competence of the students”. Being a broad concept, language learning strategies are used to refer to all strategies foreign language learners use in learning the target language and communication strategies are one type of language learning strategies. Language teachers aiming at developing the communicative competence of the students and language learning should be familiar with language learning strategies.

Besides developing the communicative competence of the students, teachers who train students to use language learning strategies can help them become better language learners. Helping students understand good language learning strategies and training them to develop and use such good language learning strategies can be considered to be the appreciated characteristics of a good language teacher.

6. Pedagogical Implications

The language teacher aiming at training his students in using language learning strategies should learn about the students, their interests, motivations, and learning styles. The teacher can learn what language learning strategies students already appear to be using, observing their behavior in class. Do they ask for clarification, verification or correction? Do they cooperate with their peers or seem to have much contact outside of class with proficient foreign language users?

Besides observing their behavior in class, the teacher can prepare a short questionnaire so that students can fill in at the beginning of a course to describe themselves and their language learning. The teacher can learn the purpose of their learning a language, their favorite / least favorite kinds of class activities, and the reason why they learn a language.

It is a fact that each learner within the same classroom may have different learning styles and varied awareness of the use of strategies. The teacher cannot attribute importance to only one group and support the analytical approach or only give input by using the auditory mode. The language teacher should, therefore, provide a wide range of learning strategies in order to meet the needs and expectations of his students possessing different learning styles, motivations, strategy preferences, etc.

In addition to the students, the language teacher should also analyze his textbook to see whether the textbook already includes language learning strategies or language learning strategies training. The language teacher should look for new texts or other teaching materials if language learning strategies are not already included within his materials.

The language teacher should also study his own teaching method and overall classroom style. Analyzing his lesson plans, the language teacher can determine whether his lesson plans give learners chance to use a variety of learning styles and strategies or not. The teacher can see whether his teaching allows learners to approach the task at hand in different ways or not. The language teacher can also be aware of whether his strategy training is implicit, explicit, or both.

In order to provide students with opportunities to use and develop their Language Learning Strategies and to encourage more independent language learning both in class and in out-of-class activities.

Whether it is a specific conversation, reading, writing, or other class, an organized and informed focus on Language Learning Strategies and training will help students learn and provide more opportunities for them to take responsibility for their learning.

However, in implementing Language Learning Strategies and training in the Second Language classroom, it is useful for teachers to reflect on their own positive and negative experiences in Second
Language acquisition. Beyond contemplating one's own language learning, it is also crucial to reflect on one's Language Learning Strategies training and teaching in the classroom. After each class, for example, one might ponder the effectiveness of the lesson and the role of Language Learning Strategies and training within it. Do students seem to have grasped the point? Did they use the Language Learning Strategies that was modeled in the task they were to perform? What improvements for future lessons of this type or on this topic might be gleaned from students' behavior?

In addition to the teacher's own reflections, it is essential to encourage learner reflection, both during and after the Language Learning Strategies training in the class or course. In an interesting action research study involving "guided reflection" Nunan (1996) did this by asking his students to keep a journal in which they completed the following sentences: This week I studied..., I learned..., I used my English in these places..., I spoke English with these people..., I made these mistakes..., My difficulties are..., I would like to know..., I would like help with..., My learning and practicing plans for the next week are... (Nunan, 1996,)

This is just an example from the current literature how to encourage learner reflection on language learning. Whatever the context or method, it is important for Second Language learners to have the chance to reflect on their language learning and Language Learning Strategies use.

7. Conclusion

This paper has provided a brief overview of Language Learning Strategies by examining their background and summarising the relevant literature. Language learning strategies, being specific actions, behaviours, tactics, or techniques, facilitate the learning of the target language by the language learner. All language learners use language learning strategies in the learning process.

Language learning strategies appear to be among the most important variables influencing performance in a second language. Much more investigation is necessary to determine the precise role of strategies, but even at this stage in our understanding we can state that teachers need to become more aware of learning strategies through appropriate teacher training. Teachers can help their students by designing instruction that meets the needs of individuals with different stylistic preferences and by teaching students how to improve their learning strategies. Using language learning strategies and training in the Second Language class not only encourages learners in their language learning but also helps teachers reflect on and improve their teaching. The development of language learning strategy theory and how it fits into the framework of contemporary language teaching and learning for students who speak other languages is examined, and research on language learning strategies to date is reviewed.

References

Subjectivity and Humanism as Two Major Factors of Jean Paul Sartre's Existentialism in: Gabriel Garcia Marquez's 'No One Writes to the Colonel'

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Abstract
Existentialism, as the forerunner of twentieth century's thought schools, encompasses and gives far more meaning to the classical work of literature even the most recent ones as Gabriel Garcia Marquez. It is one of the broad schools of thought and philosophy that deeply indebted to the ideas and studies of a French philosopher called Jean-Paul Sartre. "The more fashionable a philosophy becomes”, Marjorie Grene states in his Introduction to Existentialism, "the more elusive is its definition" (Grene 23). So, the proponents of existentialism proclaim that though many attacks few understand them” (Elizabeth 1). Regarding the school of existentialism and the Marquez's work called No One Writes to the Colonel; this study concentrates on Subjectivity and humanism as viewed in this novel and as applied from the school. Sartre's existential elements, such as Subjectivity and Freedom, to choose as the two basic issues of existentialism, are applicable and seen through this novel. The major character of the novel, a Colonel, makes his mind up to choose waiting and through this decision, he gave meaning to his life and his own subjectivity. Finally the study comes to the conclusion that the Colonel of Marquez's novel –No One Writes to the Colonel- is an Existential human being, since he decides, accepts the responsibilities, alienates himself, and becomes a sort of stranger in his hometown. And yet, he does not lose his hope, as far as he is free, liberated to choose for humanism. Therefore, through the challenges he gains his true subjectivity and humanism.

Keywords: Subjectivity, Freedom to Choose, and Humanism

1. Introduction

Gabriel Garcia Marquez is regarded as a renowned author of the South America, mainly dealing with magic realistic issues in his works. No One Writes to the Colonel is one of his Macondo novels, which takes place in Marquez's favored imaginary setting Macondo, (the same as William Faulkner's Yoknapatawpha), where most of Marquez's fictions take place. It is noticeable to add that, Macondo does not stand for Aracataca the childhood city of Marquez; rather it may stand for any town in the banana zone, for Colombia, even for Latin America or any territory in the world. Therefore, it is not far reached to consider the setting as one for the humanity, in a novel that discusses man’s existence and way of decisions.

Existentialism is unquestionably one of the most influential and important philosophical movements of modern time. It seems that existentialism is generally considered as a movement trying to find meaning in the face of meaninglessness. Existentialists refuse to be called by any label and they “tend to deny the value of any system, definition, institution, structure, doctrine or relationship by which one would traditionally define oneself objectively. These qualities, traditionally connected to a person's essence, are uncertain, or subjective, illusory, artificial, or even utter nonsense, and should they be
considered at all? Can they only be authentically treated after, or, perhaps as a product of, one's existence’? (Mireaue). This means that, first of all, a person is regarded as one who exists as a thinking, feeling or active subject, then his or her essence will be created. The philosophy of existentialism is mostly indebted to an influential figure, Jean-Paul Sartre, and his ideas. Here the researchers studied to discover to what extent the existential ideas of Sartre is applicable on Marquez's *No One Writes to the Colonel*, to see that how existentiality manifested itself in the novel, and that how the Colonel comes to his subjectivity; all of which had led the Colonel to become a existential figure.

2. Discussion

2.1 What of Existentialism?

Existentialism attempts to liberate humans from the daily life by focusing on the famous statement of Rene Descartes, "I think; therefore, I am," and to direct them toward well-grounded relationships with others and with themselves. Descartes uses "I" instead of any other pronouns just for concentrating on individual; so does an existentialist. He always advises an individual to search within for truth. The common premise upon which various philosophers of existentialism base their ideas and theories is that existence is linked to choice. Even when one chooses not to choose, he makes a choice. Consequently, most existentialists reject any philosophy that defines reality as an objective thing, rather, reality for them is totally subjective and it is created by each individual; because man is free to choose and determine his own destiny. (Mellen 41)

All literary critics consent upon the fact that the sign of a great work is the many ways in which it can be read or interpreted. Marquez chooses literature as his domain because literature has no limitation. He has always spoken of freedom of literature since in literature one can tell anything and travel anywhere as he or she wishes. Among all literary genres he chooses novel as far as he has "become convinced that the novelist's work is the freest work that exist", through which the author gains subjectivity per se (Elizabeth 1). Marquez believes that the novelist is God and the novel is his universe; as God is free to exercise every excess in His universe, the novelist is free to include anything even contradictory elements in his novel. That is, where the novelist assumes the role of a rebel, and his novel turns to a rebellious act "against reality, against God, against the creation of God which is reality" (Vargas Llosa 8). The novelist even can depict the political situation of his society and lifetime in his novel by bringing fictional characters who are the representatives of the factual ones, so he can indirectly criticize the society and people. It is axiomatic that no one single approach "can do justice" (Mellen 155) to the novel the critic is going to study.

Existentialism is one of the many chosen approaches by the researchers and critics as the methodology of the research. Existentialism is the philosophy that places emphasis on individual existence, subjectivity and the freedom of choice. Existentialism especially from Sartre's view, stresses on the freedom of human being and the responsibility aroused from the so-called freedom.

Originated by Jean-Paul Sartre, the phrase "existence precedes essence" has come to be a sort of defining formulation of the existentialism. By this quotation, Sartre insists that the "essence" or "nature" of a thing is no more fundamental than its "existence". Sartre basically applies this principle to humanity. Traditionally, it was assumed that human's essence precedes existence. Because in Christianity people believed to be created by God. God knew what was to be made before humans ever existed. An existentialist, such as Sartre, goes a step further and rejects this idea (essence precedes existence).

Sartre in his ‘Existentialism is Humanism’ argues that there is no given human nature common to everyone because there is no God to give it in the first place. Human beings exist, and it is just after their existence that some "essence", that can be called "human", may develop (Sartre). Sartre believes that the nature of every person depends on that person per se. There is a freedom in selecting between this and that; the sort of selection which brings responsibility defines the nature or essence of man. Thus, no longer some excuses such as "it was in my nature" can be acceptable since human beings themselves create their own nature, and also no longer can they blame anyone or even praise but themselves (Sartre). Sartre continues that there may not be a universal human nature, but there is certainly a common human condition: Because we all are living in a society and having common condition, we may all face with the same sort of decisions (Sartre). Locating in the state of decision, man is not just choosing for himself rather for all human beings. So, we are not only responsible for ourselves but also bear some responsibility for others [Sartre]. Knowing that by choosing for yourself, you are choosing for human
beings and also the responsibility of the choice is on your own. Thus, humanism is going to be created by one's choice.

2.2 Subjectivity and Freedom to Choose in Marquez’s No One Writes to the Colonel

In a small town in Colombia the titular colonel and his asthmatic wife are living with so difficulties out of lacking money. They are trying to sell off their possessions and whatever else they can in order to buy food and medicine. The elderly and impoverished colonel has been waiting for fifteen years to receive a pension check for his service in the army. Every Friday the colonel goes to the post office in the hope that there will be a letter for him, bringing the pension that he is owed. He has been waiting more than a decade, yet no letter is received. They own a rooster that once belonged to Agustin—who had been killed at a cockfight for distributing secret political literature. The rooster is supposed to bring well-being to the colonel, his wife, the school children, and the town, by fighting with other roosters. Though the colonel and his wife are starving alive, the Colonel does sell not the rooster, rather he keeps him to fight.

In this sense, No One Writes to the Colonel reflects Sartre’s ideas on existentialism, especially subjectivity and humanism. The Colonel experiences his freedom to choose and gain subjectivity when he tries to make a decision. The Colonel seems to be stocked in a dilemma: on the one hand, he does not want to bid farewell to the glorious past and what he had done in the civil war, and on the other, he does not prefer to do something else rather than just waiting for receiving a letter containing his pension. When he meets the lawyer, he murmurs: "well, I've decided to take action."(Marquez 24). Yet, the decision of the colonel in doing an action is again seems to relate to the background of his beliefs: waiting. When the lawyer asks about his decision, the colonel replies: "to change lawyers" (Marquez 24). It shows how much the colonel feels optimistic toward the government that after passing fifteen years waiting still hangs on the bureaucratic solutions. The lawyer tries to confirm him that what he is going to do "will take centuries"(Marquez 27). But, the colonel decides to choose waiting, so he says: "it doesn't matter. If you wait for the big things, you can wait for little ones." (Marquez 27)

Yet, the colonel is free to choose between his options. It is interesting to mention that he even tries to choose some other actions such as: selling clock, asking help or selling the rooster, but he just tried, not exactly did. It seems, a great interior power pushes the colonel toward the idea of sticking to passivity- which the present article prefers not to call it so, rather referring to it as the act of waiting. This great power is his dignity or pride. The colonel's dignity is important to him; he would much rather write a letter requesting the change of lawyer by hand than ask someone to type the letter as a favor to him. (Marquez 27). The colonel even lies many times in the novel in order to save his pride; for example: the colonel is holding the clock with the idea of selling it in order to earn money to buy something to be fed on, but suddenly he realizes that he is surrounded by "expressionless faces"(Marquez 32). "what have you got there?"", one of them asks. The colonel lies: "nothing, I'm taking my clock to the German to have him fix it for me."(Marquez 32) Or, when he goes to the harbor to see if a letter comes, the postmaster answers: "nothing for the colonel"(Marquez 13). The colonel feels ashamed. He feels his dignity is going to be scratched, so he lies: "I wasn't expecting anything"(Marquez 13), yet, the readers do know that the colonel has been waiting for fifteen years. (Marquez 12). Thus, the present article comes to believe that one -such as the colonel's wife- should not accuse the Colonel for his inactivity. The Colonel chooses to wait; he chooses to be optimistic toward the government and what he had been promised to get as his pension. Here, it is preferred to call it -the waiting- an action rather than just mere waiting. At least, the colonel decides to wait. When there is no solution for his problem, the Colonel can wait. Waiting can be considered as an action. Remi Akujobi in an essay called 'Hunger and Waiting in Third World Literature' concentrates on the theme of waiting and states that: "...‘waiting’ is portrayed as an important characteristic of human condition in that people always wait for one thing or the other, and so life itself is simply made of waiting suspended between eternity."(Akujobi 41).

2.3 Humanism in Marquez’s No One Writes to the Colonel

In his lecture ‘Existentialism is Humanism’, Sartre announces that there is no predetermined value so; human being himself invents morality, value and so on. Since, there is no god, man is free to choose and invent the values. Here, Sartre calls the existentialism as a form of humanism. The Colonel in No One Writes to the Colonel is the one who tries to create humanity by what he does. The Colonel knows that he is choosing not only for himself but for all human being. Thus, he is responsible for what he does. Since by his choice, human being and humanism is going to be defined. What the Colonel tries to do is not just a
mere waiting; rather he is going to give meaning to humanism. Sometimes hunger and poverty push him to get rid of his pride and dignity- seems to be the two major symbols of humanity for the Colonel. Yet, he resisted on what he believes on.

Sartre marks that man is nothing but his choices. Man shows itself by being able to choose and at the same time to accept the responsibility of the choices. The Colonel keeps his son’s rooster alive for much the same reason "he keeps hoping for his pension-to seek a meaning to living beyond the mere fact of eating." (Marquez 9). For the colonel, it takes fifteen years to find meaning. He knows that "humanity doesn't progress without paying a price."(Marquez 20)

3. Conclusion

As discussed in the novel, No One Writes to the Colonel, it is arguing the main factors of human existence and subjectivity. Existentialism is a philosophical and literary tendency that typically emphasizes the subjective realities of individual existence, individual freedom, and individual choice. There is an emphasis on each person finding their own way in life, on making choices. Jean-Paul Sartre’s philosophical writings, as well as his plays and novels spread existentialist thinking, made Existentialism one of the schools of thought. The Colonel of Marquez’s novel is an existential human being since he decides, accepts the responsibilities, and creates humanism out of what are important for him. While entangled in a drastic situation he makes a decision by himself; this decision is made in a situation that renders no hope and prevails man to surrender, yet, the Colonel does not lose his hope because he is free, liberated by his own decision to choose for humanism. Thus, the present article calls the Colonel an existential human being.

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Is Fine Arts Inevitable Requisite for Bachelors Degree in Visual Arts?:
Notes from the Admission Policy of a Nigerian University

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Abstract There was dearth of students for the B.A programme of the Department of Visual Arts and Technology, Cross River University of Technology, Calabar, because a credit pass in fine arts at the secondary school level was requisite for admissions. This research sort to find out if doing fine arts at the secondary school level was an inevitable requisite for studying visual arts in the university. Admissions data was recorded for 6 years before, and 5 years after credit pass in fine arts was delisted as admission requisite. Research instruments were designed and applied to students and staff to find out if not having done fine arts in secondary school affected the ability of B.A students to learn and execute creative skills, or whether there was any significant difference in performance between them and those that did fine arts in secondary school. Data indicates a dramatic rise in the number of students that applied and were admitted after fine arts was delisted. Further, 91.2% of the students were satisfied with doing visual arts without having done fine arts in secondary school, while 78.4% of the students and 100% of lecturers perceived no significant difference in performance between students that did fine arts in secondary school and those that did not. The study then concluded that fine arts is not an inevitable requisite for Bachelors Degree in Visual Arts and students that did not do the subject in secondary school can do as well if the curriculum and training conditions are right.

Keywords: Visual Arts, Fine Arts, Requisite, Secondary School, Bachelors Degree

1. Introduction

Nigerian Universities are accredited by the National Universities Commission (NUC), which sets uniform standards for admission, studies and administration. Prospective candidates for Bachelors degrees at any university in Nigeria are required to take and obtain yearly-determined minimum scores at nationally organised matriculation examinations, conducted by the Joint Admissions and Matriculation Board (JAMB). Aside from this, it is mandatory for candidates to obtain Ordinary Level (O-Level) credit passes, at the secondary school level, in a minimum of 5 relevant subjects. The term ‘relevant’ applied to the O-Level entry requirements means that the subjects must be directly related to the proposed course of study. As, for instance a candidate wishing to undertake a BSc. ‘Chemical Sciences’ must have requisite credit passes in Chemistry and related courses, while candidates for arts and humanities must have credit passes in the specific art or social science courses they intend to study at the university. Thus, candidates wishing to study visual arts at any Nigerian University must have credit passes in fine arts, technical drawing, industrial drawing and other visual arts subjects at the secondary school level. For all Nigerian universities, 2 semesters make-up 1 academic session, which usually begins at the end of a calendar year and spills over to the next.

However, at the Department of Visual Arts and Technology, Cross River University of Technology (formerly Department of Fine and Applied Arts, The Polytechnic Calabar [POLYCAL]), this admission policy of making the study of fine arts at the secondary school level requisite for admission into the visual...
The arts programme threatened the life of the Department and the career of prospective candidates. It was a threat in that, in the entire Cross River State of Nigeria, only a very few secondary schools mounted fine arts as a subject for pupils to study while, paradoxically, the subject was requisite for all prospective candidates of the BA Visual Arts Programme of the University. As a direct result of this it became very difficult for candidates to gain admission into the programme. This study uses data gathered between 1999 and 2009 to analyse and document how the Department of Visual Arts and Technology, Cross River University of Technology (CRUTECH), Calabar, surmounted the problem of dearth of students, placed by the admission policy of making fine arts requisite in a social environment where candidate did not have the possibility of studying fine arts at the secondary school level. The purpose of the study is to determine whether a credit pass in fine arts at the secondary school level is an absolute necessity for candidates who wish to do Bachelors studies in visual arts.

2. The Study Area

Cross River University of Technology (CRUTECH), Calabar was established in 2002 as a multi-campus University following the merger of 3 existing tertiary institutions. These institutions were The Polytechnic Calabar (POLYCAL), College of Education Akamkpa, IBB College of Agriculture, Obubra. Although The Polytechnic Calabar was established in 1973, its Fine Arts Department was established in 1998 to award a 2-year National Diploma. It was the Fine Arts Department, POLYCAL, which transformed into the Department of Visual Arts and Technology, CRUTECH, in 2002. The Department of Visual Arts and Technology, CRUTECH, runs a 4-year Bachelors in Visual Arts programme in five studio areas, namely, Painting, Ceramics, Graphics, Textile Design and Sculpture. As a critical part of the training, students are required to do a 6-month industrial attachment at any industry of their choice, where they learn industrial techniques and applications of what they have learnt in the classroom and studios. However, the Fine Arts Department, POLYCAL, existed for just 4 academic years before it transformed into the Department of Visual Arts and Technology, CRUTECH. Right from the beginning of the Fine Arts Department in 1998, it was virtually impossible for prospective candidates to fulfil its admission requirements because they did not have the requisite credit passes in fine arts at the secondary school level. Because of this limitation, there was a dearth of students in the Department in the 4 years of its existence. Thus, whereas the Cultural Policy for Nigeria (1988) insists that Nigerian arts and artists must be promoted, the Department was unable to fulfil its training objectives in those years. But this lack of students can be said also of the first two years (2003 and 2004) of the Department of Visual Arts and Technology, CRUTECH, because fine arts was also requisite for prospective candidates of the BA Visual Arts programme.

3. Statement of the Problem

There has been a dearth of students for the visual arts programme in Calabar. Whereas the admission policy makes fine arts requisite for studying fine/visual arts in the universities, most prospecting students are unable to secure admission because they did not have the possibility of studying fine arts at the secondary school level in Cross River State. In this study, the vital question is whether fine art is an inevitable requisite for undertaking an undergraduate course in the visual arts.

4. The Study of Visual Arts in Calabar, Cross River State

Calabar is the capital city of Cross River State (south east of Nigeria), which has a land mass of 23,074km² and an estimated population of about 2.89 million (2006). In the whole of Cross River State, there are four tertiary educational institutions: the University of Calabar, Cross River University of Technology, College of Education (at Akamkpa) and the Ibrahim Babangida College of Education (at Obudu). Of these institutions, it is only the Department of Visual Arts and Technology, Cross River University of Technology, Calabar, which offers Degrees in visual arts. Candidates that live in Cross River State and wish to study fine arts or visual arts in the university, had to seek admission in another Nigerian state if they did not fulfil the admission requirement of the CRUTECH visual arts programme. Thus, right from the beginning of the Fine Arts Department, POLYCAL, the problem of lack of candidates who could fulfil the admission requirement of a credit pass in fine arts at the secondary level was very pressing. It was pressing because, while a lot of material resources and studio space were being made available to the Department, such expenses seemed increasingly unjustifiable in view of the limited number of students.
admitted into the programme. Furthermore, since the Department is the only institution in the state that offers Bachelors programmes in visual arts, there was a great deal of pressure to urgently resolve the issue. Parents of prospecting candidates could not understand why the problem should linger, making their wards ineligible for admission. On their parts, candidates that applied but were denied on account of their lack of credit passes in fine arts at the secondary school level, were increasingly disappointed and agitated. Responding to the barrage of complaints from parents and wards, staff in the Department began to debate the strategies that can be adopted to address the situation.

One option was to go to the secondary schools and meet with the pupils, staff and Head Teachers to generate more interest among secondary school pupils and teachers in fine arts. This effort was not fruitful because secondary school Principals expressed their willingness to mount the fine arts subject but drew attention to the lack of teachers who can teach fine arts. As a follow-up to this, Lecturers in the Department of Fine Arts, POLYCAL, took it upon themselves to visit interested secondary schools and offer free services and teach fine arts to the pupils. Unfortunately, this strategy, good as it was, was not sustainable because, at one point, the cost of moving from secondary school to secondary school to teach them became unbearable for the Lecturers. This was more so since they also had their individual primary work schedules at the Polytechnic. By 2002 when the Department of Visual Arts and Technology, CRUTECH, was formed, the debate was still ongoing among lecturers of the Department about how to resolve the issues in a sustainable way. It became clear that what was required was a more scientific approach that will make the problem resolution evidence-based and, thus more sustainable. There was therefore the need for research into this problem.

One research, Ajibade and Lawson (2003) studied the limitations of teaching and learning fine and applied arts in Calabar, Nigeria. Among others, the study found out that most secondary schools in Calabar do not offer fine arts as a subject. A major constraint in the secondary schools themselves is that fine arts teachers are very scarce, which makes it impossible for proprietors to mount fine arts subjects for pupils to study. It turned out that most fine/visual artists who graduated from the university were more interested in setting-up studios for private practice than taking-up teaching appointments with secondary schools. The reason for trained artists not wanting to become secondary school teachers is the very poor wages paid to teachers. Another major finding was that this problem in the secondary schools is transferred to the tertiary education system. Furthermore, the study was conclusive that, in light of the “lack of opportunity for most Cross River students to study fine arts at the secondary school level”, it was counter-productive to make fine arts an absolute requisite for admission into the visual arts programme of CRUTECH. The authors continue:

Since making fine arts a requisite for admission will exclude most Cross River state students from CRUTECH, the more prudent and viable thing to do is provide admission for students that apply and fulfil all other requirements and then design adequate introductory courses for them in the first few years of study. (Ajibade and Lawson 3003:31)

What Ajibade and Lawson proposed is that the visual arts admission policy needs not be too rigid or sacrosanct and it should be responsive to critical and peculiar sociocultural circumstances of the immediate society. What the authors proposed for the visual arts curriculum in CRUTECH is in fact not new. For, according to the publication, *Tuning Fine Art Education* (2010:2) – a document that is formulated to harmonise and position visual arts curricular in Universities across Europe – it is very “important that Fine Art programmes continue to define their own specific qualities, weighting and approaches to their curricula” because:

Fine Art education enables students to become creative arts practitioners. Students learn to develop the necessary imaginative, intellectual, theoretical and practical skills to equip them for continuing personal development and professional practice within the arts. Students are required to actively participate in their own education and to define their own area of practice, theory and research and the relevant professional skills that their practice requires. Fine Art education involves modes of study that lay stress on creativity, improvisation and the questioning of orthodoxies. From the above, it is clear that the focus in either admitting or training students in the visual arts should not be the orthodox, theoretic or hypothetical 'standards' that supposedly aim to fine-tune the 'quality' of students admitted. Rather, the focus should be on the students themselves and their potentials to develop creative skills through interactive processes of self awareness. At a workshop, *Teaching Visual Arts in Modern Languages Departments*, on November 23rd at Cambridge, Wagstaff and Treherne (2007) have highlighted the need to make better use of contact time by basing art courses around activities in order to make students active learners, that is, as opposed to them being passive consumers of theoretic matter and standards. In the words of the publication *Visual and Performing Arts Content Standards for California
Public Schools (2010:201), it is of the most importance to design curricular and instructional strategies that address the needs of the students. Also, according to Lipoff (2010), the vital thing is for students to know the differences between art materials and the abilities to both describe and master the various materials in creating art to express themselves.

Furthermore, as Beal (2001) has demonstrated and emphasized, there is the importance of artistic materials and art’s power to foster deep personal connections between the artist and the world around. The importance of art’s social power nonetheless, scholars have noted that there is often an unserious way in which people in society perceive the teaching and learning of the arts as disciplines of study. This much is clear from the paper, Teaching Core Curriculum Content through the Arts (Jacobs, Berghoff and Bennette 2003), presented at the Annual Meeting of the American Educational Research Association, Montreal. Thus parents, guardians and even policy makers very often treat the subject with levity. While parents may try to dissuade their wards from undertaking the visual arts programme (in preference for the sciences), policy makers and government itself do not invest enough in art training in both the secondary schools and in the universities. The sum total of these negative attitudes is that, on the one hand, candidates are unable to gain admission because of deficiencies and, on the other hand, the subject becomes a very unattractive prospect for many secondary school pupils. In view of Ajibade and Lawson’s (2003) findings and recommendations, in 2005, two years after the Department of Fine and Applied Arts (POLYCAL) was transformed into the Department of Visual Arts and Technology (CRUTECH), it became necessary to avoid replicating the admission problems in the new dispensation. In the first two years of the Department of Visual Arts and Technology (CRUTECH), the former admission policy requiring credit pass in fine arts at the secondary school level was in place. And, just as it was in the POLYCAL years, students were unable to gain admission into the new Department because of the limitations placed by the fine arts clause. Thus, the clause was removed and the lecture, practical and tutorials content of the new curriculum was designed to introduce fine arts to students that did not do the subject at the secondary school level.

Figure 1. The Former and New Admission Requirements for the Arts Programme in Calabar

<table>
<thead>
<tr>
<th>Former Admission Policy</th>
<th>New Admission Policy</th>
</tr>
</thead>
<tbody>
<tr>
<td>Candidates must possess credit passes in fine</td>
<td>Candidates must possess credit passes in</td>
</tr>
<tr>
<td>arts, English language and any other three</td>
<td>English language and any other four subjects</td>
</tr>
<tr>
<td>subjects</td>
<td></td>
</tr>
</tbody>
</table>

5. Methodology

Admission data for the Department of Fine and Applied Arts, POLYCAL was gathered between 1999 and 2002. Motivated by the empirical understanding that most secondary schools in Cross River State do not offer fine arts in their curricular the admission requirements for the visual arts programme was changed in 2005 to make it possible for students to enrol in the programme without having done fine arts at the secondary school level (see Figure 1). In contrast to the former entry requirements, in the new admission requirement, fine arts was no longer a compulsory subject for applicants. To be eligible for admissions into the BA visual arts programme, candidates needed only to have credit passes in any five subjects at the secondary school level. After the implementation of the new admission policy in the Department of Visual Arts and Technology, CRUTECH, further admissions data was captured between 2004 and 2009 according to gender and years of admissions. Questionnaires were also designed and administered to 204 students who have done the Bachelors programme at the Department of Visual Arts and Technology, CRUTECH, without doing fine arts in secondary school. Data was presented in tables, percentages and graphs to show the frequency distribution of admitted students in the years under review. In order for the research to have a rounder perspective, personal interviews were also conducted among staff and students of the Department.

6. Results

From Table 1 below, we find that in 1999 a total of 12 students applied and were admitted in the Department of Fine and Applied Arts (POLYCAL). Of this 8 (or 66.7%) were male while 4 (or 33.3%) were female. In 2000, a total of 10 students were admitted of which 5 (or 50%) were male and 5 (or 50%
were female. In 2001, a total of 6 students were admitted of which 4 (or 66.7%) were male and 2 (or 33.3%) were female. In 2002, a total of 16 students were admitted of which 11 (or 68.8%) were male and 5 (or 31.3%) were female. Thus, of a total of 44 students that applied and got admitted for the 2-year National Diploma in Fine Arts programme between 1999 and 2002, 28 (or 63.6%) were males while 16 (or 36.4%) were females.

Table 1. Students Admitted to Study Fine and Applied Arts in POLYCAL, 1999-2002

<table>
<thead>
<tr>
<th>Year</th>
<th>M</th>
<th>F</th>
<th>Total</th>
<th>M</th>
<th>F</th>
<th>Total</th>
<th>M</th>
<th>F</th>
<th>Total</th>
<th>M</th>
<th>F</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>1999/2000</td>
<td>8</td>
<td>4</td>
<td>12</td>
<td>5</td>
<td>5</td>
<td>10</td>
<td>11</td>
<td>5</td>
<td>16</td>
<td>28</td>
<td>16</td>
<td>44</td>
</tr>
<tr>
<td>%</td>
<td>66.7</td>
<td>33.3</td>
<td>100</td>
<td>50</td>
<td>50</td>
<td>100</td>
<td>68.8</td>
<td>31.3</td>
<td>100</td>
<td>63.6</td>
<td>36.4</td>
<td>100</td>
</tr>
</tbody>
</table>

Total number of students in the years under review 44

From Table 2 below, we find that a total of 9 students were admitted in 2004, consisting of 5 (or 55.6%) males and 4 (or 44.4%) females. In 2005, 18 students were admitted with 11 (or 61.1%) males and 7 (or 38.9%) females. In 2006, there were 77 students admitted with 36 (or 46.8%) males and 41 (or 53.2%) females. In 2007, there were 44 students admitted with 14 (or 31.8%) males and 30 (or 68.2%) females. In 2008, 60 students were admitted with 22 (or 36.7%) males and 38 (or 63.3%) females. In 2009 there were 157 students admitted with 58 (or 36.9%) males and 99 (or 63.1%) females.

Table 2. Students Admitted to Study Visual Arts and Technology in CRUTECH, 2003-2009

<table>
<thead>
<tr>
<th>Year</th>
<th>M</th>
<th>F</th>
<th>Total</th>
<th>M</th>
<th>F</th>
<th>Total</th>
<th>M</th>
<th>F</th>
<th>Total</th>
<th>M</th>
<th>F</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>2003/2004</td>
<td>6</td>
<td>4</td>
<td>10</td>
<td>5</td>
<td>4</td>
<td>9</td>
<td>11</td>
<td>7</td>
<td>18</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2005/2006</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2006/2007</td>
<td>36</td>
<td>41</td>
<td>77</td>
<td>14</td>
<td>30</td>
<td>44</td>
<td>22</td>
<td>38</td>
<td>60</td>
<td>58</td>
<td>99</td>
<td>157</td>
</tr>
<tr>
<td>%</td>
<td>46.8</td>
<td>53.2</td>
<td>100</td>
<td>14</td>
<td>30</td>
<td>44</td>
<td>36.7</td>
<td>63.3</td>
<td>100</td>
<td>36.9</td>
<td>63.1</td>
<td>100</td>
</tr>
</tbody>
</table>

Figure 2 below is a bar chart showing the visual analysis of the students admitted into the arts programme in the four years of the Department of Fine and Applied Arts, POLYCAL (1999/2000, 2000/2001, 2001/2002 and 2002/2003), and the first two years of the Department of Visual Arts and Technology, CRUTECH (2003/2004 and 2004/2005) when fine arts was still entry requisite for admission.

Figure 2. Bar Chart of Students Admitted to Study Fine/Visual Arts in POLYCAL and First Two Years of CRUTECH
Figure 3 below is a bar chart showing the visual analysis of the admissions for first two years of the Department of Visual Arts and Technology, CRUTECH (2003/2004 and 2004/2005) when fine arts was still entry requisite, and the next 5 years (2005/2006 – 2009/2010) when fine arts was delisted as requisite.

Figure 3. Bar Chart of Students Admitted to Study Visual Arts and Technology in CRUTECH, 2003-2009

In table 3 below, 204 student respondents randomly sampled among those that did not do fine arts in secondary school responded to their level of satisfaction with the BA visual arts programme. Of these, 56 (or 27.5%) were most satisfied, 60 (or 29.4%) were very satisfied, 70 (or 34.3%) were satisfied while 18 (or 8.8%) were unsatisfied.

Table 3. How Satisfied Students are with Studying Visual Arts without Doing Fine Arts in Secondary School

<table>
<thead>
<tr>
<th></th>
<th>Most Satisfied</th>
<th>Very Satisfied</th>
<th>Satisfied</th>
<th>Unsatisfied</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>56</td>
<td>60</td>
<td>70</td>
<td>18</td>
</tr>
<tr>
<td>%</td>
<td>27.5%</td>
<td>29.4%</td>
<td>34.3%</td>
<td>8.8%</td>
</tr>
</tbody>
</table>

Total number of student respondents: 204

In table 4 below, 204 student respondents who did not do fine arts in secondary school responded to the question whether they perceive a significant difference between the creative skills they have developed and those of BA students that did fine arts in secondary school. Of these, 36 (or 17.7%) say they perceived a difference, 160 (or 78.4%) say they perceived no difference in the creative skills they have developed in the programme, while 8 (or 3.9%) were undecided.

Table 4. Do BA Students that Did Not Do Fine Arts in Secondary School Perceive a Significant Difference Between their Creative skills and those of BA Students that Did?

<table>
<thead>
<tr>
<th></th>
<th>Yes</th>
<th>No</th>
<th>Undecided</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>36</td>
<td>160</td>
<td>8</td>
</tr>
<tr>
<td>%</td>
<td>17.7%</td>
<td>78.4%</td>
<td>3.9%</td>
</tr>
</tbody>
</table>

Total number of student respondents: 204

In table 5 below, Lecturers in the Department responded to the question whether there was a significant difference in performance between students who did fine arts in secondary school and those that did not.

Table 5. Is There a Significant Difference in Performance Between Students Who did Fine Arts in Secondary School and Those that Did Not?

<table>
<thead>
<tr>
<th></th>
<th>Yes</th>
<th>No</th>
<th>Undecided</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>0</td>
<td>22</td>
<td></td>
</tr>
<tr>
<td>%</td>
<td>0%</td>
<td>100%</td>
<td></td>
</tr>
</tbody>
</table>

Total number of lecturer respondents: 22
7. Discussion

From the data analysed above, the delisting of fine arts as prerequisite for the art programme in Calabar has successfully enabled many more candidates to gain admission. In the 4 years between 1999/2000 and 2002/2003 academic sessions, only 44 students were able to gain admission because of restrictions placed by the fine arts requirement. This represents an average of 11 candidates per academic session. Also in the first 2 years, 2003/2004 and 2004/2005, of the Visual Arts programme in CRUTECH, only 10 and 9 students respectively enrolled. In contrast, from the time credit pass in fine arts was delisted as requisite in the admission requirement in 2005, the bar chart in Figure 1 indicates there was a dramatic increase in the number of students that applied and were admitted into the programme. For instance, in the 5 academic sessions of 2005/2006 to 2009/2010, a total of 355 students were admitted, as against 63 students admitted in the 6 academic sessions between 1999/2000 and 2004/2005.

Furthermore, most students that did the visual arts programme in CRUTECH without doing fine arts in secondary school are satisfied with what they have learnt, and they do not perceive significant differences between their ability to learn and apply creative skills and those that did fine arts in secondary school. In oral interviews, the major reason those that were not satisfied gave is that they could not ‘draw’ very well. However, for two reasons, it may be a purely subjective position for them to believe that the reason they could not draw well is that they did not do fine arts in secondary school. Firstly, keen observation does not indicate that all candidates that did fine arts in the secondary school can draw well. Secondly, there are dozens of creative skills and techniques in visual arts, of which drawing (as a subjective creative activity) is only one. From experience and observation, different students take to different creative skills depending on their areas of interest and how much they have committed to experimenting with materials and techniques. For instance, Nkami-Eval Elemi, a graphics major declares as follows: “I did not do fine arts in secondary school but I have learnt graphic design and print making. I will graduate soon. The 6-month industrial attachment was very helpful because I learnt artistic discipline during the period” (Personal Communication, August 20, 2010). Also, Angela Aji, who did not do fine arts in secondary school but was admitted and graduated in Ceramics was very insightful:

I did not do fine arts in secondary school. But I have a BA in Visual Arts. I have not found any significant difference between my ability to learn skills and techniques in visual arts and those of my colleagues that did fine arts in secondary school. It was only in the beginning that I was afraid because I did not do fine arts in secondary school. I originally set out to do Mass Communication. It was when I did not get admitted into the Mass Communication programme that I applied for Visual Arts. But after I started the visual arts programme, I soon adjusted, learnt and performed as good as my other colleagues. In fact, I am even better than many of them who had done fine arts in secondary school. (Personal Communication, September 5, 2010)

In essence, data indicates that Bachelors Degree students of visual arts are not incapacitated in any significant way by the fact that they did not do fine arts in secondary school, insofar as the curriculum is structured to be interactive in enabling students learn and develop creative skills and techniques.

8. Conclusion

In Connecting Arts Education Policy and Research to Classroom Teaching, presented at the Annual Meeting of the American Educational Research Association in Chicago, Burns (2003) has shown that the arts are not only beneficial to the learning process but that they enhance learning and achieve positive social outcomes when they are integral to students own experiences. Furthermore, Swan-Hudkins (in Cluff 2010) has established that learning through the arts does improve student’s scores even in other presumably remote subjects such as science and mathematics where spatial reasoning is mainly used. Thus since most prospective candidates did not do fine arts in secondary school, to make the BA visual arts programme (CRUTECH) integral to students’ experience, the subject needs to remain delisted as requisite for admissions because they can learn and improve on diverse creative skills when they are admitted into a BA Visual Arts programme without having done fine arts in the secondary school. From the study, there seems to be no significant correlation between not doing fine arts in secondary school and doing well in the Bachelors programme in Visual Arts. Therefore, a credit pass in fine arts at the secondary school level is not an absolute necessity for candidates that wish to do Bachelors studies in visual arts. Thus, rather than base the future of a good proportion of Nigerian youths in unnecessary jeopardy by insisting on credit pass in fine arts at when they did not do it at the secondary school level, it is best to
open-up the admission space by removing exclusionary criteria and adapting it to actual social reality. And, if at all selection processes become inevitable, such a process is best based, as *Tuning Fine Art Education* (2010) outlines, on a wider range of criteria, including competence tests, interviews where students may be selected by teams of staff or individual lecturers that work with candidates for a specific period of time. However, even without rigorous selection processes, data clearly indicates that fine arts is not an inevitable requisite for Bachelors Degree in Visual Arts and students that did not do the subject in secondary school can do as well if the curriculum and training conditions are right. Being right, in this case, means that both the admission requirement and the curriculum are locally relevant (UNESCO 2005) by taking into cognisance the fact that applicants did not do fine arts in secondary school and designing a programme that will transfer adequate knowledge and creative empowerment to the students, in the duration of the course.

References


An Empirical Verification of the Fertility Preferences of Urban Women in a Depressed Economy: Evidence from Calabar, Nigeria

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Abstract This work sets out to investigate the fertility preferences of urban women in a depressed economy, using Calabar, Nigeria as a case study. Using a utilizing questionnaire, empirical data were collected from a spatially stratified random sample of urban women and analyzed, using simple correlation techniques. Family income was made to predict fertility levels, number of children alive, the ideal number of children per family, the number of children desired per family, and so on. Although the analyses produced both negative and positive relationships, some are significant while others are not. Therefore, this work has suggested areas in which future researches need be intensified.

Keywords: fertility preferences; urban women; depressed economy; empirical verification; Calabar; Nigeria

1. Introduction

The quest for an understanding of the factors governing population change, specifically fertility, has been the pre-occupation of a number of demographic studies (Szreter, 1993; Brentanto, 1992; Caldwell et al, 1992; Jones 1990). In all these studies could be found a common persuasion anchored in the demographic transition theory, which holds that ultimately, fertility will decline due to a number of mutually reinforcing checks and balances produced by forces of modernization and industrialization. The demographic transition theory itself draws empirical evidence from the demographic history of the Western World and northern Europe in particular, between the 15th and 19th centuries. This trend continues even into the present. However, it is still being doubted whether one can talk of the general applicability of this theory with respect to the process of fertility change in the developing world. For instance, Benefo and Schuttz (1996) noted that in Cote d’Ivoire and Ghana high levels of child mortality was responsible for the decision of parents to have large numbers of births.

2. Trends in Fertility Decline

The pattern of fertility decline in various countries of the developing world is rapidly changing. In China and most of South-east Asia, remarkable fertility decline has been experienced in response to factors of modernization and industrialization (Greenhalgh, et.al. 1994). In some other countries including Sri Lanka and India, decline in fertility has been recorded despite poor economic performance at the turn of the last century. In some of the developing countries of Africa and Asia, fertility has failed to decline even though there is ample evidence that modernizing forces are operating actively (Jones, 1990).

Despite seeming contradictions in the theory’s application, evidence across the developing world in Africa, Asia and Latin America reaffirms the transition theory. This is reflected in the works of Kocher (1976) in Northeastern Tanzania, Carvajal, and et.al. (1976), in Costa Rica, and Visaria (1976) in parts of
India. Considerable social, cultural, health, educational, income and economic changes are the driving force behind the reported fertility decline in the above-referred countries. Although fertility decline may always correspond to the assumptions of the demographic transition theory, that it responds to modernizing forces, it may as well respond to depressing economic conditions and the desire to maintain and/or attain a decent life style at the level of the household budget.

The divergence of opinions over the relative merits of demographic transition theory in predicting the future course of fertility change is critical to population policy considerations. While the developmentalist prefer to invest developmental resource or capital on socio-economic improvements, which is concomitantly expected to bring about fertility decline at its trail, family planners are more inclined to channel development resource to family planning programs with the hope of inducing fertility decline in order to stimulate economic development.

Inspite of the fact that serious debates have raged on for centuries within the academia and policy circles as to the nature of the relationship between population growth and economic development, fertility decline via family planning programmes still lies at the heart beat of population policy. This persuasion is hinged on the assumption that slowing down population growth is a pre-condition for economic and social development (Fischer, et.al. 1990; McNamara, 1992).

Although this paper does not intend to join issues with any side of the divide in the population-development debate, it attempts to provide rational perspectives on the factors governing fertility decline, taking recent empirical evidence from a city in Nigeria. While it may be observed that the rate of fertility increase is still high in Nigeria’s urban centres relative to the world average, going by survey results which yielded a crude natural increase of 3 to 6 per cent per annum for some Nigerian towns (Ainsworth, et. al. 1996), recent surveys indicate that fertility has begun to decline in South-western Nigeria as well as in other African countries such as Botswana, Zimbabwe and Kenya (Caldwell, et.al. 1992) and even South Africa (Timaeus, et. al, 2008). The Nigerian fertility decline is thought to be predicated on the attainment of relatively low levels of infant and child mortality, substantial extension of female secondary education and a strong family planning policy aimed at controlling family size (Caldwell, et. al., 1992). An economic angle to fertility transition at the level of the household decision making is central to this study.

Broadly, this study intends to demonstrate that economic factors are critical in compelling urban women to regulate fertility, and that building this into the transition theory may present a fuller account of the forces driving fertility change. More specifically, the objective of this study is to establish the fertility preferences and responses of urban women under conditions of economic stress, as well as determine the influence of educational levels and income on family fertility behaviour.

3. Calabar’s Socio-Demographic Characteristics

Calabar is a fast-growing medium-size urbanized state capital in southeastern Nigeria. The demographic, social and economic characteristics of this urban centre make it an ideal environment for testing the hypothesis posited above. The Nigerian National Population Commission gives an estimate of the population of Calabar as 375,196 in 2006. This population consists of 51 and 49 percent males and females respectively. Therefore, the sex ratio can be said to be balanced even though there is a slight male dominance. Family size varies according to the age of households. Old and established families whose heads are 50 years and above, sometimes polygamous, consist of between five and twenty or more members. Large families are consequences of the importance which existing social institution of marriage placed on a man who is married to several wives.

Families whose heads are between 35 and 50 years old have fewer children, often between four and eight. Younger families even have fewer children, usually four and below. Middle age and young families seem to react to the economic realities of their age. Large family sizes have become an economic burden nowadays in the face of mass unemployment and rising cost of living.

Variations in family size indicate the declining importance of children in the socio-economic system. In the traditional urban society, children were an asset to their parents, helping not only in domestic services but in socioeconomic activities such as keeping the shop, hawking on the streets, offering themselves as paid house-helps to the elite, and in other ventures from which they earned money to augment family income and thus, pay partly for their own upkeep. Therefore, large families were really encouraged by these economic opportunities. Parents with a large number of children within this social system stood a good chance of enjoying great returns and remittances from their children while those with fewer children were made miserable.

There was also the social practice in which a family could send some of the children to live freely
with relatively prosperous, or even childless relatives. These relatives then assume the role and function of
the natural parents, thereby, relieving the natural parents of their financial commitments to the children.
Such a transfer of responsibilities which is effected through mutual understanding directly and positively
influences fertility level of women by encouraging them to have more children.

4. Recent Trends in Child Care

However, as such opportunities dwindle, there comes also the need to regulate family sizes. Both young
and middle-age families tend to raise few children by way of adjusting to the realities of their time.
Nowadays, public policy makes it mandatory for parents to send their children to school and stipulates
some sanction against defaulting parents. As most children are now compulsorily in school, they can no
longer be available in the homes to perform their traditional economic roles. This new social order
imposes additional severe economic constraints on the parents who must pay school fees, buy relevant
books and provide other necessary materials alongside with catering for other necessities that the children
may require.

Regrettably with all this done, employment after leaving school is not guaranteed, and many
university graduates are seen joining the pool of hopeless job seekers. Invariably, parental financial
support for the children continues without a foreseeable end. In the ensuring financial crisis of the family,
women are compelled to abandon their traditional roles of child bearing to seek menial jobs which most
often, take them out of the home for most part of the day. Therefore, child care becomes an irksome but
unavoidable burden for most women on wage or other forms of employment.

5. Economic Depression

Child abandonment, child trafficking, child-enslavement, improper child education and similar treatments
being meted to the child in most cities of the developing countries have their root causes in economic
depression. The traditional economy of both male and female native Efiks, Quas and Efuts in Calabar
urban is artisanal fishing and subsistence cultivation of cassava, vegetables and banana in the immediate
hinterland. From these enterprises, very little is earned and virtually nothing is saved for re-investment.

Industrial plantations of rubber and oil palm are found in the rural-urban fringe. These plantations
owe their origin to colonial administration, but they are now wholly public enterprises which employ few
hundreds of labour for a pittance. These plantations do not discriminate against the sexes in their
employment policies. But today, not only is the real value of the wages paid so low because of hyper-
inflationary trends in the economy, but workers are sometimes owed up to six months salary. Hence,
retrenchment or downsizing of labour input has become the order of the day in these plantations and has
made life tough in general terms for their employees.

Manufacturing industries are very few in Calabar and they operate on very small scales, employing
between 10 and 200 persons. They include cement manufacture, flour milling, veneer and plywood
manufacture, match making and the manufacture of toiletries. Total industrial employment is negligible
and hence, the rate of unemployment and disguised unemployment is very high.

The public sector is the major employer of labour. Here, also income is generally poor, varying
between N5,000.00 and N100,000.00 per month (1.0 = # 150.00). It is, therefore, not difficult to
establish the fact that a thick cloud of economic uncertainty hovers around the lives of both the
employed and the unemployed, since the former must of necessity, cater for the latter.

6. A Model of Fertility Change

Johnson (1994) provided a simple model of fertility determination. Borrowing from the concept of
economic rationality, he assumed that families are in the like manner, rational in their decision affecting
fertility. Actual fertility becomes a function of the number of children desired by a family and the cost of
achieving the desired number. A family arrives at a decision on the number of children desired by
equating the expected costs and benefits of an additional child. When the expected costs of an additional
child equal or exceed the expected benefits, then the family can go ahead to have an additional child.

Johnson (1994) provided a list of the costs of an additional child to the family as including the
following : (i) costs of parents’ time, (ii) cost of schooling, (iii) cost of health care not borne by
government (iv) cost of food, clothing and housing. The time cost to the family is itself a function of the
existing wage rate, level of education of the parents, type of parents’ employment and to the woman, of
pregnancy and birth.

The benefits of an additional child to the family might be said to include the following:

(i) The contributions of the child to household activities through cooking, caring for a sibling, cleaning, etc;
(ii) Provision of security of income and care for old age or illness, especially if a male child,
(iii) Income or capital transfers that may result from having an additional child, and,
(iv) Consumption or satisfaction benefits obtained.

The final outcome of family decision to have an additional child even when the costs and benefits have been so analyzed is based on fecundity. Three major factors are said to affect fecundity, namely, (i) availability, reliability, quality and costs of contraceptive devices (ii) willingness to resort to abortion, and (iii) the level of education of both parents, especially, the mother.

Even though the model of fertility change thus described is logically consistent, its assumption of rationality on the part of the family is evidently weak and may not be expected to represent the behaviour of families in general. Do families always go through the processes of computation of costs and benefits as assumed in the model? How do families estimate the costs and benefits of non-quantifiable factors, such as the time cost of pregnancy to the woman or the satisfaction benefits obtained from an additional child?

In real practice, pregnancy may not involve any serious time cost to a gainfully employed woman. Provision is always made, for instance, in Nigeria in existing public service regulations for pregnant women to go on maternity leave during which period their salaries continue to run. Even the self-employed market woman can continue her business of buying and selling without any serious impairment to her time. In the same vein, non-quantifiable socio-cultural benefits may override any other cost implication of an additional child to the family. Socio-cultural benefits especially in the context of most Third World countries sometimes are evaluated by social norms and religion which are outside the domain of economic rationality.

In spite of these observations, it could still be established that family income plays a significant role in the determination of family fertility levels, especially in a depressed economy. Therefore, it could be assumed that changes in fertility level, or in the desired fertility level are consequent on the economic characteristics of urban families. And since urban families tend to be segregated into residential neighbourhoods on the basis of affluence, fertility changes may also have a spatial expression in the city.

7. The Data

The city of Calabar was spatially stratified into five in accordance with the socio-economic attributes of districts earlier identified and mapped out by Animashaun (2008). From within each stratum, a district was randomly selected such that the five districts included in this study broadly typify Calabar’s socio-demographic and economic space. They are as follows:

(i) The Housing Estate, a residential district for the elite, the affluent and the highly educated social group;
(ii) Akim Town/Big Qua Town, a fast modernizing district with a high mixture of ethnic groups;
(iii) Henshaw Town/Duke Town, the traditional core area of the city which is almost exclusively the residential area of the native population;
(iv) The down-town consisting of the major commercial activities, spreading through Barracks Road, Chamley Street, Target and Calabar Roads; and
(v) Efut-Anantigha district, a district of most recent sprawl.

Using a questionnaire, samples were drawn systematically from residential houses within each district. From the samples, information was collected from house-wives on the social and economic characteristics of households such as age of the household head, family income per month, the fertility profile of the family, the ideal number of children per family during periods of economic stress and economic affluence. Most of the dwellings, except those in the Housing Estate (District 1) were multiple family dwellings. From each of such multiple dwellings, only one family was sampled because it was thought that all the resident families would certainly have broadly similar socio-economic characteristics and fertility patterns.

The mean age of the respondents across the five residential districts varied between 37.4 and 40.0, while the modal age is 40 except in Henshaw Town where it is 30. The variation in age ranges between 6.81 and 10.19. By implication, the respondents spread through ages 30 and 50 years, a critical period in marital life during which important decisions must have to be taken on family size (Table 1).
The mean family income of the respondents varies from N7,129.3 in the Downtown district to N11,000.00 in Efut, Mbukpa and Anantigha in the outskirts of the city. Other demographic characteristics shown in Table 1 include the fertility profile of the sample and the level of education of the respondents. Level of education was measured by a surrogate, the number of school years completed. The computation shows that the Housing Estate has a high concentration of highly educated people.

8. Data Analysis

Series of simple correlation analysis were carried out in turn, first between the various dimensions of fertility shown in Table 1 and income, and subsequently, between education and fertility levels. A simple correlation of the actual fertility and income levels in the Housing Estate district indicated the existence of a positive and significant correlation of the magnitude of .411 as shown in Table 2. In districts 2 and 3, even though the correlation was positive, it was not significant. However, rather low negative correlations were observed in the Duke and Henshaw Towns district as well as the Downtown. But these correlations were not significant.

Table 1 Profile of the sample in five districts of Calabar, Nigeria.

<table>
<thead>
<tr>
<th>Districts</th>
<th>Mean age</th>
<th>Mean income per month (N)</th>
<th>Fertility profile</th>
<th>Ideal no. of children</th>
<th>No. of children considered too large in a family</th>
<th>Average level of education of mothers</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td>Ever-born</td>
<td>Dead</td>
<td>Under constrained circumstances</td>
<td>Under economic stress</td>
</tr>
<tr>
<td>District I: Housing Estate</td>
<td>40</td>
<td>10,575.0</td>
<td>4.12</td>
<td>0.10</td>
<td>4.02</td>
<td>5.25</td>
</tr>
<tr>
<td>District II: Ediba, Akim and Big Qua Towns</td>
<td>38.6</td>
<td>7,612.5</td>
<td>4.75</td>
<td>0.78</td>
<td>3.98</td>
<td>6.65</td>
</tr>
<tr>
<td>District III: Duke-Henshaw Town</td>
<td>37.6</td>
<td>7,794.9</td>
<td>4.03</td>
<td>0.36</td>
<td>3.67</td>
<td>5.95</td>
</tr>
<tr>
<td>District IV: The Downtown</td>
<td>37.4</td>
<td>7,129.3</td>
<td>4.27</td>
<td>0.51</td>
<td>3.76</td>
<td>5.32</td>
</tr>
<tr>
<td>District V: Efut, Mbukpa and Anantigha Area</td>
<td>38.8</td>
<td>11,000.00</td>
<td>4.18</td>
<td>0.3</td>
<td>3.88</td>
<td>6.48</td>
</tr>
</tbody>
</table>

Source: Authors’ fieldwork, 2008

Table 2. Simple correlation between actual fertility and income of family

<table>
<thead>
<tr>
<th>Index</th>
<th>Correlation coefficient (r)</th>
<th>Significance</th>
</tr>
</thead>
<tbody>
<tr>
<td>Housing Estate</td>
<td>.411**</td>
<td>.008</td>
</tr>
<tr>
<td>Ediba, Akim and Big Qua Towns</td>
<td>.43</td>
<td>.792</td>
</tr>
<tr>
<td>Duke and Henshaw Towns</td>
<td>.161</td>
<td>.328</td>
</tr>
<tr>
<td>The Downtown</td>
<td>-.184</td>
<td>.250</td>
</tr>
<tr>
<td>Efut, Mbukpa and Anantigha</td>
<td>-.217</td>
<td>.179</td>
</tr>
<tr>
<td>Overall</td>
<td>.199</td>
<td>.200</td>
</tr>
</tbody>
</table>

** Significant at the .01 level
Source: Authors’ fieldwork, 2008
Table 3: Simple correlation matrix by district between children alive and income of family

<table>
<thead>
<tr>
<th>Index</th>
<th>Districts</th>
<th>Overall</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>1 Housing Estate</td>
<td></td>
</tr>
<tr>
<td></td>
<td>2 Ediba, Akim and Big Qua Towns</td>
<td></td>
</tr>
<tr>
<td></td>
<td>3 Duke and Henshaw Towns</td>
<td></td>
</tr>
<tr>
<td></td>
<td>4 The Downtown</td>
<td></td>
</tr>
<tr>
<td></td>
<td>5 Efut, Mbukpa and Anantigha</td>
<td></td>
</tr>
<tr>
<td>Correlation coefficient</td>
<td>.402*</td>
<td>.059</td>
</tr>
<tr>
<td></td>
<td>-.118</td>
<td>-.101</td>
</tr>
<tr>
<td></td>
<td>-.245</td>
<td>.115</td>
</tr>
<tr>
<td>Significance</td>
<td>.010</td>
<td>.720</td>
</tr>
<tr>
<td></td>
<td>.475</td>
<td>.532</td>
</tr>
<tr>
<td></td>
<td>.127</td>
<td>.200</td>
</tr>
</tbody>
</table>

*Significant at the .05 level

Source: Authors’ fieldwork, 2008

Table 4. Simple correlation matrix (by district) between ideal number of children and income of family

<table>
<thead>
<tr>
<th>Index</th>
<th>Districts</th>
<th>Overall</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>1 Housing Estate</td>
<td></td>
</tr>
<tr>
<td></td>
<td>2 Ediba, Akim and Big Qua Towns</td>
<td></td>
</tr>
<tr>
<td></td>
<td>3 Duke and Henshaw Towns</td>
<td></td>
</tr>
<tr>
<td></td>
<td>4 The Downtown</td>
<td></td>
</tr>
<tr>
<td></td>
<td>5 Efut, Mbukpa and Anantigha</td>
<td></td>
</tr>
<tr>
<td>Correlation coefficient</td>
<td>.063</td>
<td>.132</td>
</tr>
<tr>
<td></td>
<td>.227</td>
<td>-.070</td>
</tr>
<tr>
<td></td>
<td>-.238</td>
<td>.088</td>
</tr>
<tr>
<td>Significance</td>
<td>.698</td>
<td>.415</td>
</tr>
<tr>
<td></td>
<td>.165</td>
<td>.664</td>
</tr>
<tr>
<td></td>
<td>.140</td>
<td>.213</td>
</tr>
</tbody>
</table>

Source: Authors’ fieldwork, 2008

The number of children alive and income were also correlated and the result is as shown in Table 3. In this case also, there is evidence of a significant positive correlation between the number of children alive and income in the Housing Estate district. Except in Ediba, Akim and Big Qua Towns district where there existed a very weak positive correlation between the number of children alive and income, the analysis depicted low and insignificant negative relationships in the remaining three districts.

The relationship between the ideal number of children and income (Table 4) was not significant in any of the five districts. But whereas this relationship was positive in the Housing Estate, Ediba, Akim and Big Qua Towns as well as the Duke and Henshaw Towns districts, it was negative in the Downtown, Efut, Mbukpa and Anantigha districts. However the positive and negative relationships between the ideal number of children and income were very negligible in the Housing Estate and the Down town districts. Infact, it could be inferred from the very low value of the correlation coefficients that such a relationship between ideal number of children and income did not exist in these two districts.

The correlation between the number of children desired under constrained economic conditions and income was low but positive in all the districts sampled, but extremely low and negligible in two of the districts: the Downtown and Efut, Mbukpa and Anantigha (Table 5). However, throughout the five districts studied the correlation coefficients were not significant.

With respect to the number of children desired per family during affluence and income (Table 6) almost all districts, except Duke and Henshaw Towns exhibited negative relationships, even though the relationships were not well-established because of the low values of correlation coefficient, and because they were not statistically significant.

In the Downtown and Efut, Mbukpa and Anantigha districts, the number of children per family considered too large and income have very negligible positive correlations. In the remaining three districts, the coefficient of correlation was negative but, of course, also not statistically significant. In the Housing Estate district, this negative correlation was not only low but could be regarded as non-existent (Table 7).
Table 5. Simple correlation matrix (by district) between number of children desired per family under constrained economic condition and income.

<table>
<thead>
<tr>
<th>Index</th>
<th>Districts</th>
<th>Overall</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Housing Estate</td>
<td>Ediba, Akim and Big Qua Towns</td>
</tr>
<tr>
<td>Correlation coefficient</td>
<td>.147</td>
<td>.192</td>
</tr>
<tr>
<td>Significance</td>
<td>.365</td>
<td>.236</td>
</tr>
</tbody>
</table>

Source: Authors' fieldwork, 2008

Table 6. Simple correlation matrix (by district) between number of children desired per family during affluence and income

<table>
<thead>
<tr>
<th>Index</th>
<th>Districts</th>
<th>Overall</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Housing Estate</td>
<td>Ediba, Akim and Big Qua Towns</td>
</tr>
<tr>
<td>Correlation coefficient</td>
<td>-.064</td>
<td>-.023</td>
</tr>
<tr>
<td>Significance</td>
<td>.694</td>
<td>.887</td>
</tr>
</tbody>
</table>

Source: Authors' fieldwork, 2008

Table 7. Simple correlation matrix (by district) between family income and the number of children per family considered too large

<table>
<thead>
<tr>
<th>Index</th>
<th>Districts</th>
<th>Overall</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Housing Estate</td>
<td>Ediba, Akim and Big Qua Towns</td>
</tr>
<tr>
<td>Correlation coefficient</td>
<td>-.018</td>
<td>-.117</td>
</tr>
<tr>
<td>Significance</td>
<td>.911</td>
<td>.473</td>
</tr>
</tbody>
</table>

Source: Authors’ fieldwork, 2008

Table 8. Simple correlation matrix (by district) between family income and the level of mother's education

<table>
<thead>
<tr>
<th>Index</th>
<th>Districts</th>
<th>Overall</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Housing Estate</td>
<td>Ediba, Akim and Big Qua Towns</td>
</tr>
<tr>
<td>Correlation coefficient</td>
<td>.634**</td>
<td>.420**</td>
</tr>
<tr>
<td>Significance</td>
<td>.000</td>
<td>.007</td>
</tr>
</tbody>
</table>

**Significant at the .01 level
Source: Authors' fieldwork, 2008

It was speculated that the mother's level of education could influence family income. Because of this reason, these two variables were correlated and the result of the analysis depicted in Table 8. is that except in the Duke and Henshaw Towns district, mother's level of education and family income are significantly positively correlated. In other words, women take up jobs so as to increase family income. The result depicted in Table 8 encouraged further investigation into the relationship between the mother's level of education and the ideal number of children per family. Throughout all the districts included in the sample, the ideal number of children per family and the level of the mother's education exhibited negative functional relationship, albeit, statistically significant only in two districts, Duke and Henshaw Towns and Efut, Mbukpa and Anantigha.
the Down town. (Table 9)

Furthermore, the actual fertility level and the mother’s level of education were similarly correlated. It was discovered that in the Housing Estate there existed a low positive, but statistically insignificant correlation between the two variables. However in all the remaining districts, the two variables correlated negatively and significantly. (Table 10).

Table 9. Simple correlation matrix (by district) between the ideal number of children per family and the level of mother’s education

<table>
<thead>
<tr>
<th>Index</th>
<th>Districts</th>
<th>Overall</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>1 Housing Estate</td>
<td>2 Ediba, Akim and Big Qua Towns</td>
</tr>
<tr>
<td>Correlation coefficient</td>
<td>-0.250</td>
<td>-0.189</td>
</tr>
<tr>
<td>Significance</td>
<td>.119</td>
<td>.242</td>
</tr>
</tbody>
</table>

**Significant at the .01 level  
Source: Authors’ fieldwork, 2008

Table 10. Simple correlation matrix (by district) between actual fertility level and the mother’s level of education

<table>
<thead>
<tr>
<th>Index</th>
<th>Districts</th>
<th>Overall</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>1 Housing Estate</td>
<td>2 Ediba, Akim and Big Qua Towns</td>
</tr>
<tr>
<td>Correlation coefficient</td>
<td>0.143</td>
<td>-0.441**</td>
</tr>
<tr>
<td>Significance</td>
<td>.380</td>
<td>.004</td>
</tr>
</tbody>
</table>

** Significant at the .01 level  
* Significant at the .05 level  
Source: Authors’ fieldwork, 2008

9. Summary of Findings

For the entire study area, the analysis shows that there is a very low positive but insignificant correlation between actual fertility and family income. However, the Housing Estate district stands unique in that actual fertility and family income are significantly correlated here. This finding could be justified by the fact that the Housing Estate is the residential district of the highly educated, the elite and the affluent social group.

The relationship between the number of children alive and family income is not clearly established by the analyses. There is generally a low, positive but not significant correlation between the two variables. In the Housing Estate district, the number of children alive and family income correlate positive and significantly whereas in most of the remaining districts, the correlation is low, negative and not significant.

The true relationships between the following pairs of variables could also not be ascertained from the analysis:

1. The ideal number of children and family income,
2. Family income and the number of children desired per family under constrained economic condition;
3. Family income and the number of children desired per family during affluence; and
4. Family income and the number of children considered too large per family.

While in some of the districts, these variables correlate positively, in others they exhibit negative trends. In all, the correlations are low and not significant. Although the correlation coefficients indicate directions of the relationships, their low values and insignificance are a pointer to the fact that family income may not be expected to completely explain variations in fertility levels.

In general, family income and the level of mother’s education correlate positively and significantly.
This proves the hypothesis that women are now in wage employment so as to augment family income. But the influence of mother's education on family size is yet to be satisfactorily proven in the study area. It is only in Districts 2 and 3 that there exists highly significant negative correlation between the ideal number of children per family and the level of mother's education. In other districts, the correlation is low, negative and not significant.

However, the actual fertility level and mother's level of education exhibit significant negative relationships in all districts but one. In other words, female education has the ability to reduce fertility levels because it makes it possible for the females to spend less time at home and reduces the risk of pregnancy. This finding corroborates that of Ainsworth et. al (1996) in their study of fourteen African countries, including Nigeria.

10. Recommendation

To enhance the development of a nation, it is vital that the fertility pattern of the female gender be constantly evaluated as an increased fertility in a depressed economy may not ultimately result in an improved standard of living for the citizenry. Opportunities should therefore be made available for an improved educational training and skills development through access to basic education. In addition the socio-cultural and economic barriers that have long marginalized women from the corridors of development should be over-comed in order to ensure the cooperation and sustenance of women in promoting national development.

11. Conclusion

The fore-going analysis has helped to point out areas in which researchers need to intensify their activities so as to clearly understand the forces behind fertility decline in the developing countries. Even though experience proves that economic constraints have significantly reduced fertility levels in most families, the data used in the analysis have not been able to convincingly establish this trend. Therefore, it is suggested that more empirical work be done in this area so as to arrive at a satisfactory conclusion.

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Political Reform in Saudi Arabia: Necessity or Luxury?

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Abstract Since its founding in 1932, the Kingdom of Saudi Arabia has never had a written constitution or any form of public participation in the policy process and governmental decision-making process. Since 1992, the rulers have been under increasing pressure to formulate a written constitution and to increase public participation in the policy process. As a response, Saudi rulers have enacted many laws, which they claimed were a new constitution for the country. This paper argues that the reforms introduced in Saudi Arabia are empty reforms that put the country’s political stability in jeopardy. In contrast, increasing public participation in the policy process will ensure political stability and legitimize rulers’ authority. Thus, without political reform that guarantees citizen participation in the policy and governmental decision-making processes, the country’s political future will continue to be controlled by a small group of people (the royal family) who often disagree amongst themselves about what is best for the country.

Keywords: Saudi Arabia, the Saudi royal family, political and administrative reforms, citizen participation

1. Introduction

Since the foundation of the modern kingdom of Saudi Arabia in 1932, the country has had no written constitution. Instead, it is ruled by a monarchy of tribal rulers, in which the head of the state holds absolute power. Consequently, there are no elections to choose the head of the state or any public officials; the sons of the ruling family hold these positions and the oldest son rules the country. Thus, there is no public participation in the policy process or in the governmental decision-making process. In addition, the public has no voice in running the government or monitoring public officials’ work.

From 1992 to 2010, Saudi kings Fahd (1992-1995) and Abdullah (1995-present) announced a variety of laws as part of a political reform in Saudi Arabia. These laws pertained to ruling the country and judiciary reforms. The Saudi kings claimed that these changes would increase public participation in governance and in the policy process. In addition, they claimed that these laws would separate the powers of the executive, legislative, and judicial branches of the government. Additionally, the kings argued that these reforms would increase the transparency of government work (Abir, 1993; Alrashid, 2007; ICG, 2004; Metz, 1992). However, there have been debates among scholars and local and international civil society organizations over the effectiveness of and meaning behind these reforms. There is also some debate regarding whether these reforms are just a response to internal and external pressure, or a real effort to reform the political system in Saudi Arabia (Aba-Namay, 1993; Alrashid, 2007; Al-Rasheed, 1996).

This paper argues that there is a need for political and administrative reforms to protect the country from instability and have a long-term strategy that organizes the political system in Saudi Arabia for many reasons. Having a clear and written constitution that is supported by the public will provide the country with a stable government and a systematic method of top-level governance. Another reason for the necessity to adopt real and effective political reforms is the fact that the current rulers are elderly and no procedure has been made clear to the public regarding the method of transferring power between the royal family generations.

This paper will discuss administrative and political reforms that have been introduced by Saudi
kings since 1992, as well as the reasons behind introducing these reforms. Also, the author will evaluate these reforms’ successes or failures in achieving the purposes for which they were introduced, such as public participation in running the state, transparency of the government work, and separation of the executive and legislative branches of government.

This paper will start by addressing the current political system in Saudi Arabia. Then, different reforms that have been introduced by kings since 1992 will be discussed. Analysis of political and administrative reforms in Saudi Arabia will be presented. The author will conclude this paper with recommendations regarding the future of the political system in Saudi Arabia.

2. The Political System in Saudi Arabia

Saudi Arabia is a monarchy based on Islamic law. The king is the ruler of the state and the commander-in-chief of the military. Additionally, the king is at the apex of the legal system and acts as the final court of appeal and can issue pardons. The king appoints a crown prince who has to be a member of the royal family to help him with his duties. The crown prince is second in line to the throne (Al-Rasheed, 2009; Metz, 1992).

The king governs with the help of the Council of Ministers, or cabinet. The cabinet has 29 government ministers who are appointed by the king (Champion, 2005; Metz, 1992; Vassiliev, 1998). Approximately one-third of all such cabinets are comprised of members of the royal family. Key ministers of interior, foreign affairs, and defense are run by members of the ruling family as well. The Council of Ministers is the supreme executive and legislative power where all activities and functions are consolidated. The Council of Ministers makes domestic and foreign policy, financial, economic, educational, and defense decisions; controls public affairs; and supervises implementation of all government affairs (Aba-Namay, 1993; Metz, 1992).

Saudi Arabia is divided into 13 provinces, each with a governor and deputy governor also appointed by the king. All of the current governors are members of the royal family. Each province has its own council, also appointed by the king, which advises the governor (Al-Rasheed, 2009, Heinrichs, 2002; Metz, 1992). Thus, the central government of Saudi Arabia is responsible for issuing and adopting regulations, while provincial governments can only enforce these regulations and laws.

2.1 Absence of Constitution and Public Participation

Since the foundation of the modern kingdom of Saudi Arabia in 1932, the country has had no written constitution. There are several reasons for the absence of a written constitution in the Saudi political system. In Saudi Arabia, the Quran (the holy book of Islam) and the Sunnah (the Prophet Mohammad’s actions and speeches) are considered the sources of law; therefore, the founders of the modern state have used the Quran and Sunnah as the country’s constitution (Ali, 2011; Alrashid, 2007; Al-Rasheed, 1996; Aba-Namay, 1993).

In addition, the Saudi royal family does not want to limit its absolute power with a written constitution. They want to be the final authority, even though Islamic law, which they claim to follow, supports public participation and consultation in running the government (Al-Rasheed, 1996). According to the Islamic system, the public has the power to choose its rulers and there is no absolute power but God (Ali, 2001), which is not present in the political system in Saudi Arabia. In addition, many of the actions and speeches of the Prophet Mohammad supported the role of the public in running the government and electing rulers (Ibn Kathir, 2000).

Furthermore, because the Saudi people are generally conservative, their religious figures can influence public opinion; thus, the rulers have an informal agreement with the religious leaders. This agreement guarantees authority and power to the royal family and prestige and religious influences to religious figures (Aba-Namay, 1993; Al-Rasheed, 1996). According to Aba-Namay, “for the last half-century, the Kingdom has been held together informally through an alliance between the royal family and the traditional religious leaders” (p. 295). Thus, the royal family maintains that adopting the Quran as the source of law and guaranteeing the support of religious figures in a conservative society negates the need for a written constitution or for the public to have a more substantial role in shaping the country’s political system.

Also, the rulers have been using the country’s wealth (predominantly oil revenues) and the combination
of resources and the relatively small population of Saudi Arabia to create a high standard of living, which gives the public a sense of complacency, making them less likely to complain about their lack of political participation. Thus, the rulers buy people’s silence (diverting people’s attention from demanding political participation) by providing people with high standards of living (Whitaker, 2009).

Until 1992, there were no strong voices opposing the current system of government or pressure for political and administrative reforms. So, what makes 1992 a critical date in the Saudi political system? Or in other words, what changed then to make citizens want to enforce the rulers in Saudi Arabia to introduce political and administrative reforms in 1992 and the following years?

3. Reasons Behind the Reforms

If the royal family has no intention of letting people participate in the political and governmental decision-making process, why did they introduce or adopt political reforms in the first place? There are many analyses regarding the reasons behind Saudi rulers introducing the 1992 and 1995-2010 reforms. In the following section, reasons and events that have compelled the rulers of Saudi Arabia to introduce reforms will be discussed.

3.1 Reform Movement

In 1990, some professors, religious leaders, politicians, members of the royal family, and public figures published a petition asking the king at that time (King Fahd) to reform the political system in Saudi Arabia. The petition asked, among other points, for increased public participation in running the government and to fight corruption. This movement came about as a result of Iraq’s invasion of Kuwait, which led to the second Gulf War. This war had two major consequences for Saudi Arabia. First, it revealed a high level of government corruption, especially in the military when the Saudi military failed to defend the country front from Iraqi forces, leading the Saudi Arabian government to ask foreigner forces such as the U.S. and U.K. to protect the country. Many Saudi people felt this corruption was a result of the absence of a public role in monitoring the government’s work (Dekmejian, 2003; Metz, 1992).

Second, this war led the Saudi Arabian people to question the political future of Saudi Arabia and how the absence of a clear and written constitution would impact the political future of the country in case something happened to the ruler (the king) (Alrashid, 2007; Al-Rasheed, 1996; Aba-Namay, 1993). The petition was unofficially distributed throughout the kingdom and published in some Arab and Western newspapers (e.g., Independent, 25 May 1991, p. 12). According to Al-Rasheed:

The secular petition of December 1990 was signed by 43 public figures, prominent businessmen, writers, and journalists. Careful not to be perceived as opposing the regime, or deviating considerably from the Islamic tenets of the state, the signatories stressed the need for the formation of a consultative council, the implementation of the Law of the Provinces, an investigation of the judicial system, the enforcement of people’s equality before the law, freedom of the media, the clarification of the role of the Association for the Propagation of Virtue and the Deterrence of Vice, and the amelioration of the status of women in the country. (p. 362)

According to these reformers’ views, there was a need for a constitution or a formal statement to address the relationship between the rulers and the citizenry and to organize governing processes. Also, they argued that the lack of a constitution and public participation in the policy process increased government corruption and would have negative consequences on the country’s political, administrative, and economic systems. Aba-Namay summarized the main concepts and characteristics of the petition: “A written constitution, which clarifies and details the function of the government, is appropriate. It will prevent government from going beyond the limits prescribed by the written law and regulate the working of the government to overcome its deficiencies.” (p. 302)

Some members of the royal family supported reforms, especially those from the second generation, like Prince Alwaleed Bin Tallal, who was educated in the U.S. and the U.K. They believed that reforms would ensure the stability of the political system in Saudi Arabia (Fitzgerald, 2009). According to Aba-Namay, “this view finds backers within sections of the royal family, who are conscious of their country’s wealth and vulnerability to outside power” (p. 303). Support for reforms from some members of the royal family showed that there was a conflict among royal family members regarding political reforms. This evidence of conflict within the royal family is unusual, as such disputes are usually kept out of the public eye (Al-Rasheed, 2009; Lange & Reed, 2007).
3.2 External Pressures

External pressures influenced late reforms (2001-2010) by King Abdullah more than early reform (1991-1995) by King Fahd. After the terrorist attack on the U.S. in 2001, the Saudi government found itself under international pressure and criticism, since 15 of the 19 hijackers were from Saudi Arabia. A report by the International Crisis Group (ICG) in 2004 argued that “the country’s rulers, its religious beliefs, social customs, and educational curricula became targets of endless hostile commentary” (p. 8). In addition, the aftermath of the 9/11 attacks and the ensuing war on terrorism, such as the invasion of Iraq and the war in Afghanistan, have placed additional pressure on the Saudi government to start reforming its political system to prevent accusations from the international community that it is producing terrorists (Teitelbaum, 2005).

3.3 The Rulers’ Health Conditions

According to International Crisis Group (ICG), “the ruler's advanced age and the prospect of succession present another important constraint on reform” (p. 5). The current king, King Abdullah, and all of the senior princes are in their 70s and 80s, which makes organizing the transition of power between generations in the royal family imperative. Steinberg discussed the danger of the rulers’ advanced age factor on courtier’s future:

The challenge now is to find other ways to implement the necessary measures. If the family fails to decide on the transition between generations in the dynasty, in the worst case scenario it will have to select a new king from within its ranks every two or three years, with all the consequences this could entail for political continuity and stability in the country. (as cited in Wurm, 2008, p. 9)

3.4 Other Factors

High unemployment and rapid population growth add more pressure for reforms. In 2008, the unemployment rate in Saudi Arabia was around 12 percent and its growth rate was 2.3 percent. The proportion of younger people in the society continually increases. Forty-five percent of the population is less than 14 years old, and 73 percent was under 29 in 2007 (CDSI, 2008). These demographic facts have created a major challenge for the government in creating new jobs and meeting the needs of the new generation, which includes demands for increased participation in the policy process and in running the government (Aba-Namay, 1993; Albassam, 2011).

The lack of a written constitution and the absence of public participation have produced political uncertainty and a fragile system that is subject to disintegration at the first major political upheaval. Because the country’s political stability is in the hands of one family, any conflicts between the royal family members could have serious consequences for the country’s political stability (Al-Rasheed, 2009; Lange & Reed, 2007).

4. Background of Reforms

Two main sets of reforms in Saudi Arabia were introduced by King Fahd (1992) and by King Abdullah (1995-2010). These reforms were introduced with three promises: 1) increase public participation in the policy process, 2) these reforms count as a written constitution to organize the political system in Saudi Arabia, and 3) fighting corruption. Thus, these reforms, as introduced by the rulers, demonstrated that the rulers recognized the shortcomings of the existing system and intended to fill gaps in the old system. According to Al-Rasheed, “the reforms were, therefore, interpreted as a step towards the restoration of the old political order.” (p. 365)

4.1 King Fahd’s Reforms

On March 2, 1992, King Fahd introduced three major political reforms: the Basic Law of Government, the Law of the Consultative Council, and the Law of the Province. These were meant to compose the first constitution of the Kingdom of Saudi Arabia. The Basic Law, which reaffirms the monarchy as the form of government in Saudi Arabia, contains nine chapters. Chapter Two, for example, states that the country is a monarchy in which rule passes to the male descendants of the founder, King Abdul-Aziz bin-
Saud. Other chapters deal with the state’s legislative, judicial, executive, and regulatory authorities. Although, the 1992 reform claim that the judiciary remains independent, appointment and dismissal of judges is by royal decree by the king only, which influence the independency of the judicial system (Aba-Namay, 1993; Al-Rasheed, 1996; Dekmejian, 2003; Wurm, 2008). Aba-Namay commented on the 1992 political reform by King Fahd, “in this respect it contains, for example, a somewhat cautious step toward a greater participation in governmental politics, through the restructuring of governmental power and the establishment of the Consultative Council.” (p. 303)

The second of King Fahd’s statutes, the Law of the Consultative Council (Majlis Ash Shura), establishes a 60-member assembly and the head of the Consultative Council, all of whom are appointed by the king. The council was expanded to 150 members by 2008. The assembly is a policy advisor to the king without any power to hold either the king or the government accountable for their actions. In addition, the Consultative Council does not have any legislative power (Al-Rasheed, 1996; Metz, 1992). Essentially, the Consultative Council is a think tank that studies only subjects assigned by the king, with no power or authority in the policy process or legislative process. Additionally, the public does not elect members or play any other role in this council.

The third statute, the Law of the Provinces, defines the rights and duties of the provincial governors. The Law of the Provinces divides the kingdom’s 13 provinces into governorates. This statute is meant to limit corruption, establish tighter governmental control over financial matters in the provinces, and decentralize some of the central government’s duties (Aba-Namay, 1993; Al-Rasheed, 1996; Metz, 1992).

All of King Fahd’s reforms concentrated the power in the hands of the king and royal family members. In addition, the king appointed governors, judges, bureaucrats, and consulate members (Aba-Namay, 1993; Al-Rasheed, 1996). According to Al-Rasheed (1996), in spite of the rulers’ claims when the reforms were introduced, these reforms were designed to concentrate the political power in the hands of the royal family without any attempt to increase people’s participation in the political and governmental decision-making process. Thus, from the 1992 reforms, the public still had no voice in the policy process, running the government, or holding the rulers or the government accountable for their work.

4.2 King Abdullah’s Reforms

In January of 1996, King Fahd became too ill to continue running the government. So although Abdullah was not declared king until August of 2005, he took charge of the government’s daily operations since 1996 (ICG, 2004; Wurm, 2008). In 1996, Saudi Arabia saw the beginning of the largest political and administrative reforms in its history; however, most of King Abdullah’s reforms were economic rather than political. King Abdullah’s reforms shared the same promises with early reforms (King Fahd 1992 reforms), which were more public participation in the policy and governmental decision-making process and fighting corruption (Alrashid, 2007; Champion, 2005; Whitaker, 2009; Wurm, 2008).

4.2.1 Economic Reforms

In 1999, the telecommunication and the electricity sectors in Saudi Arabia were restructured, the stock market was opened to foreign investors through open-ended mutual funds, and reforms of the tax and customs administration continued. In 2000, the new investment law allowed foreign investors to own businesses, including in the oil and energy distribution sectors (Albassam, 2011; SAGIA, 2008). According to Saudi Arabian General Investment Authority (SAGIA) (2008), the purpose of the investment law was to open the Saudi market – which had previously been monopolized by the government – to the private sector, especially in power generation, telecommunication, natural gas exploration, and petrochemicals industries. These reforms were intended to reduce the kingdom’s dependence on oil exports and to reduce the high unemployment rate among its citizens. In addition, as part of the government efforts to attract foreign investment and diversify the economy, Saudi Arabia joined the World Trade Organization in December 2005 after many years of negotiations (WTO, 2009).

4.2.2 Administrative Reforms

Many administrative reforms have been enacted since 1996; a new judicial system was presented in 2007,
and a transparency and corruption law was passed in 2007. However, only a few of the reforms have been really implemented as result of government corruption and bureaucracy (Albassam, 2011; Alrashid, 2007; Al-Rasheed, 2009).

One of the major administrative reforms was the creation of the Ministerial Committee of Administrative Organization in 1999. The committee evaluates the administrative structure and performance of government agencies and institutions and ensures their financial efficiency. The king appoints its members, most of whom are professors, government employees, and experts. The committee has an advisory role but no executive or enforcement role over the government’s work (MEP, 2009).

4.2.3 Political Reforms

Encouraging public participation in policymaking is another major reform. In October 2003, the king announced that elections would be held for half of the municipal board (local council) seats, and the government would appoint the other half. However, it is limited. In February of 2005, the first election process in the history of the kingdom took place (Al-Sulami, 2008; ICG, 2004; Wurm, 2008). “Although the elections may have had some strange features, they should still be valued as the first step towards liberalization; it may look small from the outside, but it has an enormous magnitude from the Saudi perspective.” (Wurm, 2008, p. 18)

The elected councils have a narrow mandate that deals mainly with the provision of services. Crucial areas of public policy and financial issues, such as the budget, national security, and foreign affairs remain beyond their authority. In addition, women were not allowed to participate in the election. This form of public participation, which was regarded by many political analysts as a major step toward more public participation in the policy process and decision-making process, did not last long. As a sign of the government’s lack of seriousness in establishing a democratic process in the country, King Abdullah announced that the election, which was scheduled for 2009, would be on hold indefinitely, claiming that improvements needed to be applied to make the election process more efficient (Slackman, 2009; Whitaker, 2009).

5. Analysis of the Reforms

The rulers who introduced the reforms in 1992 and 1996-2010 claimed that the reforms would guarantee more public participation, more transparency, and greater separation of powers (Aba-Namay, 1993; Alrashid, 2007, 1995; Nehme, 1995; Wurm, 2008). According to Al-Rasheed, the three statutes introduced in 1990 “were meant to re-establish the basis for government and regulate political participation through the establishment of a consultative council and regional government” (p. 363). In the following section, the reforms will be evaluated to determine whether the government has met its goals and kept its promises.

5.1 Transparency and Corruption

According to the Corruption Perceptions Index (CPI) issued by the Transparency International (TI), in 2008 Saudi Arabia scored 3.5 out of 5, where 5 is highly corrupted and 1 less corrupted, this score indicates a serious corruption problem. The CPI is a scale that Transparency International (TI) uses to measure the extent of corruption in a country as well as the government's effort to fight corruption (Transparency International, 2008). “Unsurprisingly, Saudi Arabia is also among approximately half of the world’s countries that cannot be treated on Transparency International's corruption perceptions index because reliable data is not available” (Eigen, 1998, p. 179). Thus, the 1992-2010 reforms did not fix the corruption problem, which means that the reforms did not meet their goals.

The problem with political and administrative reforms in Saudi Arabia is that some people are above the law. The royal family members and business and religious elites cannot be held accountable for their misuse of authority or corruption. Therefore, the basic democratic principle of equality before the law does not exist (Al-Rasheed, 1996; ICG, 2004; Wurm, 2008). In addition, there are no clear administrative procedures to help citizens and non-governmental agencies hold public servants accountable, where most laws are ambiguous, so tracing violations can be difficult. As Champion noted, “However Saudi politics and society may be perceived, the one thing they are not is transparent.” (p. 179)

Another reason for corruption in Saudi Arabia is the rulers’ interpretation of Islamic law, which
they try to enforce with the aid of religious figures. According to this interpretation, the king is at the apex of the legal system, so he acts as the final court of appeal and can issue pardons (Metz, 1992). This interpretation gives the rulers absolute power over the law; however, under Islamic law a ruler should be held accountable for his actions (Ali, 2001; Ibn Kathir, 2000). Additionally, royal family members dominate all high-ranking positions in the government without the qualifications to do so, which has an impact on people's loyalty and raised the government corruption level since royal family members are above the law (Al-Rasheed, 2009; Lange & Reed, 2007).

Another reason for the shortcomings of political and administrative reforms is the fact that the government agencies in charge of controlling and monitoring the government's work are essentially powerless and therefore inefficient. All agencies responsible for controlling and monitoring the government agencies' administrative and financial activities, such as the General Auditing Bureau (GAB), have a consultative role rather than any executive power to hold the government agencies accountable for their actions, so there is no real authority for controlling and monitoring the agencies' work (Albassam, 2011; Al-Rasheed, 1996; GAB, 2009; Wurm, 2008).

5.2 Separation of Power

Separation of power is another one of the reform promises; however, the 1992 law guaranteed the king absolute power in running the government (Metz, 1992). Thus, there is no separation of power in Saudi Arabia's political system. The king has power over all branches of the government and no one has the authority to question him. Therefore, there are no checks and balances in the political system of Saudi Arabia (Nehme, 1995).

Therefore, it is clear that in practice the political and administrative reforms that were introduced in 1992-2010 are no different from the old system where there was no written constitution and no mechanism for public participation in the political and governmental decision-making process in Saudi Arabia. Although the rulers promised that these reforms would fill the gaps in the old system, the evidence shows that these reforms (new systems) give the rulers as much power as the old (Al-Rasheed, 2009; Lange & Reed, 2007; Nehme, 1995).

6. Reasons for Failure

While the 1992 and 1995-2010 reforms fail to achieve what was supposed to be achieved, there is no doubt that the reforms of 1992-2010 opened a new era in the political system in Saudi Arabia in the fact that the rulers realized the shortcomings of the old system and the need for a new system (Al-Rashid, 1996). In contrast, many reasons can be mentioned to explain why these reforms are “empty reforms” (Nehme, 1995, p. 155). In addition, many actions such as putting a hold on the municipal election by King Abdullah in 2004, have given the impression that these reforms are just a propaganda tool for the rulers to glorify their image as reformers for the benefit of the international community, without any intention of enacting real change. According to Wurm, the reforms that were introduced by King Abdullah, “allowed as little change as was required to meet the minimum demands both from within the country and from the outside.” (p. 25)

One of the main reasons for the failure of the reforms to achieve their purported goals is a lack of trust between the public and the government. According to ICG, “the regime’s mixed signals – allowing greater debate, taking cautious steps toward change, cracking down on reformers – have led to a host of interpretations concerning longer-term intentions” (p. 23). Accordingly, the indefinite postponement of the next scheduled election, for example, gave the citizens of Saudi Arabia another reason to doubt the real intention of the reforms (Slackman, 2009; Whitaker, 2009).

Another reason for the failure is the fact that many powerful members of the royal family, such as the Minister of the Interior and second deputy of the king, Prince Nayef, were against the reforms, arguing they were “developments” rather than reforms. This terminology is a strong sign that the rulers did not intend to make real political reforms and it shows that there is no intention to alter the existing system to increase public participation in the policy process. As Wurm (2004) noted regarding Nayef’s stands against political reforms,

Minister of Interior Nayef was clearly more negative about these reform aspirations. His motto is ‘no to change, yes to development.’… Change means changing something that already exists. Whatever exists in the Kingdom is already well-established; however, there is a scope for development—development that does not clash with the
Another reason for the failure of the reforms is the political ignorance of the public. For 60 years – since the declaration of the kingdom of Saudi Arabia by King Abdulazizi, the father of the current kings in 1932 – the people of Saudi Arabia did not practice any form of democracy. The absolute and entrenched power of the ruling family has had a major impact on popular attitudes toward democratic participation (Al-Rasheed, 2009; ICG, 2004; Lange & Reed, 2007; Irvin & Stansbury, 2004). According to Nehme, “when dealing with political development in the Arab Gulf, one should be awake to the claim that there exist strong anticolonialists forces, powerful ruling elites and weak states, especially in Saudi Arabia” (p. 155). Thus, any effective reform needs to start by educating people on the advantages of raising public participation in the political and governmental decision-making process, such as 1) decreasing corruption by increasing accountability among public officials and rulers, 2) and the positive impact of public participation in insuring the stability of the country’s political system in the long run.

7. Conclusion and Recommendations

There is no doubt that the political system in Saudi Arabia is one of the most stable in the world. Since the foundation of the kingdom in 1932, there has been no major political instability; therefore, moderate and continuous reforms are the best way to implement effective political, administrative, and economic change. However, for this stability to continue, many political and administrative reforms need to be adopted by the rulers, such as increased public participation in the public policy process and adopting a written constitution that organizes the transition of power in the royal family. These reforms will ensure government stability and reduce corruption. In particular, Smith (2007) suggested that:

Economic and political development is believed to be dependent upon four sets of constitutional reforms designed to strengthen the accountability of political leaders to the people, ensure respect for human rights strengthen the rule of law and guarantee the decentralization of political authority. (p. 16)

Another reason for the necessity of political reforms is the fact that most of the senior members of the royal family in Saudi Arabia who rule the country are in their 70s and 80s, and the mechanism for transition of authority has not been made clear to the public. In addition, many Saudi citizens are unhappy with the high level of government corruption and the ineffectiveness and inefficiency of government-operated public programs.

Public participation will benefit both rulers and citizens in Saudi Arabia. It will benefit the rulers by ensuring a stable government in the long term and raising people’s confidence in the government. Government work will also be more efficient and effective as a result of increasing “checks and balances” from the public (Albassam, 2011; Mattozzi & Merlo, 2007). Also, public participation will add more legitimacy to the rulers’ authority and guard against instability that might result from conflicts among the royal family (Irvin and Stansbury, 2004).

The rulers of Saudi Arabia need to apply values that ensure more public participation in the policy process or risk further jeopardizing the stability and development of the country. In order to improve the political system in the long term, the rulers must sacrifice some of their power to the public in the interest of creating a more balanced system. Recent unrest and revolutions in the Middle East have raised serious alarm that should be taken into account by decision-makers in Saudi Arabia.

In the end, the question is whether the royal family in Saudi Arabia wishes to stabilize the country over the long term by applying political reforms to increase public participation in the policy process and provide for a written constitution, or keep the current system where the country’s future will be held in the hands of a small group of people who often disagree, and which will only increase public unhappiness as well.

References


The Role of Italy in the Opening and Subsidy of Italian Schools in Albania Before and After April, 1939

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Abstract This article is dedicated to the role of Italy in the opening and support of Italian schools before and after April 1939. In addition, the great contribute of Italian teachers in the education field and their efforts in the opening of elementary and general or profiled high schools for the Albanian students will be treated in this article. Despite the political and propaganda character of these schools which were subsidized by Italy, they served to the Albanian national inspiration, which from the education, emancipation and national awareness of the Albanian people gave them a chance to take up and implement the western culture. Sensitivity of the Albanian school towards the new ideas of western schools would become the main stone of improvement in education and the Albanian school in general. They were represented through activities and achievements of the school towards the new pedagogic ideas and the improvement of western schools and the tendency to represent them in our conditions were supported by the senior executives of education and were embodied into laws, with educational programs, texts and with serious pedagogical publishing of the time.

Keywords: Education, culture, Italian schools in Albania, language.

1. Introduction

The penetration of the Italian culture and language in Albania had its own way of development emulating the education policy in Austro-Hungary. It can be agreed that since 1852, the year when the Jesuits settled in Shkoder, the influence of the Italian language and culture started to increase significantly with the opening of Italian royal subsidized schools assisting with funding as well as teaching in Albanian schools or with activities organized by the “Dante Aligeri” association (Schanderl 1971, p.93). The creation of parson schools and other religious institutions were subsidized by Austro-Hungary, therefore, those schools were distributed in many Albanian regions especially in the main cities of Kosovo and Albania.

In general, the Italian schools in Albania often managed to resist to the ambivalent attitudes of different Albanian governments and even to the legal guidelines which often interfered with the Italian policy.

In 1922, a letter of the 9th of July from Ahmet Zogu, the Minister of Internal Affairs of the time, after noticing the strong and clear necessity of the state to have elementary education under control, decided to enact the enclosure of all private schools arguing that “such a decision did not violate the rights of any of the minorities because the Albanian state would be ready to open and pay for the schools of each minority”1. It was evident that the Albanian government aimed to strike the Catholic schools and especially those

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1 The Central State Archive (further: ASZH), Ministry of Education Fund (1911-1944), Nr. 195, V. 1922, D. 34, notebook. 25.
which belonged to the Jesuits. After the protest of Lord Mlledea, the government of Tirana hastened to answer that: “that decision had nothing to do with the elementary schools of Franciscan Fathers, nor with the feminine schools of stigmatine, nor with the garden of Sevit nuns”. Consequently, only the Jesuit and Serbian schools managed to operate during this period. In compliance with the content of the Albanian education, the Italian school was required first to compile an all-Albanian-program and secondly the status quo was preserved due to the Yugoslav intervention. However, we need to highlight the fact that, slowly, with the implied consent of the Albanian government, the Italian language continued to be used in the Albanian schools.

For the Italian government, the Albanian constitution in articles 206 and 207 stipulated the opening and functioning in compliance with the status of private schools. Eventually, in 1928, according to the documentation of the time, we notice that the Italian language was taught in the State Lyceum of Shkodër by the Italian professor Betini (sixteen classes) and by the Albanian professors Ernest Koliqi (Minister of Public Education), Karugi and Kruja (senator of the Italian Kingdom) for the rest of the Italian classes (AQSH, V. 1939, D. 269, fl. 14). Also, in Shkodër, in the Franciscan lyceum, professor Betini used to teach Italian, and besides him, the Arbereshen Zef Skiro taught three classes.

In 1931, Italian language teaching started to formally be used in the state lyceums of Tirana, Elbasan, Korçe, Gjirokaster, in competition with the French and English language. At the same academic year, a referendum for the choice of second language of study was conducted in the high schools of Albania and resulted to have satisfying results.

In the Normal School of Elbasan, Italian language was taught by the Italian professor Arnaldo Forezi who worked with great commitment to Italian teaching during all his life with students who had selected Italian. As the English language predominated in the lyceum of Korçe, in the Normal school of Elbasan there was an equal selection of Italian and French, where the Italian professor Concetina Rocco taught to 81 Albanian students compared to the 80 ones who had selected French.

In 1930-31, Italian language teaching was introduced with five classes a week, with Albanian professors in the State Technical School of Tirana, which was opened at the right time with the initiative of the American Red Cross. At that time, the school in question was transformed into an Albanian work school with an Italian headmaster, professor Lioneti.

The activity of the “Private Female College: Kirias Dako” affected the spread of Italian language in Albania as well; the only one all over Albania spread through the Kambçe hill near Tirana in 1891 according to the American type of colleges. As it can be noticed from the report of 1931, this institute aimed “the education of the Albanian girl destined to be one of the key elements of the national training...the wise educator...called to complete the work which the liberation fathers had already started” (AQSH, F.195 V. 1939 D. 269 notebook 15).

During this period, the institution was organized according to the Italian female high schools which even had a separate teaching department. Teaching was entrusted to teachers who came from different countries with the aim “to create the perfect type of modern woman in a harmonic way, in order not to distinguish the national features of the old Albanian noble tribe from the literary, scientific and moral knowledge of different nations and modern time cultures” (AQSH, F.195 V. 1939 D. 269 notebook 15). After 1924, the government brought teachers to the college (a literature professor, an Art teacher, a French one as well as one who dealt with female domestic work) whom the institute itself provided not only accommodation but also a salary in Albanian gold francs.

We need to mention the fact that there were 23 Italian classes for the preparatory classes and 20 for the normal ones. The professional work of the four teachers and the everyday and continuous contacts with the boarders were obviously effective to enroll as many Albanian children as possible in the college. The opposite happened in the pre-state four-year female school of Kavaja (Durres), which was organized according to the American system based on the Albanian legislation of the time, in which until 1939, the Italian language was not a school subject.

With the law of the 22nd of April, the Albanian government essentially changed the Constitution preventing the spread of Italian language which had been doing well up to that time. With this decision, articles 206 and 207 of the above-mentioned Constitution were abrogated and consequently the enclosure of all private schools was enacted (Islami 2009, p. 68).

It was a great shock. Law was essentially enforced for the Jesuits and Salezians who were obliged to take

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all the children they had in orphanages in general public schools, questioning even the baptism acts, whereas the Franciscan fathers and stigmatine nuns (Albanian) accepted the custody of a laic director (headmaster) appointed by the Ministry of Education.

At this time, “Dante Aligeri” association, understanding the immediate necessity, strengthened its work on December the 12th 1933 by opening the first three-week Italian courses in Tirana. In these courses students were divided in two sections: the first had in its auditorium workers and students; the second had officers, NCOs and civil servants (AQSH, F. 195, V. 1939, D. 269, notebook. 18).

By the end of 1936 and the beginning of 1937, there was an awakening and retrieval in the Italian language, obviously due to the smart work of the Italian diplomatic representative in Albania. During this year, four stigmatine nuns, two of which were Italian, went to teach to Korça; and in 1937, five servile nuns were charged with the task to open a kindergarten in Elbasan. At that time, the Italian professor Ingletin (who had been teaching in Albania since 1928) taught Italian, as well as the language teachers in the State High School of Tirana, whereas professor Konçetina Roko (a veteran teacher in Albania) taught in the “Nana e Skënderbeut” Institute; professor Zef Skiro was charged with the task to teach the Italian language in the Albanian Technical School and Angelo Visentini taught practical subjects in Italian at the State Technical Institute. In 1936, there were eight “Dante” courses with 440 boys and 60 girls in Albania. In 1937, in Korça, there were Italian courses with two sections with 130 students, in which prof. Zamputi had 64 boys and 66 girls respectively (AQSH, F. 195, V. 1939, D. 269, notebook. 18).

In 1939, 194 students were enrolled in the schools of Durres, Elbasan, Shkodra, Vlora and Tirana, whereas in Korça, Zogaj and Kruja there were about 1,649 students (1,330 boys and 319 girls) who continued their studies.

In addition, in 1940, a domestic economy and female affairs course under the tutorial of Lina Çardi, as well as a language course for girls attended by 36 students were opened in Tirana.

It was at the same year that the proposal for the opening of an elementary and high school in the city of Berat was arrived. Another significant impetus in the spread of Italian language and culture was the grant of scholarships to Albanian children to attend secondary and university studies in Italy since 1928, whereas in 1938, only in Tirana there were 72 pupils and students with scholarships (AQSH, F. 195, V. 1939, D. 269, notebook. 18).

The need to set up an Italian-Albanian institute of culture, with a headquarters in Rome and other sections in Palermo and Albania was noticed since the 3rd of September 1931. Since then, it sounded like an unrealizable dream which had come true: in 1939 the Institute only had two headquarters in Tirana and Rome.

2. The Origin of the Industrial Schools in Albania

On 28th June 1929, an agreement was made between the Albanian government and the Italian one for the opening of the Italian industrial schools in Albania, which were almost ready to be built with Italian equipment and tools. A central Directory was created nearby the Ministry of State Education in Albania with the following

- an engineer headmaster, a secretary and a technician. These very first schools, whose functionality had started (though in an embryonic way for some centers) since 1928, were opened in Gjirokastra, Korçë, Berat, Shkodër and Uji Ftohtë (Vlorë).

Gjirokastër - Engineer Headmaster, professor of the Italian language, professor of the technical subjects, chief of the lathe department and chief of the carpentry department

Berat - Engineer Headmaster, professor of the Italian language, professor of painting and plastics, professor of math and science, head of the carpentry department, head of the mechanic manufacturing departments and head of the wood labor department


Shkodera: A technical institute industrial school of arts - Headmaster, teacher of technical subjects, teacher of Physics, Maths and Chemistry, teacher of Italian, History and Geography, teacher of painting and plastics, head of the manufacturing department, head master of machine fitting, head of the foundery department, head of the carpentry department and head of the engraving department.

Whereas the commercial school of Uji Ftohte functioned with another structure during this period of time. According to the historic-statistical data, in Shkoder the technical-industrial Royal Institute still
continued working and had 8 classrooms. In 1933 the National Building (the low course composed of 4 classrooms) together with some other ones was closed down. The technical school with an industrial orientation (craftsmanship) had 2 classes (you could enter from the low course). The high course had 2 sections: the industrial section (4 classes) and the section of the field-measurers (4 classes). There were also some annexed courses such as evening courses for the Italian language and courses of professional painting as well as radio technical courses for the Albanian pupils who continued working near the Institute.

Italian teachers were members of the pedagogical staff: one headmaster, 8 professors, and five technical curators; apart from two Albanian professors of the Albanian language. The drafting of the teaching programs was done according to the Italian school model. The number of the students who followed these schools in May 1933 was 331 people respectively: the low course and the high one with 165 pupils, the craftsmanship with 31, whereas the ones in the evening with 135 people.

The industrial school of arts of the city of Shkoder functioned from October 1929 to 23 April 1933, the date on which it was closed because of the Albanian government that decided to close all foreign schools. In the area bought by the Italian government, a new building was built in Tirana equipped with contemporary teaching devices to make the lesson more concrete, and it was attended by 150 pupils. Night classes of the Italian language and of painting functioned in this school and 130 pupils attended the school and conferences there. This institution was greatly appreciated and achieved noticeable results throughout the years, especially as a school of a practical orientation. Its headmaster was an Italian engineer called Vanoci. In the last year of this school there were counted 10 teachers and 160 pupils. There was also another working school in Albanian language in Shkoder which was opened in 1937, and was given the whole didactic and scientific material and equipments of the Italian school that was closed down.

Korçë - In the industrial 4-year school, the registration of the pupils started on October 1929. And this school exerted its regular activity a few weeks later. The group of teachers was composed of one headmaster at first and three teachers of Italian origin; there were also 3 Albanian teachers who taught the Albanian language. The number of the pupils during the first year was about 100. In the four following years the activity of the school, pupils and teachers increased in a progressive way by reaching the following data in October 1932:

- The pedagogical staff was composed of: one headmaster, 6 teachers and 4 Italian head of department; 14 Albanian teachers with 256 pupils divided in 4 different courses and sections. Taking in consideration the difficulty of finding a proper place, the lessons took place in 3 different buildings far from each-other. This hindered the normal functioning of the school. So it was decided the construction of a new building (today it is the military hospital).
- The equipments of the school was property of the Italian Government; the Institute was greatly appreciated in Korca and in the whole Albania; the number reached 256; the departments which were fully equipped, flourished a lot; high class students came there. There were annexed evening courses, and there were 45 pupils registered.

Gjirokastra - The 4 year-vocational school opened in 1928 for the specialization of electricians and carpenters. The functioning of the sewing ward as well as the one of home economy for the women were also included in the plans of the heads of school. The school was equipped with a very good cabinet of physics and modern factories, where students were trained by practicing. In this school, pupils from other parts of Albania attended lessons and evening Italian courses. It closed down in 1933. This vocational school counted 80 pupils and was greatly appreciated by people for its high quality. (AQSH, F. 195, V. 1939, D. 269, notebook. 18)

Berat - The industrial school of Berat was opened since 1929, with an autonomous administration. Opened to favor the development of industry (mechanics, engravers etc), it was highly appreciated and attended by 100 pupils. The four above mentioned schools functioned under the Albanian Office of the Ministry of Foreign Affairs.

Uji Ftohtë (Vlorë) - In 1928, with the initiative of the Italian government a technical institute and a technical school with a commercial orientation were opened. This institute was equipped with a dormitory, and mostly had the characteristics of the Italian Technical Institutes with the extra learning of the Albanian language. All the lectures were given in Italian in all the courses (consultancy, physical sciences, drawing, calligraphy, dactylographic, stenography). All of the texts were in Italian.

In 1933, from 197 registered pupils, there were only 127 left. The staff of teachers was composed of 12 Italians and 2 Albanians. These vocational and technical schools were definitely closed down in May because of the famous above mentioned orders of 24th April. The Italian teachers were sent back to their
country, and all the machines, furniture and equipments were withdrawn and the rest was handed over to the Albanian staff. The pupils left were sent to the Royal Technical Institute of Corfu which was directed by the Brothers of the Christian Schools, on behalf of “Gens Italica”.

3. Classical High Schools

**Shkodër** - The Severian College of the Jesuit Fathers. The building of the Congregation (the Orphanage had houses owned by the government). Didactic structures: An elementary course made up of four classes created since 1900- with Albanian programs with some Italian classes. The classical high school with 5 classrooms, the lyceum with three classrooms; the commercial school with 4 classrooms (which were almost constructed in 1933). (AQSH, F. 195, V. 1939, D. 269, notebook. 18).

*Teachers*: The Jesuit fathers, most of them were Italian. *Pupils*: approximately 160 in elementary schools and 140 in high schools (There is an annexed Popish workshop in the college with nearly 40 Xhakons and one orphanage with orphans who followed the courses). Finally, a small dormitory with payment accepted 3 Italians and 5 Albanians in 1933. The school was frequented by a small number of Italian pupils.. In the Severian College of the Jesuit fathers the Italian language had always been a basic language and there we can find the biggest library of Albania near the lyceum.

**Shkodër** - The Franciscan Lyceum (Subsidized school). The Congregation Building and the didactical structure: a high school with 4 classrooms, a lyceum with 3 classrooms.

*Teachers*: the Albanian Franciscan fathers were helped by three Italian professors in 1933; one for the Italian language in the classes of high school, one for the Italian language in the lyceum and one for Maths and Physics.

*Albanian programs*: The basic learning language was Albanian. In 1933, 140 pupils were enrolled in total (attended the high school courses).

**Tirana** - One special objective of the Italian Ministry of Foreign Affairs was the creation of a high school that could represent the Albanian capital, our culture and expand our teaching methods by affirming their supremacy. In fact in 1928-1929, Prof Giovanni Bianco was given the task of opening a technical-professional school in Tirana, an institution which seemed more appropriate to the main objective. (AQSH, F. 195, V. 1939, D. 269, notebook. 18).

In 1930, the headmaster Pucano was sent to Tirana for the overallsolution of the problem. At that time, the creation of a Classical Lyceum (high school) was seen as something appropriate at the same time permitting the existence of the other techno-professional school. After the closure of the Topollaj High School in 1933, which was subsidized by the Italian government, Father Viecoli created in 1933 the mixed Aloizian High School as a section of the Saverian Lyceum of Shkodra.

On June 1934 it should have been officially recognized, but because of the small number of the pupils registered there (about 30 pupils at the end of the school year, among which there were 12 girls who were taught by a nun) the official recognition was delayed for a later time.

Then because of the Jesuit fathers who declared that they were going to deal only with the care of souls in Tirana, the Aloizian high school was closed down at the end of the school year 1935-1936. It was at that time, with the initiative of the Royal Legate and because of the special interest of the General Valerian Council, that the small private high school for Italians was created. It started its activity on December 4th 1936 in several classes adapted for teaching in the main building of the Mixed Elementary Royal School.

In 1936/37 the high school counted 13 pupils, 5 of which were Albanians and in 1938/39 it was completed with 5 classes, 43 pupils and 4 professors, one of which was in the role of the headmaster.

In 1939/40, the lyceum with almost 100 pupils in total was created. The Institute has it own proper building constructed exactly for this reason in the Mussolini Boulevard.

4. The Italian Elementary School

**Tirana** - The situation in May 1933, didactical structure: the mixed Royal school, rented building, elementary course with five classrooms, kindergarten, courses of the Italian language and domestic chores for Italian and Albanian misses, 7 Teachers, 3 of which were secular teachers and 4 were nuns and there were 217 pupils in total (AQSH, F. 195, V. 1939, D. 269, notebook. 18).

*Historical-statistical data*: This was created on April 1st 1929, in the years 1928-1929 it was frequented only by Italians, in 1929-1930 apart from the Italians it was also followed by 11 Albanians(8 boys and 3 girls); in 1930-31 apart from the Italians there were also 24 Albanians(15 boys and 9 girls); in 1931-32
there were Italians and 38 Albanians (19 boys and 19 girls); in 1932-1933 about 28 Albanians (13 boys and 15 girls), in 1933-34 the Albanians are prohibited to frequent such foreign schools.

From 1928 to 1934, the Albanian language in the elementary Italian school was obligatory and it was taught one hour per day from an Albanian teacher hired by the Albanian ministry of Education. A female lab was annexed in the school in which:

- In 1928-29 there were 15 Albanians registered,
- In 1929-30 there were 45,
- In 1930-31 there were 58,
- In 1931-32 there were 56,
- In 1932-33 there were 58
- In 1933-34 there were just 20.

**Children’s kindergarten**

- In 1931-32 there were 13 Albanian children (7 boys and 6 girls)
- In 1932-33 there were 20 (7 boys and 13 girls)
- In 1933-34 there were 3 (2 boys and a girl)
- In 1934-35 the school and the kindergarten had in total 99 children
- In 1935-36: 125 pupils, 59 of whom were foreigners
- In 1937-38: 127 pupils

In 1938-39 “Servants of Mercy” opened a sewing course once again in Tirana.

**Durrës** (the situation in May 1933). The Italian school of “Nuns servants of Mercy” (subsidized), 5 Classes course – Kindergarten, the vocational female school for Albanians Italian language courses, a school of music (piano), domestic economy courses, a drawing school, a school of females’ chores (sewing- skills), teachers: All nuns and pupils 130. (AQSH, F. 195, V. 1939, D. 269, notebook, p. 28).

**Historical-statistical data**: Created by the initiative of the Royal Legate in 1928 with 28 students. At first its headmistress was the Italian mother Picini- Pati, until now it has had 5 headmistresses, all of them nuns, with 3 teachers of the same order.

- In 1933 it counted 130 pupils 50% of them were Albanians and they had annexed a private kindergarten for children and a school of work. Another private school of domestic economy functioned only in the period between 1928 and 1929.
  - In 1935-36 the elementary school had 41 pupils
  - In 1937-38 the elementary school had 43 pupils and 25 in kindergarten
  - In 1928-39, 76 pupils and 4 teachers (all of them Albanian)
  - In 1939-40, 100 pupils and 6 teachers 4 of which were secular and 2 nuns.

From April 1939 the school has been organized and reorganized: the incapable teachers were replaced, from the 100 registered pupils, 38 were Albanians.

The activities in the kindergarten continued with 59 children, of whom 40 ones were Albanians. The superior mother who actually leads it is Mother Montessori.

**Shijak** (Durrës). The elementary private school opened in 1935 with 15 pupils. In 1936 it counted 26 pupils, today almost 100. The Italian government pays the teacher who leads it: Don Sante Gemelli. (AQSH, F. 195, V. 1939, D. 269, notebook, p. 28).

**Shkodër** (Situation in may 1933). Italian mixed school of the Salezian sisters (nearby the anonymous orphanage) Subsidized, a building which is property of the foundation “Help the Italian Missionaries” (Italica Gens). The didactical structure- a kindergarten for children. An elementary course of 5 classrooms- a female chores course. Teachers: Italian Salezian nuns and pupils 80 and Italian programs: the lesson was taught in Italian. (AQSH, F. 195, V. 1939, D. 269, notebook, p.29).

**Historical-statistical data**: The above mentioned school was founded between 1922 and 924 from “Italica Gens”. It was directed and headed by Sister Natalina Fava. During 1939-40 there were 3 nun teachers and 121 pupils.

Before April 7th 1939, there were no high schools: but after that date the first 2 classes of high school were added. The elementary courses and the high school ones were both frequented by Italians and Albanians, and a special increase was seen in the last 2 years when the number of pupils who frequented it was doubled. An on-going development was foreseen and because of this the number of teachers would raise to 5. The role of the institute at this period of time was very important in the cultural aspect, as well as the political one. Courses of domestic chores and child care were done.
Shkodër (situation in May 1933). The female Stigmatine School of nuns (subsidized). The didactical structure: kindergarten, elementary school (5 classes), normal school (4 classes), a course of domestic chores (female ones). Teachers: the Stigmatine teachers, an Italian nun for the Italian course, Albanian programs, the basic language of teaching is Albanian and almost 150 pupils.

On November 18 1935, the above mentioned school was reopened with 15 kids. A kindergarten was also opened in Shirka with 35 children. In 1939 the normal classes started to operate with 24 Albanian girls, 10 of which were for female chores.

Shkodër (Situation in May 1933). The didactical structure: kindergarten of the Servite nuns (Elizabethan), a subsidized school. Teachers: the Albanian Servite nuns and pupils 380. The institution was opened since 1897 and the kindergarten was reopened in 1935 (after the closure in 1933) with 20 kids. (AQSH, F. 195, V. 1939, D. 269, notebook, p.30).

Vlorë (Situation in may 1933). A royal elementary school. A Mixed one - Today “Michele Bianchi”, the building: a state property (the school is situated in the same bar of the consulate), five classes’ course: preparatory classroom, five classes’ course: Physical education and fascist kulture. Italian course: a course of piano (Theoretical and practical) with one teacher and 15 pupils female xhores, teachers 6, and pupils 206 (AQSH, F. 195, V. 1939, D. 269, notebook, p.31).

Historic-statistical data: Opened by Francesco Krispi in 1890 at the time of the Otoman rule at the time of the capitulation regime for the countries that were part of this empire, and its first director was Prof. Giordano. It was closed after 3 years, and it was reopened in 1900 and functioned as well during the military Italian conquest (it was also recognized by Prince Vidi) up to 1920, there was a flourishing period with mixed pupils (Italian, Albanian, and Greek) and an annual average of pupils from 200-250. With the evacuation of the 1920s it was closed down, and during 1920-21 was not opened any more and the teachers were left unemployed.

In October 1921, it was reopened but for Italians only. In 1924 Albanian pupils were also registered, and in 1925-26 their number increased up to 150.Since then up to 1829 the school had its ups and downs, from 1929-1933 it experienced a new flourishing period. Actually in 1931-32, there were 178 pupils, 140 of which were Albanians, 31 Italians and 7 from other nationalities, in total 209 pupils. Because of the fact that the school had turned into a state school from May 1933 to 7th of April 1939, the number of pupils who went to school was reduced. In 1933-34 there were only 45 pupils (37 Italians and 8 Greeks).

Apart from all the restriction, the school attendance of very few Albanians was always tolerated, so in 1936-1937 there was a total of 57 pupils. After April 7th 1939, the school of Vlora was especially distinguished for a very good activity exerted in both the Italian and Albanian environment. In 1939-40 there was a headmaster, 3 teachers and 130 pupils (Italian and Albanian).

Vlorë The elementary Italian private school “Costanco Ciano” was created by the Albanian enterprise in 1934 for Albanian pupils with an annexed kindergarten. The school building together with the buildings for teachers and pupils were opened in October 1936. Its leadership was taken over by Don Mario Morandi and supported by three Italian teachers. The number of the pupils at the end of the scholastic year 1930-40 had increased sensibly compared to the other years and there were nearly 70 pupils who frequented it.

This institution gained a great importance in the increase and productive activity of the area, which was basically industrial. The data collected in the today’s report demonstrate the distant viewpoint of the Italian government and the Royal Diplomatic Representatives’ in treating the issue of expanding the language and education in Albania.

5. Conclusions

In conclusion, we can say that from the time of Francesco Crispi, who felt and asked as dominant political element the return of the Italian culture and language influence in the Balkan and Mediterranean East since 1888, Italy made all efforts to regain that spiritual and economical power over the world whithout which any political and economic power (however great it could be) could not stand. Historically speaking, the direct and indirect connections of Albania and the West have always been known and it reinforces the opinion of the Prof. Esqerem Cabej who said that: “Albania has been mostly oriented towards the West…”.

After 1941, Albania had a stopover period from the influence of the Italian school, especially in the period 1945-1990, when the communist dictatorship was installed and ruled.
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Reality, Fiction and History in George Orwell’s novel 1984 and Kasëm Trebeshina’s Odin Mondvalsen

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Abstract In the recent years one of the major contributions to the distinction between fiction and real world has been provided by the theory and semantics of possible worlds, whose bases is the idea that reality is a universe composed of a plurality of distinct worlds. A writer of fiction usually “draws” his material from the reality, from the models and the entities provided by the actual world, realistic fiction, in particular, depends on “mimetic communication to create possible worlds. This paper deals with two novels that treat the same topic (“the transformation of the society and of the human being under the communist dictatorship”) but with an enormous difference, Orwell based his book almost entirely on his fictitious reality and imagination whereas Trebeshina has experienced the regime and its reality. Many scholars and critics have tried to find similarities between Orwell’s and Trebeshina’s vision of reality and even in their life experiences. This paper deals with the construction of fiction, reality, the role of history and the similarities and differences presented on Trebeshina’s Odin Mondvalsen and Orwell’s 1984.

Keywords: Fiction, reality, dictatorship, utopia, vision, perception.

1. Introduction

“To the future or to the past, to a time when thought is free…”

(Orwell 1983: 24)

After World War II Albanian literature is characterized by a forced detachment from the traditional literature and the restrictions imposed by the communist regime. The dissociation from the tradition and the imposition of the socio-realism literary method, not only harmed it immensely but they also influenced upon the thematic content, artistic structure, philosophical concepts, characters’ development and so forth. A number of writers tried to escape the standardization of the literary process by attempting to bring forth new themes, ideas and new trends in Albanian literature. One of them is Kasëm Trebeshina who dared to contradict the communist regime and its pseudo-literary method. Written in 1955-1956 Trebeshina’s novel Odin Mondvalsen is a good example to analyze but at the same time to understand what was going on in one of the strongest communist regimes ever, where the only official and acceptable genre of writing was that of the socio-realism.

Orwell’s nightmarish vision of totalitarianism in 1984, written in 1949, remains a significant political text and even the title has become a political embodiment and an important warning about the future. As he constantly emphasized when writing about 1984, it was not to be taken as a prophecy but as a picture of what could happen if not actively prevented. Orwell’s focus on abuse of power, the denial of individuality, the transformation of the past and future and the language to control the thoughts are not easily forgotten by the reader. Many critics have tried to find similarities between Orwell’s and Trebeshina’s vision. Some of them have even tried to find the ‘Orwellian vision’ in Trebeshina’s Odin Mondvalsen. Although there are some similarities we should never forget the fact that Trebeshina had “the fortune” (or misfortune) to live under this dictatorship whereas Orwell had only a few glimpses of the regime and his “devotion” to the communist cause was very brief. Orwell had been a devoted communist and took part in the Spanish Civil War where he had seen evidence of the falsification and the invention
of false news. He later described it in an essay: “I saw history being written not in terms of what happened but of what ought to have happened, according to the party; . . . If he (a leader) says that two and two are five –well two and two are five.” Another destructive element he saw during the Spanish War was the underground war directed by Moscow to eliminate the “heretics” inside the communist circles. Both these elements are present in his novel. Trebeshina’s commitment to the communist cause is brief, too. He enrolled in the communist party and was engaged in the antifascist war in Albania. During this period he discovered the dangerous dimension that this war was taking and what he later saw in Moscow just confirmed his horrifying vision of what communism really meant and what was going to happen in Albania in the near future. Unfortunately Albania could not escape this destiny and the people were caught up in the totalitarian life full of ideology and demagogy, repressed and ‘deformed’ by the collective machinery.

2. Trebeshina’s Odin Mondvalsen- the Destruction of a Utopia

Kasëm Trebeshina joined the communist resistant movement in 1942. After the war he studied at the Ostrovsky Theatre Institute and during his stay in the Soviet Union he saw the real face of communism. In an extremely rare act of open dissent in Albanian intellectual life, Trebeshina sent a ‘pro memoria’ to Enver Hoxha on 5 October 1953, warning him that his cultural policies were leading the nation down the road to disaster. After this action, Kasëm Trebeshina, the unpublished author of eighteen volumes of verse, forty-two plays, twenty-two novels and short stories, etc., vanished from the literary scene. After seventeen years in prison, with interruptions, a ‘comparatively light sentence’ as he later noted, and twenty years of silence, Trebeshina resurfaced with a handful of other writers, artists and intellectuals to see that his prediction had come true.

Buçpapaj defines Trebeshina’s art as ‘a revolutionary art which is rebellled against the universal degeneration, corruption; against a reality where everything is reversed and it functions on the logic of absurdity. This art wants to protect the human world and the art which the communist reality was trying to standardize.’ He defined his philosophy of writing as ‘a philosophy in search for the lost man, a man who has lost his original features and is sheltered somewhere to escape the brutality of the regime.’ One of the novels which best shows the above aspect is Odin Mondvalsen. It was written in 1955-1956, three years after the famous pro memoria that Trebeshina sent to Enver Hoxha. The author surrounded by a dangerous political background presents an original hero in the Albanian literature, a psychotic or mentally ill character. The story takes place in a prison hospital where the main character of the novel, Odin Mondvalsen is ‘imprisoned’ in a Psychiatric prison hospital for years. It is obvious that he has lost contact with reality, and it seems strange to us but his only crime is related with his conviction that he is from Denmark: ‘Yes, sir. I am Danish because my grandfather has been Italian and he married a French woman. . .’, (The First Chapter. Italics are mine) whereas Odin’s mother married a Dane. Since the very beginning we understand from his deduction that Odin Mondvalsen is not his real name (but is the name he has put to himself) and his reasoning does not make any sense.

In the following chapters the main character becomes even more complex, the images are reversed, but they convey realistic and powerful details of the regime. We are surprised and at the same time shocked by the reality revealed and the truths connected with the communist regime that he discovers:

As soon as I arrived on Mars I was detected, arrested, interrogated, insulted, beaten and then came people with the white blouses. They were primarily focused on injections and when they gave up from them, then came others, but without blouses and everything began from the start. (The First Chapter, the Second and the Third)

“Well, I have a very good salary and I take my groceries in ‘bllok!’ ” (The Chapter that is before the other chapters. Italics are mine)

The confused state of mind of the character is perfectly exploited by the author to show the main problems of the communist era like the collective property, the dictator’s image, the men’s disfigure under the regime, the pressure on the intellectual, and the vices that have sprung on the New Man created under the communist dictatorship:

“On 37 August I was arrested because I landed here, on Mars. I was surrounded by many people in uniforms and they arrested me on the spot. When the authorities arrived I was confined in a room

1 In Albanian it is ‘bllok’ which refers to a restricted area in the capital city where were situated the most vital institutions of the country and the leaders of that time.
and the interrogation began….. Wow, how wonderful!

Only a psychotic is not afraid of what he is saying, he is not even conscious if what he is saying is logical or illogical, he speaks out before the police, lawyers, the attorneys, things that other people are afraid even of thinking.

“How strange, my friend standing over there in his bed insisted stubbornly upon his silence. Yes. Yes….He was standing there and he didn’t want to talk even a word.

Why did he refuse to talk to me […] I needed to hear the opinion of a friend for what I had told him….”

(My friend said) “…in the future you shouldn’t talk so much….Because on the long nets of words and discussions may even penetrate a very short word, but with such colossal damages that can not be even described. That’s why, better not talk at all’

“Well, you are right. He is a good man, a very good man, but his conversations ‘smell’ of prison. Do you know what I meant?…Ten years, fifteen years of prison. Perhaps, even more.”

(My friend continued) “Although, we have a lot of problems here, we are not so bad […]. The psychiatric hospital is much better than the concentration camp….better than drying the marshes where people are dying of hunger and are ready to eat the other’s defecation”.

(The Chapter that comes after the twelfth. The italics are mine)

His reasoning, often philosophical and true, becomes the only way to see communism as it really was.

In the past the world had been bigger not only because we were less in number, but because we were more talkative. Yes! ….We had more words on what our mums had taught us, whereas now the words are reduced and swollen with an only reason, to fill the endless spaces so that there will be only the swollen words of those people who are loamed even beyond the term. […] The world is smaller and it is filled up with the greatness of those people who seek to bury it and from the will of glory of those people who consider the gracies of the monkeys as the start of civilization!…. (The Chapter that comes after the one which was never written)

Trebeshina is often very ironic even with the communist institutions, he wants to present their real bureaucracy and malfunction:

-When did you start your journey from Zabotiland?
-From where? - I asked surprised.
-Don’t look at me as if you don’t know what I am talking about!-the interrogator said in a ponderous voice. I am asking you again: when did you start you journey from Zabotiland?
-I shrugged.
-The motive of your journey?
-To come here, in Mars.
-Where!
-In Mars.
-To come here where I am and I wish I weren’t…
-Write down!-be ordered his secretary. —I came in the New World as a spy agent for spying reasons. ” (The Forth Chapter which is focused on my landing on the New World, italics are mine)

As it is typical of the classic narration on the first chapter we are presented with the (anti)hero, Odin Mondvalsen, but from the subtitle of this chapter we learn that this is also the second, the third and the fourth. The novel presents us with a new code of reading, which somehow is completely different from the traditional chronological arrangement of the novel. Everything is seen through the eyes of the main character and it seems that absurd prevails on logic, but Trebeshina preserves certain elements to orient the reader through the confused mind of the hero. Another powerful element of the novel is the time, which is not chronological but it is easily reversible, it has the power to create but at the same time to destroy every thing that sprung from her. Trebeshina converts the axes of the time with a double purpose. He alters antiquity with the contemporary to demonstrate that the centralized power of an Egyptian Pharaoh or a communist dictator will be used for the same ends, to preserve their Power to rule a country and subdue the population. This absolute power creates an insuperable barrier by the community; it creates a dangerous hurdle where the Supreme Power of the State can not be enfeebled. The mixture of the present time with the past has also a historical purpose. It tries to bring forth historical truths like: the foundation of communist party in Albania, the economic reality, how the first secretary of the party was chosen etc.:”

‘Well, the person standing outside Istanbul sent in Albania Miladin Popovic… Really! …They sent

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2 The translation of all the extracts, taken from Odin Montvalsen, from Albanian to English is done by me.
Miladin Popovicin and Dushan Mugosh to found the Communist Party. They found it. But another issue came out, that of appointing the first and second Secretary.” (The forth and the fifth chapter)

“Somewhere, on the most ancient Pharaoh’s Kingdom, had decided to found the agriculture cooperatives!..” (The third chapter)

In the verge of illogic is not only the time but also history, literature, politics, science and art which are distorted from their primary mission and misused by the regime to de-humanized the human being.

3. Orwell’s ‘Utopia’ in 1984

Orwell explains in a 1946 essay that a writer’s “subject matter will be determined by the age he lives in . . . but before he ever begins to write he will have acquired an emotional attitude from which he will never completely escape” (1981: 311). As such, the materials for this novel are drawn from the Spanish Civil War, Second World War, and the early years of the Cold War, the devastation of England, the bombing attacks of London and reports of cruelty, torture and purges of innocent civilians in Russia. The Ministry of Truth building in the novel was modeled on the London University building used during the World War II by the Ministry of Information, and the BBC’s main building seems to have provided the inspiration for the canteen smelling of cabbage and the singing prole women, the BBC office cleaners, while his wife’s work in the Ministry of Food, creating publicity to encourage the public to eat the “right” types of food, seems to have suggested the use of short crisp slogans of the 1984. He tried to incorporate all these elements to provide a realistic atmosphere rather than imaginary speculation about the future (Meyers 2000; 281). Another important element in his writing style has been his health problems. While he was writing 1984 he was suffering from tuberculosis, he was aware that death was approaching him and this fact “intensified his emotions and heightened his powers of expression” (Meyers 2000: 278), furthermore it is even regarded as the work of a dying man, written in disillusion with the present and despair for the future.

Orwell argues that “I write . . . because there is some lie that I want to expose, some fact I want to draw attention, and my initial concern is to get a hearing” (1981: 314). Orwell’s writing since 1936 displays his political orientation and mainly his socialist ideology and his desire to “push the world in a certain direction, to alter other people’s idea of the kind of society that they should strive after” (1981: 312-313). He also explains that “Every line of serious work that I have written since 1936 has been written directly or indirectly, against totalitarianism and for democratic socialism, as I understand it” (1981: 314).

1984 is set in Oceania, one of the three fictionalized superpowers which are immediately recognizable (Oceania, Eurasia and Eastasia) and at the same time it implies that these superpowers maintain similar totalitarian political structures and social stratification of the society (Craig 1983: 28).

Orwell was convinced that Stalin, Churchill and Roosevelt consciously plotted to divide the world among themselves, this idea was supported by several events after the WWII and especially the Yalta conference (Deutscher 1971: 38).

By setting the novel nearly forty years ahead of the time he was writing it, Orwell was giving a warning about the future. Howe (1971: 44) contends that the text is “at once a model and a vision- a model of the totalitarian state in its “pure” or “essential” form and a vision of what this state can do to human life”.

The novel begins with the clock striking thirteen, which is a sinister sign, but at the same time it sets a negative atmosphere from the start. Even the following paragraphs display a harsh, uncomfortable and anxious atmosphere which is reinforced by the fact that they are constantly being watched via the telescreen and we have the appearance of the overriding force of Big Brother’s image:

The telescreen received and transmitted simultaneously. Any sound that Winston made, above the level of a very low whisper, would be picked up by it; moreover, so long as he remained within the field of vision which the metal plaque commanded, he could be seen as well as heard. There was of course no way of knowing whether you were being watched at any given moment. (Orwell 1983: 2)

Winston explains that apart from sounds, they have to be careful even with the facial expressions:

It was terribly dangerous to let your thoughts wander when you were in public place or within range of a telescreen. The smallest thing could give you away. A nervous tic, an unconscious look of anxiety, a habit of muttering to yourself - anything that carried with it the suggestion of abnormality, of having to hide. In any case, to wear an improper expression on your face ….. was itself a punishable offence. There was even a word for it in Newspeak: facecrime, it was called. (Orwell 1983: 55)

It is easily perceived that the novel is based on the presentation of a dystopian world, where the citizens live in an atmosphere of mistrust and extreme surveillance, where the state is the only dominant power.
and individuality and personality have become criminalized:

In principle a Party member had no spare time, and was never alone except in bed. It was assumed that when he was not working, eating and sleeping he would be taking part in some kind of communal recreations, anything that suggested a taste for solitude, even to go for a walk by yourself, was always slightly dangerous. There was a word for it in Newspeak: ownlife, it was called, meaning individualism and eccentricity. (Orwell 1983: 72)

The main protagonist of the novel, Winston Smith, works in the Ministry of Truth and his job is to rewrite history. He is established from the very beginning as an un-heroic figure, he is thin and frail, on the way to middle age, has a leg ulcer and later on we discover that he has false teeth and is subject to coughing fits. Ironically, he has been named after the British Prime Minister during the World War II, Winston Churchill, but in fact he stands for Everyman. Winston is read as an idealistic and is obsessed ‘in the typical humanist way, with unanswerable questions, and particularly the question of “Why”’ (Orwell 1983: 113, italics are mine). It seems that its main aim throughout the novel is to remain human, not to be de-humanized under the tyranny of the state. This mission somehow fails when he betrays his belief and capitulates to “Big Brother”. Abrahams (1983: 5) suggests that Winston ’is a type of colorless, minor civil servant who does what he is told to do– always”. Whereas Watt (1983:112) contends that he “is neither a conscious nor a heroic protagonist of moral and intellectual convictions” and according to them he is presented as a failed hero and coward (Meyers 2000: 287). I believe that these descriptions are a bit superficial and simplistic and they miss an important element “Winston’s resistance” and the fact that all facet of humanity are controlled and monitored. Winston describes his own life: ‘You had to live- did live, from habit humanity are controlled and monitored. Winston describes his own life: ‘You had to live- did live, from habit humanity are controlled and monitored. Winston describes his own life: ‘You had to live- did live, from habit humanity are controlled and monitored. Winston describes his own life: ‘You had to live- did live, from habit humanity are controlled and monitored. Winston describes his own life: ‘You had to live- did live, from habit humanity are controlled and monitored.

Apart from Winston, the novel revolves around Julia and O’Brien. O’Brien, member of the Inner Party, is a mysterious and complex figure. On his first appearance Orwell, through Winston, points up two contrasting features in his character: a coarse brutality and the delicacy of the gesture which Orwell compares to that of the eighteenth-century nobleman. Winston believes that he is a member of a secret revolutionary group known as Brotherhood, an underground organization that exists to overthrow the Party. In fact, O’Brien not only is loyal to the party, but is also convicted that the party will always win and that men are incapable of ruling themselves and are unworthy of free choice (Meyers 2000: 286). Julia, employed in the Fiction Department in the Ministry of Truth, is more realistic and pragmatic than Winston and these ontological differences are related with the ways that they engage in the acts of resistance. Abrahams (1983: 5) describes Julia as a secret rebel against the regime, expressing her rebellion through the illegal enjoyment of sex.” At first, Winston believes that Julia is either an agent of the Thought Police or an amateur spy, until she declares her love and they begin a secret love affair, an act which itself becomes an instance of resistance. His contact with Julia leads him to put into words critical ideas of the society, “the mute protest in your own bones” as he describes it, even if she hardly listens to him when he explains these ideas to her and does not understand their significance.

“The imaginary world of 1984 of a totalitarian society is modeled after the (real) fascist state of Mussolini’s Italy, the national-socialist state of Hitler’s Germany or the communist sate of Stalin’s Soviet Union. The form of social control, accordingly is manifested more broadly in the control of thought and the discretion of memory, history and the debasement of language, and thus speaks to totalitarian systems in general.” (Tyner 2004: 135) As Winston clearly explains in his diary it is not important if you write or think disloyal ideas to the Party because according to the Thoughtpolice, they were both condemned:

Whether he wrote Down With Big Brother, or whether he refrained from writing it, it made no difference... The thought police would get him just the same. He had committed- would still have committed, even if he had never set pen to paper –the essential crime that contained all others in itself. Thoughtcrime, they called it. (Orwell 1983: 16-17)

In Orwell’s totalitarian society people could disappear and be erased from the history and the memory of the people as if they never existed:

It was always at night. . . The sudden jerk out of sleep, the rough hand shaking your shoulders, the lights glaring in your eyes . . . In the vast majority of cases there was no trial, no report of the arrest. People simply disappeared, always during the night. Your name was removed from the registers, every record of every thing you had ever done was wiped out, your one-time existence was denied and then forgotten. You were abolished, annihilated: vaporized was the usual word. (Orwell 1983: 17)

And it is Winston’s duty, as an employee in the Records Department of the Ministry of Truth, to change
and to (re)write history according to the demands of the Party or Big Brother, but for him the most terrifying element is the control of the past and the process of re-writing the books: “The past not only changed, but changed continuously. What most afflicted Winston with the sense of nightmare was that he had never clearly understood why the huge posture was undertaken. The immediate advantages of falsifying the past were obvious, but the ultimate motive was mysterious. He took up his pen again and wrote: I understand HOW: I do not understand WHY.” (Orwell 1983: 70; italics in original).

After the arrest O’Brien interviews and tortures Winston in the Minilove and asks Winston if he remembers writing the question (Orwell 1983: 70) “Why the huge posture was undertaken?” and asked him to explain (Orwell 1983: 233): “Now tell me why we cling to power. What is our motive? Why we should want power?” Winston replied that the Party believes that human beings are not able to rule themselves and they act to protect the majority. But for O’Brien the reason is another (Orwell 1983: 234-235) “The Party seeks power entirely for its own sake. We are not interested in the good of others; we are interested solely in power. Not wealth or luxury or long life or happiness; only power, pure power…Power is not a means; it is an end.” O’Brien’s purpose in his interviews in Miniluv is to turn Winston’s love for himself into love for Big Brother, implying that mere obedience is not enough, but Winston must achieve a moment of genuine love for Big Brother. In order to tell this love Winston has to reject, and to admit to himself that he has rejected all feelings of love and loyalty to anyone else. Under the sufferings, degradation, torture and humiliation he tried to resist, but when threatened with what is for him the worst thing in the world, he betrays Julia, something is killed in his own heart, he is not the same man anymore: “burnt out, cauterized out.” Now he is no longer a threat to the state or to anyone else.

3. Reality Versus Utopia, Concluding Remarks

Sharp (2000: 332) cautions that “Some texts may present revolutionary worldviews, but unless they are widely read, their influence on popular imaginatıons will be slight”. Orwell’s 1984 presents a radically and revolutionary world-view, one that clearly is widely read; more than ten millions of copy have been purchased and his neologisms permeate our conversations like “Big Brother, Thought Police etc” (Tyner 2004: 145). Further more, critics asserts that Orwell achieved something that none of the theoreticians did: he made his imagined world real for us, whereas very much of the scholarly literature made the real seem remote (Tucker 1983: 93-94). What can we say about Kasem Trebeshina’s Odin Monvalsen? Does it present a revolutionary world-view? Unfortunately, Trebeshina did not have the chance to publish his novel when he wrote it, in 1955-56, and unmask communism. It was published only in 1992, after thirty-six years. Perhaps, this is one of the reasons why it does not have the same width spread and popularity and the influence on the popular imagination, as Orwell’s novel does. Nevertheless, one of the best achievements of Trebeshina’s novel is the fact that he presents us with the real face of communism, with real colors and real people, not the imagined one.

One of the main differences between Trebeshina and Orwell lies in the way they use language. Orwell is interested in the modern use of English language and particularly in the abuse and misuse of English. He accomplishes this by placing a great focus on Newspeak and the media. Demonstrating the repeated abuse of language by the government and by the media in his novel, Orwell shows how language can be used politically to deceive and manipulate people, how it becomes a mind-control tool, with the ultimate goal being the destruction of will and imagination. Another supporter of the link between thought and language is the linguistic Benjamin Lee Whorf who argues that: “different languages impose different conceptions of reality” (Myers 1986: 352). So when words that describe a particular thought are completely absent from language that thought becomes more difficult to think of and communicate. For the Inner party the goal is to “make thought crime literally impossible… because there will be no words in which to express it” (Orwell 1983: 55). So by designing Newspeak, a totalitarian system narrows the range of thought and shortens people’s memories. Whereas Trebeshina exploits the thoughts and the language of an unstable person, by reversing the images, the words, the time, the figures of speech we realize the truths that Mondvalsen is revealing. So for Mondvalsen this reversed language, full of symbols and metaphors is a way of escaping but at the same time revealing the truth.

Orwell tried to present a “utopian” world although he projected it in its negative consequences and the coming years proved that part of his visions where erroneous. Just to mention the ending of 1984 which shows no hope, especially for Winston who betrays Julia and an inner part of himself can never be recovered. At the end he is seen in The Chestnut Tree café where he admits that “He had won the victory over himself. He loved Big Brother.” Trebeshina has also dared to walk on the same path, but as he lived under a communist regime he did not need to use his imagination, he had the ‘chance’ to see with his
own eyes the ‘real and sincere devotion’ of the people toward socialism or to be more clear their adaptation towards this cause, but his hero is an evidence of the contrary, is an evidence of resistance, is a live proof of how this hero (easily identified with the writer) and with many other people who could survive and remain unaltered from the brutality of the regime, even though it has caused “a pretended deformation or madness” of the hero. In the totalitarian world of Orwell power becomes the State and the State is power. It is through the power/knowledge nexus that all semblances of humanity are eradicated leaving ostensibly nothing but the State (Tyner 2004: 141): “Never again will you be capable of love, friendship, or joy of living, or laughter, or curiosity, or courage, or integrity. You will be hollow. We shall squeeze you empty, and then we shall feel you with ourselves” (Orwell 1983: 228-229). Orwell hyperbolized the control of the state over the human beings and the possibility and the ability of the state to change people’s ideas, to subdue them totally through the terror. In Trebeshina’s Odin Mondvalsen and even in Kadare’s novel Spiritual Session in the city of N. we have the disapproval of this. It does not matter how strong the control over the population could be, it is never absolute. The human being always finds a way out, even though it may be an “odinmondvalsen way.” So, Denmark can be far away, according to a geographical map, but for Mondvalsen it is not, because he has got its freedom concepts in his mind. (Plasari 1993: 5)

In a society where power is ultimately possessed by the state, like that presented by Orwell, is resistance possible? Does he provide a space for resistance in a totalitarian society? During the novel, we understand that resistance, for Winston, means to retain a semblance of humanity, of individuality and not to acquire power. Consequently, the actions of Winston are directed toward a personal liberation rather then a complete revolution. In the novel Winston discovers that is the proletariat who has not lost sight of their humanity or individuality: “if there is hope, it lies in the proles.” So there is space for resistance, however, Winston recognizes that overt resistance is neither practical nor desirable because the disciplinary control of the party was near complete. And yet, there are several fleeting instances of resistance in the novel, just to mention the diary, the avoidance of the telescreen; ‘(Winston) kept his back turned to the telescreen. It was safer; though as he well knew, even a back can be revealing’ (Orwell 1983: 3) or other times while he was facing the telescreen ‘He had set his features into the expression of quiet optimism which was advisable to wear when facing the telescreen’ (Orwell 1983: 4); even the sexual relationship with Julia is read as a form of resistance, Winston reflects ‘Their embrace had been a battle, the climax a victory. It was a blow struck against the party. It was a political act’. (Orwell 1983: 112) What about Trebeshina’s novel? Does it have elements of resistance in it? I believe that resistance is not the primary mission of Mondvalsen. In the contrary, Odin Mondvalsen stands for everyone who has lived, has loved, has worked and has survived in a real communist regime. Mondvalsen is not interested to carry out a revolution, like Winston tried (although unsuccessfully), sometimes he even appear like a naïve narrator who fails to comprehend the implications of plot, the brutality of the regime, the frightening people, it seems that his only preoccupation is to live, to love and why not to beget children. It seems that Orwell overlooks the strength of the human character, his ability to suffer and to adapt to suffering, tortures, misery, injustices, mental pressure, lack of freedom, lack of food and even to slavery, although it may be an odinmondvalsen adaptation. For Trebeshina the suppressed people, even the slaves have their moments of joy, of happiness and Mondvalsen is a testimony of the communist regime and at the same time is an evidence of the ability of adaptation of the human being under the worst circumstances ever.

References


Globalization as the rapid increase in cross-border economic, social and technological exchange is not limited to industry and business. Education systems being part of the information business can be seen as the core of globalization. This paper provides an analysis of the relevant literature on the implications of globalization for education in Nigeria. The nature and objectives of global education and the move towards standardized curricula were highlighted. Perceived barriers to globalization of education and the Nigerian situation were also analyzed. This paper finally provides information and recommendations to those responsible for the planning of the educational curricula for all levels of education in Nigeria.

Keywords: Globalization, Self-Image Psychomotive, Environmental

1. Introduction

Globalization is a favorable catchphrase of journalists and politicians. It has become a key idea in various areas: business theory and practice, has entered academic debates and has become a focus for discussion in education. It is commonly used as a shorthand for describing the spread and connectedness of production, communication and technologies across the world. That spread has involved the interlacing of economic and cultural activities.

Globalization involves the diffusion of ideas, practices and technologies. Giddens (1990:64) has described globalization “as the intensification of worldwide social relations which link distant localities in such way that local happenings are shaped by events occurring many miles away and vice versa.” This informs a change in the way we understand geography and experience localness.

Generally speaking, globalization is the rapid increase in cross-border economic, social, and technological exchange. Gollen (2000) defines it as a process leading to greater interdependence and mutual awareness among economic, political and social units in the world. On his part, Rosenau (1999) defines globalization as the emergence of altered global structure driven by a skill revolution, an organization explosion, and a continuous flow of ideas, money, goods and people that is rendering long-time territorial boundaries increasingly obsolete and fostering an extensive decentralization of authority. Globalization is the transcending of boundaries that separate different countries – whether those boundaries are physical, geographical, social, cultural or financial. It is a process in which the whole planet is involved, and every day each of us comes into contact with different aspects of it. In fact, globalization
has even permeated our households, thanks to great technological advances and handy tools like the Internet. Globalization is said to empower international markets at the expense of state power, eventually creating a borderless world. This makes the social relations to become less tied to territorial distance, and territorial border hold limited significance in these circumstances (Malcom, 1995). It is the key to the locks which were previously limiting the heritage of a country within and hence, is making the barriers of cultural divide thinner by the day (Hollady, 2006).

One could think that globalization is only a matter of industry and business, and that education as a moral process is no part of this development. However, if we understand education as part of the information business, education systems can be seen as the core of the globalization process. Governments are trying to compete on the global markets by placing the onus of policy on education to produce the “human capital” most appealing to global competition (Taylor, 1985). Also, Kosebalaban (2005) emphasizes that educational policy has become an ever more important part of economic, trade, labour and social policy in western countries. The world’s new initiatives are supporting life long education, integration of work and education, student mobility and joint study programmes. These initiatives can be seen as part of the global development of education. This recent development can offer new perspectives to solve educational problems.

The major burden of the first level of schooling – the primary classes – is threefold:
- To introduce children to the basic literacy systems of the ambient culture, that is, 3Rs (Reading, Writing and Arithmetic).
- To acclimatize youngsters to the events and concepts outside of their naturally occurring context, and
- To give children the opportunity to play and work together civilly with those individuals with whom they can expect to grow and eventually spend their adult years.

These activities begin globally, from the age of one to seven. Despite these laudable aims, education in the developing nations has remained modest even at the elementary level. This is why Gardner (2004) affirms that there is no doubt that across the globe, future citizens need to be literate, numerate, capable of scientific thought, and knowledgeable about the history, traditions, and governmental system of the nation in which they are being educated. The questions we are facing now are: To what extent is the educational endeavour affected by the process of globalization that is threatening the autonomy of national educational systems and the sovereignty of the nation-state as the ultimate ruler in democratic societies? How is globalization changing the fundamental conditions of an educational system premised on fitting into a community, a community characterized by proximity and familiarity (Burbules and Torres, 2000)? How prepared is our educational system to cope with the new order, that is, meeting the world’s goals for education especially at the foundation level? Given the above, this article sets out to show the importance of globalization as it concerns education and to stress the necessity of bringing up educational policies that will keep our children, especially at the foundation (elementary) level, abreast with their counterparts worldwide.

2. Globalization and Education

For countries in the vanguard of the world economy, the balance between knowledge and resources has shifted so far toward the former that knowledge has become perhaps the most important factor determining the standard of living – more than land, tools and labour. Today’s most technologically advanced economies are truly knowledge-based (World Bank 1999). Beaker (2000:8) advocated that knowledge capitalism “the drive to generate new ideas and turn them into commercial products and services, which consumers want, is now just as pervasive and powerful as any other factor of production.” According to Geveland (1999) education for the Global Century (Globalization) must help individual people to think critically and holistically, creating a skill revolution where commanding and controlling will become obsolete. However, developments in the education sector globally can lead to the following summary of the implications and demands of global information society in the education system:

- demand for widening the access to education for all
- continuous lifelong learning fading the boundaries between formal education and working life.
- demand for both global and local cultural developments.

Globalization and education share a symbiotic relationship as each one depends on the other for sustenance, maintenance and constant development. Education fuels globalization as nations seek to become more conscious of the culture, economy, ideology and general knowledge of other societies. This
is in part substantiated through some educational systems, particularly at the tertiary level which are
designed to create citizens who are not just aware of their immediate surroundings but of the workings of
the world. This can be seen from a country like United States of America that opens her door to students
from various parts of the world so as to promote an environment of exchange and interaction. Hence,
globalization has served to restructure education in the classroom as students are taught to think outside
of their comfort zone and consider the ideas and methods of people of other nations. Various nations
throughout the world are preparing their students to be participants in the global exchange. In order to
facilitate this trade of information, programmes which help students gain insight into the culture of other
countries have been built into their school curriculum. It is common to see universities of the world
offering language study courses. Students are encouraged to gain a working knowledge and fluency of
other languages apart from their native tongue. These students who come from different ethnic and social
backgrounds are given the opportunity to learn and discover the world. This enhances their experience as
they are able to interact with people who may be completely different from the ones they have always
encountered. Students are more enlightened as they go through a profound experience abroad. Some of
these schools incorporate the study of other cultures and world geography so that the students’
knowledge of other places is made a part of the curriculum (Stewart, 2005).

According to Gardner (2004) the unprecedented and unpredictable movement of human beings,
capital, information and cultural life forms need to be understood by the young persons who are and will
always inhabit a global community. Some of the systems will become manifest through the media, but
many other facets like the operation of worldwide markets will need to be taught in more formal manner.

Education

Most nations have or are moving towards standardized curricula and assessment practices, which is an
indication of globalization’s momentum. Such curricula, Pike and Selby (1992) argued, must reflect
fundamental and far sighted changes in educational practice so as to better equip children with the
necessary tools for meeting the challenges of an increasingly inter-dependent and unpredictable world.
Learning in a global setting, demands the acquisition of a range of skills and a broad area of knowledge
and the development of a set of attitudes which together constitute a far more fundamental critique of
current educational practices. More specifically, Pike and Selby (1992), suggest that the objectives of
global education should include:

- **Positive Self-image**
  - Belief in ones potential – students should have a sense of their own worth and a belief in their own
    physical, intellectual, emotional and spiritual potentials.
  - Genuineness – Students should have the capacity to identify, own and transmit their thought,
    feelings and emotions.
  - Curiosity – Students should want to find out more about themselves and their inter-dependent
    relationship with other people.

- **Appreciation of others**
  - Diversity – Students should be willing to find the beliefs and practices of other cultural and social
    groups of value and interest, and be prepared to learn from them.
  - Commonality – Students should appreciate the essential worth of others and the commonality of
    needs, rights, aspirations, behaviour and talents which bind human kind.
  - New perspectives – Students should have receptivity to perspectives different from their own and
    be prepared to modify their own ideas and beliefs were appropriate.

- **Respect for justice and right**
  - Defense of rights – Students should have a commitment to defending their own rights and the
    rights of others and the co-relative commitment to carrying out responsibilities
  - Concern for justice – Students should be prepared to show solidarity with victims of injustices in
    their own and other societies.
  - Commitment to equality – Students should have commitment to principles of equality as the basis
    on which relationships between individuals, groups and societies should be organized

- **Tolerance of Uncertainty**
  - Ambiguity - Students should be prepared to tolerate ambiguity in their lives, be willing to explore
alternative paths before reaching decisions or conclusions and be prepared to struggle with problems for which there are no single, simple, specific or final solutions.

- **Insecurity** – Students should be prepared to accommodate moments of self-doubts and temporary feelings of insecurity in their personal relationships and in their lives.

- **Conflict and change** – Students should perceive conflict and change as inevitable and natural and be prepared to respond through appropriate modifications of their values, beliefs and life styles.

**Capacity for Creativity**

- Students should be willing to explore new patterns of interaction and to take calculated risks in all spheres of life.
- **Paradigm shift** - Students should be prepared to take the creative mental leaps necessary to perceive alternative visions and versions of reality.
- **Imagery and Intuition** – Students should be prepared to utilize and value their natural capacities for intuition and imaginative thinking.

**World Mindedness**

- **Respect for life** – Students should have respect for all living things and their place and function in the over-all planetary eco system.
- **Altruism** – Students should appreciate that in an interdependent world system, consideration of the overall good of human kind and the planet should influence their decisions and actions.

The wide range of objectives listed above suggest that simple mastery of information, concepts and definitions will no longer suffice in current global educational system. Students will have to master disciplinary moves sufficiently so that they can apply them flexibly and generatively to deal with issues that could not be anticipated by authors of text books, that is, those issues that are global in scope. The students must have the ability to tackle problems and issues that do not respect disciplinary boundaries.

HIV/AIDS, large scale immigration, and global warming are examples of problems in need of interdisciplinary thinking (Today, 2006). They should have the knowledge of and ability to interact civilly and productively with individuals from quite different cultural backgrounds both within ones own society and across the planet. Woltz (1999) observed that global education needs to emphasize interpersonal competencies including the ability to think and work with others coming from very different racial, linguistic, religious and cultural backgrounds. He further observed that mastery and cultivation of these competencies will be the cornerstone of educational systems in the most successful democracies of the 21st century. Education for globalization will select for crafting and performing blended identities needed to work, think, and play across cultural boundaries. It should provide equal opportunity for all children and tolerant attitudes within and across nations.

How prepared is the Nigerian nation for this type of curriculum. The gap in availability of facilities, materials and personnel between the developed and the developing countries may leave nothing to desire. Thus, the developing countries may not be prepared for the implementation of a standardized curriculum as suggested above.

### 4. Barriers to the Globalization of Education

One of the problems in globalization of education is still access to basic education, not to mention the digital divide in developing countries. Sauvgeot (2000) observed that 113 million children are still out of the school system globally. According to global education evaluation (Pearson & Creed, 2000) new technologies have not been able to increase significantly the access to quality education. The potential of information and communication Technology (ICT) in widening access to education has not been fully utilized. Access to computers is still seen as the major problem in most countries. It is quite ironic that it is considered as a problem also in rich countries like Finland, France, Norway and Belgium, where the actual student computer ratio is less than 10 (Kosebolabon 2005). This being the case, how many of our young children have or will have access to computers even in a hundred years to come?

It is also observed that teachers consider their skills insufficient regardless of the actual level of training. This may be as a result of the individualistic approach in teacher education and development, which has concentrated on the skills of teachers not on the dynamics of change in schools and education as a system.

In a discussion on “Globalization, democracy and corruption” at the University of Colorado, Denver Health Sciences Centre (2002), it was observed that globalization is seen to undermine cultural diversity, deconstructing societal values, destroying group identity and destroying social cohesion. It is
also viewed as a standardizing and a commercializing force that stifles diversity and dissent and spreads western culture. These views, it is supposed, may create barriers to the growth of globalization especially in a developing country like ours where people tend to hold firmly to their beliefs and cultures.

The notion of universal education, in which all young persons in a society receive several years of competent schooling is still a distant dream in many corners of the globe (Kosebalabon, 2005). Nigeria, of course is not left out. As a result of wonderful opportunities abroad (good employment opportunities, better paid jobs, welfare and comfort), the issue of how to stymie “brain drain”, whereby students who study abroad do not return to their native lands, or even those who studied locally drift to other countries, is always under constant debate. These students retain little or no academic connection to their home countries. These problems need to be addressed if the third world nations, including Nigeria will join the world in its globalization efforts.

5. Nigeria and Global Education

Based on the objectives highlighted above it will be pertinent at this stage to consider the level of preparedness of the nation (Nigeria) for a smooth ride into the global economy. The curriculum in our educational system is still beclouded with aspects relating to simple mastery of information, concepts and definitions. We need to update our curricula in all fields/aspects of Mathematics, Science and Technology, particularly, in vocational technical courses (Ebeh, 2000). This will enable our engineering and technology education to be oriented towards inculcating in parts, the acquisition of competencies necessary for self reliance. The federal republic of Nigeria (FRN, 1981) stated that one of the specific of vocational secondary education in Nigeria is to “equip students to live effectively in our modern age of science and technology.” Emphasis is on cognitive recall of information rather than the flexible use of interdisciplinary psychomotive knowledge to solve emerging contemporary problems. The required tools and services (Computers and Internet services) are not within the reach of the average Nigerian even though Nigerians have been acclaimed to compete very favourably well with the advanced nations in this regard. Therefore, to forestall rapid growth rate in technologies, engineering and science, so many variables such as national leadership (among others), has to be looked into.

According to Mgbekem (1997), if the leader (Head of State) is the type that is disposed to developmental programmes, technological advancement will be given a boost. But when a leader is less interested in development programmes, meaningful technological advancement will be stalled. Unfortunate for Nigeria, her leaders have not shown enough commitment to technological development. Only lip-services are paid to it. For example, Ajaokuta Steel Project, which should have formed the industrial base of Nigeria was started in the 1970s and is still uncompleted and not commissioned for production up till date. A technologically oriented leader would have made Ajaokuta Steel Complex, a priority concern during his tenure and gets it completed/commissioned. Once this draw-back to Nigeria’s technological advancement is overcome by completing and commissioning the Ajaokuta Steel Complex, the issue of technological advancement would take a new tone.

6. Recommendations

To effectively move along with the globalization process, especially in the educational sector, Nigeria and other Third World countries, as well as international communities need to address the following issues:

- When considering the gap between the developments of different countries, the fading cultural identity and so on, the international communities should make conscious effort to balance various interests, especially to safeguard the interest of the less developed countries.
- A large percentage of the foreign aids from the international communities to developing countries should be allotted to the actualization of the global objectives for education.
- Globalization depends much on Information and Communication Technology (ICT). Hence, there is the need to integrate ICT into the mainstream of the Nigerian educational system beginning from the elementary level. This can be achieved through the provision of computer hardware and software, interconnectivity (Internet facilities) and constant power supply in all our schools.
- The school curricula in Nigeria should be global in scope and should prepare students for the opportunities and challenges faced by businesses operating in the global arena. Students should build an understanding of international business environments, cross-boarder movement of goods, people and technology and managerial aspects of global business.
- The curricula of Nigerian schools should incorporate knowledge of not just the economic aspects of
globalization, but also the political, social, cultural, environmental, and institutional aspects.” An aspect of globalization can be injected into the curricula of existing subjects suggest that the curriculum should incorporate all these aspects of knowledge.

➤ In line with Malcolm (1995) we should put in place a curriculum suitable to the era of globalization, and a democratic society in which individuals have fair degree of say, in where they live and how they live, in which the use of one’s mind to the fullest is a prominent value and in which all able bodied individuals are expected to contribute not only to the security and well being of their families but also to the health of the broader communities far beyond where they live.

➤ Since the implementation of any curriculum is the sole responsibility of the teacher, teacher training programmes should be made global in scope with a good dose of ICT integrated into the curriculum.

7. Conclusion

Today, we see the inception of a new movement, an apparent revolution that promises to be powerful in transforming the way we live – globalization. It improves the standard of living and economy of scale in virtually every country. However good this phenomenon is, there is the potential to cause just as many problems as it promises to solve if it is not allowed to develop evenly. The practices associated with an institution tend to be worked out by trial and error over long periods of time. While such experimentation does not guarantee a stronger and more effective institution, at least, the most problematic structures and procedures are eliminated. When it comes to educational institutions which have come to bear the primary responsibility for the intellectual and moral health of the next generation, we do not want to sacrifice our children to threats.

The forces involved in globalization have conditioned the context in which educators operate and profoundly altered people’s experience of both formal and informal education. Schools and colleges have become sites for branding and the target for corporate expansion. The impact and pervasiveness of the forces of globalization also means that they should be a fundamental focus for education and learning. This task may take one hundred years or more especially in a developing country like ours. But as a French military leader once famously remarked, “When facing an especially daunting task, in that case, we had better begin today”. The earlier we follow this world, the sooner our young generation will come abreast with their counterparts in the rest of the world. Today, all issues are international issues, and globalization demands a certain level of awareness from all of us – it is our basic responsibility as global citizens. Moreover, globalization can be a system that is built on mutual respect and understanding, and it requires us to be open-minded and tolerant.

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Globalization as a Breakthrough in the Education Field, the Role of the Human Identity in the Contemporary Society

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Abstract
At times, the age of globalization is interpreted as a reproach in respect to the past of human race, such a radical censure that everything which was previously believed or done is made irrelevant, thus resulting in an irrelevance of the historical narratives as well as other forms of memory transmission. Parallelly, it is also accepted as an ineradicable given background of human condition of our days the fact that a twist of practices and knowledge, more or less aimed at financial efficiency, has taken the upper hand in the articulated and complex cultural identity of our race, to such an extent that it imposes strong constraints to future development of the human knowledge. The image of oneself that every individual tries to affirm in respect to others is inspired on the largest autonomy and personal freedom; identity cultures that modern societies, based on the rights of independence and mutual respect, recognize and contribute to formulate a modern idea of adult age.

Key words: globalization, identity, formation, culture, process

1. Introduzione

La globalizzazione consiste nell’accumulo di legami tra le principali regioni del mondo e tra svariati ambiti di attività: più che un singolo processo, essa implica quattro diversi tipi di cambiamento:
1. essa estende attività sociali, politiche ed economiche che attraverso le frontiere politiche, le regioni e i continenti;
2. intensifica la nostra dipendenza reciproca con il progressivo aumento dei flussi di commercio, investimenti, finanza, migrazione e cultura;
3. accelera il mondo: l’introduzione di nuovi sistemi di trasporto e comunicazione implica un più rapido movimento di idee, beni, informazioni, capitali e persone;
4. determina un maggior impatto degli eventi remoti sulla nostra vita.
Anche gli sviluppi maggiormente circoscritti alle realtà locali possono produrre ingenti conseguenze a livello globale: i confini tra affari interni e questioni globali possono attenuarsi sempre di più. In breve la globalizzazione riguarda le connessioni tra diverse regioni del mondo, (da quelle culturali a quelle criminali, dalle finanziarie alle ambientali), e i modi in cui esse mutano e si accentuano nel tempo. (Genovesi, 2005)

Nell’uso corrente, chi parla di globalizzazione fa riferimento a un processo assai compatto e concentrato nel tempo, oltre che assai limitato nelle dimensioni umane di riferimento: l’economia, la finanza e la tecnologia.

Talvolta l’età della globalizzazione viene interpretata come una cesura rispetto ai passati prossimi della specie umana, cesura tanto radicale da rendere quasi irrilevante quanto è stato pensato o agito in questi passati, e quindi da rendere ben poco rilevanti anche le narrazioni storiche e altre forme di trasmissione della memoria. Parallelamente, si accetta quale ineliminabile dato di fondo della condizione umana dei nostri giorni il fatto che un intreccio di prattiche e di saperi più o meno direttamente finalizzati all’efficienza economica abbia preso il sopravvento nell’articolata e complessa identità culturale della
nosta specie, tanto da imporre vincoli forti agli sviluppi futuri della conoscenza.

In un epoca dove l’aspetto economico prevarica la stessa concezione di globalizzazione, non c’è dubbio che se l’umanità dovesse scegliere uno stile di vita valido per tutto il mondo, sarebbe capace di farlo. Ed ancora “se i quasi sei miliardi di cittadini sulla terra potessero scegliere attraverso un referendum il loro stile di vita, la stragrande maggioranza voterebbe per un’esistenza da ceto medio simile a quella vissuta nei sobborghi di San Francisco”. (Genovesi, 2005)

Il rischio maggiore è che il mondo, imprimuto da una simile accezione di globalizzazione, finisca per essere un’unificazione solo “delle pozzanghere, degli stagni, dei laghi e dei mari di economie paesane, provinciali, regionali e nazionali”, che sfociano in un oceano economico globale, esponendo gli ambienti piccoli alle onde gigantesche della concorrenza economica.” (Martin, Schumann, 1997)

In questa direzione, i diritti degli individui vengono fortemente minati, a partire da quelli minimi del diritto alla sopravvivenza. La maggior parte del mondo sta subendo una mutazione che lo trasformerà in “un pianeta vestito di stracci, ricco soltanto di megacittà…in cui miliardi di persone riescono a malapena ad arrangiarsi”. (Martin, Schumann, 1997)

2. La Globalizzazione ed i Fenomeni Sociali

L’importante progresso tecnologico, che ha determinato, tra l’altro, la diffusione capillare e infinita delle conoscenze, ed il fenomeno della globalizzazione hanno un immediato e diretto influsso sul modo di essere e di pensare dell’uomo contemporaneo, cioè sulla sua coscienza, sui suoi sentimenti, sulla sua percezione dei valori morali e del mondo: deriva di qui il coinvolgimento dei processi educativi e formativi rispetto alla globalizzazione.

“Dunque, dall’immagine del “villaggio globale” usata da Mac Luhan agli inizi degli anni ’60, siamo passati oggi all’idea della “compressione dello spazio e del tempo”, in cui racchiudiamo le molteplici trasformazioni che stanno investendo la condizione dell’uomo del nostro tempo” . (Russo, 2001)

Gli usi del tempo e dello spazio sono non solo nettamente differenziati, ma inducono essi stessi differenze tra le persone; la globalizzazione divide tanto quanto unisce; divide mentre unisce, e le cause della divisione sono le stesse che, dall’altro lato, promuovono l’uniformità del globo. In parallelo al processo emergente di una scala planetaria per l’economia, la finanza, il commercio e l’informazione, viene messo in moto un altro processo, che impone dei vincoli spaziali, quello che chiamiamo “localizzazione”. La complessa e stretta interconnessione dei due processi comporta che si vadano differenziando in maniera drastica le condizioni in cui vivono intere popolazioni e vari segmenti all’interno delle singole popolazioni. Ciò che appare come conquista di globalizzazione per alcuni, rappresenta una riduzione alla dimensione locale per altri; dove per alcuni la globalizzazione segna nuove libertà di movimento, da più elevato tra i valori che danno prestigio e la stessa libertà di movimento, da sempre una merce scarsa e distribuita in maniera ineguale, diventa rapidamente il principale fattore di stratificazione sociale dei nostri tempi, che possiamo definire tardomoderni o postmoderni.

“In movimento siamo un po’ tutti, che si voglia o no, perché lo abbiamo deciso o perché ci viene imposto. Siamo in movimento anche se, fisicamente, stiamo fermi; l’immobilità non è un’opzione realistica in un mondo in perpetuo mutamento. Eppure gli effetti indotti dalla nuova condizione creano radicali disuguaglianze. Alcuni di noi divengono “globali” nel senso pieno e vero del termine; altri sono inchiodati alla propria “località” – una condizione per nulla piacevole né sopportabile in un mondo nel quale i “globali” danno il là e fissano le regole del gioco della vita”. (Russo, 2001)

Insomma, essere “locali” in un mondo globalizzato è un segno di inferiorità e di degradazione sociale. Il peso di un’esistenza limitata a un luogo è aggravato oltre misura da una circostanza: oggi che gli spazi di interesse pubblico sfuggono all’ambito della vita per così dire “localizzato”, gli stessi luoghi stanno perdendo la loro capacità di generare e di imporre significati all’esistenza; e dipendono in misura crescente dai significati che vengono loro attribuiti e da interpretazioni che non possono in alcun modo controllare-quali siano le opinioni espresse in merito dagli intellettuali globalizzati, venditori di sogni comunitari che servono solo a consolare.

“La crescente segregazione, separazione ed esclusione nello spazio è parte integrante dei processi di globalizzazione. Le tendenze al neotribalismo e al fondamentalismo, riflesso delle esperienze delle persone che si trovano sul versante per così dire passivo della globalizzazione, discendono anch’esse da questa: una derivazione legittima quanto lo è l’osannata “ibridazione” della cultura dominante, la cultura cioè dei vertici globalizzati. Genera inoltre gravi preoccupazioni il progressivo sfidare i percorsi di comunicazione tra le élites, sempre più globali ed extraterritoriali, e gli altri, sempre più “localizzati”. I centri
nei quali vengono prodotti i significati e i valori sono oggi extraterritoriali e avulsì da vincoli locali - mentre non lo è la stessa condizione umana che a tali valori e significati deve dar forma e senso”.
(Bauman, 2001)

Una volta che lo imperniamo sulla libertà di movimento, l’attuale processo di polarizzazione acquisisce molte dimensioni; il nuovo centro attribuisce sfaccettature diverse alle antiche distinzioni tra ricchi e poveri, nomadi e stanziali, “normali” e anormali o criminali.

3. I Problemi in Corso

Gli stati nazionali non sono più gli unici attori della politica nazionale. Accanto a loro stanno emergendo attori transnazionali di diverso peso e natura: in primo luogo le comunità di stati a portata continentale e subcontinentale, e quindi le agenzie delle Nazioni Unite, le organizzazioni non governative, le aziende multinazionali. Con un significativo cortocircuito fra locale e globale, persino le regioni e le città intessono reti di rapporti transnazionali relativamente autonomo da quelle degli stati nazionali di cui fanno parte. Sempre di più la tradizionale pretesa degli stati nazionali di rivendicare una sovranità assoluta sul proprio territorio diventa una facciata vuota, dietro le quali si combattono gli interessi di molti attori. Dalla guerra del golfo alla guerra del Kosovo, al principio di non intervento negli affari interni delle altre nazioni si è sostituito un principio di intervento selettivo, deciso caso per caso dagli interessi delle potenze grandi e medie.

I circuiti di migrazione a portata globale non comprendono solo migrazioni permanenti, ma anche migrazioni transitorie della più disparata natura (rifugiati politici, scienziati e specialisti, manodopera generica, studenti, turisti e così via). Da questi circuiti emergono identità ibride: gli individui assumono selettivamente molti comportamenti e molti punti di vista dei luoghi di residenza elettiva, senza per questo rinunciare a saldi legami con i luoghi d’origine e con la loro identità primaria. Il mondo è così pervaso da grandi reti diasporiche, che spesso alimentano o rafforzano gli stessi processi di globalizzazione politica ed economica.

Il riferimento ai valori condivisi da milioni di persone, spesso secondo prospettive del tutto antitetiche (da un lato la democrazia e i diritti umani; dall’altro le interpretazioni religiose di tipo fondamentalista) producono conflitti caldi e freddi che tagliano trasversalmente identità nazionali, etniche, religiose, e persino le stesse grandi civiltà del pianeta.

Le forme di espressione artistiche, letterarie, musicali, scientifiche assumono sempre nuovi significati a seconda dei luoghi e delle identità con cui entrano in contatto e da cui vengono interpretate, e così producono nuove e originali forme espressive, contaminate e contaminanti. In questo quadro, un processo del tutto particolare è quello della globalizzazione dell’alimentazione, che porta a termine proprio il lungo processo di interazione e di fusione fra le varie regioni agricole del pianeta. Tutti questi processi di globalizzazione, in ogni caso, non assumono mai forme puramente astratte e universalì, ma al contrario, mettono sempre in relazione luoghi, identità, individui, gruppi, collettività particolari con altri luoghi, identità, individui, gruppi, collettività altrettanto particolari.

Questa presenza costante del locale è evidente sin nei processi di globalizzazione economica: le singole aziende non decentrano mai indiscriminatamente la loro produzione nel mondo, ma la concentrano in pochi luoghi che sembrano offrire precondizioni favorevoli non necessariamente solo di tipo economico (salari più bassi), ma anche di tipo politico, sociale, persino culturale. Ed è forse ancora più evidente nei processi di globalizzazione ideologica: il richiamo a valori apparentemente universali in realtà è sempre pervaso e alimentato da radici locali, quali i conflitti che oppongono minoranze a maggioranze, popoli in cerca di autodeterminazione rispetto a domini imperiali e coloniali.

Da questo punto di vista, i processi di globalizzazione non conducono affatto a un primato del globale sul locale, bensì fanno interagire molteplici dimensioni locali attraverso reti di portata globale.

4. Il Limite Planetario

In questa prospettiva, emerge una stretta connessione fra la nozione di globalizzazione e la nozione di limite, intesa come chiusura del pianeta su se stesso e visualizzazione dell’iterdipendenza di tutte le sue parti e le sue componenti. L’idea di limite indica senz’altro il venir meno della prospettiva di un progresso unilateramente quantitativo, senza vincoli e senza regole, ma costituisce soprattutto ciò che rende possibile il riconoscimento dell’identità della specie umana in quanto unità globale, dotata di una patria comune. È proprio questo riconoscimento che potrebbe aprire una nuova fase dell’evoluzione dell’umanità, attraverso la coevoluzione delle sue diversità e delle sue singolarità.
È da questo punto di vista che è necessario accostarci agli eventi e ai processi del mondo d’oggi. Molti di essi, infatti, non sono che i sintomi dell’emergere di un’umanità planetaria, che ancora non è caratterizzata da una propria adeguata cultura e autopercezione, e nella quale, comunque, l’unità e la diversità, il locale e il globale, si mescoleranno in forme originali e ancora imprevedibili. Questo processo è quanto mai ambivalente: contiene in sé aspetti distruttivi e aspetti costruttivi, conduce ad asservimenti ma anche a possibilità di liberazione. Per questo è necessario che il processo non sia lasciato a se stesso, ma sia consapevolmente guidato secondo l’accezione più ampia dell’idea e della politica. Dobbiamo pensare collettivamente i fondamenti per una cittadinanza planetaria. E una parte non secondaria di questo compito è quella di porre le basi per una formazione e un’educazione del cittadino planetario.

5. Le Ultime Osservazioni

Gli individui dipendono sempre meno, per la loro sopravvivenza e per il loro benessere, dalle caratteristiche naturali di questo o di quel luogo. Oggi, e non solo nel mondo occidentale, ogni pasto quotidiano è composto da alimenti prodotti nelle più svariate parti del mondo.

Il diffondersi di tecnologie di vario genere ha dunque alimentato l’illusione che la specie umana si sia definitivamente affrancata dalla natura. Ma non è così. La crescente mescolanza delle popolazioni e la loro crescente indipendenza dagli ecosistemi locali non fanno che mettere in evidenza come oggi la sopravvivenza di tutta quanta la specie umana sia strettamente dipendente dal buon funzionamento di un unico immenso ecosistema globale, nel quale innumerevoli specie animali, vegetali, batteriche cooperano a mantenere le condizioni ambientali adatte per la fioritura della vita nel suo complesso, e adatte anche e soprattutto per la fioritura della vita umana. In fondo, richiamare il ruolo che l’educazione classica, liberale, può e deve svolgere nella presente temperie storica, significa riconoscere alla razionalità dell’uomo, cioè alla sua humanitas, la responsabilità e il potere di superare tutti i pericoli e le paure di abbruttimento, di perdita delle condizioni di dignità che caratterizzano la stessa qualità di uomo. In altri termini, il destino dell’uomo non è in mani sconosciute, non dipende da forze oscure e incomprensibili, ma è nelle mani dell’uomo stesso, della sua razionalità, della sua migliorabilità continua, cioè della sua educabilità.

Naturalmente, questa fiducia che andiamo esprimendo nei poteri della ragione dell’educazione non ci nasconde le difficoltà né ci fa trascurare la necessità di assumere posizioni di vigilanza e di critica verso i pericoli reali che, certamente, la globalizzazione e le altre amare realtà del nostro tempo contengono.

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The Fall of the Aztec Empire and its Dramatic Consequences

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Abstract
This article is an excerpt of a long and extensive work on Castilian and Portuguese geographical discoveries of the XV and XVI centuries. Among the jungles, deserts and snowy peaks of the, nowadays well known, central Mexico, takes place one of the most interesting, exciting and dramatic encounter in history. It is the 1519. On one side are the soldiers of Castile, armed with steel, on the other side of a huge cultural and mental barricade are the Aztecs, descendants of proud warriors who shed blood to conquer the Anahuac valley and that, pouring out, more prepare to lose it. The article tries to summarize the main points of the military campaign known as “Conquest of Mexico” but also to investigate the actors, drawing upon the direct evidences of the protagonists of the event, the Aztec codes and the current interpretation of historians, anthropologists and archaeologists. The author’s aim is to open up to the reader such a different world in the way of thinking, in the habits, in the warfare, torn by the irreconcilable dichotomy between sophistication and ferocity, majestic temples and human sacrifices. Unfortunately this story has been misrepresented by historiographical clichés that has identified the good and the evil, the murderers and the martyrs. As an historian I have tried to maintain a proper intellectual and critical detachment and came to the inescapable conclusion that these are not bed men: these are men born and lived five centuries ago, within systems of thought and values opposed to those recognized today by the democratic nations.1

Keywords: Conquest, Mexico, Aztec, Castillan, Hernán Cortés

1. Introduzione
Questa storia affonda le sue radici nel cuore medievale della Spagna, o del territorio che oggi porta quel nome: nel 711 le armate del califfato omayyade sconfiggono in battaglia i visigoti di re Rodrigo e marciano inesorabili fino a valicare i Pirenei. La Reconquista, ovvero la campagna militare che vede i regni iberici superstiti ma divisi impegnati nel tentativo di riappropriarsi della penisola, insanguinerà la Spagna per più di sette secoli. Solo nel 1479 il regno di Castiglia, sotto l’egida della regina Isabella I, e quello di Aragona, con re Ferdinando II, si uniscono formalmente a dar vita alla Spagna moderna, che risulta però disunita nella lingua, nelle aspirazioni politiche ed economiche, negli ordinamenti, nelle leggi e nei privilegi (John H. Elliott, 1963). Incastonata in un contesto di nazioni ostili2, la Spagna trova la forza per affondare definitivamente la spada nel cuore dell’ultimo potenziato moresco e nel 1492 Granada capitola. Finalmente la Reconquista è compiuta e l’ora è matura per la Conquista. Ferdinando schiera i suoi eserciti nella penisola italica contro le armate di Francia, mentre Isabella accoglie la proposta di Cristoforo Colombo e lancia la Corona di Castiglia nell’impresa coloniale. Il primo viaggio del navigatore genovese e la campagna in Messico sono cronologicamente separati dalla conquista degli attuali stati di Hispaniola3, Cuba, Panama, Gianaica, Portoricco e la costa settentrionale di Colombia e Venezuela. Le armate castiglighane non trovano grandi ostacoli nelle capacità guerresche delle comunità tribali caraibiche e sottomettono con facilità queste terre, osteggianti più delle malattie, dagli ammutinamenti e dai naufraghi che dalle frece e dalle masse di legno dei tainos. Nell’attuale Messico i conquistatori si impegnano in piccoli scontri con gli

1 Ringrazio il dott. Andrea Spallino per la traduzione.
2 Portogallo ad ovest, Regno di Granada a sud, Francia ad est, Navarra a nord-est.
3 E l’isola che oggi è divisa tra la Repubblica Dominicana e Haiti.
insiemi di particolari e insulari dei wayi dello Yucatan, ma è contro tlaquilte e aztechi di assistere e a schieramenti di centinaia di migliaia di guerrieri ed ammireranno città molto più grandi delle maggiori fra le capitali europee.

Gli aztechi⁴ sono più arretrati rispetto ai castigliani e questo è ben evidente a livello tecnico: non conoscono la ruota, l’arco architettonico, l’attrito, la forgiatura e il conseguente impiego del ferro in campo bellico e non dispongono di bestie da soma. Tuttavia questo gap non ha impedito loro di conquistarsi il ruolo di popolo egemone del Messico Centrale, dato che anche gli altri popoli della zona si spostano a piedi, trasportano le merci in spalla, combattono protetti da corsetti di cotone imbottito e brandeggiano mazze di legno con schegge di ossidiana⁵ lungo i lati. Purtroppo la storia azteca nasce dal mito e desumerla dai codici nativi e dai resoconti dei primi missionari cristiani è come studiare i micenei.

2. L’incontro

Nella Cuba del 1519 il governatore, Diego Velázquez, ha affidato un drappello di uomini a un giovane irrequieto quanto astuto, un capitano di fanteria originario di Medellin, Estremadura: il suo nome è Hernán Cortés. Richiamato alla vigilia della partenza per il continente americano da un sospettoso Velázquez, Cortés rifiuta di obbedire e di rinunciare ad un’impresa di colonizzazione e conquista, se necessario, che è ormai a portata di mano. L’insubordinazione scatenerà contro il capitano un esercito ma soprattutto Don Juan Rodríguez de Fonseca, vescovo di Burgos e massima autorità della Giunta delle Indie del Consiglio di Castiglia⁶ (Demetrio Ramos Pérez, 1947), estremamente potente e già nemico di Colombo e di Vasco Núñez de Balboa, il primo europeo ad avvicinare il Pacifico.

Il 10 febbraio 1519, dal porto dell’Avana, 10 navi imbarcano 508 soldati, 32 balestrieri, 13 fucilieri, 100 marinai, 14 pezzi d’artiglieria e 16 cavalli e spiegan le vele: costeggiano la penisola dello Yucatan, sballottate dai venti e dalle mareggiate, le imbarcazioni portano i conquistatori verso il loro destino. Si tratta di caravelle e caracche, concepite in Portogallo per affrontare la forza dell’Oceano e consentire alla Corona di circumnavigare l’Africa e di sottomettere i gangli commerciali dell’oceano Indiano. Sono propulse unicamente dalla forza del vento, a differenza delle galee mediterranee, e montano anche vele latine, per navigare controvento, mentre a prua ed a poppa presentano strutture difensive armate di cannoni e le stive consentono di imbarcare grandi quantità di merci. Progettati per veleggiare da Lisbona a Malacca senza dover tener sotto controllo la linea di costa e liberando l’equipaggio dalla necessità di continui scali per il rifornimento, sono i natanti più idonei per trasportare i soldati di Castiglia nel Nuovo Mondo.

Cortés si imbatterà nella galassia di genti che popolano il messico e combatte la prima battaglia campale del Nuovo Mondo contro i tabaschi⁷, a Cuctlu (25 marzo): i piccoli drappelli di truppe castigiane si confrontano costantemente con eserciti quasi impensabili in Europa e in questo caso i nativi sono 40.000 (Bernal Díaz del Castillo, 1568). Come segno di pace, il capitano vittorioso riceve alcune ragazze dai notabili locali⁸ e tra di loro è Malin, Doña Marina per i castigiani, personaggio indispensabile ai fini dell’impresa. Cortés sa bene che non è possibile conquistare senza conoscere ed è profondamente turbato.

⁵ “tenochta”, dal nome della capitale Tenochtitlan, “culhua”, perché Tenochtitlan sorge in principio nel territorio sottoposto all’autorità di Culhuacan, “mexica”, origine dell’attuale “Mexico”.
⁶ Pietra dura di origine vulcanica, scheggiata per ottenere lama tanto afile quanto fragili.
⁷ Anche il termine “impero” è una forzatura e il dominio degli aztechi è paragonabile a una lega di città stato, non omologate tra loro.
⁸ Spesso nei testi relativi alla Conquista troviamo Fonseca alla guida del Consiglio delle Indie del Consiglio di Castiglia che, tuttavia, nasce nel 1524, alla morte del vescovo.
⁹ Da non confondere con le tapaschi, che abitano la costa pacifica del Messico.
"Cacicchi" o “caciques” nelle fonti: si tratta di un termine arawak esteso a designare tutti i governatori del Nuovo Mondo castigiani.
dalla sua incapacità di comunicare con i nativi. L’ignoto spaventa, atturisce, e i suoi 400 uomini pagherebbero con l’annientamento ogni possibile incertezza. Per sua fortuna Marina è una ragazza di grande intelligenza: impara in fretta il castigliano e gli svela il mondo degli aztechi in tutte le sue fibre, dal modo di pensare ai rapporti che stabiliscono coi vassalli. Cortés capisce così che l’impero di Motecuhzoma Xocoyotl, sovrano noto ai più come Montezuma II, è fortemente instabile per la volontà modo di pensare ai rapporti che stabiliscono coi vassalli. Cortés capisce così che l’impero di

Il Principe

Il capitano è nato nel Medio Evo, ma presenta nel suo carattere quelle arti dissimulatorie teorizzate da Machiavelli ne Il Principe e sfruta la paure dei nativi, le alimenta e le volge a proprio favore: mostra loro la terribile potenza dell’artiglieria, la ferocia dei cani e dei cavalli da battaglia e l’immortalità dei suoi uomini. I nativi li chiamano “teúles”, dèi, e Cortés seppellisce i suoi caduti per non sfatare questa credenza, tanto utile per i suoi scopi: la diversità assoluta rappresentata dai castigiani è incomprensibile per gli autoctoni, che non sanno stabilire se cavallo e cavaliere siano due creature diverse o meno, né come possano essere vestiti di ferro.

Montezuma, dalla sua capitale di Tenochtitlan, invia spie e consulta stregoni: anche lui vuole conoscere quello che potrebbe essere un nemico ma sbaglia completamente l’interpretazione dei segni e, di conseguenza, intraprende una serie di azioni altrettanto insensate. Potrebbe reclutare centinaia di migliaia di guerrieri ed annientare i forestieri, ma un’antica leggenda tolteca vuole che Quetzalcoatl, mitico eroe fondatore e civilizzatore, sia partito verso oriente promettendo di tornare: il caso vuole che l’anno previsto sia proprio quello dell’arrivo dei conquistatori e l’identificazione è immediata. Come se non bastasse alcuni presagi avrebbero preannunciato questi fatti e Montezuma finisce col credere che Cortés sia la reincarnazione del dio, la cui iconografia lo effigia anche come un uomo bianco e dalla folta barba.

Il capitano di Castiglia trarrà enorme vantaggio dall’errore del suo rivale, ma non può basare una campagna militare su un presagio e ha bisogno di un esercito nativo per poter opporre una forza guerresca degna del numero degli aztechi. Dai totonachi riceve i portatori e il vettovagliamento indispensabile per la sussistenza delle truppe in territorio straniero, come già Balboa aveva dimostrato, ma si tratta di popolazioni pacifiche. Tra Cempoala e l’impero degli aztechi, tuttavia, c’è una piccola repubblica di montanari che non ha mai chinato il capo a Tenochtitlan e che potrebbe profittare della forza d’invasione cristiana per liberarsi definitivamente di uno scomodo vicino. Tuttavia i 4 cacicchi della città non conoscono le reali intenzioni di Cortés, non si lasciano ingannare dai suoi giochi di prestigio e gli scatenano una guerra durissima, al cui urto i conquistatori reggono a fatica. Tra agosto e settembre decine di migliaia di taxcaltechi fronteggiano con coraggio e determinazione l’avversario: presso Tecoac scendono in campo tra le 30.000 (William H. Prescott, 1843) e le 100.000 (Hernán Cortés, 1520) unità ed è solo in virtù della superiore abilità tattica e individuale che i castigiani hanno salvato la vita. Sui campi di battaglia delle Guerre d’Italia si è imposta la formazione di fanteria nota come “tercio”, di origine castigliana, che riprende un’analogia unità svizzera e ne migliora il potenziale offensivo. Dei 3.000 fanti: un terzo è costituito da picchieri, che sfruttano le lunghe armi per osteggiare le cariche della cavalleria; un terzo da archibugieri, che si proteggono nella selva di aste e bersagliano l’avversario; un terzo da fanti con armatura, scudo e spada, detti “rodeleros”, che si aprono un varco nella formazione avversaria e fanno scempio dei nemici privi di corazza. Nel Nuovo Mondo la fanteria apre lo scontro con una fitta pioggia di frecce, dardi, colpi di frombola e giavellotti, poi carica all’arma bianca e cerca di circondare l’avversario oppure simulare la ritirata, per scompaginarne i ranghi ad attirarlo in un’imboscata. I fanti di Castiglia, tuttavia, brandiscono armi d’acciaio che dilaniano i corpi dei nemici corazzati di cotone, vimini e canne intrecciate, e indossano armature che li rendono virtualmente invulnerabili alle masse in legno e ossidiana. L’accerchiamento è evitato dalla cavalleria, un corpo che non esiste nel Messico precolombiano e contro il quale nessuno brandisce lunghe pigne: gli agili e veloci centauri castigiani, eredi degli jinetes moreschi e chiamati allo stesso modo, riescono a colpire la fanteria nativa nei punti dove è più vulnerabile e a destabilizzarne le manovre, nonostante il numero esiguo. Quando i taxcaltechi simulano la fuga, inoltre, gli jinetes caricano e non c’è fante in grado di sfuggire ad un cavallo. L’artiglieria, infine, apre enormi vuoti nelle fila nemiche e, in concerto con gli altri corpi, costringe l’avversario alla ritirata e ad esporsi alla carica della cavalleria (Pablo Martín Gómez, 2001).

Taxcala capitola, non ha modo di sopraffare l’avversario e Maxicax, vecchio e saggio cacicco, ha finalmente visto in Cortés uno strumento per liberarsi dell’aggressività di Montezuma e dei suoi eserciti. Attorno al 18 settembre il drappello di conquistatori è accolto con tutti gli onori a Tlaxcala e il capitano di Castiglia è avido di informazioni sugli aztechi, quasi più che di oro. La truppa si stupisce per la
magnificence delle strutture, dei templi, per la pulizia e l’organizzazione, l’efficienza, ma tutti i cristiani
sono d’accordo nel provare un profondo dissenso verso il culto dei nativi. Gli dei messicani richiedono
sacrifici umani e migliaia di olocausti, generalmente prigionieri di guerra, sono condotti sulla cima di un
tempo, privati del cuore quando sono ancora vivi, decapitati e poi seccati, mangiati dai sacerdoti o dai
guerrieri che li hanno catturati. Con le pelli sono confezionati degli abiti iarlati e con i volti delle
maschere, mentre sangue e interiora ricoprono di un orrore grandguignolesco le pareti delle strutture
sacre (Frate Toribio de Benavente Motolinia, 1541). Ma Cortés non può ancora convertire con la forza
questi popoli, ha bisogno del loro aiuto militare e, gettando Montezuma nel panico più totale, si
incammina verso Tenochtitlan. Il 12 ottobre fa il suo ingresso nella città di Cholula, entrata nell’orbita
azteca e potenzialmente ostile, e compie un orrendo massacro ai danni degli abitanti: non sapremo mai se
ha sventato un’imboscata o se ha massacrato dei civili, ingannato dai tlaxcaltechi o consapevole dello
cespoimo. Huitzilopochtli, il dio totemico degli aztechi, non muove un dito per annientare lo straniero,
colpevole di un simile atto sacrilego: l’imperatore è sempre più turbato, sempre più confuso e continua ad
esitare quando dovrebbe agire e con vigore.

Il 18 novembre circa 400 conquistatori e 7.000 alleati nativi entrano in Tenochtitlan e lo spettacolo
che si mostra ai loro occhi non ha eguali nel resto del Mondo: la capitale conta circa 250.000 abitanti,
contro i 40.000 di Londra e Siviglia e i 65.000 di Parigi. È costruita su un’isola al centro del lago Texcoco
e si è estesa nel tempo per mezzo di zattere galleggianti chiamate “chinampas”; grandi strade rialzate,
disseminate di ponti levatoi e fortezze, la collegano alla terra ferma. I mercanti non hanno rivali nei
principal empori del Vecchio Mondo e i templi sono strutture maestose, associati a rastrelliere con
centinaia di migliaia di teschi infilzati. Ma Cortés è un militare prima che un esploratore e vuole
quell’impero per sé: ora che si trova nel suo cuore pulsante sa che basterebbe un colpo di mano per
impossessarsene. Continua a dissimulare e al suo incontro con Montezuma, sulla strada rialzata che
collega la capitale a Iztapalapa, una città lìmitrofa, chiede al suo regale interlocutore di portarlo sul tempio
più alto e neanche allora ammette di essere stanco, perché gli dèi non possono esserlo. Cerca di
abbattere il suo interlocutore e stupisce i dignitari che lo accompagnano, loro che non sono autorizzati
neanche a guardarlo negli occhi. L’imperatore alloggia i castigliani nel palazzo di suo padre e predecessore
Axayacatl e costoro si imbattino in un tesoro di enorme valore: om y plata ricorrono spesso negli scritti di
Colombo, del Balboa e di tutti gli esploratori e conquistatori per conto della Castiglia. È un regno povero
d’oro, che ha cercato di raggiungere attraverso l’Atlantico e che si è fortuitamente imbattuto in un continente nuovo ed estremamente ricco in oro e argento, proprio ciò di cui avrebbe
bisogno per finanziare una crociata contro i turchi (Tzvetan Todorov, 1984). Pochissime persone in tutta
la storia hanno partecipato ad un’impresa senza un fine materiale e i conquistatori non rientrano in questa
categoria: non hanno affrontato l’oceano, la giungla, le montagne, gli insetti, il clima e le centinaia di
teschi infilzati. Cortés lascia allora un piccolo contingent ente a Tenochtitlan alla guida di Pedro de Alvarado, forte e vigoroso quanto avventato ed incosciente, e porta con sé 266 uomini, 2 piccoli pezzi, 5 cavalieri e un modesto contingent ente di tiratori,
oltre a 2.000 nativi. È diretto verso la costa, per riprendere le redini del proprio destino, e affronta il
contingente rivale in una notte di pioggia, cogliendolo alla sprovvista. È la notte tra il 28 e il 29 maggio e
Narváez sottovaluta l’avversario, fa sedere un cavaliere smontato: Cortés gioca
sull'effetto sorpresa e assale con grande impegno le truppe avversarie, dopo aver diviso le sue esigue forze in tre squadre con compiti diversi. L'attacco simultaneo è ben congegnato e aiutato involontariamente dalle sentinelle, che scambiano le luciole per le micc e degli archibugieri e che cadono così nel panico (Bernal Díaz del Castillo, 1568), mentre i pezzi sarebbero stati caricati con sabia per la fretta (Francisco Cervantes de Salazar, 1560). Al prezzo di poco meno di 20 morti la piccola guerra civile è terminata e Cortés unisce i prigionieri al suo contingente, ma presto giunge notizia che Tenochtitlan si è sollevata.

3. Lo scontro

Il popolo azteco vede nella partenza di Cortés l'occasione di sterminare gli stranieri e di riprendersi la capitale, ma Montezuma è completamente inerte e passivo. Alvarado, nel frattempo, concede l'autorizzazione affinché si celebri una cerimonia religiosa la quale, tuttavia, scade nel massacro: non sappiamo il motivo preciso, se vedano in quelle danze marziali una forma di insurrezione, se siano stati sobillati dai tlaxcaltechi. Il risultato è che 1.000 membri dell'alta nobiltà cadono dall'acciaio di Toledo e l'intera città si solleva, reacciando la guarnigione nella fortezza di Axayacatl e ponendola sotto assedio.

Cortés spera ancora di poter risolvere la situazione senza perdere la capitale: il 24 giugno zoccoli dei cavalieri calpestanto le vie deserte, mentre gli abitanti scrutano i conquistatori dall'interno delle case. Il capitano è furioso verso il luogotenente, ma la sua attenzione è attratta dall'assalto che le truppe azteche rinnovano ogni giorno contro le mura dei suoi quartieri. Nel Messico precolombiano non esistono macchine d'assedio (Ross Hassig, 1988) ma solo scale per assaltare le mura e pertiche per abatterle. Tuttavia la guarnigione si difende bene e passa al contrattacco per le vie urbane, dove una pioggia fittissima di ogni genere d'arma da lancio mette in crisi, mentre le strade rigurgitano guerrieri in continuazione e si saturano di aztechi, vivi e cadaveri, che impediscono ai cavalieri di caricare. Bersagliano i cristiani dalle vie, dai canali che attraversavano la città come una rete, dai tetti delle case e rimuovono i ponti dagli argini, intrappolando i conquistatori e condannandoli a morte. Non i cannoni o le spade, non gli archibugi o le balistre riescono a diminuire la pressione sui ranghi, neanche torri mobili allestite al momento e che le fonti chiamano "mantas". Montezuma prova ad arringare la folla ma è ucciso a sassate: ormai ha perso ogni forma di ascendenza sul suo popolo ed è stato acclamato un nuovo imperatore, Cuitlahuac. Com'è tradizione in Messico, alla caduta del tempio principale della città questa capitola: Cortés si lancia coi suoi alla presa del santuario di Huitzilopochtli, ma l'abbattimento degli idoli e l'incendio degli altari non sortiscono altro effetto se non quello di infuocare ulteriormente l'animo degli aztechi, che non sono più sottomessi ad alcuno da quasi 100 anni e che non sono disposti ad un'inversione di tendenza.

Il capitano di Castiglia dispone ancora di 1.300 fanti, 96 cavalieri, 80 balestrieri, 80 fucilieri e 2.000 alleati nativi, quando con circa un terzo di queste forze ha preso la capitale senza sparare neanche un colpo. Quando ormai ogni speranza di riportare l'ordine è svanita, tuttavia, Cortés capisce che deve portare i suoi uomini fuori da quel mattatoio e prepara un ponte mobile per superare gli argini interrotti della strada rialzata che conduce a Tlacopan, ad ovest. La notte tra il 30 giugno e il 1 luglio è nota agli storici come Noche Triste: triste per gli aztechi, che hanno perso migliaia di uomini assieme al tempio principale della città e a numerosi edifici; triste per i castigliani, che si bloccano lungo l'argine, cadono nel panico e sacrificano circa 450 uomini (Francisco López de Gómara, 1552 e William H. Prescott, 1843) oltre all'oro e all'artiglieria. Nonostante tutto, però, Cortés e i suoi sono usciti dalla città e seguono le coste settentrionali del lago Texcoco, costantemente braccati, per far ritorno a Tlaxcala e cercare riparo.

Il 7 luglio il contingente decimato, distrutto dalla fame e dalla stanchezza, dalle malattie e dalle ferite, si imbatté in un esercito azteco forte plausibilmente di 200.000 effettivi, alto nel morale e pronto nel fisico per via del sontuoso banchetto a base di carne castigliana che si è tenuto a Tenochtitlan. Le fonti sono concordi nel descrivere una gigantesca massa umana, che si estende a perdita d'occhio, dalla quale svettano i vessilli delle nazioni azteche e che si dispone in formazione nella valle di Otumba. Cortés non ha scelta, non può trascinarsi dietro i brandelli del suo esercito ancora a lungo ed è costretto a ingaggiare battaglia per aprirsi la strada per Tlaxcala.

Una sottile linea di fanteria corazzata avanza veloce verso le linee nemiche, protetta dagli scudi e pronta a mordere con le lance e con le spade, per arrivare il prima possibile a bersaglio e mettere fine alla pioggia di frecce e dardi che i tiratori aztechi scagliano con veemenza, ossufcando il cielo. Cortés,
contemporaneamente, costituisce un drappello di cavalieri coi suoi luogotenenti in gruppi di 5, colpisce l’avversario ai fianchi e si alza sulle staffe per individuare gli ufficiali. Nell’impero azteco il ruolo del capo è imprescindibile, per cui catturato Montezuma è conquistato un impero, mentre ogni reparto cade assieme al suo capitano e ogni esercito al suo generale. A far bella mostra di sé, dall’alto di una lettiga e adornato con sfarzose decorazioni, è cihuacoatl, l’autorità militare più alta in grado dopo l’imperatore: Cortés lo individua e si lancia alla carica, ben conscio che sta andando incontro alla morte o ad una vittoria straordinaria. Il gruppo di comando azteco è colto impreparato dall’audace mossa del capitano avversario e cihuacoatl cade colpito a morte, mentre Cortés strappa il velo dal telaio portato dietro la schiena e cavalca tra le linee azteche facendone sfoggio. L’enorme numero dei nativi si trasforma in un pesante svantaggio tattico nel momento in cui si danno alla fuga disordinata, nel panico più totale, e finiscono col calpestarsi a vicenda, si schiacciano tra loro fino ad uccidersi ed espongono le schiene alle lance dei cavalieri.

Con appena 440 fanti, 20 jinetes e altrettanti tiratori, Cortés fa ingresso a Tlaxcala e teme che gli amici nativi infrangano l’alleanza e che possano profitte della debolezza dei cristiani per stemmarli. Maxixca, tuttavia, accoglie con gioia il capitano di Medellin: questi ha portato finalmente gli eserciti amici nativi infrangano l'alleanza e che possano profitte della debolezza dei cristiani per sterminarli. tlaxcaltechi nel cuore dell'impero azteco, dimostrando al fiero popolo montanaro come la vittoria sia possibile e ad un prezzo contenuto di vittime, per gli standard militari mesoamericani. Cortés approfitta così della rinnovata amicizia dell’anziano cacicco e riorganizza le truppe, richiede nuovi contingenti agli insediamenti costieri e ad Hispaniola, mentre arruola una gigantesca armata nativa e avvia la costruzione così della rinnovata amicizia dell’anziano cacicco e riorganizza le truppe, richiede nuovi contingenti agli

Possiamo chiederci cosa spinga i conquistatori a persistere nell’impresa nonostante la sconfitta subita, cosa li motivi a desistere dal volgere le spalle alla Valle e a tornare sui loro passi fino a Hispaniola o a Cuba. È inevitabile ricollegare le azioni dei castiglani all’incredibile attrazione esercitata dall’oro di subita, cosa li motivi a desistere dal volgere le spalle alla Valle e a tornare sui loro passi fino a Hispaniola o a Cuba. È inevitabile ricollegare le azioni dei castiglani all’incredibile attrazione esercitata dall’oro di

11 Eredità Castiglia e León, Navarra e domini americani dalla nonna materna (Isabella di Castiglia); Aragona, Catalogna, Valencia, Baleari, Sicilia e Regno di Napoli dal nonno materno (Ferdinando d’Aragona); Sacro Romano Impero dal nonno paterno (massimiliano I d’Asburgo); Borgogna, Savoia e Fiandre dalla nonna paterna (Maria di Borgogna).

12 Non è un caso se non ho usato il termine “re di Spagna”.

13 Bolla Inter Caetera Divinae.
mai al nemico e che porta Cortés in prima linea, alla testa delle sue truppe, subendo per altro continue ferite: il castigliano è orgoglioso e sprezzante, fiero di una presunta superiorità nei confronti del resto degli spagnoli, degli europei e figuriamoci dei nativi americani (R. Blanco Fombona, 1921). Ma non è tutto e questi soldati che, in quanto “superiori”, non mancano spesso di compiere orribili barbarie nei confronti dei nativi amerindi, sono al tempo stesso pervasi da una fortissima fede cattolica. Il Cristianesimo, nella Spagna della Reconquista, ha una forte matrice violenta e militante, tanto che troviamo i vescovi alla guida degli eserciti e persino i santi a schiacciare i nemici islamici: è Giacomo apostolo, che diviene Santiago, apostolo, che diviene Santiago, stimolante l’impegno alla conversione e al battesimo forzato degli autoctoni.

4. L’assedio

Nel nome di Dio e del re, per l’oro e la rivalsa sociale, per l’onore e per la terra, il 26 dicembre Cortés lascia Tlaxcala e invade la Valle del Messico: sotto le sue insegne sono 600 fanti, 40 cavalieri, 80 tiratori, 9 pezzi d’artiglieria e decine di migliaia di guerrieri alleati. La Conquista del Messico è stata infatti una guerra dei nativi contro altri nativi, diretta da un castigliano che trascina con lui truppe costituite l’élite ristretta di eserciti enormi per l’epoca e che, probabilmente, solo le guerre napoleoniche torneranno a schierare.

Tenochtitlan è un gigantesco insediamento insulare che sorge nel lago Texcoco, le cui rive sono di nove luoghi, di cui Tepeacac a nord, Tlacopan a ovest, Coyohuacan a sud-ovest e Iztapalapa a sud-est. In questo insediamento, la città imperiale accoglie i conquistatori come liberatori dall’ingerenza degli aztechi e dai sovrani fantasy che questi impongono. Cortés, per via del suo dominio, ma l’imperatore sa che chiunque abbia dato credito a Cortés è morto e non è disposto a riprendersi lo stesso giogo dello zio, Montezuma.

In un primo momento i contingenti cristiani si lanciano con impeto lungo le strade rialzate, fino al cuore della città, ma la resistenza e il rischio sono tali da convincere Cortés a reimpostare la tattica e ad impegnarsi in un assedio lungo e logorante, com’è uso in Europa, volto a prendere gli aztechi per fame e a consumarne le forze giorno dopo giorno. Gli argini e le vie della città sono disseminati di interruzioni, di trincee. Il 30 giugno, dopo più di un mese di battaglie e di assalti, l’esercito invasore cerca di mettere fine allo stallo e di assaltare in forze la capitale, coordinando un attacco su vasta scala, ma viene respinto e per poco non si fa annientare; lo stesso Cortés rischia di essere catturato e sacrificato. Ogni notte, infatti, si eleva dalla vetta dei templi il cupo rombo di un grosso tamburo, assieme al fuoco e alle fiamme dei bracieri votivi e i prigionieri vengono immolati e divorati. Le tecniche di combattimento dei nativi, volte a tramortire il nemico e a catturarlo per offrirlo a Huitzilopochtli, impediscono loro di praticare un’uccisione seriale al modello dei conquistatori e lo stesso capitano avrebbe potuto essere trafitto in caso contrario, in ben due occasioni.

14 Tepeacac a nord, Tlacopan a ovest, Coyohuacan a sud-ovest e Iztapalapa a sud-est.
I castigiani, tuttavia, ricevono continuo vettovagliamento e rinforzo dalle nazioni amiche mentre gli aztechi sono asserragliati nella capitale, privati del supporto della maggior parte dei vassalli e consumati dal vaiolo, una delle armi più potenti che i conquistatori hanno portato inconsapevolmente dal Vecchio Mondo. Per lungo che potrà essere, l'assedio priva quotidianamente gli aztechi di parte delle truppe e, in assenza di ricambi, questo processo non può avere esito diverso dall'annientamento totale. Cuauhtemoc ormai non ha più nulla da perdere nel combattere perché il suo popolo è distrutto, il suo esercito a pezzi e la capitale è stata spianata, trasformata in una gigantesca piattaforma, i templi profanati e i sacerdoti passati a fil di spada.

A metà luglio le sorti della città sono irrimediabilmente compromesse e l'imperatore si dilegua a bordo di una canoa, senza però rinunciare ai suoi ricchi ornamenti e viene immediatamente identificato e catturato da un brigantino. Martedì 13 agosto Cortés è di nuovo padrone di un impero e stavolta non ci saranno colpi di mano. Le fonti sono estremamente discordi sulle cifre e i tre mesi scarsi di intensi combattimenti costano meno di 50 vittime ai 900 castigiani che impugnano le armi e circa 30.000 caduti ai 200.000 nativi che hanno combattuto sotto il vessillo di Cortés. La conta delle vittime è dura per i nativi attaccanti, anche se in linea con le perdite usuali delle battaglie precollombiane, ma lo è ancora di più per i difensori, che contrebbero 60.000 sopravvissuti tra i 300.000 effettivi della guarnigione (Fernando de Alva Cortés Ixtlilxochitl, 1608), cui dobbiamo aggiungere i civili. Nessuno ci aggiornò mai con i dati esatti, ma le cifre riportate sono un chiaro sintomo della natura stessa della campagna, che vede la tattica e la tecnica degli europei coadiuvata dal numero dei nativi, i quali hanno sopportato il peso più gravoso della guerra.

5. La strage

L'elenco delle vittime di guerra non è neanche paragonabile al numero totale di morti che la gestione del territorio comporterà negli anni immediatamente successivi al 1521. Mentre Cortés prosegue la campagna di conquista contro gli altri potenti mesoamericani, infatti, un insieme di fattori contribuisce a causare la tecnica degli europei coadiuvata dal numero dei nativi, i quali hanno sopportato il peso più gravoso della guerra.

La strage della guerra. Il Requerimiento di Juan López de Palacios Rubios e dagli atti ufficiali di Isabella di Castiglia, Carlo V e Filippo II (Hugh Thomas, 2003; Tzvetan Todorov, 1984; Charles L. G. Anderson, 1941). Qualsiasi violenza, espropriazione e saccheggio ingiustificato ai danni dei nativi è proibito, per lo meno de iure, e il potere politico sembra rimanere indifferente al tentativo di intellettuali quali Juan Ginés de Sepúlveda e Francisco Ruiz di identificare i nativi come esseri inferiori e destinati per natura ad essere sopraffatti ed aggiogati dai castigiani. La violenza indiscriminata è quindi una degenerazione avvenuta in loco, di regole e concetti rigidamente codificati e non rispettati; tuttavia numerosi autori riducono le dimensioni del massacro, ridimensionando la popolazione del Messico precollombiano a 11.000.000 (J. H. Parry, 1979) o ad 8.000.000 di individui (Hugh Thomas, 2003). Gli orribili eccessi, che vedono i civili e persino i bambini impiccati agli alberi, dati in pasto ai cani, eviscerati con le spade, sono interpretati da Todorov come opera di soldati nati e vissuti in una terra violenta, dislocati in un mondo completamente diverso, consumati dalla guerra e in contatto con popolazioni antropofaghe e giudicate pertanto inferiori, senza anima.

Oltre al calo demografico, quali sono gli altri cambiamenti che hanno interessato l’area dell’attuale Messico, precedentemente sottoposta al controllo degli aztechi? L’impero è crollato e con esso hanno avuto termine i sacrifici umani, i rapporti vassallatici, gli ordini militari, il clero, mentre intere città sono distrutte ed altre spopolate. I nativi rinunciano progressivamente al politeismo, all’antropofagia, alla sodomia, alla poligamia e la Conquista, per paradosso, porta la pace in Messico: gli dèi antropofagi sono abbattuti e con essi il bisogno di sacrifici umani e di continui olocausti, che rendeva indispensabile un incessante stato di guerra. Gli antichi vassalli, tuttavia, si limitano a cambiare padrone, i nobili alleati dei castigiani e persino aztechi ottengono posizioni di prestigio nella Nuova Spagna, i contadini di tutte le
nazioni messicane continuano a coltivare pannocchie, la colonna portante dell’alimentazione americana. Con i conquistatori arrivano vestiti, armi d’acciaio e da fuoco, aratri e bestie da soma, ruote e pulegge e soprattutto quell’uniformità che il popolo azteco non aveva voluto esportare e che ha mantenuto l’impero nella forma di una struttura fragile e instabile.

6. Conseguenze per la Castiglia

Le spedizioni esplorative e le campagne coloniali sono date in concessione a privati dalla Corona di Castiglia in cambio del pagamento della quinta parte degli introiti, il quinto real. L’investimento iniziale è troppo cospicuo e ad alto rischio per le possibilità economiche e la monarchia cede l’onere ad affaristi, mercanti e avventurieri; in tal modo guadagna dalla riuscita dell’impresa e non perde nulla in caso di rovinosa catastrofe. Tuttavia è unicamente il Regno di Castiglia ad essere legato al Nuovo Mondo per quanto riguarda l’incameramento delle percentuali, delle tasse e il monopolio commerciale: il resto della Spagna è escluso dall’impresa ed è per questo che ho usato il termine “castigliano” per definire il conquistatore che formalmente è spagnolo ma che tale non si sente.

Tra il 1503 e il 1660 l’impresa coloniale frutta alla Castiglia 181.333kg d’oro, aumentando di un quinto le riserve dell’intera Europa, e 16.886.815kg di argento, triplicando le stesse riserve (Earl J. Hamilton, 1934): tale incredibile ricchezza non è monetizzata e reinvestita nel Nuovo Mondo ma importata in madrepatria. Dapprima vengono saccheggiati i beni dei nativi, poi sono setacciati i fiumi e infine vengono individuate le miniere preesistenti e scavate di nuove, tuttavia né i privati né la Corona hanno interesse a investire nella nascita dell’economia monetaria o nello sviluppo di una produzione in senso moderno del Messico, né a migliorare le condizioni della popolazione autoctona. In più non esiste alcuna forma di industria precolombiana, le vie di comunicazione terrestri sono di scarsa qualità e non predisposte per i mezzi ruotati, quelle marittime sono pericolose per gli agenti atmosferici e i corsari, il sottosuolo è povero di ferro e carbone.

Il Regno della Castiglia, tuttavia, non costruisce una ricchezza strutturale per mezzo dell’oro americano ma lo sperpera velocemente quanto lo ha ottenuto, finanziando gli eserciti invece di investirlo nei settori produttivi. La forte richiesta di manufatti dal Nuovo Mondo, di contro, alimenta la domanda di prodotti lavorati castiglioni e devia ogni possibile investimento dall’agricoltura nella madrepatria, condotta con tecniche ancora rudimentali e abbandonando i contadini alle loro zappe. I lavoratori, inoltre, sono prodotti in serie senza requisiti di qualità e i rischi insiti nella tratta oceanica, parallelamente ai troppi intermediari che separano produttore e consumatore, fanno lievitare il prezzo di vendita a dismisura. Ne consegue un generale aumento del costo della vita in Castiglia e una conseguente inflazione, ma gli economisti hanno spesso deviato il focus del ragionamento sull’arrivo dell’argento americano. È incontrovertibilmente vero che un forte gettito della moneta ne diminuirebbe il valore nominale e il potere d’acquisto (Martín de Azpilcueta, 1556), ma la maggior parte di quell’argento finisce nelle tasche di mercanti, banchieri e affaristi, che lo investono fuori dal regno e lo impiegano per comprare manufatti all’estero di vendere in America; la quinta parte spettante al re, inoltre, risarcisce gli appaltatori o finanzia gli eserciti che affrontano i francesi e gli svizzeri in Italia, i protestanti in Germania, i turchi nel Mediterraneo. Se l’elevata domanda aumenta il prezzo dei lavorati, il valore d’acquisto della moneta diminuisce, l’inflazione cresce, il paese risente della crisi economica e chi è in possesso di capitale non si azzarda ad investirlo nei settori sottosviluppati ma compra titoli nobiliari, o buoni di credito emessi dalla Corona ad alto tasso d’interesse, abbandonando l’economia castigliana alla crisi e il re alla bancarotta.

7. Conclusione

L’inevitabile conclusione cui possiamo giungere è che la Conquista ha comportato dei problemi di gestione, che gli economisti dell’epoca non hanno saputo cogliere appieno, che hanno portato il Vecchio mondo castigliano ad una profonda crisi economica, che affligge una nazione in costante stato di guerra, affama i suoi abitanti e vanifica la morte della sua gioventù guerriera. La Castiglia non ha tratto beneficio sistematico dalla campagna militare, i conquistatori sono stati spodestati con un tratto di penna al termine dell’impresa e il Messico ha pagato milioni di vite. In un simile contesto di guerra, un contesto che oggi è ormai vecchio di 5 secoli, dove al nemico non è riconosciuto il pieno status di essere umano, un nemico che si veste delle pelle dei prigionieri dopo averne mangiato le carni, l’esercizio della violenza ha un senso. Cortés è un attento calcolatore, un Machiavelli iberico che deve invogliare i vassalli degli aztechi a ribellarsi contro i loro stessi padroni e deve necessariamente mostrarsi equo ai loro occhi, leale verso i nemici e magnanimo con i traditori, per
dimostrare che il vero male proviene dall'imperatore azteco e non da quello del Sacro Romano Impero. Altri conquistatori, prima e dopo di lui, oltre ad amministratori, governatori e proprietari terrieri, hanno dimostrato minore lungimiranza strategica e una grande indifferenza verso la sorte dei nativi: hanno scatenato una grande ferocia, spesso immotivata e controproducente, la stessa ferocia nella quale sono scaduti la maggior parte dei popoli della storia e per trovare teste decapitate e civili sbranati dai cani non dobbiamo allontanarci quanto vorremmo, nel tempo e nello spazio, dalla nostra Europa liberalista e democratica.

Tenochtitlan risorge dopo appena 3 anni ma ha cambiato volto. La Nuova Spagna, nata nel bene o nel male dall'acciaio e dal sangue, sarà il teatro di uno straordinario mescolamento tra castigliani, amerindi e africani, che gli spagnoli chiamano “mestizaje” e che è all’origine dell’attuale popolo messicano, nel quale non mancano individui che portano evidente nel loro nome la traccia dell’origine mestiza.

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Italian Politics and Albanian National Movement in the end of XIX\textsuperscript{th} and the Begining of the XX\textsuperscript{th}

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Abstract

The end of the XIX\textsuperscript{th} and the beginnings of the XX\textsuperscript{th} present an important period for the Albanian folk. During this period increased the efforts to be acquainted nationally. Due the sublimation of the Albanian national conscience, will be considered the lightening of the minds, which it will be possible only through the national education. An important part, in this process had the Arberesh of Italy. This thesis is going to treat their contribute in favor if the national question. The Arberesh area had the same behavior in the formation’s political attitude of the Italian government toward Albania and the Albanian’s question in total. A special merit to the inauguration of active politics toward east Adriatic, especially toward Albania and the Albanian it had, no doubt, the Italian Prime Minister Francesco Crispi, originally Arberesh. His politic vision looked over the Italian government interests, to increase the influence of the peninsula of Balkan e especially in Albania, although inside this frame, he gave his contribute stimulating the efforts of his coexistent to the freedom and the social progress. The project of Italy inaugurated by Crispi aimed to have a main position in Otranto Channel, possibility to allow it to penetrate in Ballkan to expand the influence area into Adriatic and Jon. This essay discusses over the problematic over mentioned giving us a clearer panorama over Albania of the National Renaissance period, the challenges it affronted, which, without doubt, it was possible to be resolved with the valuable contribute of the Albanians of Diaspora.

Keywords: Arberesh, National conscience, Renaissance, F. Crispi.

1. Italian Politics and National Movement in the Beginning of Xx-th Century

The Arberesh of Italy have contributed to the development of a broad activity in support of the Albanian issue. The Italian - Albanian activity was a strong incentive for the Albanian national movement. Their assistance is seen in “persistent propaganda to the press, with motions in parliament, with rallies and conferences”. The aim of the Italian - Albanian activity was national consciousness in Albania and there caring about spreading their political program; also they doubled the efforts to attract the public opinion of Italians. Lorecchio had openly claimed that two fundamental principles led the political efforts of the Italian – Albanians. The first was “Albania for the Albanians”, which coincides with Italian politics and the other “The Adriatic sea was an Italian and Albanian sea”, the latter not affirmed from the Italians wishing the Adriatic sea to be only Italian. The beginning of the twentieth century marks an increase of the national activity of the Italian - Albanians. The Literary – Cultural movement of Italian - Albanian patriots at the same time and the politic movement were assisting in resolving the national cause.

In these movements, part of the contribution comes from Italian - Albanian colonies in regions such as Sicily, Calabria, Naples, etc. These colonies manifested a greater sensitivity about the fate of their homeland. Concerned about the future of the country and active participants in the movement to ensure the independence or autonomy of Albania were Italian - Albanian literary figures such as Girolamo De Rada, Vincenzo Darsa, Giuseppe Schirò, along with them and Francesco Crispi.

The Arberesh conducted a wide campaign of solidarity with the national movement. At 1, 2 and 3 October 1895 was opened the first Albanian congress in Corigliano Calabro. This congress was undertaken at the initiative of the figures as De Rada, Schirò and Anselmo Lorecchio. Congress was led by Francesco Crispi, being considered as “Albanian by blood and heart.” It was dealt with the issue of
creating a common alphabet, but also a discussion about the internal situation in Albania and the country’s future was held. In the foreground emerges the idea of a unified alphabet that will further strengthen the relationships between Albanian and Italian – Albanians, that would bring an increased cooperation in favor of resolving the national issue. The desire of the Albanians and the Italian - Albanians for a unified alphabet could be felt a lot, of course that would unite them more with each other. In the revealed proclamation, the need of unity was felt and cooperation between them was appealed, based on the fact that they had the same blood, speaking the same language and had the same traditions and aspirations in life. Besides discussion of a unified alphabet, the outcome of this congress was the creation of a National Forum too.

National Albanian Société was created, in San Demetrio Corone that, among its objectives, along rapprochement between different colonies of Italy, also aimed also aimed at launching large-scale relations with the Motherland. On 20 – 21 February 1897 was held in Lungro Lungro’s Congress. Lungro’s Congress was continuing Calabria’s Congress. The congress reaffirmed the objectives set by the first Congress and reviewed the status of National Albanian Société. One of the main goals was realization of a collaboration between the two Albanian Adriatic coast. To achieve this unity, first of all a unified alphabet was needed. This fact is confirmed by proclamation issued by Anselmo Lorecchio on November 5, 1895 on behalf of the National Albanian Société, which read: “In Italy, there are 200000 Albanians spread all over fertile lands of Sicily, our colonies are living here since 4 centuries ago being quiet. We speak the same language as our brothers across the Adriatic, a language spoken by divine Pelasgians ... Known to the memory of our greatness ... it is imperative that we deal with one – another through writing”. Besides the issue of the alphabet, another discussed problem is the national issue. All Italian - Albanians had as an ultimate objective the liberation of Albania, but to realize this there were different opinions. In 1900 there has been a combination of currents of thought. A moderated thinking, embraced by Lorecchio, whose aim was to increase the sense of Albanian nationality, although continued to remain under the Ottoman Empire. Another way of thinking was the realization of a revolution through which the independence of the Motherland would be achieved. Giuseppe Schirò supported the idea of revolution as the only escape route to independence. For Schirò uprising against the Ottomans was the only way to achieve the liberation of Albania. De Rada was against partial insurgency. He most feared the hostile goals of their Greek and Serb neighbors. Besides these two positions of Mr. De Rada and Schirò, there appears the attitude of a prominent figure of the time Ismail Qemali.

In 1900, Ismail Qemali issued a political program for the National Movement. In this program he presented his idea of consolidation of Albanian nationality, affirmation of Albanians as a separate nation and the recognition of national identity in the international arena. Ismail Qemali said in press releases that he didn’t support the secession of Albania from the Ottoman Empire, linking this with the fact that Albania detached from the Ottoman Empire could not face the risks from the neighbors. "As for Albanians, - stated in an interview he gave in Rome in 1900,-every revolutionary movement will bring nothing but would make legitimate foreign intervention." Ismail Qemali attitude to autonomy, stability, Balkan’s balance found no support and very quickly a national movement took off. Regarding the attitude held from arbëresh colonies in Italy should be noted that their role in defense of the war of their same blood brethren was huge.

The Italian government had a positive effect in solving the Albanian issue and helped Italian - Albanians in their cultural - political movement in favor of the national cause of their brethren in Albania. Italy held such a position as a collaboration between the two sides Arbëresh of Italy and the Albanians on the other side of the Adriatic would favor Italian politics to strengthen its influence in the Adriatic. Italy required not only increasing influence in the Adriatic. It would also favor its interests to prevent Slavic infiltration but also interested in creating problems to Turkey.

In Italy, the issue of protecting the autonomy of Albania established many Albanian political committees. One of this committee was founded In Naples under the chairmanship of the Marquis D'Auletta. Organ of the committee was “Nuova Albania” (New Albania). The committee asked the Italian government to take into account the common interests of the Albanians or the Italians and to intervene to gain autonomy as required by the Albanians. The newspaper “La Nazione Albanese” declares an appeal to Arbëresh patriots everywhere to union in order to help their brethren across the Adriatic.

This appeal was made by the Albanian Committee of Milan.
"The goals against the integrity of Albania injustice to her by means of most varied, appears to succeed in affecting her integrity of Albania"

Let us remind that Albania expects too much from her children in Italy, so let us join our forces to make our protests heard through committees and telegrams in order to avoid allowing other injustices.

Albanian Committee of Milan
Ing. P. Sabatini.

In 1900 rioting in Albania deepened, so it was seen as necessary to send Italian volunteers to support them. The press of early 1900s talked about sending Italian volunteers in Albania under the leadership of Garibaldi who seems to seek to continue the project of a Balkan expedition that his father failed to realize. The project took off in 1904, the year in which Garibaldi invited the most important figures of the colonies at a meeting in Rome on March 24, 1904, which formed an Albanian Council of Italy. Final objective of this congress was to provide freedom and independence of the motherland. The main purpose of the council was to unify Albanians of Italy with those of Albania and to support the Italian politics in Albania and the Balkans. In addition to approval, there were objections and at the same time doubts about this move. Regarding the Italian government's reaction it was inconsistent, at first supportive and stumbling after.

That was one of the reasons that R. Garibaldi's expedition was not implemented. Data obtained from the press of time and different sources show that the Italian-Albanian movement in favor of the Albanian issue was supported by prominent figures of the Italian and Albanian political life.

L. Von. Chlumecky, an expert on foreign politics of Austria-Hungary writes that Italian-Albanians found little support from the Italians.

However this did not prevented the continued efforts to provide the Italian public opinion, and to set up national consciousness. Albanian National Movement found Italian-Albanian support despite obstacles, this further encouraging the move.

Italo-Albanians activity strengthened the national movement and simultaneously made famous the Albanian issue internationally.

2. Inauguration of Balkan Politics of Italy and Albanians

Albania's important position in the Western Balkans, the Adriatic Sea and the Otranto channel, had long attracted the attention of European powers.

One of the powers concerned to Albania was Italy, the interest that was showed for a long time since its union. Albania increasingly was returning to the core of Italian politics. Italian ruling wanted the Adriatic Sea to become Italian. The time of the great Garibaldi seems it's over and his promises of a Balkan expedition in aid of the Balkan peoples disappeared. Events in the Balkans and Italy's need to regain some of the areas they had lost in the Gulf of Venice and all that had been in the "mare nostrum", forced Italy to formulate a policy against Albania. Francesco Crispi was initiator of this policy. He has made a major contribution in increasing the prestige of Italy and Italian projects. Francesco Crispi was a pioneer of Italian politics in the Balkans, Crispi was the most popular of Italy's late nineteenth century. Abroad compared with Bismarck and Metternikun. He was born in Ribera of Sicily in 1819 and lived a long time in the village Palazzo Adriano (Sicily). Crispi comes from a large Albanian family. It is proven by documents and preserved Albanian traditions that his family originated from Albania. His family emigrated to Italy after the death of Gjergj Kastriot Skanderbeg.

In 1467 he was in Sicily and in 1482 was finally placed together with other families in Palazzo Adriano Albanian province of Palermo. His work made it one of the strongest and the largest of free and united Italy. His contribution is estimated today in the ranks of the colossus of Italy. He first attended the Italian-Albanian college in the city of Palermo and in 1841 was written in the Book of the courts of Naples. Crispi worked as an attorney but was an active participant in the revolutionary movement directed against Bourbons.

Crispi was the instigator, supporter of the Sicilian expedition and the fundamental forces in the government of Garibaldi. In 1860 Crispi was elected deputy of the Italian parliament. Following the 1877 Crispi was elected president of the Italian parliament. In February 1891 he regained the Prime Minister from 1891 to 1893. Crispi led for 8 years the Italian government. He conducted a foreign policy in favor of Italy and France. This led Crispi return to Italian lands inhabited by Italians in France. This policy followed by Crispi was making Italy a great European power. Crispi foreign policy
favored increasing the prestige of Italy. The crisis that affected East and the Balkans was expanding day by day. The crisis also affected eastern Albania, which in these years became victims of policies of major powers. But what held Francesco Crispi attitude towards Albania in this period? Crispi attitude was contradictory concerning Albania and has been much discussion about self-image and his role to Albania. In the years 1875 - 1878 it was evident that the Ottoman Empire was not in its glorious days. This fell the prestige of the Ottoman Empire policies pave the way both the Adriatic powers Austro - Hungary and Italy. Events in the Balkans had the opportunity to Austria- Hungary to expand in the Balkans and to return once a good master of the Adriatic and Mediterranean partially.

This policy of Austria - Hungary in the Balkans affected the economic interests of Italy. This is the first reason that made Crispi think to take a policy towards Albania. Second, the tendency to turn Italy into a great power and to ensure that areas lost in the Bay of Venice and that he had been in “mare nostrum” Crispi did launch a policy towards Albania.

Crispi saw the Albanian issue as a way to strengthen Italy in the Adriatic to prevent and fight Austria. This fact is confirmed by Crispi statement in Italian Parliament in March 1880. It states: “In the Treaty of Berlin, Austria took the land forming the border in Bosnia and Herzegovina inviolable versus East and that must be satisfied. We, without being coveted these properties taken unfairly, should seek them to stay there, and not require more than the Treaty gives to them. In accordance with our interests and the principles of our great revolution, we should be protectors and friends of the small states in the Balkans”. Crispi policy to allow autonomy of Albania within the Ottoman Empire did not bring the appropriate conditions for Albania to be developed.

Decisions of the Congress of Berlin violated Crispi project in Albania, the Austria – Italian rivalry was added, and there were no favors to Albanian people.

Crispi held for administrative autonomy to Albania because this policy was in favor of its project to provide influence in the Adriatic and hit the Austrian Kingdom. Crispi wrote in a newspaper “L’ora di Palermo” the article “Berlin Holidays” on May 5, 1900. He writes: “Albania has all the elements to be autonomous state, better than may have other Balkan countries, Europe will carry out an act of civilization if allowed autonomy. Intimate connections to cultivate a friendship for more than five centuries, making it more close to us (Italy) that the Austrian Empire”.

Decisions of the Congress of Berlin gave priority to Austria and its policy in the Balkans and prevent Crispi’s projects. However Crispi did not stop in the project for political rule in Albania. Propaganda in favor of his plan was realized quite well in his newspaper “La Riforma”. Pursuing a “friendship” with Albania would bring a close approach with Albania so gradually Crispi dream of a complete union with it may come true. This policy followed by Crispi would become closer these two countries and hit the Austrian targets. Crispi writes in “L’ora di Palermo”: “To give Albania to Austria nowadays, there would be no advantages to this kingdom and would be at the expense of Italy, so will eliminate any traces of influence in the Adriatic”. With respect to the Crispi figure and his policy in Albania has taken different views somewhat contradictory. Albanian Renaissance back to Crispi hopes to support the Albanian cause.

In Italy came many scholar, poet and writer from Albanian blood ....remember to mention Crispi, that this son of this nation, who even today reigns the administration of Italy. The same attitude pro-figure of Crispi holds Naim too. In a review written in 1894 in Bucharest, in which are cited great names of the Albanians, in this summary is also the name of Crispi.

It cited:

Mister Crispi, praised man
felt and heard
that gives honor today to Italy
is the son of Albania

Crispi did not deserve neither hopes, nor the good words. De Rada had understood very well the desire of the Italian borghesia to invade Albania and the hopes they had in Crispi were now disappeared. The albanian patriots knew the real intentions of Crispi and also of the italian politics. The time of the great Garibaldi as well as the war for freedom was now just a remote thought. The imperial politics of Italy was based upon the fact that Albania was considered as a strategic point from which Italy could hit the Austrian influence in the Adriatic.

The time of the great Garibaldi was now substituted from the imperialist politic of Crispi who was inspired by France. France's politics in years 1870 turned it into a great colonial power. Italian policy
violated Austrian interests in Albania, which cemented bilateral rivalry. The Austrian – Italian rivalry is strengthened as a result of clashes of interests. This bilateral flap conflated with the Albanians projects to assure independence from Turkey. Apparently, Albania is now in danger of falling from Ottoman rule under Italian or Austrian rule.

The question is whether Francesco Crispi could realize his project of conquering the Balkans? What was his relationship with Albania? Crispi’ policy ran against the Albanian interests. On the other hand - as Antonio Gramshi - states: “Crispi was a big talker, oratorical, without any strong economic support. Not only did not Italy have its capital to export, but it was forced to import foreign capital for its urgent needs”. Antonio Gramshi provides useful information to confirm that Italy’s financial situation was difficult and it became an obstacle to the realization of Crispi imperialist policy. On the other hand, even within Italy certain groups of interest were objecting such a fast political invasive undertaking in the Balkans. These objections related to the fact that Italy was both economically and politically weak.

According to the Right Wing Italy should have a period of peace and security in order to regain strength. Shorty, it was not ready to undertake such a campaign in the Balkans. All these factors led to the demise of the Italian politics in Albania, however, Italy did not give up so easily from its plans in the Balkans, particularly in Albania. But let’s return to the figure of Crispi. A lot of opinions, often controversial exist about Francesco Crispi. To Italy, Crispi was considered a great man specially his role in Italian politics, is greatly appreciated. The Italian deputy D’Arco addressed Crispi in parliament as follows: “Crispi, You are a great man, even too great for Italy. This shows the respect he had in the Italian politicians”.

However Francesco Crispi was Albanian and is named “Albanese di cuore e di sangue.”, i.e., “Albanian by blood and heart”.

Let’s consider the following questions:

“What did Crispi do in Albania? How is his politics evaluated?

Concerning this, there was much hope that Crispi would realize Albanian dream of independence. The brothers Frashëri hoped in him but Dora D’Istria or De Rada were skeptical indeed. But Crispi made public his idea in the Italian parliament in 1900 that: “Albania, the country of tough and brave men who helped Italy many times it has been in need, now is in a crossroad .... And like all other Balkan countries it has all the elements to have an autonomous government better than they enjoyed Bulgaria and Serbia. I think we have to fight for the rights of this nation in Europe ... We have them a debt...”. This policy of Crispi to ensure the autonomy of Albania, as seen from Koli Xoxi, was a step toward ensuring a break from Ottoman rule to pass under the Italian protectorate. However I would not like to look at that simply in this plan. Providing autonomy from the Albanian side supported by the Italian side would be a good step to provide a break from the Ottoman Empire and the open road to independence insurance. The spread of Italian language education among young people will do its policy to gain more reliability towards Albania. Though Crispi contributed to the spread of Italian education it should not be forgotten his role in the spread of the Albanian language in many Italian schools or institutes. Crispi himself cited in one of the newspapers in Sicily, in January 18, 1898: “Dear Crispi, expressed hope for Albania to shake off as soon as possible the Muslim influence, and recommended, in particular students, to study the Albanian language and literature, promising that the government would soon establish a Chatedra in the Eastern Institute of Naples.”

Crispi also does not deny its origins. He proclaimed his Albanian origin every time he could. Crispi supported the opening of the first Albanian language Congress held in Calabria early days of 1895. Crispi with the function of the Minister of the Italian Kingdom sent a congratulations telegram for the Congress. Although Francesco Crispi pursued a policy in favor of Italian politics in Albania and perhaps conditioned by the circumstances, he did not deny the Albanian origin although its contribution in favor of the Albanian question was not what was expected. Crispi was raised a monument in the Kingdom of Two Sicilies, as a symbol of the unity of Italy, for his contribution to the 1860 Revolution of the Kingdom of Two Sicilies, aiming the unification of Italy.

3. Conclusions

The beginning of the twentieth century marks an increase of the national activity of the Italian - Albanians. The Literary – Cultural movement of Italian - Albanian patriots at the same time and the politic movement were assisting in resolving the national cause. In these movements, part of the contribution comes from Italian - Albanian colonies in regions such as Sicily, Calabria, Naples, etc…

Active participants in the movement to ensure the independence or autonomy of Albania were Italian - Albanian literary figures such as Girolamo De Rada, Vincenzo Darsa, Giuseppe Schirò, along...
with them and Francesco Crispi. All Italian - Albanians had as an ultimate objective the liberation of
Albania, but to realize this there were different opinions. A moderated thinking, embraced by Lorecchio,
whose aim was to increase the sense of Albanian nationality, although continued to remain under the
Ottoman Empire. Another way of thinking was the realization of a revolution through which the
independence of the Motherland would be achieved. In 1900, Ismail Qemali issued a political program
for the National Movement. In this program he presented his idea of consolidation of Albanian
nationality, affirmation of Albanians as a separate nation and the recognition of national identity in the
international arena. Italy held such a position as a collaboration between the two sides Arbëresh of Italy
and the Albanians on the other side of the Adriatic would favor Italian politics to strengthen its influence
in the Adriatic. A special merit to the inauguration of active politics toward east Adriatic, especially
toward Albania and the Albanian it had, no doubt, the Italian Prime Minister Francesco Crispi, originally
Arberesh. His politic vision looked over the Italian government interests, to increase the influence of the
peninsula of Balkan e especially in Albania. The project of Italy inaugurated by Crispi aimed to have a
main position in Otranto Channel, possibility to allow it to penetrate in Balkan to expand the influence
area into Adriatic and Jon. Although Francesco Crispi pursued a policy in favor of Italian politics in
Albania and perhaps conditioned by the circumstances, he did not deny the Albanian origin although its
contribution in favor of the Albanian question was not what was expected. However Albanian National
Movement found Italian - Albanian support despite obstacles, this further encouraging the move. Italo-
Albanians activity strengthened the national movement and simultaneously made famous the Albanian
issue internationally.

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The Fight for Balkan Latinity. The Aromanians until World War I.

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Abstract The Aromanians of Vlahs are a people of the Balkans historically mentioned in many sources and documents throughout the centuries, since the age of Roman colonization. Their particular identity emerged during the XIX century, when the rise of nationalism involved also the Vlahs, who demanded the protection of the Sultan against Greek propaganda and denationalization policies. Also the newborn State of Romania was interested in their situation and started a diplomatic controversy with Greece to defend Balkan latinity. The question gained relevance during the age of the Balkan Wars (1912-1913) and the first World War, when the arrival of Italian troops in the region of Pindus was welcomed by the Aromanians who welcomed Italian army and appealed to the common Latin inheritance for the defense of their national specificity and traditions.

Keywords: Aromanians, Pindus, Romania, Italy, Balkan Latinity

1. A Little Community

The Great War showed all the potential conflictuality and ethnic complexity of Central-Eastern Europe and especially of the Balkan regions. Then, many issues became known to international diplomacy and public opinion, which had followed all the evolution of the Eastern Question and the decline of the Ottoman Empire. But at the end of the first world war, when many populations built their own national identity and connected it to the creation of a State, not all the groups of the Balkans could follow such a path. It was not the case of the Latin communities that had inhabited the region for long long times, since the era of Roman colonization.

These groups were often connected with the ancient Roman colonies and while many passages of their history remained obscure, they were gradually absorbed by the larger nations surrounding them. Their extinction was retarded only by “the natural increase of the hill population, the Turkish conquest and the slow advance of education and trade have all been causes that have retarded their extinction” (Wace, Thompson, 1914).1

Vlahs or Aromanians were known also with different denominations: besides the variations as armăni, rămăni, rămăni, remeni, other denominations are tsintsari, țințari, kotsowlahi, murovlahi, Macedo-romanians, Megleniți; in Greece, they could be divided in grămățeni, pindeni, fărșeniți, in Albania in caștoni, cași, căciulă, cara-caștenii or saracacianii. In spite of their different names, they were often identified with the Balkan communities speaking a romance language deriving from Latin.

These communities were settled in different parts of the Balkans, from Istria and Timok valley in the north to the regions on the Pindos mountains - which are placed between Albania, Greece and

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1 Though much of the history of the Balkan Vlachs is obscure, one fact stands out clearly, that from time when they first appear in history they have been allowing themselves to be absorbed gradually by the larger nations that surround them. The natural increase of the hill population, the Turkish conquest and the slow advance of education and trade have all been causes that have retarded their extinction. Wace and Thompson’s book is a good work on the reality of Vlachs and especially on the region of Samarina. It stated that the “widespread belief in a Roman origin” would come from the language and from the assonance of the term with the Roman general Flaccus, who should be the ancestor of Latin people in Balkan-Danubian area (p. 265).
Macedonia – their ridges and the surrounding plains in Epirus, Thessaly and Macedonia, the Vermion mountains and Mount Olympus. They had left historical signs in Regnum Bulgarorum et Valachorum (XII century), during the rule of Asans (XII-XIII centuries), in the times of the crusades and later under Ottoman yoke. Even if they were often connected with the traditional activity of nomad sheep-breeding, the latter was not their exclusive occupation and many Vlachs were involved in other activities, in selling alcoholics and were greatly impressed by the trade between the Occident and Orient, especially in the city of Moscopole, which became one of the most important and prosperous cities along the Via Egnatia, until it was sacked and pillaged by Ali Pasha at the end of XVIII century.

Although it seems quite difficult to deal with the Aromanians as a whole – for the different dialects, the lack of ties among them, the different historical destiny... - it could be interesting to deepen the study of the communities of Pindus and Epirus in their historical dimension, especially between XIX and XX centuries. At that time, in fact, also Aromanians began to show a certain level of national consciousness as they expressed precise cultural and political shapes, which could be considered in the perspective of a national revival. Throughout the centuries, Aromanians proved to be like chameleons, les caméllons des Balkans (I. Nicolau, 1993), and were thus assimilated by the other communities of the Balkans, maintaining their special features but softening them and often replacing them with others. It happened especially in reference with the Greek language and culture. Vlachs were subjected to a long and gradual process of Hellenization, as a consequence of religious commumance, of language assimilation, of commercial relations and sometimes also because of special policies pursued by Greeks such as Kosmas Aitolos, who at the end of XVIII century conducted a strong campaign to convert Aromanians into real and devote Greeks. Moreover, Greek was a sort of lingua franca in the South of the Balkans and, for non-Muslims, Greek culture represented an undisputable benchmark. It is not strange that in the Eighteenth century, when many Western travellers - William Martin Leake, Reasercheres in Greece, London, John Booth 1814, Pouckeville, e.M. Cousinery - noticed the increasing of Aromenian settling in villages and the growth of their level of education, also these communities took a strong pro-Greek orientation. Nevertheless, it was not a general attitude, as many remained extraneous to this process of political convergence with the independent Greece, contrasting it and showing sympathies for the Ottomans, the Albanians or the Romanians.

2. Between Romania and Greece

The split between the different political choices increased with the consolidation of respective nationalisms, throughout the XIX century. At the Congress of Berlin, for example, while the pro-Greek factions sustained the concession of Thesalia to Greece, others opposed this choice and opted to remain under the Ottoman rule with the Aromanians of Epirus and Macedonia. This was a consequence not only of blood kinship but also of the policies developed by Romania. At the Congress of 1878, Bucharest decided to catch the sympathy of Aromanians, which were considered part of the same nation, as they were the heirs of the Roman colonists exactly as Romanians as far as to the North of Danube.

At that time, Greece and Romania had already started a political and cultural battle to take Aromanians under their influence. Since 1860's, this battle was fought with the foundation of schools and associations and, after Berlin, it became also a question of international relationships. In spite of the strong impact of Greek policy and the effects of secular Hellenization, however, the connection with Roumania became a topic and could not be refused. In fact, Romania discovered her national identity thanks to her Latin legacy and this point naturally made Aromanians converge under the influence of the new-born Roumanian State. Together with the opening of Romanian schools in the Balkans, the Macedo-Romanian Society of Culture was founded in Bucharest to sponsor and develop the contacts between the

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2 Most inhabitants of Athens associated the term Vlachus with rural, lesser civilized and uncouth people. For others, they were nothing more than good cheese-makers or lamb-producers. This interpretation could not be isolated by the existence of a division between the influences of Greek and Roman culture in the Balkans, which would be cut off in two different zones by the Jireček Line conceptualized by the Czech Konstantin Jireček in his history of Serbians written in 1911.

3 An important connection between Vlachs and Albanians is the language, as it has been explained by Noel Malcolm in the second chapter of his history of Kosovo: “Linguists have long been aware that Albanian and Romanian have many features in common, in matters of structure, vocabulary and idiom, and that these must have arisen in two ways. First, the 'substratum' of Romanian (that is, the language spoken by the proto-Romanians before it switched to Latin) must have been similar to Albanian; and secondly, there must have been close contact between Albanians and early Romanian-speakers over a long period, involving a shared pastoral life. Some key elements of the pastoral vocabulary in Romanian are borrowed from Albanian.) The substratum elements include both structural matters, such as the positioning of the definite article as a suffix on the end of the noun, and various elements of primitive Balkan pre-Latin vocabulary, such as copil ('child’ in Romanian) or kopil ('bastard child’ in Albanian).”
homeland and the Romanians of the Balkans.

In 1860, teachers for Macedonia began to be trained in Bucharest and in 1864 the first Aromanian school was established in Macedonia by Dimitrie Aranasescu in the village of Trnovo. Aromanians became known also because of the scientific debate aroused by the history of Romanians, who claimed to be the heirs of Romans both in the North and South of the Danube. Anyway, this statement was not totally accepted by those, as Roesler and the Magyar authors, who considered the Romanians of Transylvania as nomad sheep-grazing migrants coming from the Balkans who later settled in the regions devastated by the Tatar invasions in the XIII century. Thus, Aromanians became a subject of the political and cultural debate which accompanied the birth of the independent Romania. The new Kingdom became much interested in the conditions of the Aromanians and in their education. Aromanian communities of Bucharest featured very influential figures as D.D. Cozacovici, Z. Sideri, I. Goga, who sustained the efforts of the governments and contributed to the creation of many schools and to the development of what could be defined both as the help of the Mother-country or as Romanian propaganda.

The "Society for Macedo-Romanian Culture" and "Societatea Culturala Macedo-Romana" could count on the help of many ministers, of the Orthodox hierarchy and on the elite of the Romanian political class. The Societatea de Cultura macedo-romana, inaugurated on 23rd September 1879 was legally recognized by a special law (Nr.1298/13 Aprilie 1880, publicat in Monitorul Oficial Nr. 93 din 20 Aprilie 1880) and had among its members Mihail Kogalniceanu, V. Alecsandri, C.A. Rosetti, Nicolae Kretulescu, Ion Campineanu, Cristian Tell, Titu Maiorescu.

Among the most enterprising Aromanian activists there were the poet Dimitrie Bolintineanu and Apostol Margarit, a teacher of Vlaho-Clisura who was accused of treason by the Greeks for his pro-Romanian attitude. He experienced prison and many attempts of assassination before escaping to Bucharest and coming back in Turkish territory after the Russo-Turkish war of 1877-1878 as inspector of the Romanian schools. With the help of the French priest Jean Claude Favoryal, he supervised the birth of many Romanian schools for the Vlach population of the Ottoman Empire. He dedicated many works to the Aromenian question – Raport despre persoanătatea soelor române în Macedonia din partea Greilor in 1875; Réfutations d'une brochure grecque par un Valaque épirote in 1878, Études historiques sur les Vlachs du Pinde in 1881, Les Grecs, les Vlachs, les Albanais et l'Empire turc par un Valaque du Pinde in 1886; La politique grecque en Turquie in 1890; Memorii privitor la ţăranul de peste Balcant in 1887 -. Even if his activity caused also many controversies and accusations - the Italian Consul Milileire, in 1898, argued that Margarit corrupted the vizir Ali Rifat Psha to open the schools - Margarit succeeded in becoming the principal voice of Vlah emancipation in the Balkans, fighting the Greek influence and conditioning Bucharest policy. He became a member of the Romanian Academy and his death was celebrated with national funeral in 1903.

Another important Vlah activist was George Murnu who was born and educated in Macedonia and later became a professor at University of Iasi and Bucharest. But Aromanians had not emigrated just to Roumania; Aromanians contributed to the cultural and social development of the nationalities they had chosen: it was Greece (Aristotelis Valaoritis, Georghios Zalocosta, Costas Krystalis) Serbia (Jovan Sterija Popović, Alecu Nusić, Drabolub Sotirović), Bulgaria (Aleco Kostantinov) or Romania (Dimitrie Bolinteau, Dimitrie Anghel, Nusi Tullu, Leon T. Boga, Nicolae Batzaria, Ion Foti, Marcu Beza). After the decline of Moscopole, many had participated actively in the Greek struggle for independence (Theodor Colocroni, Constantin Righas Phereos), many others moved to other countries. This diaspora produced relevant figures like the bankers Sina, the Dumba of Vienna, the Hungarian Mocsny (Mocioni) or the Bellio who arrived to Vienna, Bucharest and Paris. Many communities had formed not only in Vienna or Budapest, but also in Transylvanian cities or even in the United States, where in 1903 Nicolae Cican founded the Societate Romana de Ajutor si Cultura Speranta which helped the newcomers and was renamed Farsatorul in 1906.

The policy developed by Bucharest addressed towards a strange alliance with Istanbul and against Greece, who was more dangerous for Ottoman interests than the new-born Romania (an important exception was constituted by Turkish governor Osman Pasha who opposed the Vlachs and was generally considered pro-Greek). After the war of 1875-78, the closure of the schools was soon followed by an agreement. Turkish authorities took steps to promote the Aromanian national cultural movement and gave Vlachs the right to be taught in their own language and afforded assistance and protection to their teachers. In 1888 the Macedo-Romanians obtained an imperial firman (ulâb kâîlîe) granting them the right

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4 Georges de Bellio lived in Paris and became one of the first sponsor of impressionists painters like Manet, Monet, Sisley, Pisarro, Renoir.
Many times it was just a matter of school accidents caused by the political activity of Romenian destined to a Romanian school. Millelire, who reported about the intervention of Greek authorities to stop the supply of ice cream because of their schools. Sometimes they even witnessed grotesque episodes, as reported by in 1904 Italian consuls in Ianina. Italians described the conflict that opposed Greeks and Aromanians, especially facing Greek aggressivity and discrimination. This situation was followed also by Italian diplomacy, as it was showed by many documents sent by the Turks there was the Romanian Pandele Mașu. In 1903 an Aromanian cemetery was set in Monastir while in 1904 a Romanian consulate was opened at Yanyna.

The sympathies showed towards the Sultan were soon repaid and in 1905 Abdul Hamid issued a decree (irade) to grant Aromanians all the rights of a millet with the exception of a religious head, creating in this way the Ullab millet. The irade of 22th May 1905 granted to the Vlachs the use of their language in religious matters and the freedom of electing mayors (muhhtar). But it caused many angry protests among Greek ecclesiastical authorities, starting from the patriarch Joachim. Besides the opposition of the Greek priests, the irade caused the violent reaction of the bands born to fight the Bulgarian komitadji. The repression of Aromanian rights included the killing of clergymen, the denial of the Sacraments and violent attacks against the attendants of Aromanian schools: “Non sacrilegio, non nequizia, non delitto venne risparmiato” (B.DeLuca, 1919).

During this phase, Aromanians and Greeks continued a violent and troublesome confrontation. Greek antarti conducted their attacks against Aromanians who reacted and gave birth to a cruel escalation of violence which was presented by the Romanian and Greek press as a reaction caused by the other part's attacks. The Greek-Romanian conflict reached its climax exactly when the Sultan issued a decree officially recognizing the Vlachs and affirming their rights to maintain their schools and churches. This led to a violent reaction by the Greek diplomacy and, on the ground, it encouraged Greek bands, who attacked prominent figures like the priest of Berea who was murdered on his way to the church and whole villages. Avdela, a center of pro-Romanian sentiment near Bitola, fell victim of many attacks between the summer and October 1905. Even if it was not as widespread as other national movements, Vlach national identity in the Ottoman Empire was encouraged by the irade which founded the Ullab millet. In facts, Aromanians élites developed the identity of their people and, supported by their linguistic relatives in Romania, chose Bucharest as a patron against the oppressing Greek influence. At the beginning of the XX century there were more 100 churches and schools for the Aromanians.

The guerrilla in the Balkans, after 1905, was accompanied by anti-Greek demonstrations in Bucharest and by a serious break between the States of Romania and Greece. Romania accused the Greek authorities of connivence with the armed bands, broke the relationships with Athens and expelled Greeks from Romania.

3. The Age of Wars

Many documents recently collected by Romanian historiography proved to be very meaningful to describe how Romanian authorities received news from those regions where Aromanians were fiercely facing Greek aggressivity and discrimination. This situation was followed also by Italian diplomacy, as it was showed by many documents sent by Italian consuls in Ianina. Italians described the conflict that opposed Greeks and Aromanians, especially because of their schools. Sometimes they even witnessed grotesque episodes, as reported by in 1904 Millelire, who reported about the intervention of Greek authorities to stop the supply of ice cream destined to a Romanian school.

Many times it was just a matter of school accidents caused by the political activity of Romenian

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5 Millet is a term used for the confessional communities of the Ottoman Empire, where nations were considered according to religion. Thanks to this system, religious communities were allowed to rule themselves under their own regulations in the cultural and confessional fields.

6 It has to be mentioned that Aromanians were opposed not only by Greeks, but also by other Slav nationalities. In 1900, for example, the teacher Ştefan Mihăileanu was killed by the Bulgarian Boris Sarafov. Many accidents occurred to Aromanians are related by M.Payfuss and other works about Aromanian history.
students like in the case of Pucerea's manifesto *Autonomia Macedoniei vazuta de Tașcu Pucerea și alți macedo-români*. Pucerea headed the activity of Macedo-Romanians in Bitola and in Bucharest, where in 1905 he became the protagonist of some accidents occurred at the university. In the first years of the XX century the Vlah question was very popular and had a special place in Romanian public debates and in cultural circles, as part of the wider Balkan question.

Besides the activity of the schools, another subject which gave birth to harsh controversies was the development of Aromenian churches or, at least, the claimings about the functions to be held in Romanian language. All these efforts brought about the strong refusal of Greek authorities and the violent reaction of Greek bands, which led many attacks against Aromenians, like that of May 1906, when 60 families moving from Grebena to Avedela with the escort of some Turkish soldiers were assaulted. In that occasion, which was described also in Italian documents, at least 4 Aromanians and 10 Turks were killed. The troubles of the Balkans were carefully observed by Bucharest where the Aromenian question became a subject of public and political debates. The historian Nicolae Iorga created an institute for the study of South-Eastern Europe while politicians as Take Ionescu, Mihail Sturdza, Lahovary, Ion Brătianu managed to combine Romanian Foreign policy with the defence of the Aromenians and of Balkan balances. This ambitious target made Bucharest react against the menaces coming from Greek bands which were afflicting Aromenians and weakening her international imagine.

The end of the diplomatic crisis with Greece was soon followed by other episodes of violence which exacerbated Romanian public opinion and caused another wave of accusations against the government, which was guilty of having negotiated the fate of other Romanians.

In this situation, many articles accused the government's inactivity and the lack of a serious protest against Greece and the Sultan, who could be pressed until concrete intervention in the question. Bucharest was accused of having developed a sleepwalker policy (Politica de somnambuli, in "Tribuna Macedoniei", 5 August 1907) and of having paid more attention to other nationalities like Jews, as it was said at the meeting of the Macedonian-Romananian Cultural Society on 10st December 1909. The newspaper "Actiunea" (30th March 1911) sadly concluded that Romania had not been satisfied at all while "Adevarul" (13th May 1911) argued that the reality was humiliating for Romanian policy (Un triumf al Greciei, O umilință a României).

All over the country many meetings and publications launched critical comments towards the government and, in some way, these proved to be not unfounded. At the end of 1912, "Berliner Tageblatt" reproduced some information coming from Salonique according to which Greek and Bulgarian soldiers had been responsible for all kind of violence, theft and discrimination against the Jews, Turks and Aromanians of Macedonia.

This kind of feelings was further animated by the start of the Balkan wars, which turned the guerrilla into war and strongly affected the Aromenians, who had no army to rely on. According to "Viitorul" (3, 7 December 1912) the Greek soldiers in Macedonia were spreading terror and fear, committing, as usual, all kind of barbarities. In these years Aromanians continued to carry on their policy inside the Ottoman Empire and they partecipated in the reform movement of Young Turks, which with the Hatti-i-Hümayun of 1908 enabled them to send their members to the Turkish Parliament (F. Mișea and N. Berzaria). But notwithstanding the troubles and the political debates and the decrease of the budget provided by Romania for the Vlah schools, the core of Aromenian strategy was undoubtedly placed in Bucharest.

During the Balkan wars in 1912-1913, the Aromanians emphasized their Romanian kinship and turned to Bucharest to seek protection and help. It was during the negotiations held in London in the summer of 1913 that the question of Kurto-Vlachs gained international relevance. During the peace talks Romanian diplomacy pressed the Powers to safeguard the position of Balkan Romanians, suggesting their incorporation inside Albanian frontiers and an international control to protect their national character. A note sent by N. Mișu to Sir Edward Grey (14/27 Mar 1913, Archivio storico dello Stato Maggiore dell'Esercito (Aussme), folder E8, 74, 11) stated:

"Le nouvel Etat Albanais devrait garantir une autonomie administrative et communale, et autant que possible, politique aux Roumains de l'Albanie en ne mettant aucun obstacle au fonctionnement du chef religieux roumain des cantons habités des Roumains".

Romanians sent their notes to all the diplomatic centers showing a clear will of joining Albanian State

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[1] A Document issued by the Serviciul de Siguranta (Prefectura Politiei) of Bucharest (Dosar 73/190813 November 1905) reported about the problems caused by the activity of the Macedo-Romanian students led by Tașcu Pucerea. Some press articles appeared on "Tribuna Macedoniei" regarding the political struggle for the autonomy of the region (*Autonomia Macedoniei*, July 24 1907).
which was to be created by the London conference. From Bucharest, Maiorescu openly asked for the union with Albania and defined it the best solution.8

The Romanian position was sustained by Vienna and so the Austrian ambassador pressed on Sir Eduard Grey to intervene without leaving the matter purely in the hands of Greece and Romania. Austria-Hungary proposed to add to Sir Earl Grey’s points a reference to the possibility for Roumania to safeguard the interests and the rights of the Kutzo-Vlachs in Epirus.9

An exchange of notes between England and Austria followed until the final acceptance of an emendament stating:

“Quant au district habité par les Kutzo-Vlakes la Commission aura à constater leur nationalité. L’attribution soit à l’Albanie, soit à la Grèce appartiendra à la décision des Puissances après examen du rapport de la Commissione internationa1. Quant aux garanties à donner aux populations Kutzo-Vlakes elles feront l’objet d’une entente directe entre la Grèce et la Roumanie”.

In a convention attached to the treaty, Greece, Bulgaria and Serbia engaged in giving Vlahs scholar and religious autonomy in their respective territories and in creating a special Kutzo-Vlach episcopate. In their notes sent to the Romanian President of the Council of Ministries T. Maiorescu, the Greek K.Venizelos (23 Juillet/5 aout 1913) and the Serb P. Pachitch (25 Juillet 1913) adopted this form: “consent à donner l’autonomie aux écoles et aux églises des Kutzo-Vlakes se trouvant dans les futures possessions (serbes or grecques...) et à permettre la création d’un Episcopat pour ces Kutzo-Vlakes”.

According to Italian military documents the question was exacerbated by the clash occurred between Greece and Roumania some years before, which obstacle all the agreements that international diplomacy tried to sketch. As a matter of fact, violence continued to mark the inter-ethnic relationships in the Balkans, as denounced by the Romanian press which continued to invoke drastic measures against the discriminatory and violent treatment of the Aromanians.

"Aromanul" (13th November 1913) protested against the assassination of some Romanian activists (Dem. Zicu of Petrici and Mitra Arghieri of Šatra), "Viitorul" (Românii macedoneni, 20th December 1913) and "Fulgerul" (Exterminarea Aromanilor, 20th January 1914) against the risk Aromanians could disappear; “Dreptatea” (Românii albanezi şi asasinarea preotului Balamace, 26th March 1914) and “Adevarul" (Un mitropolit bandit, 29th March 1914) talked about the fury caused by the murder of the Romanian bishop Haralambie Balamace and accused the Greek metropolitan Ghermanos. Finally other protests were caused by the Greek response given by Venizelos, who accused the Albanians of having committed the massacres of the Vlahs in Coritza (Governum a masacrela din Corita, in “Adevarul", 30th March 1914; Incorrigibilii, in “Mişcarea”, 3rd April 1914).

The need of a foreign help increased as war broke out in 1914 and the antagonism between different nationalisms became stronger and more dangerous for the minorities, especially those with no kin States in the proximity. The war meant for these regions a continuous turmoil with the arrival of several armies and the birth of many short-lived and semi-autonomous States. In 1914, in the aftermath of Balkan wars, an Autonomous Republic of Epirus was formed around Gjirokastër. It was led by a distinguished local Greek politician, Georgios Christakis-Zogrâfos, who referring to the Megáli idúa gave birth to an autonomous administration, put under formal Albanian sovereignty and recognized also by the Great Powers with the Protocol of Corfu. The experiment took also to the creation of an autocephale church whose chiefs soon reconciled with Athens. The end of the principate was then followed by a period of Greek administration and, after the division between royalists and Venizelos’ supporters had thrown Greece into an unstable position, by the arrival of French and Italian troops at Korcë and Gjirokastër.10 The two provinces of Korytsa and Argyrokastro were inhabited by a melting pot of

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8 A note sent to Misu, diplomatic agent of Romania in London, (5/18 Juin 1913, Archivio storico dello Stato Maggiore dell’Esercito, Aussme, Roma, Folder E8, 74, 11) clearly admitted that “L’incorporazione a à l’Albanie est la meilleure garantie pour les Macédo-Roumains, si la constitution d’une Maziade autonome est impossible”.

9 The resume of these negotiations was drafted into Italian military documents of the end of May 1917, when the Army was occupying those regions and retook the question under a new point of view, following a strategy targeted at developing Italian interests in the whole Albania.

10 From the Albanian perspective, adopted also by Italian and Austrian sources of that time, the Northern Epirote movement was directly supported by the Greek state with the help of a minority of inhabitants in the region, resulting in chaos and political instability in all Albania. In Albanian historiography, the Protocol of Corfu was either scarcely mentioned, or its interpretation grounded on different positions: it is seen as an attempt to divide the Albanian state and as a proof of the Great Powers’ disregard for Albania’s national integrity. With the ratification of the Protocol of Corfu the term “Northern Epirus”, which was the common name acquired official status. However, after 1921, when the region was finally ceded to Albania, these terms were considered to be associated with Greek irredentism action and did not acquire any legal status by the Albanian authorities. On the other hand, anyone that made use of them was persecuted. The autonomy question remained on the diplomatic agenda as part of the Northern Epirote issue. In the 1960s, the Soviet General Secretary Khruscev asked his Albanian counterpart about giving autonomy to the Greek minority, but this initiative was without any results. In 1991, after the collapse of the communist regime in Albania, the
creeds and populations and included also some Vlachs. During the Epirus autonomy, the Greek administration viewed all Albanian Aromanians as part of the Greek minority without taking into account their different nationality. The region later fell under the control of the Bulgarians, who tried to join Austrian allies, before being stopped by French intervention. Also some groups of rebels were active in the region of Korçe, one was led by Themistokli Gërmenji and another by Sali Butka. The latter, sacked completely Moscopole and threatened with the same perspective Korçe. When the city of Koritza came under French control, the French tried to get a compromise and an Autonomous Albanian Republic of Korçe was established with a council made up of seven Christians and seven Muslims and with Themistokli Gërmenji as prefect of police. The new authorities introduced Albanian as the official language and replaced Greek schools with Albanian ones, which had been forbidden during the Greek administration of the city.

4. Conclusions. In Search of Protection

Italy reacted against this French policy aimed at influencing Albanian affairs and, as Italian armies were also present in many parts of Albania - the port of Vlorë and the southern region of the Albanian principality - proclaimed Albanian independence and tried to counter-balance French dominion.

In 1917, when Italian troops advanced into Albania they were welcomed in all Aromanian villages, for example in Ciamuria and Samarina. A National council for Pindus was created and it took a very pro-Italian attitude. They founded, with the help of some local representative as Alkiviadis Diamantis, the "Principate of Pindos" in the area of Aromanian settlement. Italy undertook attempts to convert the pro-Romanian Aromanians into pro-Italian one, taking advantage of the historical and language relations these communities had with Italian latinity. In this particular context, Italian military forces felt the need to improve the ethnic and political conditions of the Aromanians, and sketched some documents on their history and customs.

Their villages could be distinguished for the solidity and a certain elegance and were often placed in positions of military interest, next to the mountains and road junctions. The Aromanians were described as calm, wealthy, occupied in trade or sheep-breed ing, resistant to any persecution or massacre, even though the denaturalization policies pursued by the Greeks "con ogni arte e con ogni mezzo", as reported by colonel Casoldi on 29th May 1917 in his account Note circa la questione valacca.

The Aromanian presence was particularly evident in two districts, Grammos – especially in the city and around Koritza - and Pindus, where 36 villages were clearly detachable. Even if they were not as populous as the old Moscopole, these settlements maintained their ethnic identity. The language, instead, was in some case abandoned, also as a consequence of the Greek propaganda, pressures and abuses. Aromanians even arrived at creating national armed bands against those sent by Greeks to terrorize the region and this resistance was considered almost incredible by Italians, due to the peaceful and calm traditions of the Vlachs. It was also noted that many Vlachs enlisted in the Romanian army staying in Moldova asked to be sent back to the Balkans to fight for the security of their lands.

Italians were sure that all Aromanians believed their origin was different from the one of the surrounding populations. Moreover, a particular feature to take into consideration was the particular economic situation of those shepards who periodically migrate and had thus become matter of study because they kept high the economy of sheep-grazing, dairy, weaving and tanning - "la principale industria valacca della pastorizia e quelle altre che ne derivano (caseificio, tessitura, conciatura etc.)". Trying to conquer the sympathies of those communities, the Italians thought that the strategy to follow was that of sponsoring the birth and increase of local authorities in order to prepare for the peace negotiations a fertile ground for the establishments of cantons or political and administrative autonomy. These hopes were alimentated also by the demands of Aromanian communities, who after the years of the Greek-Romanian dispute and the troubles of war searched in Italy a stronger protector.

On 25th July 1917 a first phonogram was addressed to colonel Delli Ponti, who was called brave Duce (Duce valoroso), and his new legions. E8, 74, 10

On 27th July 1917 the Italian commander in Valona, General Giacinto Ferrero, received a telegram coming from the mayors (sindaci) of many Aromanian villages who met in Metzovo, representing the Pindus-Zagori people.
In 1918 a memorandum of the Vlach people was addressed to the Foreign affairs minister Sydney Sonnino by the Comité de l'action nationale du people valaque together with a Codicille confidentiel. Another one was sent to the conference in Paris through the volume Les Macedo-Roumains (Koutzo-Vlalaques) devant le Congrè de la Paix redacted by the National Council of the Pindus Roumanians and signed by G.Munru, Nicolae Tacit, Arghir Culina, T. Papahagi. Besides the historical connection, the Aromanians recalled their will of joining Roman Catholic Siege repairing “le plus grave erreur historique” and reestablishing the relationships that Kalojan Asan had with the Pope, which proved the never-ending Latin character of the Vlach people, “son orientation spirituelle découlant naturellement et logiquement de sa latinité”. The memorandum of the Vlach people addressed to the Foreign affairs minister Sydney Sonnino by the Comité de l'action nationale du people valaque also asked the Pope for the envoy of a Bishop in Macedonia to combine the adhesion to the Roman Church with the respect of the Eastern religious rites exercised by the Vlachs used to exercise the Romanization of the Pindus and Zagori unita politicamente all'Albania e sotto la protezione dell'Italia, sola via di salvezza..

The end of the war and the postwar diplomacy could not condition the life of Balkan Aromanians, nor Italy could. The Vlach question, anyway, was managed both by Romanian and Italian diplomacy to consolidate their positions and their interests in the Balkan regions. Vlahs were reminded in all the millenary events had kept intact and preserved the remembrance of the Roman civilization in the valleys and the mountains of Pindus.

Even if in a shorter form, the same declarations were included in the communication sent the same day to the president of the United States, to the president of the Provisory Russian Government, to the Belgian Foreign Affairs minister, to the French, English and Russian consuls in Yanina, to General Ricciotti Garibaldi in Rome and to the mayor of Rome, who was informed in Latin: “Saeculis compluribus non mutata Romana gens Pindi et Zagoriae cattra patribus custodiendra per Traianum tradita distinctus libertati et cultui defenda bostibus immittibus strenue adversata demum votis expletis alma amplexatur mater urbem divinam Romam invictam aeternam...”.

Italy was the natural benchmark of the Vlachs and her prestige deriving from the victory of the war increased her power and attraction towards the Vlahs, who kept on invoking Italian protection for the safeguard of their Latin culture.

At Delvino, on 28th December 1918 and 10th January 1919, a special Assembly was convoked. The meeting defined a precise political project: the autonomy of Pindus and Zagori united with Albania and under the protection of Italy and pointed out a strategy to avoid any other undesired solution. “Ad evitare che i nemici, approfittando della nostra assenza e disorganizzazione all'estero, riescano, con intrighi e menzogne, ad indurre in errore gli uomini di Stato delle Grandi Potenze che, tra breve, alla Conferenza della Pace decideranno delle sorti di ogni popolo; sia eletta una delegazione, di compatrioti la quale venga inviata in Europa per esprimere, a chi di ragione, l'incrollabile volontà e la ferma decisione delle popolazioni romene del Pindo di non indietreggiare dinanzi ad alcun sacrificio per realizzare il loro sacro ideale nazionale; cioè: L'autonomia della regione del Pindo e Zagori unita politicamente all'Albania e sotto la protezione dell'Italia, sola via di salvezza...”

The end of the war and the postwar diplomacy could not condition the life of Balkan Aromanians, nor Italy could. The Vlach question, anyway, was managed both by Romanian and Italian diplomacy to safeguard their positions and their interests in the Balkan regions. Vlahs were reminded in all the documents presented by Romania to the peace talks and became the subject of a special policy of colonization started by Bucharest in the Twenties. Italian intervention, on the contrary, arrived once again during the second war, when a shortlived Aromanian State was created in Pindus region. After many centuries of isolation, only war could rejoin the Aromanians to the homeland of latinity.

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Italian Mediterranean Policy and Russia Between “Risorgimento” and the “Great War”

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Abstract The Mediterranean has been an area of great importance for Italian and Russian foreign policies. The great Tsarist empire, although being landlocked, has always shown great interest for the Mediterranean Sea. In particular, the Tsarist policy has been directed toward the strategic Straits of Bosphorus and Dardanelles, whose eventual conquest would have allowed the introduction into the Mediterranean routes. This policy was due to the lack of ports on "warm seas". The only ports consisted of Archangel, Odessa, St. Petersburg and Riga, some of which are frozen for much of the year and at all ports rarely used. The Crimean War – in which took part also the Kingdom of Sardinia - was the first post-Napoleonic international conflict that opposed Europe to the “Mediterranean objectives” of Russia. After the defeat, the Tsarist foreign policy aspirations temporarily abandoned the Mediterranean Sea, while the nascent Italy (1861) began to organize a first plan of maritime hegemony. The policies of the two powers collided in 1912 when Italy, in war with the Ottoman Empire, in two occasions forced the Dardanelles. The Russian foreign minister, Sergei Dmitrievich Sazonov, protested strongly because Russia would not admit a new power in the Straits’s management. The moment of crisis, however, did not erase the good relationships between the two peoples that had been consolidated into a tragic circumstance: the “Strait earthquake” of 1908 in which the city of Messina was promptly rescued by Russian sailors in practice permitted by the government of Rome - in Italian waters. The synergy between Italy and Russia turned into an alliance in April 26, 1915 when Italy signed in London an alliance with the Triple Entente composed by Great Britain, France and Russia to fight in a war that was starting to destroy the European continent.

Keywords: Mediterranean policy, Russian policy, Risorgimento, Navy, Bosphorus, Dardanelles, Straits

1. Introduzione

Nell’analisi delle politiche marittime italiana e russa, tra il Risorgimento e il primo conflitto mondiale, non si può prescindere dall’importanza strategica e dalla conseguente attrattiva rappresentata dal mare Mediterraneo, fattori che nei secoli hanno condotto i due Stati a pianificare e attuare politiche mirate all’affermazione e all’aumento della propria influenza in tale area. Il periodo risorgimentale infatti è caratterizzato dallo scontro delle principali potenze del vecchio continente, tra cui anche il Regno di Sardegna, con l’Impero russo dello zar Nicola I. La I Crisi d’Oriente del 1853-1856, conosciuta con il nome di guerra di Crimea, fu il primo conflitto internazionale post-napoleonico (L. Monnier, 1977) e tra le molteplici cause che portarono alla sua conflagrazione, vi fu indubbiamente la consueta tendenza russa all’espansione verso ovest con il precipuo obiettivo di inserirsi, oltre nella regione balcanica, anche nelle rotte mediterranee (A. Battaglia, 2008). Il palese progetto zarista mirava dunque all’indebolimento progressivo dell’Impero ottomano, detentore del controllo dell’area in questione. Un primo episodio era avvenuto già nel 1832 quando il sultano aveva richiesto l’intervento militare russo contro l’insorge vassallo Mohammed Ali (A. Biagini, 2002) leader della secessione egiziana, che aveva attaccato la Siria e i territori anatolici. Nicola I aveva deciso di intervenire tempestivamente per ottenere, tramite un allestente do ni des, dei privilegi relativi al Bosforo e ai Dardanelli. Nel trattato di Unkar Skelessi lo zar aveva rivendicato l’apertura esclusiva degli Stretti alle navi da guerra russe (F. Benvenuti, 1999) e il 20 febbraio 1833 una squadra navale russa era giunta a Costantinopoli e alcune settimane dopo circa diecimila soldati russi erano sbarcati sulla riva asiatica del Bosforo (G. Motta, 1998). Si era trattato dell’unica presenza russa a memoria d’uomo nella zona degli Stretti (F. Dante, 2005). Un ventennio dopo, ai prodromi della guerra
di Crimea, l'espansionismo russo in particolare verso gli Stretti, rimase il principale obiettivo della politica estera zarista. Celato nel pretesto religioso relativo alla protezione dei “Luoghi Santi” e dei fedeli ortodossi, lo scontro contrapponeva il blocco europeo, alleato del sultano, a Nicola I: la contesa era in realtà imperniata sull'egemonia nei territori dell'Impero ottomano e del Mediterraneo orientale. La conquista di tali Stretti era di fondamentale importanza per le sorti dell'impero zarista poiché il territorio sotto dominio russo era molto esteso ma privo di porti su “mari caldi” che ne permettevano l'inserimento nelle principali tratte commerciali. Gli unici sbocchi erano costituiti da Arcangelo, Odessa, San Pietroburgo e Riga (N. Ascherson, 1999) alcuni dei quali ghiazzati per buona parte dell'anno e comunque tutti porti scarsamente utilizzabili. L'eventuale conquista della zona a ridosso degli Stretti, invece, avrebbe permesso alla Russia di giungere a porti strategici che ne avrebbero garantito la penetrazione all'interno dei traffici mediterranei e avrebbero offerto anche l'importante opportunità di inserirsi nelle rotte britanniche per la via delle Indie. L'escalation russa avrebbe potuto dunque minacciare anche l'Inghilterra.

La direttrice di espansione mirava allo smantellamento dei territori ottomani (A. Biagini, 1970), mentre gli interessi britannici puntevano al mantenimento dello status quo, equilibrio che avrebbe logicamente garantito la leadership marittima di Londra. Il Regno di Sardegna che non aveva ancora né una definita politica mediterranea, né una flotta di buon livello, si schierò con la coalizione continentale guidata da Francia e Inghilterra in ottemperanza alla nota strategia estera cavouriana di inserire il Piemonte nel “concerto europeo” (F. Valsecchi, 1939). Il ministro Cavour inviò in Crimea una squadretta da guerra composta dalla Carlo Alberto, legno appena varato, dal Governolo, dalla Costituzione e dal Malafatano: tutto naviglio a vapore posto sotto il comando del capitano di vascello Di Negro. Le imbarcazioni sabaude ebbero il mero compito di trasporto di uomini e mezzi e non presero parte ad alcuna operazione navale nelle acque del Mar Nero (D. Guerrini, 1907).

Il Trattato di Parigi del 1856, successivo al conflitto, regolò tra le altre questioni quella relativa allo status degli Stretti e del Mar Nero, agli articoli 10, 11, 12, 13 e 14 si annullarono di fatto le ambizioni russe verso il Mediterraneo. Nei “protocolli annessi” all'articolo 1 si dichiara:

«Sua Maestà il Sultano, da una parte, dichiara che ha la ferma intenzione di mantenere in avvenire il principio [...] in virtù del quale è stato un ogni tempo vietato alle navi da guerra delle Potenze straniere di entrare negli Stretti del Bosforo e dei Dardanelli e che, finché la Porta si trova in pace, Sua Maestà non ammetterà alcuna nave da guerra straniera nei detti porti. E [gli altri contraenti] d'altra parte, si impegnano a rispettare questa decisione del Sultano e a conformarsi al principio qui sopra enunciato» (V. E. Anchieri, 1959).

2. L'Unità d'Italia e l'Allontanamento Russo dal Mediterraneo

Dopo la guerra di Crimea, la politica espansionistica russa abbandonò momentaneamente l'aspirazione mediterranea ma non smise di tentare di modificare gli accordi di Parigi e di revocare la smilitarizzazione degli Stretti e del Mar Nero, riuscendoci nella Conferenza di Londra del 1871. Le ambizioni tuttavia si dovettero delocalizzare prevalentemente a sud e a est, verso la Russia asiatica.

Il periodo di allontanamento russo dal Mediterraneo, vide la nascita dello Stato unitario italiano e la pianificazione di una prima politica marittima organica e tendenzialmente autonoma del nuovo Regno. «Il ministro della Marina, Cavour era pianamente fiducioso che l'avvenire avrebbe portato alla marina d'Italia gloria e fortuna e non perdeva occasione di affermare la sua fede nelle prospettive navali che si aprivano al nuovo stato» (M. Gabriele, 1958). Dopo i primi problemi legati alla fusione delle marinerie degli antichi Stati italiani, si cercò di rafforzare la flotta che divenne immediatamente un importante strumento di potere politico. I settori particolarmente delicati erano quello Adriatico, in cui le tensioni con l'Austria avrebbero a breve condotto a un nuovo scontro e il Tirreno in cui la presenza britannica e soprattutto francese a guardia delle coste pontificie, non permettevano un'egemonia completa (M. Gabriele, G. Fritz, 1973).

Il settore del Mediterraneo meridionale era quello che offriva maggiori possibilità e opzioni alle strategie di politica estera del Regno Italiano. L'obiettivo principale fu quello di estendere l'influenza alle sponde meridionali dell'antico Mare Nostrum e nello specifico a quelle tunisine, ritenute naturali appendici italiane al di là del bacino mediterraneo. L'intervento militare francese in Tunisia, nell'aprile del 1881, frustrò le aspirazioni italiane e pertanto il governo, in virtù della nuova politica antifrancesa, decise l'avvicinamento alla Germania e il conseguente ingresso nella Triple Alleanza, il 20 maggio 1882 con cui, come noto, in controtendenza alla questione delle «terre irredenti», l'Italia si alleava inoltre all'Impero Austro-Ungarico (J. L. Miège, 1976).

Dopo la paralisi coloniale nel Mediterraneo e il decentramento con Giolitti e Depretis al Corno
d’Africa, nel 1900 si bloccò la situazione proprio nel settore mediterraneo, infatti uno scambio di note segrete tra il Gabinetto francese e quello italiano definì gli interessi reciproci: il governo d’Italia rinunciava ad ogni pretesa sulla Tunisia e sul Maghreb, mentre i transalpini assicuravano il disinteresse in Tripolitania. La conquista di tale regione, seguita dall’espansione in Cirenaica, comportò come noto lo scontro militare con l’Impero Ottomano, «grande malato» d’Europa.

Il 29 settembre 1911 l’Italia dichiarò guerra all’Impero ottomano. La conquista delle regioni libiche non si rivelò stabile e ben salda a causa della resistenza arabo-turca, pertanto il 28 aprile 1912 la Regia Marina procedette all’occupazione di Stampalia e delle Sporadi Meridionali con lo specifico intento di avvicinare lo scontro al territorio metropolitano turco, conquistare momentaneamente l’areipelago dodecanesino per ottenere la resa ottomana in Cirenaica e Tripolitania (M. G. Pasqualini, 2005). In questa occasione avvenne il duplice tentativo di forzatura dei Dardanelli che provocò la dura critica russa nei confronti dell’azione Italiana (M. Gabriele, 1998). La prima incursione avvenne il 18 aprile 1912 quando le imbarcazioni italiane penetrarono nello Stretto e una volta avviste scatenarono la violenta reazione dei forti ottomani. Il secondo attacco allo Stretto avvenne qualche mese più tardi, il 17 luglio. Si trattiò di azioni meramente dimostrative con lo scopo di minacciare il cuore dell’Impero ottomano, tuttavia la condotta italiana urtò profondamente la Russia che nella figura del ministro degli esteri, Sergej Dmitrievič Sazonov, protestò duramente per la violazione italiana degli accordi internazionali. La critica del ministro era mossa in realtà dal timore di un’intromissione di una nuova potenza nell’area degli Stretti, cosa che avrebbe costituito un nuovo ostacolo alla tradizionale politica dello zar verso l’agognato “mare caldo”. Nonostante l’episodio i rapporti italo-russi si mantennero buoni, infatti già da diversi anni, nel Mediterraneo, la flotta dello zar aveva la possibilità di effettuare esercitazioni nelle acque italiane e proprio in concomitanza a un addestramento navale nelle acque siciliane - come ricorda la prof.ssa Giovanna Motta nel suo volume La città ferita. Il terremoto dello Stretto e la comunità internazionale (G. Motta, 2008) - si era verificato pochi anni prima, la mattina del 28 dicembre 1908, il tristemente noto “terremoto dello Stretto” che aveva visto i marinai russi tra i primi soccorritori della popolazione italiana colpita dal sisma (A. Biagini, 1988). Tre imbarcazioni di tonnellaggio pesante della flotta imperiale russa si trovavano nel porto di Augusta: due corazzate Slava e Cesarević e l’incrociatore Makarov. Appresa la notizia della sciagura che aveva colpito le città dello Stretto, l’ammiraglio Livtinov aveva dato l’ordine di salpare nella notte del 28 dicembre e le imbarcazioni erano giunte a Messina la mattina del 29. Evitando i numerosi relitti e detriti galleggianti la flotta - a cui sarebbe giunto anche un altro incrociatore, il Bogaty - era riuscita ad attraccare nel porto, dove già si era addensata una folla di superstiti in cerca di aiuto.

Appena sbarcati, i russi avevano fronteggiato prontamente l’emergenza, infatti la prima esigenza era stata quella di scavare sotto le macerie e i marinai si erano prodigati noncuranti della fatica e del pericolo costituito dalla continue scosse di assestamento. Il primo giorno erano state tratte in salvo un centinaio di persone ed erano state ricoverate a bordo delle imbarcazioni circa 500 feriti. La flotta russa si era anche distinta per l’importante servizio di spola relativo al trasporto di feriti e medicinali tra Messina, Reggio, Siracusa, Palermo e Napoli traendo complessivamente in salvo 800 persone e prestando soccorso a più di 2500 vittime del disastro. Altro compito svolto dalle forze russe era stato quello d’ordine e sicurezza nel porto di Augusta: due corazzate Slava e Cesarević e l’incrociatore Makarov. Appresa la notizia della sciagura che aveva colpito le città dello Stretto, l’ammiraglio Livtinov aveva dato l’ordine di salpare nella notte del 28 dicembre e le imbarcazioni erano giunte a Messina la mattina del 29. Evitando i numerosi relitti e detriti galleggianti la flotta - a cui sarebbe giunto anche un altro incrociatore, il Bogaty - era riuscita ad attraccare nel porto, dove già si era addensata una folla di superstiti in cerca di aiuto.

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3. Conclusioni. I Prodromi della Grande Guerra e l’Adesione Italiana all’Intesa

Dopo l’avvicinamento italo-russo seguito allo scisma e successivamente alla tensione dovuta alla forzatura dei Dardanelli, il continente europeo si avviò alla Grande Guerra. La prevista ostilità italo-russa - dovuta all’appartenenza ai due schieramenti opposti - mutò invece in alle anza il 26 aprile 1915 quando l’Italia, impegnandosi a entrare in guerra con Inghilterra, Francia e Russia, assicurò la supremazia dell’Intesa nello scacchiere mediterraneo ai prodromi di una guerra che avrebbe ancora a lungo insanguinato il vecchio continente.

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Il mare Mediterraneo dunque ha rappresentato un polo d’attrazione notevole per l’Impero russo che ha cercato spesso di ovviare al grave problema dell’inutilizzabilità dei propri porti. La naturale tendenza verso ovest ha caratterizzato per molti secoli la politica estera zarista che è entrata sovente in rottura di collisione con la politica delle potenze occidentali, in primis Gran Bretagna, ostinate alla conservazione dell’ordine e dell’equilibrio continentali e soprattutto mediterranei.

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The National Question in the Kingdom of Serbs, Croats and Slovenes. 
The Croatian Case

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Abstract
The dissolution of the multinational State of Yugoslavia after a half century of Socialist regime and its violent transformation into several independent States during the 90’s renewed the debate about the origins and the development of the “Yugoslav national question”. The paper describes how the foundation of the Kingdom of Serbs, Croats and Slovenes after the WWI was an unsuccessful attempt to create a modern and unitary Nation-State for the Croats and the other Yugoslav nationalities.

Keywords: Kingdom of Serbs, Croats and Slovenes; Croatian national question; Croatian Peasant Party; centralism; federalism.

1. Introduction

At the end of the First World War the victorious powers of the Entente imposed a new European balance and redrew the political chart of the continent, failing those hopes and illusions that rose among the masses during the long and hard years of conflict. The several misinterpretations of Peace Treaties and the discontent of different national aspirations paved the way for a period of instability and unrest in Europe; the “Nation-States”, risen from the ruins of the multinational Empires, often proved to be weak and fragmented as their predecessors. In the Balkans the Kingdom of Serbs, Croats and Slovenes (Kraljevina Srba, Hrvata i Slovenaca, SHS, renamed Yugoslavia in 1929) – born thanks to the support of the allied powers to the aspirations of Serbia – did not represent a valid solution to the conflictual situation existing between the different South Slavic components of the State, and, moreover, the Croats opposed to the process of assimilation to a Serbian-centric State, considered a clear violation of their own right to self-determination.

The assassination of Archduke Franz Ferdinand in Sarajevo was the dramatic culmination of an irreconcilable conflict which entitled, in the South Slavic area, the commitment of a Yugoslav unification of Serbia and the idea of forming an Habsburg multinational State (Tamborra, 367). The regent Aleksandar Karadjordjević and the Prime Minister Nikola Pašić, leader of the Serbian Radical Party (Narodna radikalna stranka, NRS), made the pan-Serbian ideal the inspiring principle of their political program, convinced that the time for achieving the expansionistic ambitions to the expense of the Habsburg Empire had come. From September 1914 they informed the allies of the Entente of their intention, in case of victory, of creating a powerful State of South Slavs, which included Serbs, Croats and Slovenes (Banac, 116). Yet, the Government in Belgrade regarded the liberation and unification of South Slavs mainly as the unification and integration of other nationalities in a Greater Serbia.

2. The Croats from Habsburg to Karadjordjević

At the beginning of the century there was an increasing number of Croats and Slovenes who placed their hopes in Serbia. The Croatian society was deeply divided, as a consequence of endless protest movements. Two ideological orientations dominated the political life: from one hand, the Yugoslavist and anti-Habsburg approach of Frano Supilo and Ante Trumbić tended to an alliance with the Serbs of the
imperial lands; from the other, the Austro-Slavic and anti-Serbian orientation, supported by the pan-
Croatian particularism of the Croatian Party of Right (Hrvatska Stranka Prava, HSP),\(^1\) was prone to the
solution of the Croatian question inside the Empire granting the autonomy to South Slavs, similar to the
one bestowed to Hungarians in 1867. Moreover, in 1904 the two brothers Stjepan and Antun Radić
founded the Croatian Peasant Party (Hrvatska Pukća Seljačka Stranka, HPSS) which, although it was
created on a peaceful basis, gave rise to strong protest movements, giving itself the exclusive right of
representing Croatian interests.

If the old Croatian political generation was very doubtful about the opportunity of an alliance with
the Serbs, fully supporting the Austro-Slavist solution, younger generations were willing to break the
imperial ties and create a Yugoslav State. In April 1915 Supilo and Trumbić, together with other exiles,
constituted the Yugoslav Committee (Jugoslovenski Odbor),\(^2\) and from that moment the real challenge for
Pašić was reaching an agreement with it. The Yugoslav Committee was willing to collaborate with the
government in Belgrade but not as a mere agency of Serbian propaganda, as it was in Pašić’s wishes.
Trumbić and Supilo regarded all Serbs, Slovences and Croats as one people without distinctions of
nationality, entitled to have an independent State which was based on the principles of national right and
self-determination, and not on what Serbia achieved in the conflict. The Yugoslav Committee and the
government in Belgrade were ready to collaborate for the unification but Pašić did not want to grant big
concessions to Croats, willing to subordinate the annexed Habsburg territories to the pre-existing Serbian
institutions (Banac, 118-119).

On 20\(^{th}\) July 1917 Pašić e Trumbić signed the Declaration of Corfu, the agreement that made the
creation of the Kingdom of Serbs, Croats and Slovences – under the Karadjordjević dynasty – possible. As
a constitutional, democratic and parliamentary monarchy, the new State was about to recognize the two
alphabets (Cyrillic and Latin), the three names, the three national flags and the three religions (Catholic,
Orthodox and Islamic), adopting universal male suffrage for the election of the future constituent
assembly.\(^3\) Trumbić, from his own side, looked favourably upon an unitary solution with the devolution
of legislative and administrative powers, to ensure that other national entities could have a degree of
autonomy in internal affairs (Tamborra, 409).

Yet, the Pact of Corfu left some unresolved issues that would have showed the limits of the agreement.
First and foremost, the Yugoslav Committee did not receive any official mandate from the
South Slavs of the Dual Monarchy, thus representing exclusively the aspirations of a political and
intellectual elite, which actually differed from the real feelings and desires of the population. The most
delicate issue remained deliberately open: Pašić and Trumbić just proclaimed the Yugoslav peoples as one
nation, as for blood, language and territorial continuity, but did not provide indications about the
institutional aspects of the common State. The Karadjordjević dynasty would have ensured a stable union
between people of different traditions, languages and religions, but it was not established whether the
organization of the new State was characterized by centralism or federalism. The former corresponded to
the dominant practice of the Serbian Kingdom extended to the acquired lands, the latter being rather
more suitable to safeguard the political and civil rights of the different Yugoslav nationalities (Lederer, 34-
35).

During 1918 the initiatives in favour of unification became more frequent. At the end of
September the Dual Monarchy was subjected to offensives on all fronts and the authorities of Vienna and
Budapest rapidly collapsed in the Southern Slavic provinces. To fill the gap of power of the Empire, on
5\(^{th}\) October the National Council (Narodno vijeće) of the South Slavic peoples of the Empire was convened
in Zagreb, representing the highest institutional body of all Croats, Serbs and Slovences of the Habsburg
territories (Goldstein, 110-111). On 29\(^{th}\) October the Croatian Sabor declared the end of the union with
Hungary and gave the highest state authority to the national Council of Zagreb which, in turn, declared
itself in favour of the union with Serbia and Montenegro, without mentioning further conditions. The
proposal was approved and only Stjepan Radić, leader of the Croatian Peasant Party, voted against,
advancing republican requests for the Croats. On 24\(^{th}\) November the Serbian government recognized the

\(^1\) The “Right” in the party’s name refers to the Croatian historical right to achieve national independence.

\(^2\) The Yugoslav Committee was conceived in Florence on November 22, 1914, during a meeting between Croatian and Bosnian-Serb political
National Council in Zagreb as the legal representative of the new kingdom of the South-Slavs and the two sides proclaimed the national unification: after having been appointed member of the delegation in charge of carrying out the negotiation in Belgrade, Radić delivered an outraged speech in favour of Croatian independence, being thus excluded from such talks. Executive and legislative powers were temporarily given to special delegations, waiting for the formation of a constituent assembly and the drafting of a constitution. The agreement sought to satisfy both the needs of the centralized State and the federalist requests (Tanner, 118-120).4

On 25th and 26th November Montenegro and Vojvodina were officially annexed to Serbia and, finally, on 1st December 1918 Aleksandar Karadjordjević proclaimed the birth of the Kingdom of Serbs, Croats and Slovenes, which should have preserved the integrity of Slovenian and Croatian lands, occupied by Italian troops, and ensure the order in those territories where the risk of unrest was high, due to food shortage and wartime sacrifices.

The Croats immediately showed a strong opposition: on 5th December the armed soldiers refused to take their oath of allegiance to the king and dispersed in the streets of Zagreb giving rise to violent demonstrations of dissent (Goldstein, 115). The Croatian secessionist spirit was growing unceasingly, intolerant of a domination which was considered inferior, as for culture and traditions. Even the intellectual groups which initially greeted with enthusiasm Yugoslavia’s unification, were about to change their minds, embracing Croatian national cause.

The Croats, however, politically weak, were forced to accept the Serbian conditions also in order to ensure international protection from Belgrade, in order to counter the Italian aspirations for national completion and strategic security in the Adriatic Sea. Tension between Italy and the Kingdom of Serbs, Croats and Slovenes arose at the end of the war, when the Austro-Hungarian Empire dissolved and Italy occupied ethnically mixed territories – with Slovenes and Croats composing over the half of the population of the region – assigned to it by the Treaty of London of 26th April 1915. On 12th November 1920 the dispute was solved signing the Treaty of Rapallo, that annexed to Italy the Western part of Carniola, Istria, the city of Zadar and the small Dalmatian islands of Lošinj, Cres and Lastovo. According to the treaty, the city of Rijeka (Fiume) would become an independent and free State, thus ending the military occupation of Gabriele D’Annunzio’s troops. Finally on 27th January 1924 Italy and the Kingdom of Serbs, Croats and Slovenes signed the Treaty of Rome, which gave Fiume to Italy and Sušak to the South Slavs.5

3. The Vidovdan Constitution

Yugoslav internal contrasts and divisions were clearly visible in the negotiations for the formation of a government which included the parties of the different national components. The conflict between advocates of centralism and proponents of federalism caused a governmental paralysis, which marked the first years of life of the country. In March 1919 the Constituent Assembly was convened in Belgrade, composed mainly of the parties already existing among the various national realities and dominated by Pašić’s radical followers, who could count on the support of Svetozar Pribićević, leading figure of ex-Habsburg Serbs, and of his Democratic Party (Demokratska stranka, DS), created from the union of radical Serbian dissidents and representatives of the old Croatian-Serbian coalition in Zagreb.

The absence of an absolute majority at the Skupština led to the formation of a coalition government and brought to the elections for the Constituent Assembly in November 1920. In order to obtain the approval of a centralized constitution, Radicals and Democrats sought the support of smaller national groups, included Bosnian and Sandžak Muslims, in exchange for cultural and religious autonomy. Seeking the temporary support of some nationalities to obtain the power, in exchange for financial and administrative privileges, was the political stream in Belgrade during the 1920’s; however, despite contingent agreements, Serbian leaders had no intention of leaving their own political leadership.

Even with the enlargement of the radical-democratic coalition towards smaller groups, the parliamentary majority remained however modest. The Croatian Peasant Party – with the new name of Croatian Republican Peasant Party (Hrvatska Republikanska Seljačka Stranka, HRSS) – thanks to a program of federal and republican leanings, reported a triumphant success among the Croats (who voted for the

4 Regarding the claims of the National Council during the negotiations see the document with specific instructions to the delegation in F. Šitić, Dokumenti, pp. 275-276.
5 For the text of the Treaties of London, Rapallo and Rome see A. Giannini, Documenti per la storia dei rapporti fra l’Italia e la Jugoslavia, Roma: Istituto per l’Europa orientale, 1934, pp. 7-161.
first time through universal male suffrage) becoming the first opposition party and generally the third in the Parliament in Belgrade. Yet, at the crucial point of voting on the constitution, Radić made the wrong choice of abstaining from parliamentary sessions, to protest against the abrupt procedures of Radicals who did not take into consideration the projects presented by the opposition; the result was a constitution that clearly matched Serbian political interests (Pirjevec, 37-39).

The Vidodjan Constitution was approved on 28th June 1921. With a tiny majority obtained through compromise with the Yugoslav Muslim Organization (Jugoslovenska Muslimanska Organizacija, JMO), the constitution was formulated in such a way as to ensure the supremacy of a government which did not have the capacities to exercise the power without resorting to the army and the gendarmerie; the constitution of the Yugoslav State, in its final form, was unacceptable to the other nationalities of the kingdom and did not receive the approval from Trumbić and some radical deputies. Two days before the officialization, also Radić and other Croatian politicians asserted the invalidity of the constitution; Korošec, instead, who was sensing pan-Serbian leanings, accused the leadership in Belgrade of destroying the historic tradition, the cultural life and the political-economic growth of Slovenes and Croats. On 29th June, the solemn ceremony of the promulgation of the constitution was disturbed by a worker who attempted, failing, on the prince regent Aleksandar's life; similar situation but different ending for the Minister of Internal Affairs Milorad Drašković, who was killed, one month later, by a young Bosnian communist, Alija Alijagić. These attacks gave the government the right excuse for the suppression of dissident political parties and for the parliamentary approval of a series of decrees aimed at defending the State from terrorist attacks: the communist party was declared illegal, its fifty-eight deputies were expelled from parliament and its activities were kept secret since then.

The constitution of 1921 impaired the situation between Serbs and Croats once and for all, worsening the imbalance between centre and periphery. The following years witnessed a relentless iron hand between the government and Radić’s party: republican and antimilitarist, Radić cherished the illusion of creating a peaceful rural Republic of Croatia in a wider Yugoslav confederation. He firmly opposed to any kind of collaboration and he based his strategy on the boycott of parliamentary sessions, rejecting any form of dialogue with other political parties which stood against Belgrade centralism. This strategy proved to be disastrous and even fostered the Serbian government in the realization of a State that totally matched his own interests.

4. The Croatian Peasant Party’s Politics and the Murder of Radić

Radić desperately pursued the support of European powers. In August 1922 he addressed the League of Nations to denounce the situation of the Croatian people, whose conditions were even worse compared to the Habsburg period; he also stated that Croats had lost the autonomy they enjoyed during the Habsburg Empire – albeit limited by Hungarian interference – therefore they did not recognize the Vidodjan Constitution and formally demanded the recognition of Croatian independence. In Zagreb an assembly of notables turned into a demonstration claiming the revision of the constitution (Goldstein, 119); as a result, the Croatian leader Radić was accused of “republican unrest” and tried to avoid arrest escaping abroad, in July 1924, and spent several months around Europe denouncing the Serbian oppression. Nevertheless, Yugoslavia was for France and Great Britain a fixed point in the policy of containment of Germany and Soviet Union in the Balkans and destabilizing the area to support the Croatian cause was pointless. Discarded by Western powers, Radić decided to approach the Soviet Union, that looked at the Kingdom of Serbs, Croats and Slovenes as a capitalist outpost in the Balkans; this attempt was unsuccessful for the Croatian leader, who was arrested at the beginning of 1925, charged with conspiracy against the Yugoslav State together with Comintern (Pirjevec, 51-55).

The following period was extremely tough for the Croatian Peasant Party: Pašić and Pribićević violently repressed Croatian political activities, taking into account the possibility of dissolving the party; yet, the repression had a scanty influence on the constituency and at the elections in February 1925 the party obtained great success again (Magaš, 517-519). Since repression failed, Pašić decided to undertake a new course, which then led to amazing changes in Yugoslav political life. The radical leader began negotiations with Radić, still in prison, for the formation of a governmental coalition between Serbian Radical Party and Croatian Peasant Party. First signs of rapprochement appeared in March 1925, when Pavle Radić, Stjepan’s nephew, announced that the Croatian Peasant Party accepted the constitution of 1921 and recognized the national monarchic dynasty, asserting that Croatian autonomist claims would not in any way damage the Yugoslav unity (republican and separatist propositions were largely abandoned). In July, the Croatian Peasant Party and the Serbian Radicals – free from the alliance with Pribićević – were
ready to form the governmental coalition and a new executive power was immediately constituted, once Radić was released: he was going to enter the cabinet in November as Minister of Education — his first and only governmental appointment in the Yugoslav Kingdom (Tanner, 121-122).

The decision of the Croatian Peasant Party to abandon the hard line and reach a compromise with Belgrade revealed the ecletic orientation of its leader, who tried several times, during the 1920’s, to find a solution to the Croatian question taking into consideration each and every possibility (like the approach towards Soviet Union). The governmental coalition lasted few months: Pašić repeatedly interfered with the work of the Croatian leader, who lost prestige among the Croats. The coalition was quite a failure among Croats and Serbs too: there was discontent among serbian officers, afraid that the approach between the two parties could threaten Belgrade’s centralism and Yugoslav unity.

In February 1927, the Croatian Peasant Party went back to the opposition: two months earlier, on 10th December 1926, Pašić, the real proponent of the Kingdom of Serbs, Croats and Slovenes, died. Aware of the big problems threatening Yugoslav unity, the Serbian leader tried, till the end, to consolidate the State involving Croats too. At his death, the situation worsened still further: Pašić had created a vast system of patronage that allowed him to control interests and affairs of Caritiya, the ruling oligarchy, in order not to call into question its authority. The Serbian ruling class, made of politicians close to the court, orthodox clergymen, Belgrade’s upper middle class and army officers, took exclusively care of its own interests. The profiteering behaviour of the Serbian establishment stirred up the Croatian protest: large masses of people, regardless of nationality, were hostile towards the government and bearing the burden of destitution and ignorance contributed to the instability of the State, already unsettled by social disparities. When the old leader died, his own system fell into pieces and the chaos of the Serbian establishment spread, with increasing corruption – even Pašić’s son was involved in a business scandal – and without a charismatic figure capable of curbing the most detrimental behaviours (Pirjevec, 58-60).

In November 1927 Radić made another unexpected move forming an alliance with Pribićević, the democratic leader exponent of ex-Habsburg Serbs. They had been political rivals and the latter at that time supported Belgrade’s centralism, that eventually proved to be oppressive towards Serbs of Croatia (former Habsburg provinces were subjected to a greater tax pressure than the territories of the old Serbian Kingdom) and Pribićević ended up in opposition ranks (Magaš, 519-520).

Yugoslav internal conflict reached its peak in 1928, year of growing tension in the kingdom. On 20th June, in parliament, the radical deputy Puniša Rađić shot to death Pavle Radić and another Croatian deputy; he shot Stjepan too, who died a few days later. During the funerals, attended by around 100.000 people scattered in the streets of Zagreb, impressive demonstrations and violent uprising took place all over Croatia (Kulundžić, 1967, 173).

5. Conclusions

The existence of the Kingdom of Serbs, Croats and Slovenes came actually to an end. A few months later, the State assumed the name of “Yugoslavia”, with the pointless purpose of reinforcing the State and creating a common feeling of national union. King Aleksandar took actual sovereignty of its own kingdom only after Pašić’s death: in 1929 he changed the denomination of the Yugoslav State, strengthening the authoritarian regime in a dictatorship and leading to an increasing discontent of Yugoslav nationalities and a rapid development of centrifugal nationalist movements. The attack that killed the king was going to be organized right by Croatian ustaše.

In the 1990’s the Yugoslav experience came to an end, with the dissolution of the Yugoslav State and its transformation into several small States, although Second World War had already showed how dangerous and difficult the coexistence of Yugoslav nationalities was. The aggression of the Axis in 1941 exacerbated internal rivalries of South Slavs with a disastrous outcome, worsening the predicament of war-ravaged Yugoslavia; yet, the situation did not improve when the socialist regime collapsed. Many people, poisoned with relentless propaganda and exhausted by socio-economic unease, thought that their identity and freedom were at risk; they gave rise to fanatic forms of nationalism and ended up rejecting what had been, despite difficulties, the most original and praiseworthy feature of the Yugoslav State (monarchic or socialist it was), namely the cultural and religious pluralism, which had always been the symbol of the coveted, exploited and unfulfilled Yugoslav spirit.
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News Episodes in Advance Level Classes

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Abstract Today, having access to audio/visual mass media programs such as TV and radio news is very easy for all the people around the world. In the same line, many studies have emphasized the pedagogical values of TV and radio programs to be used in language learning. Accordingly, the present study tries to investigate the effect of listening to TV and radio news on improving language learners’ speaking proficiency at the advance level. For this purpose, a speaking test was administered to two hundred language learners and finally sixty language learners were selected as advance language learners and randomly divided into group one and group two. During the experiment, group one participants had exposure to TV news to work on in-and out-side the classroom. On the contrary, the participants in group two had only exposure to a sample selected utterances extracted from different kinds of TV and radio programs rather than news. At the end of the experiment, both groups took another sample speaking test to see whether or not any changes happened regarding their speaking proficiency. The results of the post-test showed that the two groups performed differently on the post-test which was indicative of the fact that exposure to mass media news promote language learners’ speaking proficiency at the advance level.

Keywords: Integration, TV news, Speaking proficiency, Advance level

1. Introduction

Linguistically speaking, there are a number of particular characteristics observed in developing any TV and radio news which make it different from other genres.

In this regard, one of the characteristics of TV news which make it pedagogically valuable to be used in English language classrooms is vocabulary recycling (Blatchford, 1973; Brinton & Gaskill, 1978). The recycling feature of vocabulary in TV and radio news genre is also known as redundancy of language input which is generally understood by the students to help their second language comprehension (Chaudron, 1983; Chiang & Dunkel, 1992).

In the same line, news writers and news reporters or newscasters are aware of the role of the news genre in the public attitude. Accordingly, they make their attempts to present the news stories, discussions, and commentaries as precisely and directly as possible to draw individuals’ attention. To reach the goal, news agendas also use specific vocabularies and structures to make the news stories more understandable to the public. In other words, ambiguous structures which may hamper comprehension are almost avoided in developing and presenting news stories. As the news consistently consist of the same vocabularies, a good tutorial benefit implicitly exists in TV and radio news programs (Blatchford, 1973).

Fluency of speech which comprises the use of appropriate pausing, intonation, stress, rate of speaking, and the use of interjections and interruptions is another crucial characteristic of TV news stories (Bell, 2003). Consequently, fluency of speech is a dominant linguistic feature which can be observed in utterances designed and developed to be read by newscasters. However, Chambers (1997) considered fluency as a component of oral proficiency which is acquired and emerges naturally.

In this relation, one of the most important ways of improving language learners’ speaking proficiency may be through having exposure to fluent native speakers or even fluent nonnative speakers. In more particular situations, from among all the TV and radio programs, the TV and radio news stories
have proved to be effective in teaching different skills of language such as listening comprehension.

However, TV news stories may have a different look for at least two reasons: first, many language learners seem to be interested in different news types; second, due to the various discoursal functions of the TV news stories, the listener may or may not have to focus on either form or the content.

Considering all the above-mentioned issues, one of the audio-visual inputs which proved to be effective in helping language learners at the advance level to improve their speaking proficiency is TV and radio news stories. Regarding this point, the present research intended to investigate the effect of exposure to TV and radio news stories on advance level language learners’ speaking proficiency.

2. Review of the Related Literature

The pedagogical value of news stories and the possibility of using various news stories at all levels of language learning classes in order to boost different language skills have been the focus of so many studies.

In a research carried out by Brinton and Gaskill (1978), the effect of listening to news from TV on improving the listening comprehension of language learners was studied. Brinton and Gaskill (1978) argued that using TV and radio news utterances as teaching material has proved effective on improving listening comprehension of language learners having difficulty in dealing with comprehending news utterances.

A similar study which focused on using TV news to improve listening comprehension was also conducted by Poon (1992). In addition to the above-mentioned studies, Baker (1996) also focused on the pedagogical value of TV news in EFL classes and listening comprehension. According to Baker (1996), TV and radio news can help EFL students improve their listening comprehension.

The use of fast speech such as those of TV and radio news in EFL/ESL classrooms has also been studied by some other scholars. In this regard, Cauldwell (1996) conducted a study aiming at discovering the relationship between direct encounters with fast speech such as TV and radio news and teaching listening to EFL students. Accordingly, students may have some problems coping with fast speech at first. However, EFL students can diminish these problems and improve their listening through great amount of exposure to fast speech. Another short study conducted by Mackenzie (1997) also highlighted the possibility of using TV and radio news reports at all levels of EFL learning. The study rejected the assumption that because the reporters speak too fast, the content is too complex, and the vocabulary is too difficult, TV and radio news cannot be used at lowest levels of EFL situations.

Regarding proficiency and comprehension of television and radio news in a foreign language, a research by Berber (1997) highlighted the point that through enough exposure to these materials, students can easily cope with the comprehension of such materials. Cabaj and Nicolic (2000) also noted that a great amount of exposure to TV and radio news could help students to cope with TV and radio news broadcasts easier. Moreover, through exposure to TV news and radio programs students acquire the knowledge, structures, strategies, and vocabularies they can use in everyday situations.

In the same line, a study was conducted by Bell (2003) focusing on the pedagogical value and informative aspects of TV and radio news broadcasts in EFL settings. He considered background knowledge or content schemata, formal schemata, and linguistic difficulty as three broad categories for selecting any kinds of TV and radio news stories for the EFL classrooms. However, Wetzel et al. (1994), in their study, found that TV news is not always helpful in comprehension.

In short, the majority of the aforementioned descriptive and experimental works have been conducted on the pedagogical value and the effect of exposure to TV and radio news genre on promoting different language skills especially listening comprehension but none of them has specifically focused on the relationship between exposure to mass media news genre and EFL learners’ speaking proficiency (Poon, 1992; Baker, 1996; Berber, 1997; Beach & Somerholter, 1997, to name only a few). This was one of the initial reasons to carry out the present study.

3. Statement of the Problem

Developing speaking proficiency in general has always been the main concern of English language learners. In the same line, this researcher believes that language learners cannot develop a satisfying speaking proficiency mostly because of their few amount of exposure to utterances filled with fluently produced discourses such as those found in various news stories. English language learners mostly watch different kinds of movies for their intensive and extensive listening practice. However, this researcher still
believes that high amount of exposure to news from TV and radio may prove effective in promoting advance level language learners' speaking proficiency.

4. Research Questions

More particularly, this study is set out to answer the following questions:

1. To what extent does greater exposure to TV and radio news improve advance level language learners' speaking proficiency?

2. To what extent does greater exposure to TV and radio general language listening material (non-news) improve advance level language learners' speaking proficiency?

5. Methodology

5.1. Subjects

The initial population of this study comprised one hundred last year language learners including both males and females majoring in TESL. Out of the initial population, 60 participants were selected based on a speaking proficiency pre-test to carry the research.

5.2. Instruments and Materials

The first instrument was a set of sample parallel speaking proficiency tests from IELTS which were used as pre-post tests. Efforts were made to ensure that the post-test was not focused on input from any one type of genre, for example, news or non-news. Moreover, the tests were selected to be parallel to increase the internal validity.

Regarding the materials that were utilized, it should be mentioned that 2 kinds of different materials from the same mass media (TV and radio) were used. The first one was a collection of 150 hours authentic news programs including both video and audio extracted and prepared from Voice of America (VOA) and CBS which was given to group one to work on in-and out-side the classroom. The second material was a collection of 150 hours authentic programs rather than news prepared from the same mass media for group two to work on in-and out-side the classroom. Regarding these two collections of materials, it should be mentioned that their difficulty levels were evaluated to be the same in terms of vocabulary, structure, and syntaxes.

5.3. Procedure

This research was conducted based on pre-test and post-test design. The first step to take, before the participants were selected, was to verify the reliabilities of the sample IELTS speaking pre-post tests. Regarding verifying the reliability of IELTS test, it should be mentioned that there is a disagreement among the scholars. Some believed that IELTS test is standardized and there is no need to verify its reliability. On the contrary, some other scholars believe that it should be verified. However, in order to leave any question, the reliabilities of the sample IELTS tests were verified by employing parallel tests method.

To do so, both tests were given to a trial group of last year students including both males and females. Then, the reliabilities of both tests were calculated separately by parallel tests method and the following results were obtained:

<table>
<thead>
<tr>
<th>Reliability Statistics related to the two parallel tests</th>
</tr>
</thead>
<tbody>
<tr>
<td>Common Variance</td>
</tr>
<tr>
<td>True Variance</td>
</tr>
<tr>
<td>Error Variance</td>
</tr>
<tr>
<td>Common Inter-Item Correlation</td>
</tr>
<tr>
<td>Reliability of Scale (Test 1)</td>
</tr>
<tr>
<td>Reliability of Scale (Test 2)</td>
</tr>
</tbody>
</table>

Accordingly both tests were reliable enough to be used. Once the reliabilities of the above-mentioned tests were verified, one of the tests was given to one hundred last year language learners including both males and females. When the scores of the tests were obtained, 60 participants who scored above the
mean were selected as homogeneous advance language learners. Then, the 60 homogeneous participants were divided into two groups as group one (n=30) and group two (n=30) based on random judgment sampling.

Throughout the experiment which lasted for one academic semesters (3 hours a week), the researcher provided group one participants with the news media exposure (from the above mentioned 150 hour collection) to work on in-and-outside the classroom with researcher monitoring. On the contrary, group two was provided with exposure to non-news programs (from the above mentioned 150 hour collection) to work on in-and-outside the classroom with researcher monitoring.

During the experiment and for each interval between every two sessions, the participants in group one were asked to watch and listen to at least 4 hours of the already selected news from the collection from mass media outside the classroom and write down the summary of whatever was heard which will be viewed and discussed later inside the classroom.

Moreover, group two participants were also asked to do the same with non-news media programs outside the classroom. In other words, they were also asked to watch and listen to at least 4 hours of the already selected non-news media programs from the collection outside the classroom and write down the summary of whatever was heard which will be viewed and discussed later inside the classroom. As the matter of fact, this was only done to make sure that group one participants had at least the same minimum amount of exposure to news from the mass media and group two participants had at least the same minimum amount of exposure to non-news programs from the mass media outside the classroom.

After 16 weeks of exposure of group one to news from mass media and group two to non-news programs from mass media, all the participants took the second parallel IELTS speaking proficiency test as a post-test to check if there was any change in their speaking proficiency. After the participants were interviewed (speaking post-test), the scores of both groups gained from pre-test and post-test were compared by means of t-test analysis to see whether or not any changes happened regarding their speaking proficiency.

6. Results and Discussion

After the end of the experiment, the research questions were answered according to the data obtained from the administration of the pre-post tests to both groups. In relation to the first question, the results obtained from the pre-post tests related to the participants who had exposure to news during the period of the study showed a great difference in the means of the pre-test and the post-test. However, in order to find out to what extent this change in the means was significant, a statistical analysis of t-test was employed. According to the results of the t-test, the difference was significant which was indicative of the fact that greater exposure to news had a significant effect on improving the speaking proficiency of advance level language learners.

Considering the second question which was about the effect of exposure to non-news on advance level language learners’ speaking proficiency, the results of the pre-post tests related to the participants who had exposure to non-news during the period of the study showed a minor difference in the means of the pre-test and the post-test. However, in order to find out to what extent this small change in the means was significant, a statistical analysis of t-test was also employed. According to the results of the t-test, the difference was not significant enough which was indicative of the fact that greater exposure to non-news did not have a significant effect on improving the speaking proficiency of advance level language learners.

Following is the statistical analysis related to the data obtained from the administration of both tests to the both groups:

<table>
<thead>
<tr>
<th>Groups</th>
<th>N</th>
<th>MEAN</th>
<th>SD</th>
<th>t-test</th>
</tr>
</thead>
<tbody>
<tr>
<td>Group one pretest</td>
<td>30</td>
<td>17</td>
<td>.50</td>
<td>_4.253</td>
</tr>
<tr>
<td>Group one posttest</td>
<td>30</td>
<td>21</td>
<td>.46</td>
<td></td>
</tr>
</tbody>
</table>

T-observed = 4.253
T-critical = 1.671
T-observed bigger than t-critical
Descriptive statistics related to group two pretest and posttest results

<table>
<thead>
<tr>
<th>Groups</th>
<th>N</th>
<th>MEAN</th>
<th>SD</th>
<th>t-test</th>
</tr>
</thead>
<tbody>
<tr>
<td>Group two pretest</td>
<td>30</td>
<td>16</td>
<td>.58</td>
<td>-.0235</td>
</tr>
<tr>
<td>Group two posttest</td>
<td>30</td>
<td>17</td>
<td>.41</td>
<td></td>
</tr>
</tbody>
</table>

T-observed=-.235
T-critical=1.671
T-observed smaller than t-critical

The results of the present research are indicative of the fact that greater exposure to news genre boosts speaking proficiency at the advance level more than that of the non-news. Accordingly, the results of the present study are in line with the studies conducted by Brinton and Gaskill (1978), Cauldwell (1996), and Mackenzie (1997) regarding the effect of exposure to mass media news on improving different language skills. The findings of the present research shed more light to what Mackenzie (1997) put forth regarding the pedagogical value of news stories and the possibility of using news stories at all levels of language learning.

In the same line, the present study proved that greater exposure to audio/visual mass media news can improve speaking proficiency at the advance level to a significant extent. The reason behind this might be that the recycling feature of vocabulary used in TV news and the lack of inappropriate pausing, which is fluency of speech, could help the participants in group one to improve their speaking proficiency to a significant extent. Following is the descriptive analysis of the data obtained from the pre-post tests related to both groups.

Accordingly, those participants who had exposure to news items rather than non-news ones had the chance to have exposure to utterances in which fluency of speech is a dominant feature. This feature is observed less in non-news materials such as films.

Moreover, appropriate pauses and intonation which lead to fluency in speech are other dominant features of news episodes. This criterion also paved the path for the participants in the first group to improve their speaking proficiency.

In relation to the limitation of the study and its findings, it should be mentioned that the participants of the present research were all advance level language learners who showed great interest in having exposure to both news and non-news. However, further studies can be conducted with low or intermediate levels language learners to find out the effectiveness of having exposure to news on their language proficiency.

7. Conclusion

The aim of this study was to provide empirical evidence on fill the effect of exposure to mass media news on speaking proficiency at the advance level classes. In brief the researcher arrived at the following conclusions:

- Because fluency of speech is a key feature of any audio/visual news episode, language learners aiming at improving their speaking proficiency in general and speaking fluency in particular should have greater exposure to these kinds of materials.
- Stress, intonation, and appropriate pauses at appropriate junctures are essential features for the enhancement of speaking proficiency. Accordingly, having exposure to language materials in which these features are highly observed can boost speaking proficiency.
- Vocabulary recycling is another feature regarding any audio/visual news which is generally understood to help language learners build up their lexicon over time.

References


Lesser of Two Evils?  
Slavery in a Comparative Perspective in 19th Century American Travel 
Narratives of the Ottoman Empire  

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Abstract  Nineteenth century travels of Americans from various backgrounds to the Ottoman Empire resulted in abundant literature which largely went unnoticed by scholars of American literature in the following centuries. Genre of travel provides the authors with opportunities that are manifold. The most essential of these opportunities were usually the most obvious: representation of self, the young nation; representation of the other (the Ottoman Empire) and a comparative approach, the result of which would either be reassurance of the superiority of the nation or self-critique. The comparative approach was presented regarding many subjects but one of them was not as easily tackled by the authors as the rest: institution of slavery, its practices and repercussions in both lands. This paper presents a limited survey of this particular comparative approach in nineteenth century American travel narratives by revealing its presence as well as absence in the authors’ discursive preferences.

Keywords: travel, Orientalism, slavery, representation, metadiscourse

1. Introduction

1.1 Discursive Background

At first glance, the lack of colonial entanglements between the author (American travel writer of the 19th century) and the subject matter (Ottoman Empire) appear to emancipate the critic from the exhausted realm of binary oppositions of East/West, civilized/barbarian, real/imaginary etc. Granted, metadiscourse of the critic in this case, is not destined to be an emulative analysis of any other analysis of a variant of any other travel narrative rich in imagery and poor in accuracy. When the American domestic framework with its Anglo-Saxon cultural inheritance, its unique productions of American exceptionalism, essentialism, manifest destiny, and frontier experience is taken into consideration, metadiscourse of the critic will avoid an exhausted realm. Nevertheless, it will delve into an uncharted territory (not conceptually but in terms of the context they are applied in). Even after recounting the nation-specific discursive elements and the tendencies that shape these elements, the critic will have to reappropriate many terms that have been used and came to be identified with French/British Orientalisms. And this constant struggle for differentiation and justification of the contemporary literary critic mirrors a similar struggle 19th century American travel writer of our primary sources might have gone through. Author will appreciate or at least acknowledge (in a direct manner like Nathaniel P. Willis or in a satirical manner like Mark Twain) the European cultural, literary, artistic heritage but his admiration will not supercede his

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1 Metadiscourse was originally coined by the American linguist Zellig Harris in his 1959 work, *Papers in Structural and Transformational Linguistics*, after which it was redefined by many scholars among which were J. M. Williams, Avon Crismore, Paul J. Beauvais, and W. J. Vande Kopple. It refers to a discourse about a discourse or an utterance that makes the existence of the author apparent. I am using it not to demarcate a formal aspect but simply to identify the task of the literary critic in analyzing the primary travel narrative which has Orient as its subject matter. It might be useful to question and problematize the metadiscourse of the critic in addition to the discourse of the primary text.
design for originality.

This “anxiety of influence” (Bloom, 1997) yet a very specific one, is prevalent in most 19th century American travel narratives. It naturally increases when the writer is an author or a journalist by profession. With each new preface, there is a promise of authenticity either in terms of sub-genre or content. Thus, the fundamental underlying factor that determines the discursive strategy the author is going to employ depends on the stage of psychosocial development of the young nation. The insecurities that accompany the national identity formation reflects on the national genre as well. After all, in 1820, English reviewer Sidney Smith (1839) could write:

> In the four quarters of the globe, who reads an American book? or goes to an American play? or looks at an American picture or statue? What does the world yet owe to American physicians or surgeons? What new substances have their chemists discovered? or what old ones have they analyzed? What new constellations have been discovered by the telescopes of Americans?—what have they done in the mathematics? Who drinks out of American glasses? or eats from American plates? or wears American coats or gowns? or sleeps in American blankets?—Finally, under which of the old tyrannical governments of Europe is every sixth man a slave, whom his fellow creatures may buy and sell and torture? (p. 16-17).

Smith was not entirely wrong, at least in two of his observations which are of interest to this chapter the most: the first and the last. Between 1790-1837, *Robinson Crusoe* had 33 editions which was followed by Samuel Johnson’s *Rasselas* with 19 editions between 1791-1827 (Gross & Kelley, p. 443) which incidentally was not followed by an American book either. As the data of the census was collected and evaluated a year after his publication, Smith takes the census of 1810 into account. According to the U.S. Census of 1820 too, however his estimate was precise. The total population of U.S. was 9,625,734, whereas the slave population was 1,531,436 (U.S. Department of State, p. 18). The accuracy of his informed estimates aside, Smith points to two vitally vulnerable aspects for the travel writer. One is the occupational attempt at positioning oneself within the realm of American literature and a sub-genre of travel literature. The other is the burden on the self-righteous narrator in his unavoidable comparative perspective which has to reiterate the sagacity of U.S. national culture. How will the travel writer of the young republic refute Smith?

Real/imaginary binary, by encompassing geography, people, customs, history and events that are recounted in the text extends to a wide spectrum from fantasy to accuracy. It is very tempting for contemporary scholars of history, anthropology, literature, philosophy to sift through the den of fantasies and weed out the rare items of accuracy. At the risk of trivializing the primary sources one can be induced to retrieve the historicity of the texts and put the rest to rest. As one moves forward from one century to the next however, as the truth or the opportunity of comparison between a variety of sources gradually becomes more accessible to the average reader, the fabrications either remain subtle or else they do not survive. With all their in/consistencies marked by ambivalence or a strict sense of coherence, in or among themselves, the ideological standpoints or even fantasies are invoked by the personal and historical context that no critic or historian would venture to disregard. On the one hand, travel is considered to be a consortium of genres rather than merely a non-fictional account and analyzed in an interdisciplinary manner, on the other hand, its preferred subgenre is given priority over the nature of its main genre. Percy G. Adams has done an extensive study on the travelers’ fabrications in the 17th and 18th centuries. He explains the resons for the gullibility of the readers of the 18th century as such: “Because the eighteenth century was so avid in its search for data about man and his physical surroundings, it was inclined to be gullible and fall victim to facts that were not facts and to travel books that were partly, even completely, false” (Adams, 1980, p. viii). This is one aspect that is not left unsettled by 19th century American travel writers who include their observations about slavery in their accounts. There is an harmony among these writers with regard to their treatment of the subject of slavery at least on a basic, descriptive level. And the abundance of speculation that usually accompanies the subject matters such as cultural norms or gender dynamics is absent from the portrayals of slave-markets. This harmony extends to literally all the travel writers who travelled to and wrote about the Ottoman Empire as well as pertaining to the question of slavery at home and/or in the Ottoman Empire. Because the study is on a discursive level, it can by no means be conclusive, but “all accounts” refer to all of the travel accounts that are published in the 19th century which partially or specifically deal with one or more parts of the Ottoman Empire and either allude to or discuss the subject of slavery at home and/or in the empire. This chapter will seek to scrutinize the common and contrasting discursive practices of 19th century travel writers applied when dealing with the issue of slavery at home and abroad while documenting their travel
experiences in the Ottoman Empire.

In the first decade of the 19th century, only one travel narrative the subject matter of which is the Ottoman Empire was published, in the second decade, only three. Around 200 travel narratives that included Ottoman Empire as a destination were published in the 19th century, more -53- were published in the 1880s than any other decade. The reason for this concentration is the relative affordability of a transatlantic voyage starting from the second half of the preceding decade. By the 1860s, “transatlantic steamship services became cost-effective” (Rodrique et al., 2009, p. 48). Moreover, traveling was simply easier with the world’s railroad increasing from 5500 kilometers to 130.500 kilometers in the three decades between 1840-1870 (Mathias & Todorov, 2005, p. 50).

2. American Orientalism and Slavery

The theme of slavery was curiously prevalent in or absent from the travel narratives in question. Its prevalence can be scrutinized in two consequential discursive strategies. One is the intricateness of “belated” American Orientalism to the essentialist discourse on slavery and the latter is the national identity formation via either self-critique or self-appraisal through a comparative approach to American and Ottoman practices of slavery. For instance, in the travel narrative of Commodore David Porter, the first charge d’affaires to Constantinople who resided there during the last 12 years of his life, there is only one reference to the institution of slavery in the Ottoman Empire whereas he is eager to repeatedly compare the Mexican cities, people and norms to their Ottoman counterparts in by no means a positive light. There are occasional references to Armenians as slavelike, along with his dislike for all minority groups in general. He writes of the Ottoman slave market: “It is a miserable place, and not worth the time and trouble of visiting it...There is nothing to be seen there, but negroes, ugly white women, and small children of the ages of from eight to ten years, the refuse of other markets, exhibited for sale” (Porter, 1835, p. 55-56). This lack of reference to slavery does not prevent the reader from predicting his racial ideology. Driven by unequivocal patriotism, he poses no social criticism at American society. Although biographical analyses are essential in determining the author's discursive preferences, Porter’s narrative does not require one merely because of the discursive consistency and uniformity in his volumes of residency/travel. A self acclaimed connoisseur of beauty, Porter does not dwell on what is not pleasing to the eye; moreover, his national fervor redeems American shortcomings before a process of comparison comes into play. On the other hand, public speaker and author George William Curtis was a proponent of the anti-slavery movement during the second half of the nineteenth century. Having witnessed the passage of the “devil’s navy” (Curtis, 1851, p. 55), as he calls the slave boats, he concludes: “In Egypt and the East generally, slavery does not appear so sadly as elsewhere” (Curtis, 1851, p. 56). This double-edged sentiment is a common motif in the travel narratives of the 19th century which at times reveals itself as ambivalence towards the local culture the author encounters.

Interestingly, in the travel narratives written in the antebellum period, there is rare or no reference to slavery at home and/or abroad. The references multiply during the postbellum era in direct proportion to the increase in the number of travel narratives themselves. As this is not a comparative study of American and Ottoman slaveries, I will not go into comprehensive descriptions of the two institutions; however, it is useful to take a glance at their structure before I proceed to the specific discursive treatments of these institutions. Ottoman slavery, expectedly is hard to define and its system is more complex. Ehud Toledano lists four main types of Ottoman slavery. The first one is the kul system which is a military-administrative type of servitude. The second one is the harem system, which is most prone to fabrication at the hands of travelers, the third one is domestic slavery and the last and the least frequent one is agricultural slavery (Toledano, 1993, p. 479). Toledano (1993) agrees with Gibb and Bowen that kul type of slavery is a much more moderate type than conventional type of slavery and that it is best to convey that “for much of Ottoman history, powerful, highly honored personages throughout the army and the civilian bureaucracy, in Istanbul as well as in the provinces, labored under certain legal conditions that amounted to a status resembling servility” (Toledano, 1998, p. 13). White slaves (mostly Circassian) and Ethiopians were also sold as concubines or wives and manumitted when they bore children from their masters. Children of a slave woman from her master was also free and inherited the father’s property as well as freedom. Agricultural slavery is most similar to serfdom in that war prisoners and

2 The term belongs to Ali Behdad as used in his Belated Travelers: Orientalism in the Age of Colonial Dissolution (Durham: Duke University Press, 1994).
conquered peoples were settled on government land, provided with the means of labor and could keep the half of the crop (Erdem, 1996, p. 12). The arbitrary treatment of slaves, the biographical information available about the slaves make the distinctions blurry. American slavery, too, is maimed by arbitrariness albeit on a different level. American chattel slaves were used both for domestic and plantation labor. It remained to be a major component of American economy until the Civil War. Slaves were at the mercy of their owners, being their property, their actions were limited by the will of their masters. They did not hold any rights, did not under any circumstance become family members. At times, they were allowed by their masters to marry (Phillips, 1985, p. 5). They were rarely manumitted and social mobility was a minimal possibility. American Anti-Slavery Society was founded in 1833. The abolitionist movement however had its roots deeper in time. Despite having held only four meetings, the first abolitionist society called The Society for the Relief of Free Negroes Held in Bondage was founded in 1775. Before the Civil War started the approximated number of slaves in U.S. was 4 million.

In the light of this preface to the institutions of slavery in two cultures, the expectations of a reader of 19th century travel literature will not be defied to a great extent. What I mean by harmony in content is the inner consistency of a single narrative and the consensus of multiple narratives on a specific issue. This is a rare occurrence even as late as the 19th century, since genre of travel borders on the autobiographical and is marked by purposefulness. Be it cultural norms and practices, gender dynamics, religion or architecture, the particular literary/occupational background and the targeted audience of the author determines the way in which the aspect of the society is presented. And the presentation is more of than not denoted by the common feature of ambivalence. Homi Bhabha expands on this ambivalence as the ambivalence of the colonial presence or in Justin Edwards’ words it “depends upon a fluctuation between wanting one thing and its opposite: a simultaneous attraction toward and repulsion from an object, person, or action” (Edwards, 2001, p. 46). It seems that the absence of colonial interaction and the presence of its reflexes are not mutually exclusive.

2.1. Religion and Slavery

William Goodell, a dedicated missionary who arrived in Beirut in 1823, spent many decades within the borders of the Ottoman Empire. The ambivalence of attraction and repulsion is apparent in his observations of the Turkish character: “They [Turkish people] are hospitable, but ceremonious; very easy and dignified in their manners, but if report be true, vicious and beastly in their habits; extremely kind to their domestics, and especially to their slaves...” (Goodell, 1876, p. 154). It is one uninterrupted remark despite the impression it gives the reader. Cyrus Hamlin, a Congregational missionary, a contemporary of Goodell, after quoting the civil code book by book, tended to agree with Goodell on the treatment of domestic slaves: “The slaves are chiefly house servants, and are not, in general, badly treated” (Hamlin, 1878, p. 337). Goodell however was not always ambivalent in his depictions, with the help of his extensive experiences in the empire and insight into the lives of the Turks he was familiar with their grounds for maintaining certain practices and institutions. Henry Wikoff, known as an adventurer and a professional gossip, published the narratives of his travels four years after Goodell’s was published. Wikoff met Goodell in Turkey whom he thought to be a “careful observer of men and things” (Wikoff, 1880, p. 275) and posed a number of questions at him about Turkish life and habits. While conversing about the progress of missionary activities in the empire, after an humble prelude, Goodell elaborates on the hindrances to his endeavors: “If I were to assail polygamy or slavery, it would be regarded as an outrage on their sacred book, the Koran, which approves of both. If I insisted that they must be saved by their works, they would point to the doctrine of predestination taught by the Koran, and the assurance of paradise with its black-eyed houris to all believers.” (Wikoff, 1880, p. 275). Slavery, is not only an epithet used for kul/harem, domestic or agricultural slavery in its literal sense as Goodell remarks here. Wikoff, among many others, refer to Greeks as slaves under the yoke of the Ottoman Empire. Philhellism reached its peak particularly during the Greek War of Independence during the 1820s. Greece had been formally independent for a few decades by the time Wikoff published his account. He wrote of the Greeks: “Though nominally Christians, the unfortunate Greeks had been so long the slaves of the heathen Turk, that they were little better, perhaps worse. What sort of a place would the United States become after some centuries of Turkish rule?” (Wikoff, 1880, p. 311). Aside from the Greeks under the Ottoman rule, one other instance where the epithet of slave or enslaved is reappropriated is for non-Christians who are slave to a wrong faith and enslaved by superstition and are in need of missionary initiative. Slavery is also used to denote a sense of equality in an ironic sense. Susan E. Wallace, a well-read daughter of an influential family who had written 6 books and many other literary works in
magazines in her life including her travel account of Turkey, published at the end of the 19th century is more interested in criticizing a despotic government rather than the institution of slavery which she finds to be only nominal in the Ottoman Empire. On watching the ceremony on the “Feast of Bairam” at the Dolmabahçe Palace, initially expresses nostalgia for the feasts in the past when the costumes and garments were not Europeanized. It is a common phenomenon of the American travelers of the 19th century to express this sense of nostalgia for the Orient which they had not witnessed but had read or heard about. The frustration lends itself to satisfaction once the route digresses from Constantinople and Smyrna. “The Sultan is both Pope and Emperor; below him all men are slaves, which accounts for the jet-black officials on an equal rank (the equality of slavery) with white men” (Wallace, 1898, p. 30). The possible impact of religion as well as an appraisal for the alternative social stratum is omitted from her description. Rev. Henry M. Field, an acclaimed clergyman and editor of The Evangelist of New York for forty years is not disconcerted to find an haven of equality among the two races. I have at last found one country in the world in which the distinction between black and white makes absolutely no difference in one’s rank or position. And this, strange to say, is a country where slavery long existed, and where, though suppressed by law, it still exists, though less openly...slavery in Turkey is of a mild form, and as it affects both races (fair Circassian women being sold as well as the blackest Ethiopian), the fact of servitude works no such degradation as attains the race. And so whites and blacks meet together, and walk together, and eat together, apparently without the slightest consciousness of superiority on one side, or of inferiority on the other. No doubt this equality is partly due to the influence of Mohammedanism, which is very democratic, which recognizes no distinction of race... (Field, 1877, p. 311).

Rather than conveying a sense of ambivalence in representing the foreign culture, Field explicitly tackles an ambivalent issue in the culture he is observing. Unlike Wallace, he elaborates on a possible reason for the egalitarian structure of the society and the way slavery is practiced. Moreover, even if the members of the race are not given a voice, he remarks on the reciprocity of racial dynamics by not representing them in a binary framework of subject-object relationship.

2.2. Secular Interpretations

Samuel S. Cox, congressman and later U.S. ambassador to the Ottoman Empire for two years would also disagree that Islam had only negative effects on the Ottoman society’s institutions. He reflects that “it is the religion which softens the harshness of the institution, and makes it a shadow” (Cox, 1859, p. 246). Cox’s treatment of the Oriental subject and and the societal norms defy a discursive paradigm and the metadiscourse that dominates that paradigm now. Regarding American Holy Land travel writing, Brian Yothers lists American Orientalism under three most common categories: one contains the works of the “intellectual strand” which consider the Oriental culture as intellectual stimuli, second are the works of the “popular strand” which feeds on the mysterious and the mythical, the third is the “pious strand” which entails the missionary narratives (Yothers, 2007, p. 15-16). Due to his inquisitive nature, Cox does not qualify for any of the categories listed above. Instead, to countermand the misunderstanding about the institution of slavery in the Ottoman Empire, Cox consults the American consul in Constantinople, Francis Daniése and shares his conclusions with the readers.

The slave markets of Constantinople have drawn forth a great deal of sympathy, from the ladies especially. The idea of white women, almost naked, being sold in the public market, has excited much horror. This is all superfluous. To be sure, slavery is bad enough in its best form. But the slave of the Turk is not the slave of the planter, by a good deal. Here, it signifies a person purchased to be the adopted son or daughter of the owner. The market for white slaves is alone open to Turks, who purchase two classes of persons; one for wives, the other for servants. The former are sent by the best families of Georgia and Circassia to the Commissioner, who takes care that no insult of the slightest nature is offered. They are glad to go. All is voluntary. The females have the absolute right to refuse to be sold to anyone whom they dislike. Ladies in America sometimes do not have as much accorded to them. Once bought they become the wife of the Mussulman...there is one redeeming feature in Turkish slavery, and that is, that the mother becomes free on the birth of a child who is also free. There is no hereditary slavery... The male slaves have every chance to rise in the world, because they rise with their masters. Merit and mind rise above the institution (Cox, 1859, p. 244-245).

3 Yothers talks about a fourth, less frequently encountered trend which includes works concentrating on the archaeological remnants of sacred sites.
He addresses one essential facet that rarely escapes the attention of American travelers and uniquely discards it as “superfluous.” The facet entails more than one sensitive aspect to it: Whiteness, femininity (to stretch it half a century back, femininity which represents the values intricate to Republican Motherhood) and hereditary slavery. Then he proceeds on to comparison of plantation slavery and domestic slavery in the Ottoman Empire as well as the condition of white female slaves in the empire and the de facto social rights of American women. Instead of searching for a source of approval and reiterating it in favor of American society, Cox chooses to turn his observations and the knowledge he acquired from reliable sources into a social critique of American society. He draws a very distinct border between his discursive strategies and those chronologically preceding him who had opted for national self-appraisal. So in an inverted metadiscourse, it should be asked why Cox did not try to prove otherwise and reflected sales of female slaves in such a positive light. After all, slaves did not at all times have the right to refuse sale and went through a degrading and detailed inspection before the sale. Even after it was banned for the concubines to be sold to non-Muslims, the trade clandestinely continued (Parlatr, 1984, p. 818-819). Whether mythical or real, social mobility constituted a cornerstone of 19th century American culture as well as of the everlasting idea of exceptionalism. Therefore, merit and upward social mobility as a result also does not escape 19th century American travelers. Number of lynchings in the South reaching 160 in 1892 (Wayne, 2007, p. 118), America under reconstruction could not yet talk about the social mobility for former slaves.

What goes hand in hand with the admiration for upward social mobility by merit is a distrust for nobility. The complex web of sentiments towards British culture and nobility reflects on the narratives. Cox, in his account published 28 years after A Buckeye Abroad, is concurrent with his past experiences and opinions: “The boatman, porter, slave or groom may not only be eligible to be called Pasha, but there is no exclusive clique or caste to render them ineligible to any office in Turkey” (Cox, 1887, p. 496). Without referring to the frequency with which this potential is realized he continues, “In Turkey, any one, even a slave, can become a Marshal of the Empire, or the Grand Vizier. There are no hereditary or other titles of nobility” (Cox, 1887, p. 560). The objectiveness with which Cox tried to portray the empire would cause him to be included in another diplomat, Charles K. Tuckerman’s category of “Philo-Turkish” (Tuckerman, 1895, p. 275) travel writers. Another comparison he makes is pertinent to the actual condition of the sales of the slaves. After a description of the slave market, he concludes: “It [the slave market] is not, in comparison with the old slave mart of America, that which we could reproach the Turks. There is no cruelty –no insult to the slave” (Cox, 1887, p. 541).

Not all authors were as tactful about the reliability of their sources and the portrayal of what they acquired as Cox was. Although most authors maintained a discursive consistency about the institution of slavery if not the racial dynamics in their accounts, some were overwhelmed by the lurking sentiments of ambivalence. This is not to argue that the discursive tendencies were singlehandedly arbitrated by psychosocial backgrounds of the authors. An account published in the antebellum era affirms the contextual impact of dealing with sensitive issues at home and abroad.

John Lloyd Stephens, a lawyer by training, explorer and traveler by choice and the pioneer in the study of the Mayan civilization of Central America, he was known as the great American traveler during his lifetime. On his last day in Constantinople, he visits the slave market accompanied by his dragoman and two Americans Dr. N. of Mississippi and his son whom he met in Smyrna. After an elaborate description of the surroundings, he is struck by the coexistence of white and black slaves in the slave market. “Bad, horrible as this traffic is under any circumstances, to my habits and feelings it loses a shade of its horrors when confined to blacks; but here whites and blacks were exposed together in the same bazaar” (Stephens, 1839, p. 52). As he does not share the clear conscience his successors do, he redirects his narration homewards and points to the contradictory nature of slavery with his most valued institutions in America. These sentiments however are aroused in Russia.

I respect the feelings of others and their vested rights, and would be the last to suffer those feelings or those rights to be wantonly violated; but I do not hesitate to say that, abroad, slavery stands as a dark blot upon our national character. There it will not admit of any palliation; it stands in glaring contrast with the spirit of our free institutions; it belies our words and our hearts; and the American who would be most prompt to repel any calumny upon his country, withers under this reproach, and withers with mortification when the taunt is hurled at the otherwise stainless flag of the free republic. I was forcibly struck with a parallel between the white serfs of the north of Europe and African bondsmen at home.

While voicing his abolitionist stance, Stephens still pays heed to slaveholders with their vested rights.
However, his acknowledgment remains as one of the rare instances of expression of overt feelings of shame and repulsion about slavery at home because of its conflicting ideological nature rather than its immoral or inhumane attributes. Stephens was a dedicated reader of other works of travel and he carried with him Volney’s *Travels*. He extensively quoted other works to corroborate his arguments and support the validity of his observations. The traveler of the 19th century does not bear the burden of public expectations of the preceding centuries. Zweder von Martels asserts that Columbus “in order not to endanger his position and future expeditions” had to “embellish the truth” (von Martels, 1994, p. xvii). Stephens is confident both because of his occupation and the accumulated literature of travel (which also functions as the source of anxiety previously mentioned) by the time he is penning his travels. His confidence in his knowledge frequently extends to a confidence in the capabilities of his nation.

A moralizing speech similar in tone to Stephens’ self-critique was made in 1847 by Charles Sumner, an abolitionist politician from Massachusetts which was later published as *White Slavery in the Barbary States* in 1853. After a comprehensive historical and philosophical discussion about Algerian enslavement of whites, he goes on to draw a comparison between American slavery and slavery in Algeria. By quoting other authors, he presents a convincing case against slavery. However, he is in a way preaching to the choir unlike Stephens. Joe Lockard, the author of *Watching Slavery: Witness Texts and Travel Reports* argues that despite the essence of his message, in Sumner’s speech there appeared “an implicit ranking of civilizations...that condemned ‘civilized Euro-American’ slavocracies for behaving worse than ‘uncivilized’ societies” (Lockard, 2008, p. 82). This however would be a vital aspect in addressing beyond the choir which Stephens succeeds in doing.

### 3. Conclusion

Many more references to slavery at home and abroad could be enumerated for analysis. However, their numbers are not as many as a 19th century scholar of travel literature might predict. I have tried to outline some of the reasons as to the self-censorship or avoidance by drawing on the national sensitivities and the need for reformulations in a century of national identity formation. It is not possible to determine the reasons in their entirety since as previously pointed to, the absence of the discussion of the question of slavery can be explained by the limited number of narratives published in the first few decades of the century. In the few examples of the antebellum period, writer and orator George William Curtis, politician and diplomat Samuel S. Cox, and writer and explorer John L. Stephens explicitly voiced their abolitionist sentiments through their observations in the empire. Diplomat and navy officer David Porter was the exception to the rule of consistency in this period. Having resided in Constantinople for more than a decade he avoided problematizing the question slavery or engaging in any other discussion which would inevitably lead to a comparison which in turn would bring a dispute against the young nation’s reputation.

In the period after the Civil War, more narratives were published with extensive discussion of slavery in a comparative manner. Clergyman Henry M. Field, missionaries William Goodell and Cyrus Hamlin concurred that slavery in the empire was a nominal institution. Field further expressed a pleasant surprise on racial equality and the reciprocity with which it was maintained in the empire. Writer Susan E. Wallace, and cosmopolitan author Henry Wikoff chose to reappropriate the concept of slavery and use it to denounce the Ottoman ruling body and public and Greece under Ottoman rule respectively. The reappropriation of the term abounds in other accounts which are not included in the list below as well, particularly to allude to the condition of non-Christians.

Genre of travel, while providing the author the freedom of self-reflection by a sense of displacement also poses a dilemma of making foreign into familiar for the reader and the will to refrain from becoming the detached observer which would obstruct the promise of originality. But as one reassures the nation of its preeminence compared to the object of attention, he inevitably remains a detached observer. Despite recurrent latent orientalist representational preferences in the narratives, the overall harmony among them with regard to the issue of slavery might as well be considered outside the habitually applied framework of self/other dichotomy. The fundamental distinction between the authors’

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treatment of Oriental paraphernalia and the question of slavery depends on the fact that when the travel is at an end, the latter does not become a distant nostalgia but rather a fact of the present for antebellum narratives and a painful aftermath for the rest.

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Measuring Social Exclusion: a Study from Turkey

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Abstract  In this study we aimed to assess the feelings of social exclusion in a Turkish community. We used the Social Exclusion Scale developed by Jehoel-Gijsbers & Vrooman. A total of 2493 volunteer participants were included in the study. We found that the feeling of social exclusion diminishes as people become older, and the length of residency in the city increases. Married people feel themselves less socially excluded than those who are divorced or widowed. Illiterate people feel themselves 4.4 times more socially excluded than those with university degrees. People with a low economic level feel themselves 10.6 times more socially excluded than those at with a high economic level. People who do not own a home feel themselves 1.6 times more socially excluded than those with home ownership. In conclusion, 25.0% of our study participants felt themselves socially excluded. We hope our research will provide an opening for further studies in Turkey.

Key words: Social exclusion; poverty; Turkey.

1. Introduction
1.1 Social Exclusion Terms and Definitions

During the past ten to twenty years, the concept of social exclusion has become increasingly popular. It involves five defining criteria: social exclusion is multidimensional; it is concerned with dynamic
processes; it is relational as much as distributional; it focuses on collective resources (for example, local areas and communities rather than on the individual or household); and it directs attention to catastrophically ruptured links in a wider society (Dahl, Flotten & Lorentzen, 2008). Social exclusion is of increasing interest because it has gained a primary role in official documents, and in the political debate in Europe; more recently, in Australia, Canada and the United States. The concept of social exclusion has had an increasing impact on analysis of social disadvantage in Europe over the past couple of decades, and, in many instances, replaced the concept of poverty (Aasland & Flotten, 2001).

A person is said to be socially excluded if she/he is unable to “participate in the basic economic and social activities of the society in which she/he lives”. In the European Commission’s Program specification for “targeted socioeconomic research”, social exclusion is described as “disintegration and fragmentation of social relations, and hence a loss of social cohesion”. For individuals in particular groups, social exclusion represents a progressive process of marginalization, leading to economic deprivation and various forms of social and cultural disadvantage (Chakravarty & D’Ambrosio, 2006).

Social exclusion is a relative concept, in the sense that an individual can be socially excluded only in comparison with other members of a society; there is no “absolute” social exclusion, and an individual can be declared socially excluded only with respect to the society in which she/he is considered to be a member. An additional relative feature is that social exclusion depends on the extent to which an individual is able to associate and identify with others (Bossert, D’Ambrosio & Peragine, 2007).

Social exclusion is a multi-dimensional phenomenon appearing economically, structurally and socio-culturally in life (Bhalla & Lapeyre, 1997; Chakravarty & D’Ambrosio, 2006; Jehoel-Gijsbers & Vrooman, 2007; 2008; Kenyon et al., 2002). Commins (1993) considered social exclusion under the four headings of exclusion: citizen integration, labor market, welfare benefits and family-society. Silver (1994), on the other hand, dealt with the concept of social exclusion as having economic, social, political and cultural dimensions. Many researchers considered the concept of social exclusion under the four dimensions of impoverishment or exclusion from sufficient income and resources, exclusion from labor, exclusion from services, and social relationships (Brashaw et al., 2000; Gordon et al. 2000).

1.2 Social Exclusion and Social Policies in the European Union

Although social exclusion is a relative concept and merely depends on one’s perception, the four dimensions of social exclusion are obviously closely related to social policies. Developing social policies which specifically address the causes of social exclusion such as poverty, unemployment, inadequate housing, lack of educational opportunity, and lack of proper access to social and health services etc. will change one’s perception of social exclusion. The Lisbon policy program of the European Union, to combat social exclusion, is framed in four sets of objectives and activities: facilitating participation in employment and accessible resources for all, rights, goods and services; preventing the risks of exclusion; helping the most vulnerable; and mobilizing all relevant bodies (Lisbon Treaty 2007/C 306/01). These objectives are a guide to how member states should reorganize their social policies on a broad-ranging social program. Participation, prevention, assistance and political mobilization are the four core elements of the social policies of the member states (Commission of the European Communities, 2005).

Turkey formally opened European Union accession negotiations in October 2005. The Turkish social policy has been dominated by strong state-led model through paternalistic authoritarianism, with a relatively successful development in participation, prevention, assistance and political mobilization. From the year 1999 there has been a serious attempt to move social policy towards European Union priorities in the areas of education, human rights, non-governmental organizations, women and minorities, and effective regulation. The European Union Progress Report, for the year 2010, indicated some progress in the field of social policy with a limited scope of employment, labour market, enforcement of health and safety legislations and general policy framework to combat social exclusion. In the area of social dialogue some progress, particularly in the public sector, has been realized. Amendments have been made to the Constitution, granting the right to collective bargaining and collective agreements for civil servants and other public employees. However, the legal framework to which the Constitution refers in view of regulating the rights to negotiate, to organize collective actions for workers, employees and civil servants remains restrictive and needs to be brought into line with European Union standards. The number of workers covered by collective labour agreements cover a total of 767,582 workers which is still very low compared to number of people in employment, which is around 23.5 million. Labour force participation and employment rates are 50% and 44.7% respectively which are very low compared to the European Union average. Youth unemployment remains high (19.1%). The coverage rate of the unemployment is...
extremely low (6%). About 44.8% of the people in employment are not registered within the social security system and hence are deprived of the protection of labour law and pension rights. The overall administrative capacity of Turkey’s public employment service and the inspection capacity for the undeclared work remain insufficient compared to the wide scope of the informal economy. Turkey has no comprehensive policy framework to address poverty. The percentage of the population at risk of poverty remains high. In the field of social inclusion a small amount of progress has been realized, in the form of an amendment to the Constitution concerning positive discrimination for children, the elderly and disabled people. There has been little progress in the field of social protection. The percentage of people covered by the social security system remained at 80%. The draft law on social assistance and payments without premiums is still pending. Large deficit in the pension system still exists. Access to primary health services and extension of the general health insurance scheme has been improved, but there are still problems in collecting the health insurance premiums. The gatekeeper function of the general practitioners has not been activated and long waiting lists along with crowded outpatient units of the secondary health care institutions are still a reality. There has been no progress made in the field of anti-discrimination. There is no definition in Turkish legislation for discrimination and the EU acquis covering discrimination on grounds of racial or ethnic origin, religion or belief, disability, age and sexual orientation has not been transposed. Equal opportunities for men and women have not been achieved. Although the Constitutional amendment exists, women are disproportionately affected by informal work conditions, unpaid works and pay gaps. Furthermore, women’s employment and labour participation rates remain lower than all the European Union Member States which are 22.3% and 26.0% respectively. Legislation and policies aiming to harmonise work and family life do not exist and the provision of affordable child care remains insufficient. As a consequence of these common features, Turkey is generally characterized by fewer resources, relatively low levels of social expenditure, weak state support for the poor, a major role for the family and religious organizations in the provision of welfare, relatively low levels of labour market participation (particularly among women), and overall limited success in alleviating poverty and overcoming social and economic gaps.

In the present study we aimed to assess:

(a) The reliability and validity of the Social Exclusion Scale which was developed by Jehoel-Gijsbers & Vrooman (2007) that we have translated and adapted into Turkish.

(b) The existence and level of social exclusion and contributing factors among a group of Turkish people who are living in a big city of Turkey which is located in the western, most socio-economically developed part of the country.

(c) The relevance of existing social policies to social exclusion in the light of our findings.

2. Materials and Methods

2.1. Place

The city of Bursa is a metropolitan residential area and is the fourth-largest city in the country, with several local municipalities, which are connected to the metropolitan city municipality. There are a total of 172 neighborhoods within the boundaries of the metropolitan city municipality. Bursa is an ancient city, located on the famous historical Silk Road, and was the first capital of the Ottoman Empire. Bursa has always been an in-migration city throughout its history. During the late periods of the Ottoman Empire, rapid increases occurred in the urban population due to intensified migrations of Balkans and Caucasians. After the 1960s, the city became a center for the automobile and textile industries, which accelerated internal migration from the eastern and north-eastern parts of the country. In 1991 Bursa was awarded the Europe Prize, which has been given annually since 1955 by the European Council to a city that has been especially successful in promoting the European ideal. In the year 2000 Bursa was accepted into Phase III of the World Health Organization’s Healthy Cities project, and was the first city in Turkey to become a member of this project.

2.2. Study Participants

Our study group was composed of 2493 participants who were residents of the city of Bursa. We used a stratified sampling method and the number of individuals in every stratum was proportionally distributed. According to the latest census, the population of the city of Bursa was 1,813,452. We calculated the sample size with a sampling error of 3% and confidence interval of 99% as being 1847 individuals. We
distributed a total of 3000 questionnaires and 2753 of them were returned. Among the returned questionnaires, 260 were missing data and they were excluded from the analysis. Finally, we analyzed the data obtained from 2493 individuals.

2.3. Selection Process of Study Participants

We used the health centers’ registry cards, which are compulsory for every person who receives primary health care service, from the corresponding health center. These cards are updated annually. At the time of this study there were about 146 health centers in the city. We found it appropriate to consider the different districts of the city as a stratum and first calculated the sample size for every stratum proportional to the actual population of the district, according to the total population of the city. The health centers, according to the districts, are not uniformly distributed because they are based on population basis (one health center for 10,000-15,000 population) and the population of districts is different. Therefore we calculated separately the number of participants, drawn from every health center’s area, to be included into our study. Then we visited all these health centers and selected our possible study participants from personal health cards by using random numbers. We selected 10% more than the calculated sample size, in order to compensate for those who would not participate or those who would not able to be reached. During this selection process persons younger than 18 and older than 80 years of ages were excluded. We made lists of those who were selected as possible participants with their names and addresses. Thirty university students, who were delegated and received a training session for this study, distributed the questionnaires to the addresses of the participants. They explained the purpose of the study and asked for the participant’s consent. If a person did not want to participate another person from the list was visited. If the participant gave his/her consent, instructions for filling in the questionnaires and a date for the collection of the questionnaire were given. Generally the questionnaires were collected back seven days after distribution. The questionnaires were filled in by the participants. For those who were illiterate, questions were read by the students, and answers given by the participants were marked on the form by the students. Since we could collect the information concerning the educational level of the participants from their personal health cards, illiterate participants were known previously. All of the participants were asked not to mention their identities on the questionnaires. After the distribution and collection process of the questionnaires, the names and addresses of the participants were deleted.

2.4. Instruments

We used the social exclusion scale developed by Jehoel-Gijsbers & Vrooman (2007) together with a questionnaire about socio-demographic characteristics such as gender, age, education level, etc. The social exclusion scale had not been used in the Turkish language before, therefore a panel of two English language teachers, one native English speaker with good Turkish language skills and the other a native Turkish speaker with good English language skills, translated the scale into Turkish and then back into English. A pilot study with a Turkish version of the scale was performed on 50 volunteer university students in order to check for any discrepancies and misunderstandings. We found no discrepancies or misunderstandings on the Turkish version of the scale, so we decided to use it for measuring social exclusion in Turkey.

In this scale, there are four dimensions: financial deprivation, obtaining social rights, social participation, and cultural integration (Table 1). The dimension of obtaining social rights has been considered in two separate sub-dimensions. While the first sub-dimension includes being able to benefit from public institutions and receive aid in terms of social rights, the second sub dimension consists of being able to benefit from suitable housing and a secure environment.

Table 1. The dimensions of the social exclusion scale and their descriptions

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<th>Dimensions</th>
<th>Description</th>
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<tr>
<td>Dimension I: Material deprivation</td>
<td>Deficiencies in relation to basic needs and material goods; lifestyle deprivation; problematic debts; payment arrears (e.g. housing costs).</td>
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For each of these dimensions, questions were arranged according to the 5-point Likert-type scale, which, in turn, were answered from never (1)…. to always (5), with higher scores meaning higher levels of social exclusion.

2.5. Analyses

Internal reliability was assessed by means of Cronbach’s scores and item-total correlations. The factorial validity was examined by the implementation of the Categorical Principal Component Analysis (CatPCA) and Confirmatory Factor Analysis (CFA). Finally, a ROC analysis was performed to decide the most appropriate cut-off scores of the Turkish version of the social exclusion scale. SPSS for Windows version 17.0, AMOS 17.0 and MedCalc statistical software were used for statistical analysis.

CatPCA was formerly known as Princals (Principal components analysis by alternating least squares). This technique combines nonlinear optimal scaling with principal component analysis (Gifi, 1990). CatPCA is an appropriate technique if different indicators are expected to refer to one common underlying latent concept and some, or all, indicators have a nominal or ordinal measurement level.

In order to perform the CFA, AMOS 17.0 was used and the model parameters were estimated by using maximum likelihood (Jöreskog & Sörbom, 2001). In this study, adequacy of the model was assessed by: (1) Root Mean Square Error of Approximation (RMSEA), which should be below 0.05 for a good fit; (2) the absolute fit, $\chi^2$/df measure such that $\chi^2$ minimum fit function test depends on sample size (Bollen, 1989; Hair et al. 1998) was used, which should be between 2 and 5 for a good fit; (3) Goodness of Fit Index (GFI), which shows the amount of variances and covariance explained by the model and should be greater than 0.90 for an adequate fit of the model; and (4) Comparative Fit Index (CFI), which also should be greater than 0.90 for an adequate fitness.

A Receiver Operating Characteristics (ROC) graph is a technique for visualizing, organizing and selecting classifiers based on their performance (Fawcett, 2006). The total area under the ROC curve is a measure of the performance of the diagnostic test since it reflects the test performance at all possible cut-off points. ROC analysis yields an effect size called the “Area Under the Curve” (AUC). The AUC is the probability that a randomly chosen person who scores positive on the dependent measures (Mossman & Somoza, 1991). In this study the ROC curve was performed using MedCalc statistical software.

3. Results

3.1. Participants’ Characteristics

Our study group was composed of 2493 participants, of whom 45.0% were female. The mean age was 38.16 ± 12.06 (mean ± SD) years and within the range of 18–80 years. The mean length of residence in the city and in the neighborhood was 22.45 ± 13.97 and 14.22 ± 11.47 years respectively. Distribution of the participants by demographic characteristics is shown in Table 2.
Table 2. Demographics of the participants

<table>
<thead>
<tr>
<th>Age groups</th>
<th>N</th>
<th>%</th>
<th>Gender</th>
<th>N</th>
<th>%</th>
</tr>
</thead>
<tbody>
<tr>
<td>18-28</td>
<td>657</td>
<td>26.4</td>
<td>Male</td>
<td>1370</td>
<td>55.0</td>
</tr>
<tr>
<td>29-39</td>
<td>713</td>
<td>28.6</td>
<td>Female</td>
<td>1123</td>
<td>45.0</td>
</tr>
<tr>
<td>40-50</td>
<td>739</td>
<td>29.6</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>51+</td>
<td>384</td>
<td>15.4</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Working Status</th>
<th>N</th>
<th>%</th>
</tr>
</thead>
<tbody>
<tr>
<td>Employed</td>
<td>1657</td>
<td>66.5</td>
</tr>
<tr>
<td>Unemployed</td>
<td>209</td>
<td>8.4</td>
</tr>
<tr>
<td>Not seeking for a job</td>
<td>627</td>
<td>25.1</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Marital Status</th>
<th>N</th>
<th>%</th>
</tr>
</thead>
<tbody>
<tr>
<td>Married</td>
<td>1756</td>
<td>70.4</td>
</tr>
<tr>
<td>Divorced/Widowed</td>
<td>138</td>
<td>5.6</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Education level</th>
<th>Occupation</th>
<th>N</th>
<th>%</th>
</tr>
</thead>
<tbody>
<tr>
<td>Illiterate</td>
<td>Blue-collar worker</td>
<td>606</td>
<td>24.3</td>
</tr>
<tr>
<td>Primary</td>
<td>Officer</td>
<td>375</td>
<td>15.0</td>
</tr>
<tr>
<td>High school</td>
<td>Tradesman</td>
<td>217</td>
<td>8.7</td>
</tr>
<tr>
<td>University+</td>
<td>Professional</td>
<td>248</td>
<td>9.9</td>
</tr>
<tr>
<td>Other</td>
<td></td>
<td>257</td>
<td>10.4</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>House ownership</th>
<th>Economic Situation</th>
<th>N</th>
<th>%</th>
</tr>
</thead>
<tbody>
<tr>
<td>Yes</td>
<td>Good</td>
<td>625</td>
<td>25.1</td>
</tr>
<tr>
<td>No</td>
<td>Bad</td>
<td>397</td>
<td>15.9</td>
</tr>
<tr>
<td>Unknown</td>
<td></td>
<td>790</td>
<td>31.7</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Social Security</th>
<th>N</th>
<th>%</th>
</tr>
</thead>
<tbody>
<tr>
<td>Yes</td>
<td>2129</td>
<td>85.4</td>
</tr>
<tr>
<td>No</td>
<td>364</td>
<td>14.6</td>
</tr>
<tr>
<td>Medium</td>
<td>1471</td>
<td>59.0</td>
</tr>
</tbody>
</table>

3.2. Reliability

Cronbach values were calculated to assess the internal consistency of the scale and they were found to be within the acceptable limits (Nunnaly & Bernstein, 1994; Carter, 1997) (Table 3).

Table 3. Cronbach α values

<table>
<thead>
<tr>
<th>Scales</th>
<th>Item</th>
<th>Mean</th>
<th>S. Deviation</th>
<th>C. Alpha</th>
</tr>
</thead>
<tbody>
<tr>
<td>Social exclusion</td>
<td>35</td>
<td>78.77</td>
<td>18.21</td>
<td>0.85</td>
</tr>
<tr>
<td>Dimension I: Financial deprivation</td>
<td>8</td>
<td>20.81</td>
<td>6.31</td>
<td>0.79</td>
</tr>
<tr>
<td>Dimension IIA: access to social rights (access to social institutions and provisions)</td>
<td>5</td>
<td>11.43</td>
<td>4.52</td>
<td>0.82</td>
</tr>
<tr>
<td>Dimension IIB: access to social rights (access to good housing(conditions)</td>
<td>8</td>
<td>15.20</td>
<td>5.66</td>
<td>0.80</td>
</tr>
<tr>
<td>Dimension III: social participation</td>
<td>9</td>
<td>18.90</td>
<td>5.43</td>
<td>0.77</td>
</tr>
<tr>
<td>Dimension IV: normative integration</td>
<td>5</td>
<td>11.12</td>
<td>3.66</td>
<td>0.67</td>
</tr>
</tbody>
</table>

3.3. Indices for Separate Dimensions

The indices for financial deprivation (dimension I), access to social institutions and provisions (dimension IIA), access to good housing conditions (dimension IIB), social participation (dimension III) and normative integration (dimension IV) have been constructed by applying the categorical principal component analysis (CatPCA). Four items with factor loadings < 0.45 were excluded from the analysis.
The excluded items were as follows: “has difficulty in making ends meet,” “often a victim of crime over the last five years,” “social contacts hampered by disability,” and “no/little membership of clubs, societies.” Results for the CatPCA are shown in Table 4.

Table 4. Results of optimal scaling procedure (Categorical Principal Component Analysis - CatPCA) for each dimension: component loadings and reliabilities

<table>
<thead>
<tr>
<th>Social Exclusion Scale Dimensions</th>
<th>Component loadings</th>
<th>C. Alpha</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Dimension 1: Material deprivation</strong></td>
<td></td>
<td>0.79</td>
</tr>
<tr>
<td>Payment of fixed expenditures is very hard (MD1)</td>
<td>.785</td>
<td></td>
</tr>
<tr>
<td>Has payment arrears (MD2)</td>
<td>.704</td>
<td></td>
</tr>
<tr>
<td>Worries often/continuously about financial situation (MD3)</td>
<td>.723</td>
<td></td>
</tr>
<tr>
<td>Finds it more difficult to make ends meet than 2 years ago (MD4)</td>
<td>.530</td>
<td></td>
</tr>
<tr>
<td>Lacks consumer durables due to financial deficits (MD5)</td>
<td>.508</td>
<td></td>
</tr>
<tr>
<td>Cannot afford basic expenditures (MD6)</td>
<td>.583</td>
<td></td>
</tr>
<tr>
<td>Membership of club is too expensive (MD7)</td>
<td>.523</td>
<td></td>
</tr>
<tr>
<td>Has difficulties in obtaining a loan (MD8)</td>
<td>.669</td>
<td></td>
</tr>
<tr>
<td><strong>Dimension 2a: Social rights: access to institutions and provisions</strong></td>
<td></td>
<td>0.82</td>
</tr>
<tr>
<td>Often treated badly by public agencies (SRA1)</td>
<td>.815</td>
<td></td>
</tr>
<tr>
<td>Often long waiting periods for appointments/treatments at public agencies (SRA2)</td>
<td>.803</td>
<td></td>
</tr>
<tr>
<td>Often problems with public agencies (SRA3)</td>
<td>.849</td>
<td></td>
</tr>
<tr>
<td>Refused by commercial service organizations (banks, insurance companies etc.) (SRA4)</td>
<td>.604</td>
<td></td>
</tr>
<tr>
<td>Benefit (according to respondent) wrongfully refused or terminated (SRA5)</td>
<td>.704</td>
<td></td>
</tr>
<tr>
<td><strong>Dimension 2b: Social rights: access to adequate housing and safe environment</strong></td>
<td></td>
<td>0.80</td>
</tr>
<tr>
<td>Frequent disturbances in neighborhood (SRB1)</td>
<td>.648</td>
<td></td>
</tr>
<tr>
<td>Wants to move house within 2 years (SRB2)</td>
<td>.544</td>
<td></td>
</tr>
<tr>
<td>Had/expects a long search period in finding a new house (SRB3)</td>
<td>.582</td>
<td></td>
</tr>
<tr>
<td>Little social cohesion in neighborhood (SRB4)</td>
<td>.661</td>
<td></td>
</tr>
<tr>
<td>Unsafe feeling in neighborhood (SRB5)</td>
<td>.720</td>
<td></td>
</tr>
<tr>
<td>Unsafe feeling if one is home alone (SRB6)</td>
<td>.548</td>
<td></td>
</tr>
<tr>
<td>Noise in neighborhood (SRB7)</td>
<td>.703</td>
<td></td>
</tr>
<tr>
<td>Dirty in neighborhood (SRB8)</td>
<td>.698</td>
<td></td>
</tr>
<tr>
<td><strong>Dimension 3: Social participation</strong></td>
<td></td>
<td>0.77</td>
</tr>
<tr>
<td>Feels left out of society (SP1)</td>
<td>.495</td>
<td></td>
</tr>
<tr>
<td>Does not/hardly go out for amusement (SP2)</td>
<td>.459</td>
<td></td>
</tr>
<tr>
<td>Experiences lack of social contacts (SP3)</td>
<td>.693</td>
<td></td>
</tr>
<tr>
<td>No/little diversity in social contacts (SP4)</td>
<td>.695</td>
<td></td>
</tr>
<tr>
<td>Like to spent some time with friends (SP5)</td>
<td>.616</td>
<td></td>
</tr>
<tr>
<td>Has no/little people to discuss intimate matters (SP6)</td>
<td>.582</td>
<td></td>
</tr>
<tr>
<td>Has little social support (SP7)</td>
<td>.619</td>
<td></td>
</tr>
<tr>
<td>Trouble in relationships (SP8)</td>
<td>.638</td>
<td></td>
</tr>
<tr>
<td>Social contacts hampered by health (SP9)</td>
<td>.481</td>
<td></td>
</tr>
<tr>
<td><strong>Dimension 4: Cultural/normative integration</strong></td>
<td></td>
<td>0.67</td>
</tr>
<tr>
<td>A false testimony is allowed if a friend faces trial (NI1)</td>
<td>.668</td>
<td></td>
</tr>
<tr>
<td>Trespassing the law is no problem as long as one does not get caught (NI2)</td>
<td>.671</td>
<td></td>
</tr>
<tr>
<td>Acceptance of paid second job (NI3)</td>
<td>.636</td>
<td></td>
</tr>
<tr>
<td>Acceptance of paid job of those who received money for unemployment or social fund. (NI4)</td>
<td>.675</td>
<td></td>
</tr>
<tr>
<td>Acceptance of the usage of others health or insurance documents in order to being examined or treated free of charge (NI5)</td>
<td>.622</td>
<td></td>
</tr>
</tbody>
</table>
3.4. Confirmatory Factor Analysis

The evaluation of model fit was done by using Confirmatory Factor Analysis (CFA).

It is evident that all the factor loadings were high, indicating a strong association between each of the latent factors and their respective items. For example, loadings of the items for the material deprivation dimension ranged from 0.35 to 0.65. The factor loadings also made substantive sense and were meaningful and statistically significant. The results showed that convergent validity was achieved. The direct effects of the second-order factors (0.30–0.83) were strong, so a relatively small proportion of the variance remains unexplained for each first-order factor. As indicated by the GFI in Figure 1, the model accounted for 95% of the variances and co-variances in the observed items. The RMSEA was 0.04 and all other fit indices showed a good fitness, therefore no further modifications were performed on the model to achieve a better fit.

3.5. ROC Analysis

In this study we wanted to obtain a cut-off point for the social exclusion scale. For this purpose we performed a ROC analysis by taking into account the answers to a single question which was in our...
questionnaire. This question was: ‘Do you feel yourself as socially excluded?’ We found that the cut-off point for social exclusion was equal to or higher than 89 points, corresponding with a sensitivity of 80.23% and specificity of 73.14%. Table 6 shows the sensitivity and specificity of alternative cut-off points.

Table 5. Cut off points and coordinates of the ROC curve

<table>
<thead>
<tr>
<th>Cut off point</th>
<th>Sensitivity</th>
<th>Specificity</th>
<th>+LR</th>
<th>-LR</th>
</tr>
</thead>
<tbody>
<tr>
<td>&lt;=77</td>
<td>55.88</td>
<td>91.17</td>
<td>6.33</td>
<td>0.48</td>
</tr>
<tr>
<td>&lt;=78</td>
<td>58.87</td>
<td>90.46</td>
<td>6.17</td>
<td>0.45</td>
</tr>
<tr>
<td>&lt;=79</td>
<td>60.95</td>
<td>89.75</td>
<td>5.95</td>
<td>0.44</td>
</tr>
<tr>
<td>&lt;=80</td>
<td>63.21</td>
<td>85.87</td>
<td>4.47</td>
<td>0.43</td>
</tr>
<tr>
<td>&lt;=81</td>
<td>65.48</td>
<td>85.51</td>
<td>4.52</td>
<td>0.40</td>
</tr>
<tr>
<td>&lt;=82</td>
<td>67.29</td>
<td>84.81</td>
<td>4.43</td>
<td>0.39</td>
</tr>
<tr>
<td>&lt;=83</td>
<td>69.19</td>
<td>82.33</td>
<td>3.92</td>
<td>0.37</td>
</tr>
<tr>
<td>&lt;=84</td>
<td>71.13</td>
<td>80.92</td>
<td>3.73</td>
<td>0.36</td>
</tr>
<tr>
<td>&lt;=85</td>
<td>72.71</td>
<td>79.86</td>
<td>3.61</td>
<td>0.34</td>
</tr>
<tr>
<td>&lt;=86</td>
<td>74.66</td>
<td>78.09</td>
<td>3.41</td>
<td>0.32</td>
</tr>
<tr>
<td>&lt;=87</td>
<td>76.61</td>
<td>76.33</td>
<td>3.24</td>
<td>0.31</td>
</tr>
<tr>
<td>&lt;=88</td>
<td>78.46</td>
<td>74.56</td>
<td>3.08</td>
<td>0.29</td>
</tr>
<tr>
<td>&lt;=89 *</td>
<td>80.23</td>
<td>73.14</td>
<td>2.99</td>
<td>0.27</td>
</tr>
<tr>
<td>&lt;=90</td>
<td>81.63</td>
<td>71.38</td>
<td>2.85</td>
<td>0.26</td>
</tr>
<tr>
<td>&lt;=91</td>
<td>83.03</td>
<td>67.49</td>
<td>2.55</td>
<td>0.25</td>
</tr>
<tr>
<td>&lt;=92</td>
<td>84.52</td>
<td>63.25</td>
<td>2.30</td>
<td>0.24</td>
</tr>
<tr>
<td>&lt;=93</td>
<td>86.06</td>
<td>62.19</td>
<td>2.28</td>
<td>0.22</td>
</tr>
<tr>
<td>&lt;=94</td>
<td>87.42</td>
<td>60.42</td>
<td>2.21</td>
<td>0.21</td>
</tr>
<tr>
<td>&lt;=95</td>
<td>88.14</td>
<td>59.36</td>
<td>2.17</td>
<td>0.20</td>
</tr>
<tr>
<td>&lt;=96</td>
<td>89.28</td>
<td>58.30</td>
<td>2.14</td>
<td>0.18</td>
</tr>
</tbody>
</table>

The area under the ROC curve (AUC) for social exclusion was 0.855 (p < 0.001; 95.0% CI 0.841–0.869). Figure 2 shows the ROC curves for the Turkish version of the Social Exclusion Scale.

Figure 2. Receiver operating characteristic (ROC) curve for Social Exclusion

We performed a logistic regression analysis between independent factors (such as age, gender, marital status, education, occupation, economic level, social security, house ownership, household size, and length of residency in the city and in the neighborhood) and the dependent factor (feeling of being socially excluded). Participants who received a score ≥ 89 points on the social exclusion scale were accepted as those who felt themselves to be socially excluded. Of the 2493 participants, 644 (25.80%) received a score equal to or above 89 points and 1849 (74.20%) below 89 points. Results of the logistic regression analysis are shown in Table 6 and distribution of participants according to various socio-demographic characteristics and their feelings of being social excluded or not, are shown in Table 7.
Table 6. Logistic Regression Analysis

<table>
<thead>
<tr>
<th>Variables</th>
<th>Coefficient (β)</th>
<th>p-value</th>
<th>Estimated Odds Ratio Exp(β)</th>
<th>95% Odds Ratio Lower</th>
<th>95% Odds Ratio Upper</th>
</tr>
</thead>
<tbody>
<tr>
<td>Age</td>
<td>-.022</td>
<td>.000</td>
<td>.979</td>
<td>.967</td>
<td>.990</td>
</tr>
<tr>
<td>Gender</td>
<td>.176</td>
<td>.116</td>
<td>1.192</td>
<td>.958</td>
<td>1.483</td>
</tr>
<tr>
<td>Marital Status</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Single</td>
<td>-.341</td>
<td>.203</td>
<td>.711</td>
<td>.420</td>
<td>1.202</td>
</tr>
<tr>
<td>Married</td>
<td>-.535</td>
<td>.019</td>
<td>.586</td>
<td>.375</td>
<td>.916</td>
</tr>
<tr>
<td>Education Level</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Illiterate</td>
<td>1.475</td>
<td>.000</td>
<td>4.371</td>
<td>2.172</td>
<td>8.794</td>
</tr>
<tr>
<td>Primary</td>
<td>.397</td>
<td>.006</td>
<td>1.488</td>
<td>1.118</td>
<td>1.979</td>
</tr>
<tr>
<td>High</td>
<td>.280</td>
<td>.028</td>
<td>1.323</td>
<td>1.030</td>
<td>1.699</td>
</tr>
<tr>
<td>Working Status</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Not working</td>
<td>.042</td>
<td>.746</td>
<td>1.042</td>
<td>.811</td>
<td>1.340</td>
</tr>
<tr>
<td>Social Security</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Yes</td>
<td>.254</td>
<td>.076</td>
<td>1.289</td>
<td>.974</td>
<td>1.707</td>
</tr>
<tr>
<td>Economic Situation</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Medium</td>
<td>1.070</td>
<td>.000</td>
<td>2.915</td>
<td>2.152</td>
<td>3.949</td>
</tr>
<tr>
<td>Poor</td>
<td>2.363</td>
<td>.000</td>
<td>10.623</td>
<td>7.464</td>
<td>15.117</td>
</tr>
<tr>
<td>House ownership</td>
<td>.494</td>
<td>.000</td>
<td>1.638</td>
<td>1.325</td>
<td>2.025</td>
</tr>
<tr>
<td>Household size</td>
<td>.032</td>
<td>.415</td>
<td>1.033</td>
<td>.956</td>
<td>1.116</td>
</tr>
<tr>
<td>Length of residence in the city</td>
<td>-.011</td>
<td>.030</td>
<td>.989</td>
<td>.978</td>
<td>.999</td>
</tr>
<tr>
<td>Length of residence in the neighborhood</td>
<td>.003</td>
<td>.659</td>
<td>1.003</td>
<td>.991</td>
<td>1.015</td>
</tr>
<tr>
<td>Constant</td>
<td>-1.800</td>
<td>.000</td>
<td>.165</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

All the variables: -2log likelihood = 2445.733; χ²(15)=402.748, p=0.000.
Hosmer-Lemeshow statistics =8.333 with 8 df, p=0.402.
1Female; 2 Divorced/Widowed; 3University +; 4Not working; 5Yes; 6Good; 7Yes.

We found that gender, working status, social security, household size and the length of residency in the neighborhood had no significant statistical relationship with a feeling of social exclusion. On the other hand, age, marital status, education, economic level and residency in the city were found to be related to the feeling of being socially excluded. The feeling of social exclusion diminishes as people become older and when the length of residency in the city is increased. Married people felt themselves to be less socially excluded than those who were divorced or widowed. Illiterate people felt themselves 4.4 times more; people with primary education 1.5 times more; and people with high education 1.3 times more socially excluded than those with university degrees. People at a bad economic level felt themselves 10.6 times more, and people at a medium economic level 2.9 times more socially excluded than those at a good economic level. People who are not home owners felt themselves 1.6 times more socially excluded than those with home ownership.

Table 7. Distribution of participants according to various socio-demographic characteristics and social exclusion

<table>
<thead>
<tr>
<th>Age groups</th>
<th>N</th>
<th>%</th>
<th>N</th>
<th>%</th>
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</thead>
<tbody>
<tr>
<td>18-28</td>
<td>450</td>
<td>68.5</td>
<td>207</td>
<td>31.5</td>
</tr>
<tr>
<td>29-39</td>
<td>509</td>
<td>71.4</td>
<td>204</td>
<td>28.6</td>
</tr>
<tr>
<td>40-50</td>
<td>575</td>
<td>77.8</td>
<td>164</td>
<td>22.2</td>
</tr>
<tr>
<td>51+</td>
<td>315</td>
<td>82.0</td>
<td>69</td>
<td>18.0</td>
</tr>
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</table>

<table>
<thead>
<tr>
<th>Gender</th>
<th>N</th>
<th>%</th>
<th>N</th>
<th>%</th>
</tr>
</thead>
<tbody>
<tr>
<td>Male</td>
<td>1003</td>
<td>73.2</td>
<td>367</td>
<td>26.8</td>
</tr>
<tr>
<td>Female</td>
<td>846</td>
<td>75.3</td>
<td>277</td>
<td>24.7</td>
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</table>

<table>
<thead>
<tr>
<th>Education level</th>
<th>N</th>
<th>%</th>
<th>N</th>
<th>%</th>
</tr>
</thead>
<tbody>
<tr>
<td>Illiterate</td>
<td>28</td>
<td>49.1</td>
<td>29</td>
<td>50.9</td>
</tr>
<tr>
<td>Primary</td>
<td>532</td>
<td>72.1</td>
<td>206</td>
<td>27.9</td>
</tr>
<tr>
<td>High school</td>
<td>630</td>
<td>72.2</td>
<td>243</td>
<td>27.8</td>
</tr>
</tbody>
</table>
4. Discussion

In this study we made an attempt to measure the perceived social exclusion by using a numerical index which was developed by Jehoel-Gijsbers & Vrooman (2007). To the best of our knowledge, this may be the first study, which assessed the state of social exclusion in an objective and measurable manner, to be performed in Turkey. There are a few studies about social exclusion in Turkish literature but they did not depend on a numerical index and cannot be regarded as having a multi-dimensional concept.

Our statistical analysis of the Turkish version of the social exclusion scale developed by Jehoel-Gijsbers & Vrooman (2007) showed a good validity and reliability. Therefore we can conclude that this instrument may be an important policy tool, which can be used to set priorities and to develop policy strategies which tackle risk factors that produce social exclusion. We found that one in four participants felt themselves socially excluded, so we can conclude that perceived social exclusion is a widespread phenomenon.

The feeling of social exclusion is found to reduce with increasing age. Similar findings were obtained from the studies of Jehoel-Gijsbers & Vrooman (2007), Poggi (2003), Aasland & Flotten (2001) and Adaman & Ardiç (2008). On the other hand, Bradshaw et al. (2000) found no significant relationship with age.

We did not find significant differences between male and female participants whereas Bradshaw et al. (2000) found that women felt themselves more socially excluded than men. Studies of Aasland & Flotten (2001) and Adaman & Ardiç (2008) also found no significant differences in terms of gender.

In this study we found that those divorced or widowed felt themselves more socially excluded than those who were married; similar results were obtained from the study of Bradshaw et al. (2000).

Educational level is found to be an important factor in feelings regarding social exclusion and with the increasing level of education this feeling diminishes. Similar results were reached by the studies of Aasland & Flotten (2001) and Adaman & Ardiç (2008) also found no significant differences in terms of gender.

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In this study, having a bad economic situation was found to be related to feelings of social exclusion and those who reported themselves as being in a bad economic situation felt themselves to be 10 times more socially excluded than those with a good economic situation. Poverty could be a predictor of social exclusion. According to Devicienti and Poggi (2007), poverty and social exclusion show a low correlation over time for the same individual and they are not two sides of the same coin, plus there are dynamic cross effects, implying that poverty and social exclusion are mutually reinforcing. Bhalla and Lapeyre (1997) brought up an important point in their paper: “In poor societies, economic deprivation is at the heart of the problem of exclusion. Any claim in these societies to income has a greater relative weight than a claim to political and civil rights”. It is clear that when a large part of the population is struggling for survival, when people are excluded from the main sources of income, their first priority is survival and a basic livelihood.

Unfortunately, Turkey has no clear and effective social policies to combat poverty. With a per
capita gross national income (GNI PPP) of 13,710 international dollars (World Bank, 2010). Turkey is ranking in the 78th place among 213 countries and is classified as a country with upper middle income. However, the income distribution is not equal and Turkey has the second highest GINI coefficient (0.41) after Mexico among the OECD members (OECD, 2008). Income share held by the highest 20% is 8.5 fold more than those of by the lowest 20%. Contemporary state national development plans and social policy vision statements continue to give an important place to religious welfare provision and charity, which takes away state responsibility in the preservation of social citizenship and rights (Jawad & Yakut-Cakar, 2010; Gal, 2010). Family continues to have precedence over the state as the primary provider of social support in times of need (Bugra & Keyder, 2006). A pronatalist movement is being encouraged by advising having three children, at least. On the other hand, analysis has shown that the risk of poverty increases as the number of children is increasing (Aran, Demir, Sarica, Yazici, 2010).

If social exclusion is a euphemism for poverty, then joblessness of individuals is important because it makes people poor. Our results were not in line with this statement hence we did not find a statistically significant relationship between being unemployed and feelings of being socially excluded. A possible explanation for this result could be put down to the composition of the unemployed participants. About 25.1% of them were not looking for a job and mostly were either housewives or retired persons, only 8.4% were really unemployed. This is lower than the unemployment rate (11.4%) for the whole country (TurkStat 2010). In contrast to our results we are still thinking that unemployment could be an important factor of social exclusion. Turkey’s employment policy has made some progress by prolonging job creation incentives, making an attempt to prepare its national employment strategy and registering and delivering services to unemployed people. However, the coverage rate of unemployment benefit is too low and only 6% of the unemployed received benefits from the fund in March 2010 (European Commission 2010). The overall social policy regarding labor participation and unemployment should be strengthened and priority policies on employment need to be established. In Turkey, having social security membership means free access to health care and retirement pensions. We expected that people within the social security system should feel themselves stronger and therefore being included in this system might have an effect on one’s feeling of social exclusion, but we did not find a statistically significant relationship among feelings of social exclusion and having, or not having, social security membership. Because most of our study group (85.4%) were under the social security umbrella. In contrast to our findings we think that having social security is an important component of social exclusion in Turkey, hence 44.8% of the people in employment are not registered within the social security system and are deprived of the protection of labor and pension rights. On the other hand, inspection capacity remains insufficient compared to the wide scope of informal work capacity. Turkey has to develop new social policies to combat informal labor and employment.

In our study, home ownership was found to be an important factor in relation to feelings of social exclusion. At the same time, owning a house depends on a good economic situation and therefore this relationship seems to be reflecting the effects of economic levels on social exclusion rather than home ownership. In Turkey, the process of land occupation and housing construction in urban areas, especially near metropolitan cities, which welcome thousands of immigrants from the eastern parts of the country, has changed dramatically over the past 10 years. A new state agency, the Mass Housing Administration (TOKI), has been established, and inexpensive flats in large apartment blocks are being constructed. Big private construction firms have also entered into the competition for building gated communities and middle-class housing complexes. The formation of housing cooperatives which offer inexpensive long-term credit to buyers has been encouraged. As a result of this action the new immigrants to big cities have to enter as tenants, and often in the least desirable, the cheapest and the meanest dwelling units. Therefore, the establishment of the Mass Housing Administration and its efforts to realize home ownership for every family should be accepted as a positive initiative in terms of producing social policy.

In this study we found that with the increasing years of residency in the city the feelings of social exclusion are diminishing. This could be explained by the attachment to the city, inclusion in its social environment and culture and familiarity with institutions and people. Social contact is an important factor which diminishes the feelings of social exclusion and is one of the main psychological functions attributed to place attachment (Fried, 1982; Korpela et al., 2001).

In this study we wanted to measure the feelings of social exclusion in a Turkish community by using the Social Exclusion Scale developed by Jehoel-Gijsbers & Vrooman (2007). However, because social exclusion is a multi-dimensional phenomenon, it is not easy to represent it with a single item. A numerical index for social exclusion, which allows an absolute threshold to be drawn above or below
where social exclusion can be said to exist, is needed. We believe that Jehoel-Gijsbers & Vrooman’s scale (2007) could be further developed and used as an objective measurement of social exclusion. There are some limitations to our study which can be summarized as follows: Firstly, the data we used depended on self-reporting and may have been the cause of recall bias and under-reporting. Secondly, the data we used was cross sectional, therefore two-way causal effects cannot be estimated. Detailed longitudinal data is needed to create enough time distance between causes and consequences. Thirdly, we did not take ethnicity and religious beliefs into account, which may have some impact on feelings of social exclusion.

As a conclusion, 25.0% of our study participants felt themselves socially excluded. Being of younger age, being divorced or widowed, being illiterate, being in a bad economic situation could be the predictors of feelings of social exclusion. On the other hand, longer residency in the same place could diminish feelings of social exclusion. The concept of social exclusion has universal validity although it has not gained much attention in developing countries. We hope our study will provide an opening for further studies in Turkey. Thus social cohesion should also be regarded as one of the main dimensions of development.

Forty years ago Dudley Seers wrote: “The questions to ask about a country’s development are: What has been happening to poverty? What has been happening to unemployment? What has been happening to inequality? If all three of these have become less severe, then beyond doubt this has been a period of development for the country concerned. If one or two of these central problems have been growing worse, especially if all three have, it would be strange to call the result “development,” even if per capita income doubled” (Seers 1969:3).

Now it is time to add a fourth question to them: What has been happening to social exclusion?

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April 2009.
Politics of Revenue Allocation in Nigeria: a Re-Visitation

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Abstract

Revenue sharing or allocation in federal political system is prone to a number of problems rooted in politics. Federalized system essentially places emphasis on cooperation and compromise. Revenue allocation in a federal system is one such area that call for a great deal of consensus built on meaningful compromises. Of the many problem that have always arisen with regard to revenue sharing in all federations, two stand out with respect to Nigeria. The first is how to deal with the problems arising from inequalities in size and wealth among federating units. The second is how to ensure that growth of any unit does not suffer because some other unit(s) shows inability to catch up with the more progressive one(s). These problems have been variously tackled in Nigeria through the instrument of fiscal review Commissions. These Commissions had operated under very charged atmospheres given the highly emotive and volatile nature of the politics of revenue allocation. The nature and outcome of the efforts of these Commissions remain ad hoc arising questions over their utility in dealing with the ever-controversial and polemical issue of revenue allocation. This paper is an attempt at an inquiring into the forces at work in the politics of revenue sharing in Nigeria. Have the various formulas served the purpose of ensuring equitable fiscal federalism? It is argued in this paper that the dream of equitable and acceptable revenue sharing in Nigeria is yet to be realized, and will remain far-fetched as long as political calculations govern the choice of formula to the virtual exclusion of sound economic and public finance practice based on optimal allocation efficiency and distributive equity.

Keywords: Revenue allocation, Federal system, Public Finance

1. Introduction

The issue of revenue allocation in every political system especially federal ones, is prone to a number of problems which are rooted in politics. Nigeria’s experience presents us an interesting object of study and discussion.

Nigeria came into existence as a united political entity on the 1st of January 1914 when the British Colonial authorities amalgamated the Protectorates of Northern and Southern Nigeria. At the time of birth, Nigeria was just a territory inhabited by various heterogeneous ethnic communities with hardly common culture and only united in so far as they were governed by a single foreign power. The amalgamation of 1914 did not bring forth appreciable constitutional changes. Indeed, until 1946, the North and the South continued to be governed as they had before 1914. There arose a difficulty in harmonization and assimilation of the North and the South because they continued to be governed separately and pursued, for all practical purposes, interests that are disparate in many ways. Thus, the administrative structure given to Nigeria by Lord Lugard had existed practically unchanged for some sixty years (Adedeji 1969:23).

Before the introduction of Indirect Rule in 1914, there had existed a system of revenue collection and allocation in the Northern Emirates. The Muslim communities in the North were well organized and led hierarchically structured public administration with various machineries such as Alkali Courts and Native Treasury. The taxes were collected by the Emirs, in compliance with the native law and custom, and was later shared by the native authority and the colonial power. The practice of paying traditional tributes was later abolished and in its place was the introduction of a uniform tax system. It is important to quickly point out that the amalgamation of Southern and Northern Nigeria was prompted by
administrative, political, fiscal and economic considerations. The North was bedeviled with serious financial constraints and it was because of the fragility of the economy and its attendant financial burden on the British Government that Lord Lugard considered it economically and financially prudent to amalgamate the two protectorates in 1914, so that the North might benefit materially from the economic surpluses of the South (Political Bureau Report, n.d: 169).

Federalism is essentially a constitutional government that places emphasis on co-operation and compromise, and can hardly succeed without the necessary political consensus and respect for the rules of the political game. Federal finance is one such area that call for a great deal of consensus and compromises. The basic problem in federal finance is the allocation of revenue between the various levels of government and among the units so that each government may have the financial capacity to perform the functions assigned to it. Federalism is not merely a technique of organizing a governmental system, but is also a political philosophy prescribing accommodation and unity in diversity. The component units of the federation must be enabled to control some of their affairs in their own ways with their own resources. The philosophy of federalism would indeed be a barren one, however, if it implied that the units would be left to fend severally for themselves in such away that the rich would become richer and the poor poorer. On the contrary, the idea and ideals of balanced development of the component units is implied in the philosophy of federalism (Awa 1976:64).

A fundamental reason shaping revenue allocation in a federation such as Nigeria is the fact that, generally, the pattern of revenue allocation often reflects and tends to reinforce the balance of political and economic power between the component states and the central government. If the federation is characterized by strong essentially autonomous federating states and a relatively weak center, revenue allocation arrangements which seek to reflect this constitutional reality by giving fiscal autonomy to the states, inevitably strengthen such states at the expense of the center. Where however, the objective is to foster growth of co-operative federalism, revenue allocation is designed to facilitate the co-ordination and harmonization of fiscal policies in the interest of an integrated polity.

Federally collected revenue is the mainstay of the finances of the state governments in Nigeria, accounting for about 90% of their total revenue. It is this revenue therefore that the state governments use in maintaining their services – to pay their staff, pay for essential supplies and execute their capital projects. Their financial viability, as autonomous governmental units, hang upon this source. The attitude of the actors in the sharing of this revenue is almost a matter of life and death, exciting deepest concerns and strongest emotions. This contrasts with the motivation for revenue sharing in the more settled federations where the revenue to be shared represents only a small fraction of the states’ total revenue and is, therefore, merely a supplementary rather than a primary source of state resources (Nwabueze 1983:181). The absence of sufficient independent state revenue implied in the extreme dependence of the state governments on federally collected revenue is a by-product of the circumstance in which the Nigerian Federalism originated from an existing unitary state, devolving some powers to newly created governmental units located in these regions of the country. Had the federation been formed by the coming together of existing Independent States with already developed sources of revenue of their own, the question would have been how much of such sources of revenue should be surrendered to the new Federal Government.

According to Okwudiba NNoli (1980), some of the regions relied more on federal resources than others. For example, the 1962 – 1966 plan implied a transfer of federal resources to the North amounting to N58.2m compared to N39.8m to the West and N24m to the East. The most important and persistent struggles among ethnic groups for federal resources was carried on over revenue allocation. The Federal Government was and still is the principal revenue earner in the country. Therefore, the central government has always controlled more resources than the component units. Inclusive governments in all federations tend to have some surplus funds while, in some cases, the units just manage to balance their budgets and, in other cases, they cannot effectively cope with the functions assigned to them. In other words, after some funds have been transferred from the center to the regions following constitutional specification or the recommendations of specific bodies, the regions still need additional financial aid in order to be able to perform their functions well. The central governments are compelled by circumstances to remit more funds to the units. The central government must do this because first, the philosophy of federalism makes it mandatory for it to spend money on the development of the entire manpower resources of the federation; and second, there is an increasing demand everywhere for equity in the fields of social services where citizens expect reasonably similar standard of health services and educational opportunities wherever they live in a country. Additional money is remitted to the regions through the medium of grants which may be conditional or unconditional (Awa 1976:182).
Two fundamental problems have always arisen with respect to revenue sharing in all federations. The first is how to deal with the problems arising from inequalities in size and wealth among federating units. The second is how to ensure that growth of any unit does not suffer because some other unit(s) show inability to catch up with the more progressive one(s). The following section is a modest presentation of how these problems have been addressed in Nigeria through the instrument of fiscal review commissions.

2. Review of Past Commissions

Because of the fiscal problems between the centre and the units and the competition among the various claimants to the scare national resources, it became necessary that fiscal review commissions be appointed to study the fiscal relationship between the federal government and the component units, as well as the economic and financial relationship among the units themselves and make recommendations to the successive governments on how to allocate federally collected revenue. A look at these commissions will serve our purpose at this juncture.

2.1 Phillipson Commission of 1946

The Richards constitution of 1946 initiated the process of decentralization and three regions were reorganized in Nigeria as administrative units. It then became necessary to determine the services in each unit and how it should be financed. Consequently, sir Sydney Phillipson was commissioned to make a comprehensive study and recommend administrative and financial procedure to be adopted under the 1946 constitution. Phillipson recommended the ‘principles of derivation and even progress’ as principal determinants of federally collected revenue accruing to each region. Difficulties arose in the implementation of the Phillipson formula, with the North arguing that the money that was due to it had gone to the East; while the latter and the West charged that the North had received an unfairly large allocation. The dispute came to a head at the Ibadan Constitutional Conference of 1950. The Northern delegates argued for the distribution of central revenues to the region on a per capita basis, those from the West called for the unalloyed adoption of the principle of derivation in view of its overwhelming contribution to such revenue, while the Eastern delegates pleaded on behalf of the principle of need which was more beneficial to their relatively poor region (Nnoli, 1978:203).

2.2 The Hicks-Phillipson Commission (1951)

In 1951, a new constitution was introduced which considerably strengthened the regional councils. This constitution marked the first decisive step towards federalism in Nigeria. Since the regional governments were constitutionally subordinate to the central government. It was inevitable that there were frequent frictions between the two levels of government, which eventually led to the breakdown of the constitution and to the introduction of a new one in 1954. As part of the constitutional review which led to the 1951 Macpherson Constitution, the Hicks – Phillipson commission was appointed in 1950. The Commission’s Report recommended that Regions should be given power to raise, regulate and appropriate certain items of revenue. This led to the emergence of the ‘principle of independent revenue’ in Nigeria Federal finance which, in the view of the Commission, was desirable both in the interest of regional autonomy and of proper financial responsibility and efficiency of administration. The Commission advocated a system of revenue allocation based on Derivation, Need and National Interest. Other extreme views included a suggestion that the Federal Government should be just a little more than the agent of regional governments and it should derive its funds from a levy on regional governments.

The Yoruba faction of the privileged class stood to benefit most from the application of the ‘principle of derivation’. Although there was a boom in the sellers’ market for the products of the West and the North, cocoa and columbite respectively, the revenue from the sale of cocoa far outstripped that of any other product (Nnoli, 1978). The most important and lasting contribution of the Hicks-Phillipson Commission in the development of Federal finance in Nigeria can be summarized under three headings: (1) Its rejection of the derivative principle as the sole or most important basis for allocating revenue among the regions; (2) Its discussion of some of the general principles of Federal Finance and their application to Nigeria; and (3) Its advocacy of a system of revenue allocation based on the adoption of not just one but a number of criteria which together would ensure justice, liberty, fraternity and efficiency (Adedeji, 1969).
2.3 The Chick Commission (1953)

As a result of the political and constitutional crisis of 1953, many observers in both Nigeria and Great Britain came to the view that any new constitution for Nigeria must provide for a larger measure of autonomy for the regions than the 1951 constitution allowed. A new constitution, the Lyttleton Constitution, was adopted. Regions gained enormously in terms of autonomy. Sir Lious Chick was therefore appointed to review the fiscal arrangement.

The tax powers of the Federal Government were still substantial. In fact they remained much as they had been under the 1951 Constitution. Partly because of the great change in the constitutional position of the Regions and partly because the Regions were anxious to reduce the financial resources of the Federal Government to the minimum so that they could have a much larger share, the financial strength of the centre was much weaker after October 1954 than it had been previously. This was a trend which was given impetus by the 1946 constitution which encouraged regionalism and which reached its climax in 1954 when Nigeria became a Federation with residual powers vested in the regions and the Federal Government left with specific functions.

A criticism of this system of revenue allocation was that the range of independent revenue given to the Regions was still considerably limited. The Federal Government obtained its jurisdiction over all taxes other than those taxes under the 1946 constitution which were declared Regional. What had happened since 1952 was that the Federal Government had been transferring an increasing proportion of the revenue to the Regions, but the power to tax and to vary the rates of taxes had remained firmly in its hands. The Regional Governments found this irksome and were therefore anxious to increase their tax bases and powers.

Another criticism was the total disregard of the particular needs of a region compared with its revenue raising ability. This is not a necessary result of the derivation principle itself, but of the extent to which it was carried. Another defect had been the disregard for each region’s need in relation to its revenue sources, and the disparity in the rates of development which this had brought about.

2.4 The Raisman Commission (1958)

Dissatisfaction with the system based on the Chick Report and a decision of the 1957 Constitutional Conference led to the appointment of another fiscal review commission under the Chairmanship of Sir Jeremy Raisman. The Commission’s Report was published in 1958 and it recommended regional retention of Independent revenues. This was designed to confer on the Regions a higher degree of fiscal autonomy, this was an expression of the principle of derivation. Other recommendations were that whereas under the previous system, mining rents and royalties were allocated 100% to the Regions of origin, the Raisman Commission recommended that they be divided as follows:

- 50% to the Regions of origin
- 20% to the Federal Government and
- 30% to be paid into a Joint account of all the Regions styled the Distributable pool Account.

It should be noted that by 1957, the application of the principle of derivation had poisoned inter-governmental relationships and has exacerbated inter-regional rivalry and conflict. Perhaps more than any other single factor, it had hampered the development of a sense of national unity or common citizenship in Nigeria. It soon became clear that in relation to its size and needs, the north suffered most from the application of the principle. At the same time, slump in cocoa trade of the West and columbite trade of the North brought about a decrease in the earlier advantages of the principle enjoyed by the West (Nnoli, 1978).

2.5 The Binns Commission (1964)

Mr. K. J. Binns was appointed in 1964 to review the revenue system. The Commission recommended that the share of the Distributable Pool Account out of the proceeds of general import duties and mining rents and royalties should increase from 30% to 35%. There was a corresponding reduction of the Federal Government’s share of these taxes. In effect, the Binns Commission recommended the continued retention by the Regions of 100% of all export duties, 100% import and excise duties on tobacco, 100% of the duties on fuel, 50% of mining rents and royalties and 30% of other import duties. The ‘Principle of financial comparability’ which came in vogue at this time seemed to involve the relative
consideration of the cash position of the Regions, their tax efforts and the standard of services provided by them.

2.6 Decree no. 15 of (1967)

By Decree No.15 of 1967, the Military Administration created twelve states in the country. The same Decree provided that the newly created states should share the revenue allocated to the former regions out of which they were created. The Binns Commission’s recommendations were thus retained.

The principle of derivation and the Distributable Pool Account which prevailed in 1967 raised four main problems. This principle was based on the right of each state to the taxes that its inhabitants are assumed to have contributed. In the first place, many of the states found themselves with insufficient revenue with which to meet their responsibilities. The revenue yielding base of the newly created states was naturally much smaller than that of the old regions. It also differed widely and in some cases was manifestly inadequate.

Secondly, the allocation of revenues on the ‘principle of derivation’ made the finances of each state very dependent on the level of its own limited productive activities (e.g. of export crops and mining) and on the level of consumption. States revenues were thus liable to considerable fluctuation.

Thirdly, the system gave rise to unacceptable disparities between states, since the financial receipts of well paced states were not necessarily related to their share of the national population, size of territory, capacity to foster development, or existing commitments on social overheads.

Finally, the formula for sharing the funds of the Distributable Pool Account became quite arbitrary. Before the creation of states in 1967, the account was divided among the regions in the ratio of 42% for the North, 30% for the East, 20% for the West and 8% for the Mid-West. There was no more precise formulation of the criteria used.

It was therefore difficult to alter these percentages on any objective basis to meet the needs of the new twelve state system (Oyovbaire 1978).

By reducing the weight which the previous structure of fiscal federalism assigned to the ‘principle of derivation’, the new arrangements have in effect emphasized the ‘principles of need, equality among the states and balanced development’. These changes were however strengthened in 1971 by the Federal Government’s distinction between revenue from on-shore and off-shore production of oil and its decisions to take over all royalties, rents and other revenues from off-shore oil production.

2.7 The Dina Committee (1969)

The financial provisions of Decree No.15 of 1967 were criticized on the grounds that it dealt only with the Distributable Pool Account and failed to take cognizance of the basic elements of the previous allocations of revenue between the constituent units of the Federation, viz, (i) Population (ii) Financial need (iii) Derivation. For these reasons, the Dina Committee was set up in 1969 to work out an interim revenue allocation formula for the country. The report of the Committee was quite unfavourable since it seemed to reduce the powers and functions of the states and as such were not accepted by the Government of the Federation.

2.8 Decree no. 13 (1970)

This decree introduced some changes into the revenue allocation system. For example, under this decree whereas (i) 100% Export Duties went to the State of origin, only 60% was to go to them while 40% was retained by the Federal Government; (ii) 100% duty on fuel was paid to the states of consumption, only 50% was paid to them. The balance of 50% was retained by the Federal Government; (iii) 50% mining rents and royalties were formerly paid to the state of origin, these were now reduced to 45%. The Distributable Pool Account was credited with 50% of the proceeds while the Federal Government retained the remaining 5%; (iv) 50% excise duties was to be paid into the Distributable Pool Account while the remaining 50% was retained by the Federal Government (v) the Distributable Pool Account was now to be distributed 50% proportionately according to the population of each state. The net effect of these changes in the allocation system was the accrual of more revenues to the Federal Government.
2.9 Decree no. 9 (1971)

This decree which took effect from 1 April, 1971 transferred all royalties and rents derived from petroleum on the territorial waters to the Federal Government.

The failure to develop, on a continuous basis, a wealth of data that would grow in size as well as in sophistication paved the way for a return in 1970 to a more simplistic two-factor formula of population and equality of states. The bone of contention was usually, if not always, how much to keep on the basis of derivation and how to share the revenue that passed through the common pool among the Regions or States. The rivalry was less between the Regions combined against the centre as among the Regions themselves. The primary motivation for revenue sharing in the older Federation was economic, especially, to assist the financially and fiscally weak states with federally collected revenues (The Revenue Act 1982:16).

The principle of derivation, with time, began to produce quite unprecedented disparities in state revenues. The two major oil-producing states (Mid-West and Rivers) began to accumulate huge surpluses and were the envy of all the other states. The Federal Government, benefiting from the petroleum profits tax, also began to run a surplus which gave it the means of effecting changes in the structure of revenue allocation. It was able to abolish export duties and make compensating grants, introduce uniform rates and allowances for income tax and increase the size of the Distributable Pool Account (DPA). The pre-war political system was characterized by a weak centre denuded of authority and vitality by a conflicting set of regional interests. The configuration of forces in the post-war situation was quite different in a number of ways. The most obvious change was the enhanced status of the Federal Government, which had undertaken the mobilization of the country’s resources during the war and initiated thereafter a programme of reconstruction and rehabilitation. This status was facilitated mostly by the rigid centralized and hierarchical organization/command structure of the military that was in charge of affairs.

Since the end of the Nigerian Civil War, the Federal Military Government has increasingly used ad-hoc grants to the states for specific projects as one way of dealing with the problems posed by the failure to match financial resources with constitutionally determined functions. While the use of ad-hoc grants has some merits, the weight of academic and governmental opinion over this is critical on several grounds. Essang (1979:237) observes thus: “First is the absence of a formula for disbursement, a circumstance which results in some states getting a disproportionately large share while other states go begging. Second is the increased power which the practice confers on the Federal bureaucracy. Third, is the criticism that being a grant for specific capital projects, it could encourage the financing of some not very productive capital projects which are likely to give rise to burden some recurrent expenditures. Fourth, is the fact that it fosters on Oliver Twist’s mentality on the part of the States”.

By 1973, an additional element of rivalry and controversy had been added to the problem of revenue allocation. Hitherto, the controversy had been largely one dimensional. It was simply a controversy between the regime concerning the formula to be used in sharing among them, the proportion of federally collected revenue allocated for sharing between them. The financial resources secured to the federal and state governments became thoroughly unbalanced as a result of the oil boom and the vast industrial growth that occurred in the country from 1973 onward. By these developments, the revenue from petroleum profit tax and companies income tax increased ten folds respectively by 1976-77 putting vast amounts of money in the hands of the Federal Government. It was the unfairly discriminatory manner in which the Federal grants-in-aid were disbursed so as to favour some states against others, often on purely arbitrary grounds, that aroused perhaps the greatest indignation against the arrangement. The grants system aroused objection on other grounds too, such as the uncertainty surrounding them.

2.10 The Aboyade Technical Committee (1977)

This committee was set up in 1977 and it gave the Local Government for the first time a statutory share of the Federation Revenue. The piece-meal approach to revenue allocation was discontinued. The federally collected revenue was regarded as belonging to the whole country and the Federal Government was given a fixed percentage share.

There was hardly any principle that enjoyed the support of all units of government at any one point overtime. Each government changed its advocacy of particular principles according to the prevailing circumstances. Three basic issues dominated financial and fiscal relations between 1966 and 1979. Accordingly, the politics of revenue allocation were affected by these three major factors. First, is the
structure of the Nigerian Military. Second, is the increase in the number of governmental units in the federation: from four (excluding the Federal Government) regions to twelve states in 1967, to nineteen in 1976, to twenty-one in 1989, to thirty in 1992 and later to thirty-six; and in addition the acceptance of 299 units of local government (which is currently 7…units) as the third tier of government. The tremendous increase in the importance of oil as the major source of revenue made revenue sharing difficult partly because the largely rich small units of government were faced with demands from the largely poor units (Onyediran 1979:194).

The organizational structure of the Military affected the politics of revenue allocation during this period in three directions: (a) the power relations between the centre and the states (b) the nature of the reaction of Military Governors who felt aggrieved by the prevailing revenue allocation principles and (c) the frequency of changes in allocation formula. Between 1967 and 1979, revenue allocation in Nigeria was based not only on ad-hoc arrangements but also influenced by the super-ordinate – subordinate relationship between the Federal Government and other units of government. The composition of the Distributable Pool Account and the allocation formula changed several times during the military rule. The changes were more frequent between the period 1966 and 1975 than during the previous eighteen years. On the one hand, this can be said to be advantageous in the sense that dissatisfaction with an existing system was not allowed to deepen to crisis level before changes were made. On the other hand, however, it also points to the fact that fiscal centralism was the accepted system during the period. Not only have revenues from oil been growing very rapidly, but the tax had risen from its position of insignificance in the early ‘60s to one in which it accounted for almost two thirds of federal revenue in 1974/75. The effect of these was two fold. Since this productive source of federal revenue continued to be excluded from the revenue allocation systems, the federal government continued to pile up surpluses whilst the states had deficits. The proportion of federal revenue that went to the states declined by about one third during this period. Secondly, it accounted in part, at least, for the indifference of states to internal revenue sources.

Three factors have contributed to the federal superiority in revenue allocation. The acquisition by the Federal Government of functions which were the constitutional responsibilities of the States. This centralization was encouraged by the buoyant revenue position of the former and partly, the need to promote national unity. The net effect of the federal presence was either to abolish completely or reduce considerably the state governments’ independent sources of revenue. Finally, the psychology and the operational philosophy of the military organization as noted earlier tended to contribute to the centralization tendency (Oyediran 1979).

2.11 Okigbo Commission or Presidential Commission (1979)

It was set up in 1979 to examine the existing formula for revenue allocation, having regard to such factors as national interest, derivation, population, even development, equitable distribution and equality of states. The report was submitted in 1980 and recommended the following:

- Federal Government – 53%, Special Fund – 7%, State Governments – 30%, Local Government Councils – 10%. For the sharing of the States Joint Account, it recommend – minimum responsibilities of government – 40%, population – 40%, social development factor (Primary School Enrolment) – 15%, Internal revenue effort – 5%.

3. Recommendations of Political Bureau of 1986

President Ibrahim Babangida’s administration appointed 16 – member Political Bureau for transitional programme, headed by Dr. S. J. Cooley to study and make recommendations, having identified the basic problem which have led to our failure in the past and suggest ways of resolving and coping with the problems. Under the section on Revenue Allocation, the Bureau recommended that:

(a). A higher percentage of revenue from the Federation Account than the current 10% should be allocated to the local government (at least, 20%).

(b). There is the need to create Local Government Joint Account to be opened at the nearest Central Bank of Nigeria branch in each state into which all funds (including state contribution of not less than 10% of internally generated revenue) meant for local governments in the state should be put and disbursed to them directly.

(c). Fiscal responsibilities between the Federal and State Governments should be reviewed to give local governments greater latitude to collect revenue from more sources to enable them meet their expanded roles in the new political order.
(d). Revenue from the Federation account should continue to be allocated to the states based on the existing principles.

(e). The dichotomy between on-shore and off-shore in the allocation of revenue due to the oil producing states should be abolished.

(f). A permanent national revenue and fiscal commission should be established. The commission should have autonomous status comparable to National commission on political parties and Elections.

The Bureau's recommendations were accepted for implementation by the federal Government. These formed the basis of revenue allocation in Nigeria until the recent past.

4. Report of the 1994/95 Constitutional Conference Committee on Revenue Allocation

The Committee rightly saw a special relationship between revenue allocation and revenue generation and the politics involved in this issue. To the committee, the fundamental development issue in a true federation, is the generation of revenue with accelerated economic and social development. The committee opined that emphasis should be on revenue generation since a revenue allocation formula that tends more towards revenue sharing than revenue generation is a serious depressant to economic development and tends to generate ethnic rivalry and rancour, thus making government less productive.

The Committee was confronted by doubts in some quarters as to whether revenue allocation formula should be entrenched in our country's Constitution. The Committee saw the merits and demerits of the options and resolved that the formula is to be entrenched in the Constitution and at the same time flexibility built into it. It was further resolved that the revenue allocation formula should be reviewed once every four (4) years by the National Revenue Mobilization, Allocation and Fiscal Commission. The Commission should be constituted with a member from each state of the Federation. The recommendations of the NRMAFC shall be submitted to the National Assembly for approval. In determining the formula, the National Assembly shall take into account allocation principles especially those of population, equality of states, internal revenue generation, land mass/terrain as well as population density, provided that the principle of derivation shall be constantly reflected in any approved formula as being not less than 13% of the revenue accruing to the Federation Account directly. However, that derivation shall be deemed to include any amount that may be set aside for funding any special authority or agency for the development of the states of derivation.

5. Revenue Allocation in the 1999 Constitution

The 1999 constitution ensured overwhelming dominance of the Federal Government in revenue allocation. Section 162(2) of the 1999 constitution provides in part that: “the principle of derivation shall be constantly reflected in any approved formula as being not less than thirteen percent of the revenue accruing to the Federation Account directly from any natural resources”. Meaning that the 87 percent balance goes to the “Federal Account” to be put at the disposal of the Government of the Federation. It is not strange therefore that in line with Federal Dominance, section 44 (3) of the constitution provides that:

The entire property in and control of all minerals, mineral oils and natural gas in, under or upon any land in Nigeria or in, under or upon the territorial waters and the Exclusive Economic Zone of Nigeria shall vest in the Government of the Federation and shall be managed in such manner as may be presented by the National Assembly.

Vesting of all rights to oil resources in the Federal Government, however, runs contrary to true federalism. More significantly, one is inclined to question the propriety or raison d'etre of incorporating section 162(3 – 8) into the 1999 constitution given the language of section 162(2) putting revenue allocation based on derivation at 13 per cent especially when section 44(3) makes it abundantly clear that revenue derived from natural resources shall be vested in and managed by Government of the Federation “in such manner as may be prescribed by the National Assembly”. To ensure total subordination of the States (and Local Government Councils) to the Federal Government, section 166(1) of the constitution does not mince words: “Any payment that is required to be made by the Federation to a State may be set-off by the Federation in or towards payment of any sum that is due from that state to the Federation in respect of any loan made by the Federation to that state”.
6. Problems of Revenue Allocation in Nigeria

It could be seen from the above that the Nigerian fiscal system had been subjected to a series of reviews and changes. None of these had ensured mutually acceptable system of allocation in which the conflicting interests of the Federal and the State Governments have been harmoniously reconciled. Another important element to note is that all the revisions of the revenue allocation formula since 1964 have been ad-hoc and based on expediency but not on any basic study of the perennial problems which plague revenue allocation in this country. In spite of the various recommendations, the problem of revenue allocation still plagues the country. It has remained an emotive, sensitive and highly politicized issue. The regional factions of the privileged classes have continued to maneuver and scheme for greater advantages in the division of the common cake. Only in this manner can they improve their benefits from society.

Past revenue allocation exercises have been partial in two respects. First, they have rarely taken account of the totality of the financial resources flowing from the Federal Government to the States. A look at the totality of federal financial resources available to each state of the federation within a plan period would show that the advantage enjoyed by oil producing states such as Ondo, Akwa Ibom, Rivers, Bayelsa and Delta appears exaggerated. Past revenue allocation exercises have also been partial because of the exclusion of sources of revenue with high growth potential. For instance, excluded from revenue allocation are excise duties which because of rapid and extensive growth of manufacturing industries, has immense potential as a source of revenue.

The phenomenon of revenue allocation is quite important in federal finance. In Nigeria, the allocation of revenue between the federal government and the component parts and among the units themselves is fraught with a number of complicated problems which range from economic to political.

Since the attainment of federal status, a number of commissions were appointed to study the systems of revenue allocation and make recommendations to the governments on how the national revenue can be fairly and equitably allocated among these levels of government, yet none has been able to arrive at a generally acceptable system and formula. This problem is rooted in the nature of the peculiar federalism in Nigeria. It is either the centre is too weak as was the case during the first republic or too strong as it has been during the military administrations and thereafter. The political implication of the former was that the regions were too strong that they were able to influence the allocation formula in favour of the principle of derivation which made the former western Nigeria very rich. In the case of the latter, that is, military administrations, the centre was too strong that it exercised power of monopoly and could manipulate the formulas or influence the commissions on revenue allocation in its favour. But in a true or developed federalism, the issue of revenue allocation is done through political bargaining and agreement between the inclusive and component governments with a view to making funds available to each level of government to effectively exercise its constitutional responsibilities. In Nigeria, however, the reverse seems the case, since the federal government collects virtually all the juicy revenues and allocates same in the way and manner it deems fit. The result is that some states are given more than the others depending on their relative political influence which leads to uneven development among the states and, in consequence, breeds mutual hatred and acrimony among stake holders.

The lack of foresight and objectivity on the part of the economic planners is a problem in the system of revenue allocation. The past fiscal blueprints and schemes have always lacked valid economic base, with the exception of the criterion of derivation, according to which the percentage of revenue allocation to each state is proportional to the share of taxes derived from each state by the federal government. In Nigeria, because of the emergence of petroleum, this principle in effect dictates that the states from where the huge oil tax revenues are derived are entitled to a disproportionately large share. Apart from the absence of economic base, derivation as a criterion for revenue allocation has distinct disadvantages such as the creation of disparities in financial resources available to the states. Table 1 is archetypal and instructive, the encouragement of imbalance between constitutionally determined functions and financial resources, inter-state jealousy and the exposure of the state to fiscal instability. In a growing population as is the case in Nigeria, development plan should be positively geared towards the fields of agriculture and industry in order that the growth rate of economy should measure up with increase in population growth. But the reserve is always the case, since development planners hardly carry out what they state on papers or sometimes are left uncompleted if ever they take off. This results in the disproportion between the population growth and economic growth rate. Unfortunately, the government turns attention to the oil industry whose operations are quite unpredictable given price fluctuations and other vagaries.

Coupled with this problem is the fact that the Federal Government worsens the situation by not
providing enabling environment for the enthronement of credible revenue allocation formula. This is evident in the role successive governments played in this regard. Whenever the government appoints a commission on revenue allocation, it also sets guidelines for such a commission to guide its conduct and recommendations. Often, any deviation is regarded as an act of sacrilege. A typical example was the rejection by government of the Dina Commission’s Report in 1969.

Table 1: Summary of Allocations to States and FCT

<table>
<thead>
<tr>
<th>S/NO.</th>
<th>STATE</th>
<th>TOTAL ALLOCATION FROM JAN. – NOV. 2000</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Abia</td>
<td>5,259,915,841.63</td>
</tr>
<tr>
<td>2</td>
<td>Adamawa</td>
<td>5,871,458,721.52</td>
</tr>
<tr>
<td>3</td>
<td>Akwa Ibom</td>
<td>17,607,583,966.25</td>
</tr>
<tr>
<td>4</td>
<td>Anambra</td>
<td>5,724,799,366.23</td>
</tr>
<tr>
<td>5</td>
<td>Bauchi</td>
<td>6,122,367,499.39</td>
</tr>
<tr>
<td>6</td>
<td>Bayelsa</td>
<td>14,224,432,666.33</td>
</tr>
<tr>
<td>7</td>
<td>Benue</td>
<td>6,701,872,878.14</td>
</tr>
<tr>
<td>8</td>
<td>Borno</td>
<td>6,876,344,937.98</td>
</tr>
<tr>
<td>9</td>
<td>Cross River</td>
<td>5,700,588,604.44</td>
</tr>
<tr>
<td>10</td>
<td>Delta</td>
<td>21,967,447,802.89</td>
</tr>
<tr>
<td>11</td>
<td>Ebonyi</td>
<td>4,489,871,889.26</td>
</tr>
<tr>
<td>12</td>
<td>Edo</td>
<td>6,032,706,397,488</td>
</tr>
<tr>
<td>13</td>
<td>Ekiti</td>
<td>4,673,177,662.16</td>
</tr>
<tr>
<td>14</td>
<td>Enugu</td>
<td>4,969,946,755.19</td>
</tr>
<tr>
<td>15</td>
<td>Gombe</td>
<td>4,598,488,291.09</td>
</tr>
<tr>
<td>16</td>
<td>Imo</td>
<td>6,721,231,797.21</td>
</tr>
<tr>
<td>17</td>
<td>Jigawa</td>
<td>6,102,775,963.10</td>
</tr>
<tr>
<td>18</td>
<td>Kaduna</td>
<td>7,491,188,132.86</td>
</tr>
<tr>
<td>19</td>
<td>Kano</td>
<td>8,472,647,064.17</td>
</tr>
<tr>
<td>20</td>
<td>Katsina</td>
<td>7,275,106,262.55</td>
</tr>
<tr>
<td>21</td>
<td>Kebbi</td>
<td>5,540,153,136.46</td>
</tr>
<tr>
<td>22</td>
<td>Kogi</td>
<td>5,431,225,536.26</td>
</tr>
<tr>
<td>23</td>
<td>Kwara</td>
<td>5,431,225,536.26</td>
</tr>
<tr>
<td>24</td>
<td>Lagos</td>
<td>8,439,509,966.47</td>
</tr>
<tr>
<td>25</td>
<td>Nassarawa</td>
<td>4,731,523,976.90</td>
</tr>
<tr>
<td>26</td>
<td>Niger</td>
<td>6,704,156,023.53</td>
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<td>27</td>
<td>Ogun</td>
<td>6,069,786,522.66</td>
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<tr>
<td>28</td>
<td>Ondo</td>
<td>9,120,540,160.12</td>
</tr>
<tr>
<td>29</td>
<td>Osun</td>
<td>5,611,397,663.78</td>
</tr>
<tr>
<td>30</td>
<td>Oyo</td>
<td>6,998,874,287.27</td>
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<tr>
<td>31</td>
<td>Plateau</td>
<td>5,467,635,943.91</td>
</tr>
<tr>
<td>32</td>
<td>Rivers</td>
<td>15,804,808,403.91</td>
</tr>
<tr>
<td>33</td>
<td>Sokoto</td>
<td>5,075,568,484.57</td>
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<tr>
<td>34</td>
<td>Taraba</td>
<td>5,561,701,063.37</td>
</tr>
<tr>
<td>35</td>
<td>Yobe</td>
<td>5,350,774,33.66</td>
</tr>
<tr>
<td>36</td>
<td>Zamfara</td>
<td>5,127,552,609.16</td>
</tr>
<tr>
<td>37</td>
<td>FCT Abuja</td>
<td>29,016,021,824.52</td>
</tr>
<tr>
<td></td>
<td>TOTAL</td>
<td>293,480,629,133.90</td>
</tr>
</tbody>
</table>


Another bottleneck in the management of federal finance in Nigeria is that, unlike a developed federal system of government which has inbuilt mechanisms and structures to manage and resolve any tension or conflicts that may surface in the process of revenue allocation, the system must of necessity be directed by a unique national objective in its fiscal policy as well as revenue allocation. Moreover, it is important to note that since 1946 when a unitary constitution was formulated for Nigeria, the number of constitutions now stands at seven but the number of states continue to increase and change in structure and composition. It will be politically, socially and economically desirable to review the constitution from time to time.
Another important factor which acts as a setback is the mental posture or the psychological propensity of many Nigerians. A system of revenue allocation is just and fair to Nigerians only when it favours them, but if it goes contrary to their expectations, such a system is considered bad and ill-motivated. The efforts on the part of the Federal Government to awaken the spirit of national consciousness, patriotism, national unity and integration is far on the horizon. This is because of the heterogeneous and pluralistic nature of our polity, which is segmented along ethnic lines. No matter the names one gives to states carved out of the three former regions, it has little or no relevance to ethnic loyalty. The overall effect of this is alienation from the centre. Therefore every formula or system of revenue allocation is hardly devoid of ethnic and parochial interpretation particularly if the composition of the revenue allocation commission committee does not reflect the so-called federal character. Quite often, what would have served as a useful formula and solution to the problems of revenue allocation is often sacrificed on the altar of national unity and stability.

The major constraints associated with Nigerian Federal finance and revenue sharing is that its operation is incompatible with the objectives of standard public finance practice. According to Adedeji (1996:12), “Federal finance in Nigeria has developed and operated virtually in complete disregard of the main objectives of public finance – allocation efficiency and equity – in the sharing of revenue, particularly among the regions; such principles of federal finance as need, equity, stability and national interest have played secondary roles”. Emphasis he further argues, has been placed on the derivation principles, as the basis of revenue allocation. This, together with the lack of in-built process of adjustment in the fiscal system, has hampered the development of national unity and inhibited the growth of an effective development oriented national and fiscal policy.

7. Suggested Remedies

It is important to point out that no single formula can serve as the best index for the allocation of revenue among the units in the country but a careful combination of a number of them can be applied simultaneously.

Grants to the states should be based on necessity and viability of projects and the supervision of such projects should be undertaken by the federal government officials to ensure that the fund received is directed to the purpose for which the grant was made. The use of such funds should be audited by the Federal Government and any trace of fraud should earn the concerned culprits summary dismissal besides being made to refund the money no matter their rank, and where applicable, erring state(s) or Local Government(s) should be blacklisted.

States should only be created if viable, because there is certainly no justifiable rationale in creating many economically unviable states which, in the long run, becomes liabilities to the Federal Government. After all, one of the main reasons of creating more states is to spread development to rural areas and if the states fail in this direction, the purpose for which they were created is defeated. Any perceptive and informed observer will agree that all the states in the Federation, apart from Lagos State, are economically unviable. (see table 2 showing the extent of dependence of the States on Federal revenue in terms of internally generated and Federal to State revenue as ratios of budgets of all State Governments). For this and other reasons, emphasis should now be placed more on the local governments, being the nearest arm of government to the grassroots as well as the new agents of development.

With reference to the distribution of revenue from the Distribution Pool Account, the principles of independent tax effort and fiscal efficiency should be applied and be based on flat rate tax to be certain that all segments of the state’s population are involved. Federal contribution to the Distributable Pool Account should come from import duties, income tax and company tax. This would reduce the dependence of the units on sources whose revenue yields fluctuate widely with the state of the international markets as is the case with agricultural produce. In making allocations from the Distributable Pool Account to the states, the finance body should be guided mainly by the following criteria: (a) per capita income; (b) tax efforts; (c) the geographic area of each state and the configuration of the area. Funds to be used in meeting the special difficulties of the units should not be drawn from the Distributable Pool Account but from the resources of the inclusive governments.
### Table 2. Budget position of all state governments 1994 –1999

<table>
<thead>
<tr>
<th>STATES</th>
<th>Internally Generated (%)</th>
<th>Fed. to State Allocation (%)</th>
<th>Internally Generated (%)</th>
<th>Fed. to State Allocation (%)</th>
<th>Internally Generated (%)</th>
<th>Fed. to State Allocation (%)</th>
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</thead>
<tbody>
<tr>
<td>Abia</td>
<td>15.29</td>
<td>84.70</td>
<td>7.35</td>
<td>92.65</td>
<td>23.13</td>
<td>76.87</td>
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<tr>
<td>Adamawa</td>
<td>5.25</td>
<td>94.74</td>
<td>5.27</td>
<td>94.73</td>
<td>13.12</td>
<td>86.88</td>
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<tr>
<td>Akwa Ibom</td>
<td>10.04</td>
<td>89.95</td>
<td>10.27</td>
<td>89.21</td>
<td>23.09</td>
<td>76.91</td>
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<tr>
<td>Anambra</td>
<td>15.66</td>
<td>84.33</td>
<td>9.84</td>
<td>90.16</td>
<td>28.12</td>
<td>71.88</td>
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<tr>
<td>Bauchi</td>
<td>5.73</td>
<td>94.26</td>
<td>3.78</td>
<td>96.22</td>
<td>16.34</td>
<td>83.66</td>
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<td>Benue</td>
<td>5.56</td>
<td>94.43</td>
<td>2.74</td>
<td>97.26</td>
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<td>70.32</td>
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<td>3.85</td>
<td>96.14</td>
<td>3.49</td>
<td>96.51</td>
<td>16.34</td>
<td>83.66</td>
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<td>Cross River</td>
<td>11.80</td>
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<td>9.71</td>
<td>90.29</td>
<td>24.83</td>
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<td>6.95</td>
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<td>25.55</td>
<td>74.45</td>
<td>54.01</td>
<td>45.99</td>
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<td>14.97</td>
<td>85.03</td>
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<td>6.25</td>
<td>93.75</td>
<td>35.09</td>
<td>64.91</td>
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<td>Imo</td>
<td>16.10</td>
<td>83.9</td>
<td>11.04</td>
<td>88.96</td>
<td>33.75</td>
<td>66.25</td>
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<td>Jigawa</td>
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<td>92.52</td>
<td>5.83</td>
<td>94.17</td>
<td>20.48</td>
<td>79.52</td>
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<td>9.00</td>
<td>91.00</td>
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<td>6.75</td>
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<td>80.01</td>
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<tr>
<td>Kwara</td>
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<td>8.61</td>
<td>91.39</td>
<td>20.89</td>
<td>79.11</td>
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<td>Lagos</td>
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<td>58.8</td>
<td>41.20</td>
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<td>1.57</td>
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<td>Ogun</td>
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<td>4.30</td>
<td>95.70</td>
<td>29.26</td>
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<td>Ondo</td>
<td>16.18</td>
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<td>Osun</td>
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<td>4.86</td>
<td>95.14</td>
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<td>Plateau</td>
<td>12.17</td>
<td>87.83</td>
<td>7.54</td>
<td>92.46</td>
<td>26.45</td>
<td>73.55</td>
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<td>Rivers</td>
<td>20.12</td>
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<td>69.55</td>
<td>30.45</td>
<td>69.01</td>
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<tr>
<td>Sokoto</td>
<td>9.43</td>
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<td>Taraba</td>
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<tr>
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<td>94.86</td>
<td>0.8</td>
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<td>86.69</td>
<td>36.54</td>
<td>63.46</td>
<td>36.54</td>
<td>63.54</td>
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- See Bisong F. E. (2001:83)

It is saddening to note that Nigeria which used to be an agricultural nation is now on the brink of starvation. It is important to note that when all the component regions were contributing, one way or the other through agriculture, to the nation’s foreign reserve, the issue of revenue allocation was not reduced to brinkmanship. But with the emergence of oil, agriculture suffered regrettable neglect since each component, region/state anchored hope on the oil revenue. Steps should be taken to revamp agriculture and the non-oil productive sector through a combination of mechanised and mass labour techniques. Farmers should be encouraged by instituting a regime that will guarantee reasonable prices for their...
commodities. This is quite important at this period when fortunes from oil are fast becoming unstable and unpredictable in the world market.

Stripped of ambiguities and common-sense notion as an economic issue, revenue allocation, like budgeting, remain essentially a political matter even though ostensibly guided by economic principles. Any attempt to take politics out of revenue allocation is bound to fail. The experience of revenue sharing under the military has demonstrated the need to take cognizance of political factors. It is true that the nature of military organization and indeed the growing sense of natural awareness considerably minimized the impact of these political factors. The same factors have also made it easier for the military to transfer revenue from one level of government to another. Nonetheless, it is a questionable conclusion that the absence of a nationally acceptable revenue-sharing formula, even under the military, has been due primarily to political considerations. There is no gainsaying that revenue allocation cannot be devoid of political implications, but since in the strict sense of the term politics is the art of compromise, a compromise solution should be arrived at in the allocation of revenue in the polity in the interest of national unity, national integration and national consciousness. Steady advance toward this goal is canvassed in this paper.

It is clear that the major problems of revenue allocation in Nigeria have revolved around ‘who gets what’ from the federal revenue. The sources of revenue affected have remained unchanged for three decades, but the proportions of these revenues to be shared by the states, have changed from time to time. The various principles for Inter-state sharing which have been tried over these three decades can thus be summarized as follows: (1) Derivation; (2) Even development; (3) Need; (4) National interest; (5) Independent revenue; (6) Continuity; (7) Minimum responsibility; (8) Financial compatibility; (9) Population; (10) Equality of states; (11) National minimum standards; (12) Equality of access to development opportunities; (13) Absorptive capacity; (14) Tax effort; and (15) Fiscal efficiency. Which principle (or combination of principles) to emphasize remain a function of the nation’s unique circumstances and the level of accommodation/compromise in the politics of the nation. Herein lie the challenge of nation-building staring at the nation’s leadership and policy-makers.

References


APPENDIX


<table>
<thead>
<tr>
<th>Commission</th>
<th>Conceptual Formula</th>
<th>Computed Allocations</th>
</tr>
</thead>
</table>
| 1. Phillipson, 1946 (Operated between 1946 and 1951) | i). Derivation  
ii). Even-Progres (Even-Development | Not Available |
| 2. Hicks-Phillipson 1951 (Operated between 1951 and 1953) | i). Independent Revenue 
ii). Derivation  
iii). Need  
iv). National autonomy | Not Available |
| 3. Chick (Operated | i). Derivation  
100% import duty on motor spirits. |
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<thead>
<tr>
<th>Year</th>
<th>Description</th>
<th>Formula/Details</th>
</tr>
</thead>
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<tr>
<td>Between 1953</td>
<td>ii). Fiscal autom Federal Income Tax (Distributed on the basis of derivation)</td>
<td>Royalties and rents from mining, 50% from all imports, 50% of all export duties.</td>
</tr>
<tr>
<td>and 1959</td>
<td></td>
<td>The actual resources distributed were computed on the basis of the 1950-51 Nigerian National Income and Distributing consumption expenditures which were used to weight each region’s sum of federally – allocated revenue. The regional estimates produced the following weights: A. 1. Western Region (including Lagos Capital) 45.4 2. Eastern Nigeria and Southern Cameroon 27.4 3. Northern Nigeria 27.2 B. Later changes in estimates and adjustments: 1. Western Region 40% 2. Eastern Region 30% 3. Northern Region 30% C. Adjustment as a result of the separation of Southern Cameroon from Eastern Nigeria 1. Western Region 40% 2. Northern Region 30% 3. Eastern Region 29% 4. Southern Cameroon 1%</td>
</tr>
<tr>
<td>4. Raisman 1958</td>
<td>i) Continuity of the existing level of service</td>
<td>100% of all export duties and all import and excise duties on tobacco and motor spirits and diesel oil (to the Region’s bags).</td>
</tr>
<tr>
<td>(operated between 1959 and 1967)</td>
<td>ii) Basic responsibility of each regional government</td>
<td><strong>Rents and Royalties on Mining</strong> 50% of rents and royalties to the producing regions. 20% to the Federal Government 30% to the other regional governments</td>
</tr>
<tr>
<td></td>
<td>iii) Population</td>
<td><strong>DPA (Distributable Pool Account)</strong> 30% of all import duties minus tobacco, liquor, motor spirits and diesel oil 70% to the Federal Government</td>
</tr>
<tr>
<td></td>
<td>iv) Derivation</td>
<td></td>
</tr>
<tr>
<td></td>
<td>v) Balanced Development</td>
<td></td>
</tr>
<tr>
<td>5. Binns, 1964</td>
<td>Continuation of Raisman</td>
<td><strong>On Physical Need (Population) from DPA</strong> Northern Nigeria 40% Western Nigeria 24% Eastern Nigeria 31% Southern Cameroon 5% N1.0 million paid to the North as grants for the imbalance caused by the derivation criterion of the past. <strong>35% to the DPA distributed among regions:</strong> Northern Region 42% Eastern Region 30% Western Region 20% Midwestern Region 8% Adjustment due to the loss of Southern Cameroon in 1961 1. Northern Region 42% 40/95 2. Western Region 19% 18/95 3. Midwestern Region 6% 6/95 Eastern Region 33% 31/95</td>
</tr>
<tr>
<td>6. Dina, 1968 (Not implemented)</td>
<td>National Integration</td>
<td>90% of rents and royalties to DPA 10% to the State Governments. Insignificant oil rents and revenue given to the Producing States.</td>
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<tr>
<td>7. Decree No 13 of 1970</td>
<td>i) Increased Federal share Derivation</td>
<td>60% of the export duty instead of former 100% allocation now given to the State governments. 50% of duty on motor fuel instead of previous 100%</td>
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<tr>
<td>8.</td>
<td>Decree No 9 of 1971</td>
<td>Federal Exclusive</td>
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<tr>
<td>9.</td>
<td>Other Interim Allocations (1969 – 1974)</td>
<td>Largely Derivation</td>
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<td>10.</td>
<td>Decree No 6 of 1975</td>
<td>Equality of States Derivation Population Pool Account criterion</td>
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<td>11.</td>
<td>Aboyade Technical Committee (1977)</td>
<td>i) Equity of States ii) National Minimum standard iii) Absorptive capacity iv) Fiscal efficiency</td>
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<td>13.</td>
<td>Revenue Allocation Act of 1981 (Nullified by the Supreme Court)</td>
<td>i) Equality of States ii) Population iii) Social Development Factors iv) Internal Revenue</td>
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<td>14.</td>
<td>Revenue Allocation Act of 1982</td>
<td>i) Equality of State ii) Derivation iii) Population iv) Social factor on the basis of direct and inverse Primary School Enrolment</td>
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<tr>
<td></td>
<td>d) 5% Internally Raised Revenue Effort</td>
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<td></td>
<td>d) 5% Internally Raised Revenue Effort</td>
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<td>15.</td>
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<td>School Enrolment</td>
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<td>i) Equality of States</td>
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<td>ii) Population</td>
<td>Federal Governments 48.5%</td>
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<td></td>
<td>iii) Direct and Inverse Primary Enrolment</td>
<td>State Governments 24.5%</td>
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<td>iv) Internal Revenue Generating Effort</td>
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<td>v) Internal Revenue Generating Effort</td>
<td>Funds for developing mineral – producing areas 3.0%</td>
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<td>vi) Internal Revenue Generating Effort</td>
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<td>Population 40%</td>
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<td>Direct and Inverse Primary School Enrolment 15%</td>
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<td>Special Fund 4.5%</td>
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<td>i) Development emphasis</td>
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<td>ii) View of Local Governments</td>
<td>Federal Government 50%</td>
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<td>iii) Decrease in Federal &amp; State Allocations</td>
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<td>iv) Population</td>
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<td>v) Internally generated revenue</td>
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<td>vi) Social Development based on Primary School Enrolment</td>
<td>(1.5% for derivation, 1% for amelioration of ecological damage, 2.5% for others)</td>
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<td>State Distributors 1990 40%</td>
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<td>State Governments 2.40%</td>
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<td>Special Fund 4.5%</td>
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<td>– Producing States 3.0%</td>
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<td></td>
<td>Derivation on-shore, off-shore oil dichotomy abolished.</td>
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<td></td>
<td>Oil-Mineral Producing States receive all revenues on oils paid to the Federation Account in ratio to each State’s production for development of their respective States.</td>
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Resultative Constructions in Albanian and English

Aida Kurani
“Aleksander Moisiu” University of Durres - Albania
Email: kuraniaida@hotmail.com

Abstract This paper discusses the expression of resultative meaning in Albanian and English. This two languages bear both resemblance and dissimilarity when it comes to building resultative constructions. We argue that secondary predicates with resultative meaning, widespread in English and other Germanic languages, don’t occur as often in Albanian. Instead, Albanian uses mostly other strategies, like resultative clauses, verb + ablative construction, gerund phrases, etc. This fact should be taken into consideration during the translation from English into Albanian and vice versa.

Key words: resultative constructions, Albanian, English translation.

1. Introduction

In last decades researchers have dedicated too much attention to resultative constructions, especially in English and other Germanic languages, but also in Romance and Slavic languages, as well as in Chinese, Japanese, Korean, etc. (see Boas (2003), Carrier and Randall (1992), Dowty (1979), Goldberg (1995), Hoekstra (1988), Levin and Rappaport Hovav (1995); Mateu (2002); Nedjalkov (1988), Rappaport Hovav and Levin (1998, 2001); Simpson (1983); Wechsler (1997), among many others). However, resultatives in many other languages have yet to be studied. As Zhang (2009) notices, resultative constructions take an important place in contemporary linguistic research, because they shed light on the nature of relationship between semantics and syntax. Resultatives are common crosslinguistically, but different languages conceptualize the resultative meaning differently, so there are both similarities and variations not only across language families, but also within each language family. In the present paper we will compare resultative constructions in Albanian and English. We argue that Albanian, as a verb-framed language, doesn’t posses adjective-like form resultatives, while this is not the case with English, which is a satellite-framed language.

This paper is organized as follows: we start with a typology of resultative constructions and with a cross-linguistic overview on variation of resultative constructions in sections 2 and 3; while in sections 4 and 5 we are going to make a short description of resultatives in English and Albanian respectively, focusing on a few suggestions for a better translation of English resultative constructions into Albanian.

2. The Typology of Resultative Constructions

Resultative constructions express the result of an action described by the main verb. They are common in natural languages, although there are languages that don’t possess resultatives. According to Washio (1997), based on the meaning of the main predicate (matrix verb), resultative constructions can be classified into three sub-classes: weak, strong and spurious. In weak resultative constructions (e.g., The

1 In the relevant literature the term resultative construction is used only for resultative secondary predicates. In the present paper we have reserved this term for both resultative predicates and resultative clauses.

2 On the distinction between satellite-framed and verb-framed languages, see Talmy (1991, 2000)
blacksmith hammered the metal flat) the semantics of the main predicate determines in what state the argument is going to be in the end, while in strong resultatives (e.g., to paint the house red) “the meaning of the verb and the meaning of the adjectives are completely independent of each other” (Washio, op. cit., p. 7). On the other hand, spurious resultatives (also called “pseudo-resultatives”; e. g., to cut one's hair short) are not considered as real resultative expressions, because they only superficially resemble adjectival or adversative resultative constructions.

As for resultative predicate constructions, they can be classified into two groups: transitive and intransitive resultatives. The later can be divided further into constructions with unergative and unaccusative (ergative) verbs (see Levin and Rappaport Hovav (1995)). Unergative and unaccusative verbs differ both in their syntactic configuration and in their argument structure. The subject of unergative verbs is perceived as the doer of the action denoted by the verb, whereas the subject of unaccusative verbs has its origin as a object and is perceived as a “patient”. So, while in English, verbs like die, arrive, etc. are unaccusative and take the auxiliary verb to be, their Albanian counterparts (vdes, mbërrij) are unergative and take kam (to have). Unaccusative verbs form normally resultative patterns, while unergative verbs need a so-called fake object to do that. Thus, the matrix verb of the sentence The river froze solid is unaccusative, and we can test this by removing the secondary resultative predicate solid: what remains from the sentence is still a grammatical sentence (The river froze). On the other hand, the verb matrix shouted in the They shouted themselves hoarse is unergative: what we get if we leave out the secondary predicate hoarse or the reflexive pronoun themselves doesn’t make sense. (Neither *They shouted themselves nor *They shouted hoarse are complete sentences.)

3. Cross-Linguistic Variation of Resultative Constructions

Different languages have different types of resultative constructions. Some languages have both weak and strong resultative constructions, while others allow only weak resultatives. That means that languages with only strong resultatives don’t exist, at least as far as we know. On the other hand, the result phrases are either adjectival (APs) or prepositional (PPs) in some languages, while they are only prepositional in others. Again, we can draw the conclusion that it doesn’t exist any language that depends only on adjectival phrases.

Tsuzuki (2007) (cited from Chigusa) sums up the distribution of resultative phrases in the following table:

<table>
<thead>
<tr>
<th></th>
<th>English</th>
<th>German</th>
<th>Dutch</th>
<th>French</th>
<th>Italian</th>
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<tr>
<td>Weak</td>
<td>AP, PP</td>
<td>PP</td>
<td>AP, PP</td>
<td>PP</td>
<td>PP</td>
</tr>
<tr>
<td>resultatives</td>
<td></td>
<td></td>
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<td></td>
</tr>
<tr>
<td>Strong</td>
<td>AP, PP</td>
<td>AP, PP</td>
<td>AP, PP</td>
<td>Nonexistent</td>
<td>Nonexistent</td>
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<tr>
<td>resultatives</td>
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4. Resultative Constructions in English

As we can see from the table above, English has a broad range of resultative patterns, together with other Germanic languages like German and Dutch, while in Romance languages, namely French and Italian, strong resultatives and adjectival resultative phrases are not available (see Note 2).

English resultative construction has these properties: subject argument has to be an animate agent and object argument a patient, verb should encode direct causation, while resultative adjective has to designate the endpoint of a scale and cannot be deverbal (Evans, 2007: 184, Table 11).

As for the syntax of resultatives, according to Wechsler and Noh (2001), there are three basic types of structures:

1. The causing and the resulting events can be expressed by their own clauses, with separate sentences; by a subordinate resultative clause; or the main clause can express the result event and the subordinate clause the causing event;
2. Resultative secondary predicates;
3. Unergative or unaccusative resultative predicates.

So, for example, let's say that a blacksmith hammered a piece of metal and made it flat. If we were to use English to describe such a situation, we were going to have different linguistic options at our disposal. We could say (see Wechsler and Noh, op. cit.):
1. a. The blacksmith hammered the metal; consequently, the metal became flat.
b. The blacksmith hammered the metal, resulting in the metal becoming flat.
c. The blacksmith hammered the metal, thereby flattening it.
d. The blacksmith hammered the metal, so that it became flat.
e. The blacksmith hammered the metal until it was flat.
f. The blacksmith hammered the metal, causing it to flatten.
g. The blacksmith flattened the metal by hammering it etc.

But most probably we would use a shorter version, the adjectival resultative construction:

2. The blacksmith hammered the metal flat.

Let’s take now another situation. A baby fell asleep after her mother sang her a song. Again we have different options to convey this information. Besides several clausal resultative constructions, like The mother sang until her baby went to sleep etc., we can use a resultative predicate with a prepositional phrase:

3. The mother sang her baby to sleep.

In English we also can choose between using unergative or unaccusative resultative predicates and resultative clauses. Thus, we can say The river froze solid, but also The river froze until it became solid or … to the point it became solid; we can use the simple They sang themselves hoarse, but also the co-referential sentences They sang until they hoarsened, etc.

5. Albanian Resultative Constructions and some Remarks on Translating English Resultatives into Albanian

As we have mentioned already, in contrast with English and some other languages, Albanian lacks adjectival predicative resultatives. Instead, in Albanian are more frequent the gerund phrases, just like in Romance languages, as well as resultative clauses,3 the structure verb + ablative, etc., but not verbal prefixes, unlike Slavic languages and some other non-Indo-European languages. Thus, if we sing ourselves hoarse, we can say it in Albanian as follows:

4. a. U ngjirëm duke kënduar.
   hoarsen-PAST-1PL      sing-GER
   lit. “We hoarsened singing.”

b. Kënduam sa u ngjirëm.
   sing-PAST-1PL      until   hoarsen-PAST-1PL
   “We sang until we hoarsened.”

c. U ngjirëm së kënduar.
   hoarsen-PAST-3PL      singing-ABL
   “We sang until we hoarsened.” or “We sang themselves hoarse.”

Adverbial resultatives are also possible in Albanian:

3 We use here the term “resultative clause” or other terms interchangeable with it, like “clausal resultative constructions” or simple “clausal resultative” in a broader sense than that used in “Gramatiķa e gjuhës shqipe” (The Grammar of Albanian Language) (1996), including in this definition conclusive clauses and so called temporal clauses with resultative nuance, as well as asyndetic clause.
In Albanian we also find some adjectival resultative constructions, but they appear less than adverbial resultative constructions. So, we can say:

6.

Motra e tij i preu flokët të shkurtër.
Sister.the-NOM his 3PL-CL-DAT cut-PAST hair.the-ACC short-ADJ.
“His sister cut her hair short.”

but not:

7.

*E mbusha gotën të plotë.
it-CL-ACC fill-PAST glass.the-ACC full-ADJ.
‘I fill my glass full.’

But Albanian adverbial resultatives too have some constraints compared to their English counterparts. For example, although the sentence I filled my glass full may have a direct translation into Albanian, this is not the case for its opposite. The literal translation into Albanian of I drank my glass empty (*E piva gotën bosh) would be ungrammatical, but we can say E piva gotën kreyt (të gjithën), lit. “‘I drank the glass completely (all)’.

Sometimes a direct translation of English adjectival resultatives may have a depictive reading in Albanian. For example, if we translated literally the resultative sentence John boiled the meat soft (Washio, 1997: 9), “Xhoni e zjeu mishin të butë”, this would suggest that the meat was already soft before John started boiling it, and not that it became soft because John boiled it. An adequate translation can be made by using a clausal resultative construction:

8.

Xhoni e zjeu mishin derisa u zbut.
John-NOM 3SNG-CL-ACC boil-3SNG-PAST meat.the-ACC until soften-3SNG-PAST
“John boiled the meat until it softened.”

Many times an adjectival secondary predicate in an English resultative construction can be translated into Albanian by using a prepositional phrase:

9.

a. The dog barked the neighbours awake.
“Qeni i zgjoi fqinjët me të lehura.”
Dog.the-NOM 3PL-CL-ACC wake-3SNG-PAST neighbours with barkings. ACC

b. He ran his shoes threadbare.
“Iu hëngrën këpucët nga vrapi.”
lit. ‘(To him) the shoes were made threadbare by the run.’

c. She painted the house red.
“Ajo e leu shtëpinë me të kuqe”
lit. “She painted the house in red”.

Both Albanian sentences in (9a) and (9b) have also their gerund versions:
10.
a. Qeni i zgjoi fqinjët duke lehur.
“The dog woke up the neighbours by barking.”

b. Iu hëngrën këpucët duke vrapuar.
lit. “(To him) the shoes were made threadbare by running.”

English resultative prepositional phrases may have often their equivalent in Albanian, like in the following example (taken from Kallulli and Tasmowski (eds.) (2008: 2)):

11.
Ana e lexoi letrën deri në fund.
Ana.the-NOM 3SNG-CL-ACC read 3SNG-PAST letter.the-ACC until in end
‘Ana read the letter until the end.’

But sometimes Albanian may not license the use of a prepositional phrase or of any other pattern similar to it. Thus, the English PP to + infinitive in (3) cannot be translated using its direct Albanian equivalent constructions për të + (past) participle or the subjunctive (“Nëna i këndoi foshnjësi për të fjetur” or “Nëna i këndoi foshnjësi (që) të flejë”) if we want to convey the right meaning. Both “Nëna i këndoi foshnjësi për të fjetur” and “Nëna i këndoi foshnjësi (që) të flejë” are purpose sentences, meaning roughly “the mother sang to her baby in order for him to sleep.” The closest equivalent to resultative secondary predicate construction The mother sang her baby to sleep would be the resultative clauses Nëna i këndoi foshnjës derisa e zuri gjumi or Nëna këndoi derisa foshnjën (e saj) e zuri gjumi, meaning respectively “The mother sang to her baby until he went to sleep” and “The mother sang until her baby went to sleep”.

Nonetheless, the structure për të + (past) participle or the subjunctive too can be resultative phrases:

Drita e saj ishte e mjaftueshme për të zbuluar udhën. (Gramatika, 1996: 574)
Light.the-NOM her/its was enough-ADJ to find out way.the.ACC.
‘Its/Her light was enough to find out the way.’

Sometimes it is possible to have a translation of a second predicate construction with a simple sentence, maybe by leaving some information out. Thus, an expression like Mary wiped the table clean can be translated “Meri pastroi tryezën” (‘Mary cleaned the table’), but it may sound a little weird in Albanian if we say “Meri e pastroi tryezën duke e fshirë” (‘Mary cleaned the table by wiping it’) or “Meri e fshiu tryezën (,)4 duke e pastruar” (‘Mary wiped the table (,) by cleaning it’).

As we have seen already, Albanian uses result clauses more often than English does. In fact, English result clauses can pretty much have a literal translation into Albanian. So, we can translate the sentences in (1) as follows:5

12.
a. The blacksmith hammered the metal; consequently, the metal became flat.
‘Farkëtari rrahu metalin; si rrjedhim, metali u bë i shtypur.’
Blacksmith.the-NOM hammer.3SNG-PAST metal.the-ACC; consequently, metal.the-NOM become.3SNG-PAST flat.

b. The blacksmith hammered the metal, resulting in the metal becoming flat.
‘Farkëtari e rrahu metalin, duke e bërë’
Blacksmith.the-NOM it-CL-ACChammer.3SNG-PAST metal.the-ACC, make.GER it-CL-ACC metalin të shtypur.’
metal.the-ACC. flat.

4 It should be noticed that in this case the gerund phrase can have both a causal and a resultative interpretation. Actually, a comma may help in resolving the ambiguity.

5 We are concerned here with syntactic structures rather than single lexical units, which sometimes may not be quite adequate.
c. The blacksmith hammered the metal, thereby flattening it.
   ‘Farkëtari e rrahu metalin, kësisoj duke e shtypur.
   Blacksmith.the-NOM it-CL-ACC hammer.3SNG-PAST metal.the-ACC, thereby flattening it-CL-ACC.

d. The blacksmith hammered the metal, so that it became flat.
   ‘Farkëtari e rrahu metalin, kështu që ai u bë i shtypur.’
   Blacksmith.the-NOM it-CL-ACC hammer.3SNG-PAST metal.the-ACC, so that it-NOM become.3SNG-PAST flat.

e. The blacksmith hammered the metal until it was flat.
   ‘Farkëtari e rrahu metalin derisa u bë i shtypur.’
   Blacksmith.the-NOM it-CL-ACChammer.3SNG-PAST metal.the ACC until become.3SNG-PAST flat.

f. The blacksmith hammered the metal, causing it to flatten.
   ‘Farkëtari e rrahu metalin, duke e bërë të shypet.’
   Blacksmith.the-NOM it-CL-ACChammer.3SNG-PAST metal.the-ACC, make. GER it-CL-ACC to flatten.

g. The blacksmith flattened the metal by hammering it.
   ‘Farkëtari e shtypi metalin duke e rrahur.’
   Blacksmith.the-NOM it-CL-ACC hammer.3SNG-PAST metal.the-ACChammer-GER it-CL-ACC

Other clausal resultative patterns co-occur in both languages, like those introduced by conjunctions such as: ndaj “so”, “so...(that)”; prandaj “so”, “so...(that)”; aq … sa “so...(that)”; kaq … sa “so...(that)”; aq … saqë “so...(that)”; kaq … saqë “so...(that)”; i tillë … sa “such...(that)”; i tillë … që “such...(that)”, etc.:

   They be.3-PL-PAST so surprised that not try-PAST-PL to stop him.
   “They were so surprised they didn’t try to stop him”.

b. Ishte një gëzim i tillë, sa donim ta bënim prapë.
   be-3SNG-PAST a joy such, that want.1-PL-PAST to do it again.
   “It was such a joy that we wanted to do it again.”

6. Conclusion

In this paper we compared and contrasted various resultative constructions in Albanian and English. While English tends to rely on secondary predication, especially on its most typical form, adjectival resultative construction, the most natural ways to convey the resultative meaning in Albanian are usually resultative clauses, the gerund, prepositional phrases etc. But we think that resultative constructions are an important and complicated research topic, so a further and deeper investigation is needed, especially in Albanian language.

References

Impact of Hospitality Industry in Poverty Alleviation in a Tourist Destination: Cross River State Scenerio

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Abstract The geographical features of Cross River State, from the southern to the northern part; makes her a natural paradise and also a destination for fun seekers. These however, has necessitated towards the rapid growth of the hospitality industry especially the hotel industry which has shown efficiency in the tourism industry in Cross River State. This paper critically examine the impact of hotel industry in poverty alleviation in Cross River State. Data were collected in the various hotels across the three senatorial district and Cross River Tourism Bureau. Findings shows that out of the one hundred and twenty seven (127) hotels used for this study, only a few hotels can afford to meet it financial obligation. This however, affect it monthly remuneration paid to the workers and employment level in the industry. Therefore, the success of the hotel industry is rest on the various stakeholders in the industry in Cross River State.

Keywords: natural paradise, hotel industry, poverty alleviation, fun seekers

1. Introduction

Hotel industry is one of the largest industries in the tourism sector which has played a vital role in the hospitality industry especially in providing tourist with the needed comfort in any tourist destination (Laws, 1995). It is an agent of economic and social change, a service-based industry of creating employment and income (World Tourism Organization, 1997). This industry is made up of production units which engaged in providing different service such as entertainment, lodging, production and distribution of goods and services to meet individual satisfaction (Isang, 2001). According to Ugal (2007) hotel industry is an engine of poverty alleviation, it generate a number of additional guest facilities such as restaurant, a swimming pool or childcare and social function services which provide revenue use to service other sectors and also for other auxiliary services. Today, most of the hospitality industry such as hotels in Turkey have 5,005 rooms and with a hotel manpower straight of about 2,000 men and women.
employed to ensure guest comforts (Yu, 1994). Richter (1981) affirm that hotel is an attractive way to generate scarce foreign exchange, create jobs for semi-skilled and unskilled labour. In Cross River State over one thousand five hundred hotels established and duly registered by Cross River State tourism bureau are located in the three senatorial districts (Larry, 2005). According to him, the industry has a total manpower of over 5000 skilled and unskilled workers who provided the needed services to ensure tourist comfort. This industry has created multiplier effect especially in the establishment of business outfits such as recharge operators, restaurants, laundry services and catteries which become a source of their livelihood (Aniah, 2009). However, the rise and fall of the industry pose a serious problem as most of the hotels have folded up and workers laid off. Beside, despite the number of hotels in Calabar much has not been felt by the people. Could one say that the industry has not contributed to the wellbeing of the people? What role is the industry playing in poverty alleviation in Cross River State. Therefore, this paper wish to assess the impact of the hotel industry in poverty alleviation with respect to yearly tourist arrivals, reasons for tourist visit to Cross River State as a tourist destination, length of stay, employment level in the various hotels, revenue generation in the hotels and the monthly remuneration paid to staff in the industry. However, in Cross River State, hotel industry are point of attraction due to the modern facilities and services delivery which are of great interest to fun seekers and tourist (Lalopa, 2005).

2. Study Area

This study was within the confine of Cross River State taking into consideration duly registered hotels by Cross River State tourism bureau within the three senatorial district which comprises of south, central, northern senatorial district. However, Cross River State is located within the Nigeria Delta Region. It is bounded on the north by Benue state, on the south by Akwa Ibom State, on the east by Cameroon Republic and on the west by Anambra and Imo state. It has a total area mass of 23,074km². It has three major ethnic groups namely; the Efiks, Quas and Efuts. The three ethnic groups have strong cultural affinities in their Ekpe culture and other traditional plays and beliefs. The cultural affiliation of the people especially the Efiks with other countries of the world such as the Indians, Caribbean, Trinidad and Tobago among others significantly impacted on the in the tourism development of Cross River State in general and hotel industry in particular.

3. Methodology

The study focus on the impact of hospitality industry in poverty alleviation in Cross River State with specific reference to the hotel industry as a sub-system in the hospitality industry. One hundred and twenty seven hotels duly registered by Cross River State tourism bureau were selected from the three senatorial districts which comprises of the south, central and northern senatorial districts. However, 30 hotels were picked each from central and northern senatorial district while 57 hotels were picked from southern senatorial district. The rationale for unevenly distribution in the selection of the hotels among the three districts was based on the fact that the southern senatorial district constitute the major centre of tourist attraction owing to it numerous tourism potentials and as the state capital majority of the standard hotels and facilities were located within the this region. The hundred and twenty seven hotels used for this study were group according to there difference classes. The factors used for their classification was the number rooms and facilities and services delivery by each hotel. The data used for this research were obtained from Cross River State tourism bureau records and the various hotels customers registration form. Information obtained include, number of tourist arrivals in the hotels, purpose of visit, employment level in the hotels, revenue generation among others. However, interviews were also conducted with hotel operators, hotel staff and hotel management to have a general overview about the operation of the hotel industry.

4. Hotel as an Industry

The development of the hotel industry has been rapid and wide spread in the last half century. Hotel business is an important service industry in most countries of the world, especially those attracting a large tourist trade. The industry is making heavy investment in new facilities for already existing hotels, including more parking areas, swimming pools, and more new buildings with larger guest rooms being constructed. Gray and Liquor, (2004), in their attempt to provide a definition of hotel opined that the word hotel is derived from the French word meaning host, which referred to a French version of a “town
World Tourism Organization (WTO, 1998) estimates that the world hotel room inventory grows by about 2.5 percent per annum. In 1999, the WTO (1998) estimated that there were about 12.2 million rooms worldwide. According to World Tourism Organization (WTO) occupancy rates vary, but they average about 65 percent overall. Such places as London, Beijing, New York, San Francisco, Hawaii, the Caribbean area, and the city of Las Vegas are noted for higher occupancy rates. In United State between 1986 and 1992 the hotel industry lost about $14 billion as a result of over building caused by tax laws that encouraged construction as a tax shelter. The law was changed in 1986, ending the tax shelter, but construction could not be ended in Midstream due to the fact that in most tourist destinations, the creation of new lodging facilities is striking a better balance (Angelo 2003).

Hotel accommodations are heavily concentrated in Europe and North America, with Europe accounting for 44.7 percent of the world’s room supply and the United States accounting for 27 percent for a total of over 71 percent while East Asia and the pacific region account for 12.7 percent, Africa 3.1 percent, middle East 1.5 percent, and South Asia 1.2 percent (Griffin 2004). According to the America Hotel and Motel Association (AH & MA) analysis, the lodging industry in Eastern Europe and former Soviet Union which includes hotels, motels, suites and resort properties enjoyed its most successful and profitable year in 1997, and expectations are that performance will be strong through the remainder of the decade. They further urge that the industry numbered 49,000 properties 3.8 million rooms and $85 billion in sale in 1997. Lawson (2004) opined that in 1997 the hotel industry in U.S pretax profits were $17.0 billion, nearly 40 percent more than the industry’s $12.5 billion in 1996 and double the amount earned in 1995. Nixon (2003) agreeing with Lawson pointed out that hotel industry revenue increased from an estimated $71 billion in 1995 to over $85 billion in 1997. He further stressed that the trend in the hotels, resort hotels, intended primarily for vacationers and residential hotels, essentially apartment buildings, offering room and meal services. Werner (2003) affirmed that many hotels engage more in international activities, with the motivation of increasing sales on the one hand and decreasing cost and risks on the other. He further stressed that the same motivation also leads hotel firms to operate in an international context and expand their international activities through various internalization forms that include strategic alliances, acquisitions, hotel consortia, mergers, direct ownerships, joint ventures, management contracts and franchising. Kim (2006) supported Werner’s ideas and pointed out that hotels today have grown beyond the countries of domestic markets and are playing a key role in the development and continuity of the international tourism industry. Lucas (2006) stresses that luxury is the new standard, and hotels around the globe are feverishly elevating room stock to match the needs of the new breed of discriminating guests. They went further to state that this industry provide leisure to all categories of business tourists with quests that wish to stay somewhere. According to them tourists at different grades of hotels are offered different grades of facilities or services to ensure their comfort.

Yu and Pin (1994), in their analyses of the role of hotel in tourism development opined that the spread of travel by stage coach in the 18th century stimulated the development of hotels as the industrial revolution. They further stressed that modern hotels were largely established as a result of the railroads, when traveling for pleasure became widely popular. Isang (2001) emphasized that in 1889 some hotels in London set a new standard, with its own electricity and a host of other special services. According to him Statler Hotel in Buffalo, N. Y. (1908), was another landmark that catered to the growth class of business travelers. He went further to state that the growing of suburban centers and the increase of travel by automobile made most transient hotels to become popular. Accordingly, he affirmed that in 1990s, the “extended stay hotel” was developed to accommodate guests who needed to rest for at least five nights and also for business travelers who preferred more apartment like accommodation for longer stays. Agreeing with Uysal Hall (2003) affirm that most hotels and guest houses offer a bed and breakfast services, with discounts for singles. He also said that even though hotels proved venue for solid activities, guest houses make perfect venues for the leisure visitors. Smith (2007) in his study found out that hotel business played the most significant role in Thai Tourism Industry. He further stresses the statistics of office of Small Medium Enterprise (SME) promotion, hotel sector contributed 18.5 per cent or Baht 3491.91 billion out of the total amount of Baht 1,890.87 billion in the service section. He went further to show that the biggest contribution was from Small Medium Enterprise equivalent to Baht 325.29 billion or 93.0 per cent and the large enterprise shared only 7.0 per cent or Baht 24.62 billion. This figure according to him emphasizes the significance of Small Medium Enterprises in the economic development of the country especially in the tourism industry. Evans (2000) states that hotels play a major role in assessing the activities and behaviour of a tourist towards his spending attitude. He affirms that, in Cross River State, the numerous tourism potentials, the overwhelming climate and vegetation has welcome...
numerous fun-seekers into the State in general and Calabar in particular (Larry, 2004). According to him, the
great tourism potentials such as Tinapa Business Resort, Obudu Cattle Ranch and the Marina Resort
which has help to generate high influx of tourist hence suing rise to the growth of hotel industry in
Calabar. Yuksel (2003) in analyzing the role of hotel in tourism development, opines that hotel has
contributed substantially to resort development and location. According to him hotels provide the most
common type of accommodation used by leisure and business tourist particularly those traveling
internationally and also hotels being a sector of hospitality industry provides accommodation and catering
services for tourists. Brotherton (2001) states that multinational hotel companies are increasingly
dominating the international hotel market and playing a key role in the development and continuity of the
international tourism industry.

5. Findings

5.1 Hotel Arrivals and Purposes of Visit

The hotels arrivals and purposes of visit to Cross River State was presented in table 1. It was observed
that visitors came for difference purposes between 1999 to 2008 make use of the hotel industry. Finding
revealed that the carnival had great influence on visitors as it had a value of forty one thousand four
hundred and eighty three (41,483) tourists between 2004 to 2008 in the hotel industry.

It was discovered in table 1 that visitors who came for the purpose of visiting friends were more in
numbers with a value of twenty nine thousand eight hundred and sixty nine (29,869) tourists compared to
recreation, business and expedition with values of sixteen thousand seven hundred and sixty three
(16,763), twenty one thousand four hundred and sixty two (21,462) and nine thousand eight hundred
and fifty eight (9,858) tourists respectively. However, 2004 had a high number of who came to Cross River
State because of the Christmas carnival with a value of fourteen thousand three hundred and twenty five
(14,325) tourist compared to other years under investigation.

Table 1. Hotel arrivals and purposes of visit (1999 – 2008)

<table>
<thead>
<tr>
<th>Year</th>
<th>Tourists arrivals</th>
<th>Purpose of visit</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Recreation</td>
<td>Visit friends</td>
</tr>
<tr>
<td>1999</td>
<td>7680</td>
<td>778</td>
</tr>
<tr>
<td>2000</td>
<td>10,920</td>
<td>1,985</td>
</tr>
<tr>
<td>2001</td>
<td>6,892</td>
<td>573</td>
</tr>
<tr>
<td>2002</td>
<td>4,957</td>
<td>299</td>
</tr>
<tr>
<td>2003</td>
<td>6,988</td>
<td>596</td>
</tr>
<tr>
<td>2004</td>
<td>15,984</td>
<td>3,793</td>
</tr>
<tr>
<td>2005</td>
<td>22,223</td>
<td>2,951</td>
</tr>
<tr>
<td>2006</td>
<td>14,257</td>
<td>1,795</td>
</tr>
<tr>
<td>2007</td>
<td>11,307</td>
<td>1,998</td>
</tr>
<tr>
<td>2008</td>
<td>18,227</td>
<td>1,995</td>
</tr>
<tr>
<td>Total</td>
<td>119,435</td>
<td>1,995</td>
</tr>
</tbody>
</table>

Source: Field survey (2010)

5.2 Tourists Arrivals in Various Categories of Hotels in the Area

Table 2 revealed that “four star” hotel recorded the highest number of international tourists visited Cross
River State in 2007 to 2009 with an annual average number of one hundred and seventy three (173)
tourists compared to other categories of hotels in the area. However, “No star” and “one star” hotels were seen to have a least annual average on individual note with values of eleven (0.8) and sixty nine (5.3) tourists respectively. However, domestic tourist in one star hotels were on the least side on individual note. This could be due to the fact that majority of the one star hotels their accommodation are very cheap and can be affordable by domestic tourist. This was shown in the works of Osso (2003) when investing reasons why most visitors preferred cheaper accommodation according to him domestic tourist have limited income in their disposal to spend.

Table 2. Tourists in the hotels industry (2007 to 2009)

<table>
<thead>
<tr>
<th>Categorization of hotels</th>
<th>No of tourists Cuba</th>
<th>No of tourists south Africa</th>
<th>No of tourists Brazil</th>
<th>No of tourists Ghana</th>
<th>No of tourists India</th>
<th>No of tourists China</th>
<th>No of tourists USA</th>
<th>Canada</th>
<th>No of tourists Kenya</th>
<th>No of tourists Togo</th>
<th>No of tourists Germany</th>
<th>No of tourists Irish</th>
<th>Annual average</th>
</tr>
</thead>
<tbody>
<tr>
<td>No star</td>
<td>0</td>
<td>1</td>
<td>0</td>
<td>6</td>
<td>1</td>
<td>0</td>
<td>2</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>1</td>
<td>0.8</td>
</tr>
<tr>
<td>One star</td>
<td>6</td>
<td>2</td>
<td>1</td>
<td>24</td>
<td>12</td>
<td>18</td>
<td>4</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>1</td>
<td>5.3</td>
</tr>
<tr>
<td>Two star</td>
<td>19</td>
<td>13</td>
<td>24</td>
<td>28</td>
<td>24</td>
<td>33</td>
<td>22</td>
<td>17</td>
<td>16</td>
<td>6</td>
<td>2</td>
<td>1</td>
<td>11.0</td>
</tr>
<tr>
<td>Three star</td>
<td>35</td>
<td>20</td>
<td>9</td>
<td>19</td>
<td>15</td>
<td>21</td>
<td>18</td>
<td>10</td>
<td>3</td>
<td>1</td>
<td>1</td>
<td>1</td>
<td>12.0</td>
</tr>
<tr>
<td>Four star</td>
<td>37</td>
<td>12</td>
<td>26</td>
<td>11</td>
<td>10</td>
<td>21</td>
<td>20</td>
<td>13</td>
<td>5</td>
<td>8</td>
<td>2</td>
<td>1</td>
<td>17.3</td>
</tr>
<tr>
<td>Five star</td>
<td>36</td>
<td>11</td>
<td>13</td>
<td>5</td>
<td>17</td>
<td>14</td>
<td>18</td>
<td>15</td>
<td>6</td>
<td>5</td>
<td>5</td>
<td>2</td>
<td>148</td>
</tr>
<tr>
<td>Total</td>
<td>60</td>
<td>36</td>
<td>34</td>
<td>77</td>
<td>52</td>
<td>72</td>
<td>46</td>
<td>27</td>
<td>10</td>
<td>3</td>
<td>3</td>
<td>1</td>
<td>5</td>
</tr>
</tbody>
</table>

Source: Field survey (2010)

5.3. Length of Stay of International Tourists in the Hotel

The length of stay of international tourists in the hotel industry in 2007 to 2009 carnival was presented in figure 3 shows that one hundred and thirty three (133) were the daily average number of tourists from Cuba that lodged in the hotel industry of which only twenty one (21) tourists spend up to “five days” and above in the hotel industry. Findings revealed that twenty eight (28) tourists from India spend longer days in the hotel industry as compared to other countries that also lodged in the hotels in Cross River State. It was noticed in figure 1 that all the countries that visited Cross River State and lodged in the various hotels spend “one to three” days with a total number of three hundred and forty two (342) tourists. However, the study equally shows that only few tourists from Cuba, South Africa, Ghana, Brazil among others spend “less than a day” in the hotel industry during 2007 to 2009.

Source: Field survey (2010)
5.4 Employment Level in the Hotel Industry

The employment level in the various categories of hotels in Cross River State between 2008 to 2009 was shown in table 3. It was noticed that 2008 recorded the highest level of employment in the hotel industry with a total number of one thousand eight hundred and sixty (1,860) staff. The study also revealed that “No star” categories of hotels recorded the highest number of employment between 2008 to 2009 with values of five hundred and seventy eight (578) and four hundred and one (401) staff respectively. It was also observed that “four star” hotels employed the least workers between 2008 to 2009 with a total number of ninety six (96) and eighty one (81) staff. Furthermore, it was discovered that the hotel industry was dominated with unskilled staff between 2008 to 2009 as compared to skill staff. Nevertheless, the findings also indicate that between 2008 to 2009 the hotel industry in Cross River State employed a total number of one thousand nine hundred and fifteen (1,915) female staff as compared to one thousand ninety nine male staff. This means that the hotel industry in Cross River State was dominated with female workers.

Table 3. Employment level in the various categories of hotels during non carnival period

<table>
<thead>
<tr>
<th>S/N</th>
<th>Categorization of Hotels</th>
<th>No. of staff</th>
<th>No. of Skill</th>
<th>No. of Unskilled</th>
<th>Sex Distribution</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>No Star</td>
<td>578</td>
<td>401</td>
<td>399</td>
<td>201</td>
</tr>
<tr>
<td>2.</td>
<td>One Star</td>
<td>371</td>
<td>311</td>
<td>83</td>
<td>71</td>
</tr>
<tr>
<td>3.</td>
<td>Two Star</td>
<td>285</td>
<td>265</td>
<td>76</td>
<td>69</td>
</tr>
<tr>
<td>4.</td>
<td>Three Star</td>
<td>395</td>
<td>273</td>
<td>103</td>
<td>92</td>
</tr>
<tr>
<td>5.</td>
<td>Four Star</td>
<td>96</td>
<td>81</td>
<td>41</td>
<td>37</td>
</tr>
<tr>
<td>6.</td>
<td>Five Star</td>
<td>135</td>
<td>63</td>
<td>61</td>
<td>58</td>
</tr>
<tr>
<td></td>
<td>Total</td>
<td>1860</td>
<td>1394</td>
<td>763</td>
<td>528</td>
</tr>
</tbody>
</table>

Source: Field Survey (2010)

5.5 Revenue Generated in the Hotel Industry

The estimated amount of revenue generated by hotels in 2008 to 2009 was presented in figure 2 which indicate that 27.56% hotels generate up to sixty to one hundred thousand naira in the 2008. This means that only thirty five (35) hotels out of the one hundred and “twenty seven” (127) hotels sampled generated the above mentioned amount. It was noticed also discovered in figure 2 that 5.51% hotels generated up to three hundred and sixty naira and above in 2008 which shows that only seven (7) hotels had the above mentioned revenue during the period under investigation. However, the study also revealed that only thirty seven (37) hotels generated revenue up to two hundred and fifty thousand naira out of one hundred and twenty seven sampled hotels in 2009 carnival. Figure 2 shows that 3.93% hotels generated revenue up to three hundred and sixty naira and above in 2009. This indicates that out of the one hundred and twenty seven (127) sampled hotels only five (5) hotels had up to the above stated amount in 2009.

Source: Field Survey (2010)
5.6 Monthly Remuneration to Hotel Staff

The monthly remuneration paid to staff in the various categories of hotels was presented in table 4. Finding shows that high standard hotels such as “five and four star” hotels paid high remuneration to both skilled and unskilled staff. It was noticed in table 4 that unskilled staff in the hotel industry were paid high remuneration compared to unskilled workers. However, the least remuneration was paid to staff in “No star” categories of hotels as it had a values of minimum remuneration to skilled workers as four thousand eight hundred naira (N4,800) and minimum salary to unskilled workers three thousand nine hundred naira (3,900). While the maximum remuneration paid to unskilled workers was four thousand two naira (4,200) and skilled worker was five thousand naira (N5,000). This shows that staff are paid according to educational attainment, experience and level of training in the hotel industry in Cross River State.

Table 4. Monthly remuneration paid to staff in the various categories of hotels

<table>
<thead>
<tr>
<th>Categorizations of hotels</th>
<th>Minimum salary paid to skilled staff</th>
<th>Minimum salary paid to unskilled staff</th>
<th>Maximum salary paid to skilled staff</th>
<th>Maximum salary paid to unskilled staff</th>
</tr>
</thead>
<tbody>
<tr>
<td>No star</td>
<td>4,800</td>
<td>3,900</td>
<td>5,000</td>
<td>4,200</td>
</tr>
<tr>
<td>One star</td>
<td>7,500</td>
<td>5,300</td>
<td>8,500</td>
<td>5,000</td>
</tr>
<tr>
<td>Two star</td>
<td>9,000</td>
<td>5,700</td>
<td>9,380</td>
<td>5,300</td>
</tr>
<tr>
<td>Three star</td>
<td>9,000</td>
<td>9,500</td>
<td>11,300</td>
<td>7,200</td>
</tr>
<tr>
<td>Four star</td>
<td>14,200</td>
<td>11,700</td>
<td>18,000</td>
<td>9,300</td>
</tr>
<tr>
<td>Five star</td>
<td>17,200</td>
<td>19,300</td>
<td>20,000</td>
<td>15,000</td>
</tr>
<tr>
<td>Total</td>
<td>61,700</td>
<td>55,400</td>
<td>82,480</td>
<td>46,000</td>
</tr>
</tbody>
</table>

Source: Field Survey (2010)

5.7 Emerging Businesses in the Area

The emerging businesses in the area due to the establishment of hotel industry printed in table 5 shows that more businesses were establish in 2008 within the hotel’s environment with a value of 87.1 followed by 2007 with a value of 72.0. This result indicate that the number of business outfit increase geometrically in the area between 2004 to 2008. Table 6 indicate that within the hotel environment more mechanic shops, laundry services were bar and barbing and hair saloon were establishment with an annual average of 60.4, 53.8 and 80.1 respectively. However, it was observed in table 5 that few businesses were found between 1999 to 2003, this may be due to the rehabilitation of existing tourism potentials and the introduction of the Calabar international carnival which attract numerous visitors and tourist into the state. This situation has led to the demand for more accommodation which have encourage more people to be engage in the hotel businesses.

Table 5. Emerging businesses in the hotel environment

<table>
<thead>
<tr>
<th>s/n</th>
<th>Emerging businesses</th>
<th>1999</th>
<th>2000</th>
<th>2001</th>
<th>2002</th>
<th>2003</th>
<th>2004</th>
<th>2005</th>
<th>2006</th>
<th>2007</th>
<th>2008</th>
<th>Annual average</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Restaurants</td>
<td>5</td>
<td>15</td>
<td>20</td>
<td>27</td>
<td>29</td>
<td>40</td>
<td>55</td>
<td>71</td>
<td>85</td>
<td>101</td>
<td>44.8</td>
</tr>
<tr>
<td>2</td>
<td>Confessionism</td>
<td>0</td>
<td>0</td>
<td>1</td>
<td>2</td>
<td>3</td>
<td>4</td>
<td>6</td>
<td>8</td>
<td>8</td>
<td>11</td>
<td>4.3</td>
</tr>
<tr>
<td>3</td>
<td>Recharge cond.Operators</td>
<td>-</td>
<td>9</td>
<td>10</td>
<td>11</td>
<td>12</td>
<td>31</td>
<td>59</td>
<td>63</td>
<td>76</td>
<td>85</td>
<td>35.6</td>
</tr>
<tr>
<td>4</td>
<td>HOLDER</td>
<td>4</td>
<td>4</td>
<td>6</td>
<td>7</td>
<td>9</td>
<td>15</td>
<td>17</td>
<td>21</td>
<td>25</td>
<td>30</td>
<td>13.8</td>
</tr>
<tr>
<td>5</td>
<td>Barbing/hair dresser salon</td>
<td>6</td>
<td>10</td>
<td>15</td>
<td>18</td>
<td>21</td>
<td>39</td>
<td>61</td>
<td>95</td>
<td>108</td>
<td>128</td>
<td>50.1</td>
</tr>
<tr>
<td>6</td>
<td>Laundry services</td>
<td>5</td>
<td>10</td>
<td>14</td>
<td>19</td>
<td>23</td>
<td>41</td>
<td>59</td>
<td>82</td>
<td>125</td>
<td>160</td>
<td>53.8</td>
</tr>
<tr>
<td>7</td>
<td>Mechanic shops</td>
<td>6</td>
<td>11</td>
<td>17</td>
<td>18</td>
<td>25</td>
<td>61</td>
<td>75</td>
<td>94</td>
<td>133</td>
<td>164</td>
<td>60.4</td>
</tr>
<tr>
<td>8</td>
<td>Car hiring services</td>
<td>3</td>
<td>3</td>
<td>5</td>
<td>5</td>
<td>7</td>
<td>10</td>
<td>12</td>
<td>15</td>
<td>15</td>
<td>18</td>
<td>9.3</td>
</tr>
<tr>
<td></td>
<td>Total average</td>
<td>3.6</td>
<td>8.0</td>
<td>8.4</td>
<td>13.1</td>
<td>16</td>
<td>30.1</td>
<td>43.0</td>
<td>56.1</td>
<td>72.0</td>
<td>87.1</td>
<td>Total= 272.1</td>
</tr>
</tbody>
</table>

Source: Field Survey (2010)
6. Recommendations

In Cross River State, the hotel industry is yet to gain its rightful position in the tourism industry in the world due to its numerous setbacks. Therefore, in order to overcome these challenges, the following recommendations are put forward:

- The hotel industry must provide adequate service delivery mechanism that would boost the image of the industry.
- Cross River State tourism Bureau must provide a workable mechanism that would ensure tourism-related activities all year round.
- The government must provide a conducive environment that would help guarantee the safety of visitors, especially tourists, in the state.
- The hotel industry must provide adequate facilities and services that would guarantee tourist comfort and satisfaction.
- All the stakeholders in the industry must be innovative and creative in order to equip themselves with future challenges.

7. Conclusion

Hospitality industry, especially the hotel industry, is one among the industry in Cross River State that has boosted the image of the state as a tourist destination. This industry has shown that it has much to offer owing to the numerous tourism potentials in Cross River State. Therefore, for this industry and for the dividends from the industry to be reaped, all the stakeholders must provide a mechanism that would make the industry viable and attractive to tourists and other fun seekers.

References


The Ambivalence of Hawthorne in *Twice Told Tales*

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Abstract As inheritors of the Puritan religious tradition, the notion of 'consciousness' is a major concept in the works of most American writers. Hawthorne's employment of this conception in his works is observable in his employment of a highly art-conscious voice who intrudes, every now and then, to pose questions, and provide various possibilities of alternate endings and solutions, but never attempting to come up with an ultimate point of resolution. Ambivalence arises as the result of this authorial intrusion and as the present paper attempts to reveal, is the result of an author highly conscious of the art of writing. Hawthorne's employment of this specific technique of authorial intrusion itself becomes a paradoxical attempt at simultaneously revealing and concealing the art of fiction-writing. Instances of such ambivalence are drawn from his collection of *Twice Told Tales*. However, the present reading of the tales attempts to reveal that Hawthorne is not totally successful in his intention to secure his superior role as author, as the very breaches he provides within his stories open the possibility for further meaning and interpretation, thus depriving him of the very power he desires to preserve.

Keywords: American Literature, consciousness, art-conscious, ambivalence, authorial-intrusion.

1. Introduction

Hawthorne's fiction marks a radical point in the history of American literature. While still bearing a heavy imprint of Puritan religion, tradition and culture, Hawthorne poses questions regarding their ideals and what had appeared to them as the only meaningful possibility of existence. This he carries out through the diversification of the very notion of unity, the sense of requiring a point of origin or logos, to uphold one's moral and ethical values and guide one's ways of life.

It seems, at first sight, that Hawthorne's fiction attempts to distort this vision by attempting to subvert such unifying attitudes. Yet a closer study of his style reveals him as falling into the very same pit as his ancestors, as the very technique of authorial intrusion he practices, expose his desire to assemble and to position himself as the ultimate source of knowledge regarding the very problems and questions he raises, resulting in an ambivalent approach.

In order to account for this ambivalence, and to demonstrate the direction it finally leads to, the present paper has been divided into three major parts. The first part attempts to locate Hawthorne within the context of the American literary tradition, and to portray the way he fits into the mainstream tradition of American Literature, which had begun long before him. Each era in the history of American literature, especially the post-revolutionary era, sought to create a uniquely American voice; such was also the case with Hawthorne, belonging to the transcendental era of the American literary movement.

The paper will then deal with the way Hawthorne attempts to redirect the literary traditions of his time, as he simultaneously employs and challenges the main characteristics and traditions which earlier characterized and embodied American literature and the specific tenets of the traditions running down from early settlers, down to the transcendentalist creeds of his own time. This ultimately leads him towards an ambivalent stance regarding his narrative technique, characterizing the very essence of his fiction.

The paper will finally conclude by showing how ultimately his narrative transcends and subverts the
author’s primary authorial intention via attention to the role of author-function in his narrative. Hawthorne both employs and challenges the idealism and pragmatism he inherited from the earlier established traditions embedded within the literature and culture of his country.

In rejecting the basic belief underlying transcendental philosophy; that of the ultimate unification of opposites into The One, and the ultimate shift from the unification of many selves in earlier autobiographical works, Hawthorne attempts to distract our attention towards the art of writing, yet at the same time maintain his authority as author and the originator of his fiction, unaware that his texts transcend his intention.

2. Mainstream American Literary Tradition

Early American settlers were obsessed with the notion of building the history of the nation they had usurped, to bestow credit and value to themselves. For this reason, they were highly preoccupied with building the past for posterity. Thus the building of history, nation and identity was on their minds from the very beginning as crucial and vital to their survival into the future. This was accompanied via two major notions; idealism and pragmatism.

American fiction is said to begin with Washington Irvin yet the notion of ‘fiction’ becomes problematic once one plunge deep within the early writings of the age. While it is mostly believed that the early writings of American colonial settlers was the literature of exploration, or the constructing of history through describing and recording early settlement in the colonies, what is noteworthy is the self-consciousness on the part of theses early authors in the narratives and hence the early “records” of the age. Thus a distinction between the very notions of fact and history itself becomes problematic.

This tendency toward myth making has always required logos or as Benjamin Franklin was later to express, the need for ‘role-models’ (Bayam, 8). Among the early American pilgrims it was the ‘the Arabella convent’ and ‘the Mayflower compact’, in other words, the words of the Bible or the word of God. In the period during the early settlement it was writings belonging to writers such as Jonathan Edwards, Cotton Mather and Winthrop and their obsession with the way to create history, which was beginning to replace the role of religion.

During the neoclassical era, and after the strict government of the Puritans was weakened by the introduction of the European Enlightenment, it was writings such as Thomas Paine’s Common Sense and Age of Reason and the stress on the notion of the use of one’s reason which embodied all contrarieties. It was Thomas Paine’s writing on the way to use your practical reasoning, which provided the possibility to break the strong impact of Puritan religion and dogma and to find another center for the locus of meaning; that of reason.

As a result of materializing Enlightenmental beliefs and tenets during the revolution, and as the central logos became the writings of Jefferson and the stress on independence in works such as The Declaration of Independence, and the Constitution, political intentions lead the way. The Autobiographical works of Franklin and Jefferson were also intended to provide the icon and model of the American self-made man. As Phillip Beidler has mentioned of Franklin “...the multiplicity of his character is therefore grounded in an essential unity of practical conduct and belief” (Beidler, 51). Thus the sum of all multiple selves, finally become unified under the term American Identity.

The Romantic era served well the American literary tradition, as they materialized, once again, the tenets of Romanticism; the power of intuition and the reliance upon the self for reaching ultimate unification with the soul of nature. American Transcendentalists such as Emerson in his representative work of the age; Nature, and Henry David Thoreau's Walden, in their search for a unification with the soul of nature, expressed through the focalizing aspect of their personal experiences once again served as the locus for the continuum of earlier notions of idealism and pragmatism, though by now, the terms had begun to be applied as embodying a more literary rather than religious or political dimension. Broadly speaking, in each era, a certain tendency towards establishing an authority under which all contrarieties, and alternatives, if any, are resolved existed as the result of such idealistic and pragmatic perspectives.

3. The Ambivalence of Hawthorne

Like his predecessors, Hawthorne employs the same themes of idealism and pragmatism in his works. He, like his predecessors and contemporaries, is obsessed with the inherent contradictions reflected within the literature of his country directly from its culture. The tensions and contradictions he deals with are, to name a few; the struggle between head versus heart (science versus sentiment) as in Ethan Brand and The
Artists of the Beautiful, sin versus redemption, as in Young Goodman Brown, The Minister’s Black veil, science verses art as in The Birth Mark and Rappaccini’s Daughter.

His specific attention to the history and the past of his country has made him a key figure in the development of American Literature for his tales of the nation’s colonial history. Hawthorne’s writing is representative of 19th century mainstream literature due to the use of nature, its primitiveness, and as a source of inspiration; his use of the exotic, the gothic and the antiquarian.

Some reviews on Hawthorne have attempted to study the unity of his works. One such example is the review by Edgar Allan Poe, Hawthorne’s contemporary, in the way he applies what he has framed in his Philosophy of Composition upon Hawthorne’s Tales.

According to Poe, the best way to express the artist’s genius is through ‘tales’. In his review on Hawthorne, Poe applies his theory of art in his Philosophy of composition upon Hawthorne’s short fiction and finds similarities in his tales, which fit with his description of poetry. Poe states that the best way to state a poet’s genius is through a rhymed poem since it has ‘certain length’ and ‘unity of effect’ or ‘impression’. Its perusal can be completed in one sitting and the error of making it too short or too long will destroy the relevant effect.

Poe finds that Hawthorne’s tales best typify such descriptions, as the prose writing that fulfills the demands of best expressing ‘high genius’, (Poe, 3). According to this view in Hawthorne’s tales we have unity of impression, where the soul is deeply moved and the poetic sentiment satisfied and deeply impressed. All details must be related to the major effect with no weariness or interruptions, which are both observable in longer works of fiction, so the author can concentrate on the single impression he wishes to create. Poe stresses “a certain unique or single effect”, the requirement of the artifact and process of construction of his poem, The Raven, in which every word, sentence and description is related to a “pre-established design”. The aim of the tale, he declares, is to be after ‘truth’, and some of the finest tales are those of ‘ratiocination’ (reasoning) hence he concludes some of Hawthorne’s tales are even superior to poetry. Poe sees Hawthorne’s distinctive trait as ‘invention, creation, imagination, originality’ (ibid, 4). Hawthorne, he declares “is original at all points”.

He brings the example of “The Hollow of the Three Hills” as a demonstration of Hawthorne’s peculiar ability in heightening the effect though making demands on the auditory rather than the visual sense, the medium through which the fantasy is conveyed. Poe finds a prevalent tone of melancholy and mysticism in most of Hawthorne’s tale. Where he had placed death and beauty next to each other, Hawthorne places the same melancholic feeling, but matches along with it the mysteries of the world to heighten his effect.

Unlike Poe, Hawthorne did not leave us a philosophy of composition and thus left us the toil of drawing it out from his texts. This we can draw mainly from the passages embedded within the narrative of his stories and even the prefaces he attaches to his longer works such as The House of Seven Gables and The Scarlet Letter.

Hawthorne combines realism with fantasy, past with present. Though a major figure in the transcentdentalist movement, he uses the technique of doubling. Hawthorne uses bi-focality. What Hawthorne does is to break a unified perspective into a spectrum of perspectives.

Hawthorne is form conscious, a deliberate artist, deliberating art. His major concern is with creating effect, rather than ends. Every part is perfectly fitted into the producing of a single impression. And yet Hawthorne’s moral universe is ultimately ambiguous. He subverts oppositions, questions the authority of one over the other, but does not necessarily reverse their hierarchical superiority. His narration involves both self evasion and self-confrontation at the same time (Pryse, 65), as he questions the nature and outcome of such idealistic, pragmatic and individualistic modes of understanding.

Hawthorne juxtaposes opposites but expresses them through the concrete and the mundane; Rappachini’s garden in Rappachini’s Daughter, Owens’s butterfly in The Artist of the Beautiful, the potion in The Birth Mark. Richard Fogle has observed how the dual vision of Hawthorne, the duality between his “clarity of vision” and “tragic vision” is compressed into one flashing concrete image: a union which is reflected through symbolic language, both “allegorical” and containing an “autonomous vitality”. (Ramsey, 203)

Ramsey finds in Hawthorne’s work a certain aesthetic unity, deriving from the influence of Aids to Reflection and Biographia Literaria. Influenced by Coleridge Hawthorne viewed art as a means not an end, “an idealization that shapes reality into “universal truth”, which is Coleridge’s metaphysics of “Organic Vitalism”, the multiplicity which fuses the many into one. (Ramsey, 203)

Ramsey attempts to fit Hawthorne into the context of Romanticism by expressing how the condensed symbols of Hawthorne are the locus which fuse “many into one”. The ideal symbol of the
Romantic aesthetic involves “a fusion of meaning and form.” Ramsey wishes to find a “neutral territory” where the actual and the imaginary in Hawthorne merge. That neutral territory, Ramsey believes, is the reader who fills in the gaps. He believes in Hawthorne, and that allegory resolves “indecisiveness”. The reader, Ramsey believes, is left to fill in the Iserian gaps. (ibid, 204)

The most significant opposition in Hawthorne is that of fact versus fantasy. Again, Ramsey attempts to apply a significantly Iserian approach to Hawthorne, to pin down and focalize the multiplicity or duality of vision in Hawthorne. In the reader, the actual and the imaginary meet and “the reader becomes the corpus callosum through which the two realms infuse and permeate one another.” (Ramsey 208) By doing so, Ramsey attempts to find in the reader, a centralized point of authority. For him the “neutral territory of perception” is occupied by the reader. He believes that the narrator both disqualifies himself as absolute authority and qualifies his text as fiction. Even the narrative perspective, he believes, resides in the neutral territory of the reader’s perception.

Hawthorne’s narrative, with specific attention to the self-conscious process of narrative construction, is about telling stories. As Bennet and Royle write, “Stories always have something to tell us about stories themselves; they always involve self-reflexive and meta-fictional dimensions.” (Bennet & Royle, 41) At this point one can also make an interesting contrast between narrative and lyrical poetry. A good story, Bennet and Royle mention, is one which the reader continues reading to see what happens next. At this point we can observe how Hawthorne cannot be clearly categorized as one or the other. Hawthorne simultaneously employs and violates certain rules of narratives; the first of these, as Boyle mentions, is the notion of digression.

Digressions are an important element in narratives. They increase the total effect of the story by interrupting the general flow of the story, creating anxiety for return to the main procedure of the plot line where the story will ultimately run towards an ultimate ending. Hawthorne employs this technique to great extant, perhaps more than other short story writers. He employs it as part of his narrative technique. His digressions are done consciously with a specific intent; as a narratological technique, which is concerned with the effect of his story upon his listener, and as seen specifically in Alice Doane’s Appeal, to engage the reader into pondering on what he/she is reading;

"As they went, they seemed to see the wizard gliding by their sides, or walking dimly on the path before them. But here I paused, and gazed into the faces of my two fair auditors, to judge whether, even on the hill where so many had been brought to death by wilder tales than this, I might venture to proceed. Their bright eyes were fixed on me; their lips apart. I took courage, and led the fated pair to a new-made grave, where for a few moments, in the bright and silent midnight, they stood alone. But suddenly there was a multitude of people among the graves.” (Alice Doane’s Appeal, 13)

The second major technique, according to Bennett and Boyle, is that of equilibrium; narratives move from the state of equilibrium or stability, through disturbance, back to the state of equilibrium; the point where revelation is achieved. At this point, the reader’s desire to know is satisfied. It is again this very technique which Hawthorne both employs and violates. Since his stories are short, he begins, like most short-story writers with the violation of stability. But his difference lies in his response to the fulfillment of the readers desire to know. Hawthorne does not intend to place his readers at ease by providing outright solutions or clarifying the mysteries by suggesting rational outcomes. Instead, he withholding any clues which might lead to a determinate resolution.

Though the tales do resolve the question raised early in each story, as in Owen’s obsession with building something which resembles his belief, the truth about the relationship between Alice and the stranger, or the nature of Rapaccini’s garden, yet they do not completely clear up our confusions or satisfy our curiosity. Paradoxically, the endings give answers and tell nothing. It is not for this “answer” we have been reading the story for. It’s like creating an illusion of an ending, not an actual one.

In The Artist of the Beautiful, Owen manages to build and finish the mechanical butterfly he was working on at the beginning of the story and regretfully, his artifact is destroyed by the child of his boyhood love. The narrator tells us he had “learnt” the true nature of beauty and it did not matter now that his lifelong effort had been destroyed because it was only a manifestation of what he had learnt. However, the narrator never reveals his secret and the story ends with our suspended belief in the beauty and the artificiality of the butterfly on the one hand and Owen’s discovery on the other, neither of which we know anything about. "When the artist rose high enough to achieve the Beautiful, the symbol by which he made it perceptible to mortal senses became of little value in his eyes, while his spirit possessed itself in the enjoyment of the reality.” (The Artist of the Beautiful, 36)
The speaker of *Alice Doan's Appeal* finally ends the story with the revelation of Alice's innocence, but the haunting and gloomy burden of the past still remains unchanged and merely intensifies the presence of evil deeds of the past into the present; "and here, in dark, funereal stone, should rise another monument, sadly commemorative of the errors of an earlier race, and not to be cast down, while the human heart has one infirmity that may result in crime." (*Alice Doane's Appeal*, 18)

Beatrice dies at the end of *Rappaccini's Daughter*, as a result of the evil enmity between Rappaccini and his rival. However, we are left with a world of unresolved symbols and paradoxes, regarding the true nature of the garden, Rappaccini's intention, and the role of Beatrice in this game.

It seems as if Hawthorne is mocking the idealism and pragmatism of his ancestors. The dream of creating a new American Adam, occupying a new Garden of Eden seems to have failed after all and it is Hawthorne who recognizes the evil lurking in this supposedly Christian utopia.

Hawthorne names his collection *Twice-Told Tales*. The reason they are Twice-Told is perhaps because they are tales about telling tales or to put it in more contemporary terms, meta-fictive. The significance of the word *Told* is to secure the superior position of the teller, the narratorial voice which occupies the position of an all-knowing narrator.

They are *Tales* which specifically imply a speaker and a listener so from the very title of the collection, his narrative technique is uncovered; we feel as if we will here a voice, speaking to us directly. In fact this is in line with the way he addresses the reader directly in many of his tales. Thus Hawthorne directs our attention towards the relationship between the speaker and the listener, between author/teller and reader/listener.

Yet at this point we cannot exactly say this will be a dialectic approach since the very relationship between teller and listener leads to the question of power and property. However, the narrator may even be exercising power at this very point. Even though Hawthorne's tales may evoke a dialectical relation between speaker and reader, it seems this reciprocity was not conscious on behalf of Hawthorne, as the very significance of the title of the collection embodies. Hawthorne's intention was primarily to uphold his authority as author.

3.1 Authorial Intrusion in Hawthorne

As quoted from Thompson by Royal, one of the centrally defining strategies in Hawthorne's narrative is "a deliberately intrusive authorial presence", usually appearing in the form of an exterior third-person narrator, even when the story is told in the first-person. Hawthorne frames the tales with an author figure presenting the tale as if outside the action. This presence problematizes the text, because this “intrusive author constantly suggests alternative interpretations “(Royal, 76) Examples of expressing alternate ending abound but two of them are mentioned below:

Yet, had Aylmer reached a profounder wisdom, he need not thus have flung away the happiness, which would have woven his mortal life of the same texture with the celestial. The momentary circumstance was too strong for him; he failed to look beyond the shadowy scope of Time, and living once for all in Eternity, to find the perfect Future in the present. (The *Artist of the Beautiful*, 27)

Had Goodman Brown fallen asleep in the forest, and only dreamed a wild dream of a witch-meeting. (*Young Goodman Brown* 21)

Hawthorne's narrator stands between the reader and the author but this does not necessarily mean he intends to subvert the oppositions by giving priority to the reader. He is in fact exercising the power of authorial authority but his difference lies in that he is not relating his tales to a unified author. The author still has more authority over his tale but this author figure is a multiple individual, and unlike his predecessors such as Jefferson and Franklin, he does not attempt to unify this authorial “self”. He creates the illusion of subverting the oppositions but finally, rounds it off with his own intrusion.

Hawthorne habitually frames the tales with an author figure presenting the tale as if outside the action”. (Royal, 76) Like Poe, Hawthorne deems it significant for the author to disclose himself to his readers, yet as he puts it this is only as long as he "still keeps the inmost Me behind its veils. To this extent and within these limits, an author, methinks, may be autobiographical, without violating either the reader's rights or his own: (Hawthorne, 4)

As Thompson has said, Hawthorne establishes his authorial presence under the guise of the narrators of the stories, but guides us to the various possibilities of meaning. He employs the technique of
telling, exactly for this very reason, rather than showing for if he had eliminated the authorial intrusions, perhaps we could have been freer to believe the freedom of the reader in determining different meanings. However, with Hawthorne, this is a guided path the reader takes, one that the writer has designed beforehand. In this sense Hawthorne comes close to the tradition of American Literature, in the conscious construction of his texts and in the way he controls them. Like Poe, it is significant to keep reminding the reader of the constructed-ness of the work of fiction, but what makes him distinct, is that he does not claim to embody a unified self where all possibilities are resolved.

This is how we can explain the dual forces Hawthorne seems to have ambivalent feelings towards his work. There is a desire to reveal his art to his readers along with resistance to giving up his authority as author, and permitting the reader to take full control of his narrative. Drawn from psychoanalysis, ambivalence is described as “a continual fluctuation between wanting one thing and wanting its opposite. It also refers to a simultaneous attraction toward and repulsion from an object, person or action (Ashcroft, 12). This is applicable to the case of Hawthorne as author. Simultaneously there is a tendency to reveal as well as a desire to conceal, there is self-expression and self-effacement, and they all seem to be a continuum form the Puritan tradition. (Pryse, 65)

4. Conclusion

Hawthorne does not attempt to offer a total reconciliation between the opposites. He neither totally reveals nor totally conceals the truth of his fiction, the real nature of Rapaccini's garden, the secretly acquired knowledge of Owen, the reason for the minister's sudden covering of his face with a veil, and more broadly speaking, his own art of writing.

His authorial intrusion is to maintain his authority, but in fact, it opens up possibilities for this authority to slip out of his hand; through asking questions, offering alternatives to the incidents of the story and refusing to bridge the gap between the closeness and distance he creates with his protagonists, he is actually opening up new possibilities of meaning which transcend his own. His technique of attempting to withhold total truth and meaning as tool of maintaining his superiority, slides into providing possible glimpses of alternate meaning which transcend even his own perception and vision.

Hawthorne's desire to show he knows more than the reader, the purpose of his authorial intrusions and his comments on protagonists are simultaneously accompanied by his disavowal of giving up his authority as author, but the very alternate questions open up what Foucault calls" the gaps and breeches... the openings that this disappearance uncovers" (Lodge, 177). Consequently, his conscious presence, intended to secure his authority, signals an absence, which transcends his intention.

References

Similarities and Differences Between the Albanian and English with Regard to the Word Formation Process

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Abstract During recent decades the links between Albanian and English have increased steadily. English as an international language, even as a first language in the society with which the Albanian is faced in every field life: scientific, economic, cultural, political, military, etc., is the object of study with much interest to be treated and to be observed from different and inclusive denominations. The lexicon of standard Albanian, as well as that of the English can be surveyed from several directions: it can be analyzed by examining the lexical layers that make it up, and the functions they perform can be studied in the entire system of language, the internal development processes and movements that occur can be detected, morpho-semantic and stylistic processes of various word-formation methods can be treated, etc. The aim of the paper is to analyse and compare Albanian and English by the word formation viewpoint. The paper highlights the affixed formations, finding similarities and differences in this area.

Keywords: Albanian; English, language, comparison, affixation.

1. Introduction

Studies, deployed in the field of structural semantics, combine elements and methods of synchronic and diachronic semantics. Synchronic semantics studies of the meaning of the word, whereas dyachronic semantics studies the inner and outer movement of the meaning.

These studies can seize diverse fields and can be made for different purposes. Knowing that many elements of language formation are itself gained in the course of the natural practice of linguistic communication, many other elements and rules of the overall system of knowledge are acquired through knowledge tenure on linguistic research.

During the process of English acquisition as a foreign language, as well as in translation, among English speaking students and Albanian speakers originally face the lexical semantic structure of it. Lexical structures of both languages, have their peculiarities and distinctions, which appear among other assets in the disproportionate volume of lexical and semantic property of Idioms, phrasal verbs etc. English is not only one of the languages with the highest level of processing and standardization in all subsystems, but it differs from the Albanian even by the steady speed of growth and functional voluminous means of expression. Formation of new words, as an immediate response to developments in the multilateral denominators of the material spiritual intellectual and aesthetic world, make the English language with the most powerful status today. This is reflected very quickly in different dictionaries, published in Anglo-American world, especially in national explanatory dictionaries and terminology in those who are leading suppliers of the best general lexicon.

Even the Albanian language in the last century has undergone extraordinary developments. These
developments are shown in the last two decades, especially in two directions: the continuous enrichment in dealing especially with the lexicon of languages with which it has significantly increased contacts.

If we look at today's language print media, in publications of various fields of science, art, etc., we realize that Albanian is rapidly forming new lexical and semantic units being faced with a very large number of new notions.

2. The Systematic Character of a Language Lexicon

Language, as the most important mean of communication among people in society, as an indispensable mean of horizontal and vertical sharing of information and the organization of all intellectual and spiritual material activities, is in itself a sub-system. With the horizontal exchange of information we mean language communication between people at a given moment, within a time frame and usually meaning oral language communication, and with the vertical exchange of information we mean the exchange of information from generation to generation, from a historical stage and also social communication to one another usually through language text.

Ferdinand de Sosyr asserts that “language is a system, all parts of which are solidary, and in which one’s value only emerges from the simultaneous presence of the other.” Ferdinand de Sosyr as a researcher and founder of Structuralism in linguistics, extends for the first time the systemic character even in lexicon, claiming "that the value of each term is determined by what surrounds it (Saussure, 2002, p. 74).

It is now accepted and scientifically argued that the lexicon of a language is not a simple collection of words, but a system of units, which are classified according to their viewpoints and under different criteria. Numerous studies, conducted in living languages across the globe, show that even within the lexical system we can find at least two subsystems, the lexical subsystem and the semantic subsystem.

Lexical subsystem itself consists of two subsystems: that of words and that of idiomatical units. A subsystem of words through a scientific taxonomy can be divided into lexical classes, these groups into lexical paradigm, groups in subgroups, etc, hence giving us a hierarchy where we not only see the embedded principles of the classification criteria, but they give us the impetus of undertaking specific or intertwined studies.

Moreover the vocabulary of a standard language, in our case that of Albanian and English can be viewed in several ways: The lexical layers that make it up can be distinguished, the functions they perform in the entire system of language can be studied, the internal development processes can be detected, the movements that occur, the connections of words, etc.. One such study is done in order that the lexicon of Albanian language is owned well and used actively, easily and with certainty. Many elements of language formation are gained itself in the natural course of the communication practice, but many others as the overall concord in the system are acquired through possession of scientific knowledge about the language.

In Indo-European languages, in which English and Albanian are included, such systemic sections can be easily discovered:

1. Lexicon viewed as the source of words, implies two major paradigmatic groups of units: the group of lexical units concerning the native or autochthonous vocabulary and the set of borrowed lexical units. During the streams of history, relations between people have affected language. This is observed directly in the lexical system. The history and etymology of a language separates the borrowed elements from individual elements generating two major layers: The individual layers and the borrowed layers. English is a Germanic language and has inherited from the German a basic fund of words, but it has created with its own dough and its formative means, hundreds of thousands of words during its own development. It has not only received new terminology from Ancient Greek and Latin, but also general lexicon because of the historical contacts, especially during the invasion of England in XI century by the armies of the Roman Empire. This great division can be easily observed in Albanian, for which if we say that it is an Indo-European language, it should not be understood that all of its lexical property fund is the legacy of old Indo-European. In this language there are words which are inherited from its mother, the Illyrian and those it created itself when it was abstracted from it, during the period between the fourth and the sixth centuries.

2. The lexicon surveyed by its use, meaning a variety of criteria and therefore a variety of groups, as paradigmatic group of the active vocabulary and the paradigmatic group of the passive vocabulary (here we may make further classifications associated with the diatopic, diachronic and diastratic development of a language).
Within this classification we can make other classifications (divisions and groupings), such as vocabulary by frequency of use (including active lexicon with the basic vocabulary and passive vocabulary (where we may distinguish the old layer of the lexicon, archaisms, historisms, barbarisms, but also the layer of new words that have not yet become the property of all bearers of the language and are not codified in explanatory dictionaries, otherwise called neologisms); lexicon according to the purpose of use (including the general vocabulary and Terminological lexicon) (Thomai, 2006, p. 270)

3. The lexicon surveyed according to the relations at the rate of standard language, which means two sets of large lexical units: the group of units that are the norm and the group of units that are not the norm (usually meaning dialectal and regional lexicon) (Thomai, 2006, p. 272)

4. The lexicon surveyed according to the formation, also including, two major subdivisions: the base words group and the derived words group. At the second group, relying on the methods and types of word-formation, we observe the derived words, compound words, words obtain by conversion, and for Albanian, also the words formed by pre articulation (Thomai, 2006, p. 174). Words with a suffix in the Albanian language are more numerous than those with a prefix, because Albanian has more suffixes than prefixes. In the work of Alexander Xhuvani and Eqerem Çabej “Albanian language suffixes” (1962) are included about 170 such, most of which are productive (Agalliu, Demiraj, Domi et al, 2002, p.56)

So if we study two of the most prestigious publications of the University of Oxford, “The Oxford Dictionary of English”, which includes more than 500,000 words and phrases and over 70,000 illustrative examples (Oxford, 2004, p), 2.5 million citations and the “Oxford Thesaurus of English”, which include the 600,000 lexical units, we note that many units participial adjectives, as well as their equivalents in Albanian, are not reflected (Oxford, 2004).

3. Lexicon as a Process

Ways of vocabulary enrichment:
  a. Morphological Enrichment: Word-formation
  b. Borrowing
  c. Semantic Enrichment

Lexicon is the most wide open subsystem, the most mobile in language with many occurrences and problems, since it directly reflects changes in society, in all areas of life such as technology, science, culture, etc. The lexical system of language develops and enriches continuously. Changes and developments in the lexicon are so fast and so frequent, that can be observed by speakers of a generation (Thomai, 2002, p.320).

Changes in the lexical composition of a language are of two directions: the lexicon does not only expand with new incoming units, but also faces the phenomenon of outcoming by the use of old words, as archaizms, historizms etc. Moreover in these movements with opposite directions, the most important, is the incoming process, not the outcoming, because the newly created words, are more numerous than those not used anymore, so the lexicon is ever-evolving too.

Adding new words in a processed language (also called a standard language or a unified language) or as it is otherwise called, the enrichment of the lexical inventory, done in different ways, among which the most prominent are (Lafe, 2003, p.249):
  - the creation of new words, with the dough and formative tools that owns a given language;
  - the acquisition of words from territorial and social dialects and their establishment into the rate (becoming part of the standard vocabulary)
  -the borrowings, especially when words are historical and cultural borrowings, and not linguistic ones. The Albanian language is hospitable towards foreign languages, especially the English and with the emigration phenomenon, toward italian and greek, from which it has borrowed and will borrow words for which it can find their equivalents. Many denominations in the field of information technology, finance, market economy, business, modern art etc., which today have a separate development, enter the Albanian with the concepts that they express and in the meantime filling the vocabulary vacua. This borrowing has its enriching value, but, if it is done without any control or barriers, it will turn into a harmful phenomenon for Albanian language, especially when the spoken discourse or the lexical layer of general use are filled with foreign words. The Albanian today, unlike English that is a compelling language, is the compelled language in this regard. In the last two decades in its lexicon have entered thousands of words, which often appear as a serious threat because they do not bring neither marking values, nor expressive or stylistic ones. There are more linguistic borrowings with their equivalents in Albanian language, coming from the press and with the beginning of the century from the internet. Therefore efforts should be made...
to prevent the borrowing of words from other languages or to avoid the use of foreign words, when Albanian possesses popular words, with the same sense, used accurately and clear to its speakers. General activity of writers, journalists, political and social activists, people of culture and art, the standard language enrichment and cleansing, are concretized even with the substitution of foreign words with Albanian ones.

4. Formation of Words in English and Albanian Language

Regarding the word-formation, in this paper it is analyzed the morpho-semantic phenomenon of affixes as well as the major formative opportunities that these two languages have, which relate to production methods, the specimen and formative tools.

Languages are both Indo-European, but they differ, which defines the authenticity of each one. Among other things, relying on grammatical form, the Albanian is a synthetic-analytic language, while English is an analytic-synthetic one. This structure has its own determinations even in the word formation process. Thus in English we have a pronounced tendency to create verbal expressions, verbal collocations, verb plus noun, verb plus preposition, determined on the order of the members in a Syntagma (as a means to express grammatical meanings), and the Albanian has a very pronounced origin. Albanian has about 170 suffixes (Xhuvani, Cabej, 1976, p. 53) and around 80 prefixes, generally active for the new words' creation, a relatively large number, for a language like the Albanian with a small number of speakers.

However, even English has hundreds of formative active affixes (prefixes and suffixes) of its own or borrowed, especially when the latter behave as “like affixes“ and from a Latin or Greek source, etc. Even in Albanian these affixes nowadays may be active and productive, but not always. Morphological studies reflect accurate descriptions of them (Shehu, 1999, p.110). The schoolar H. Shehu in the article “The technique of reading in English” introduces a chart with prefixes and major suffixes of standard English.

But in the Albanian language thinking we do not have everywhere the same consequence of conception for enriching the vocabulary through word-formation.

Word-formation is regarded as the process of the formation of words with larger dimensions, more complex than simpler words, shorter, because they are added to the to the word-formation theme usually morphemes. Classical Studies in English contrast the simple word with the complex word.

Simple word is conceived in terms of root (root is a constitutive element, undivided without adjustment or inflexions) or as a word - root (word-root that consists of a root, a themes and inflexion).

Below we proceed with a review:

A. In the work “Gramatika e gjuhës shqipe”, a publication of the Institute of Linguistics and Literature, and the Academy of Sciences of Albania, in the first volume containing the morphology and the morphology of inflection, is stated that the formation of words in Albanian language has these main the ways:

1. Derivation, with its subdivisions:
   a. Prefixal Derivation
   b. Suffixal Derivation
   c. Affixal Derivation
   d. Derivation without an affix

2. Articulation
3. Composition
4. Compounding
5. Conversion
6. Mixed Modes
   a. Compounding and suffixation
   b. Composition and suffixation
   c. Articulization and suffixation
   d. Articulization and Affixation
   e. Articulation and Compounding.

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Without any elaboration, expansion or addition of information, below is a new grouping emphasizing that the above word-formation methods are divided into:

a. Morphological methods, which are: Affixation, Articulization and composition (Agalliu, Demiraj, Domi, 2002, p. 60).

b. Non-morphological methods that are Compounding and conversion.

B. The linguist J. Thomai, regarding the paradigmatic groups of words, classifies Albanian words according to the construction in base words, in derivative words, and in compound words. This author divides the derived words into two other major groups in derived words with affixes and derived words without affixes. In the latter he introduces the derived words with Articulization, as well as conversion (Thomai, 2006, p. 169).

The scholar R. Memushaj, which is guided by the Anglo-American language school, claims that the vocabulary enrichment is done through three ways: by enriching the semantic structure of words with new meanings, by creating new words by means of word-formation; borrowed words from other languages (Memushaj, 2006, p. 281).

Further this scholar acknowledges that the formation of new words by means and ways of word-formation or the morphological origin, is the most productive way of enriching the lexicon with lexical units. The most popular ways of word-formation that according to him are studied by the lexical morphology, are derivation with affixes, and compounding, although there are other ways that play a minor role in enriching the lexicon, blending, acronyms and backformation (Memushaj, 2006, 282).

R. Memushaj includes the conversion phenomenon in the means of semantic derivation (Memushaj, 2006, 193). He states that “conversion is the passing of a word in another part of speech”. During this passage, the word not only changes its morphological and grammatical functions, but also its lexical meaning. This way of semantic derivation is widespread, especially in English, where nouns and verbs have the same form: (Memushaj, 2006, 194)

For e.g. “the work” - “puna”, “to work” - “punoj”, “the design” - “vizatimi”, “to design” - “vizatoj”, “the wish” - “dëshirë”, “to wish” - “dëshiroj” etj. (Fjalor Anglisht Shqip P. Qesku, Tiranë, 2002, P. Qesku, Fjalor shqip - anglisht, Tiranë, 2002, L.)

5. The Most Import Ways of Word Formation

Derivation means the formation of new words through a formative theme and a formative formant. Words created in this way are called derived words. As means for the formation of words in this way they serve as prefixes, suffixes and infixes, which are added to the formative theme, and may also be the root word or a derived word. In all cases, the structure of the derived word is binary, i.e. it always consists of two elements: the theme and the affix. For example, përfrim(albanian)-Approximation(english) although the word contains some affixes, from the a formative perspective it is binomial, where the member representing the theme is dissolved itself into another binom and so on until an indissoluble unit is reached:

![Fig. 1. An example in Albanian](image)

![Fig. 2. An example in English](image)

Composition is another word-formation method, very productive in many languages, especially in those which do not acknowledge the affixes. Composition means the union of two topics to form a single word: “misunderstand-keskuptoj”, “relationship-marrëdhënie”, “duarbosh-empty-handed”, “enduring-jetëgjatë”, “flokëverdhë-fair-haired”, “hekurud hë-railway” “Bookworm-lexues i apasionuar” “Checkmate-shah mat” “birthday-ditlëlindje” etc.;
Compound words, as derivative ones, always have a binary structure and are two-membered formations, which means that, when a compound word is created, two themes are always joined, which can be simple roots, but also derived or compound words.

For e.g. “Zemërgjerësi -generosity”

Fig. 3. An examples of composition in Albanian and its equivalent in English

Complex words are created through two processes or two categories:

1. By derivation, in which the affixes and inflexion can be added to the root as with “logikos”, an adjective formed from the word logos, and verbalis, an adjective formed from the word verbum. In a formative and morphological analysis according to H. P. Mattheus, we must bear in mind three phenomena: the precise definition of the morpheme inventory, determining the exact sequence of words where following morphemes appear and the accurate definition of the morph or morphs through which these morpheme are realized (Matthews, 1972, p. 97).

2. By composition in a very productive way and many formative types or subtypes, which can combine two or more roots, with the appropriate affixes and inflections, as with the agriculture name (ager - field and culture – cultivation(growing)). Let’s take for e.g. the synthetic compound type, that are so numerous as to have a subdiscipline that deals with them, the (synthetic compound morphology), that deals with the compound words ,the most important word of which derives from a verb with affixation and the next member deals with the required affixes and inflexions, For e.g: The English compounding “truck driver” (shofer kamioni), “truck driving” – “drejtim kamioni”, “fast acting” – “dietëmbajtje” and “pan fried”-“i tiganisur”are synthetic compunds. Synthetic compounds play a major role in the development of linguistic theory, since they add a number of issues related to the interconnection between morphology and syntax. Another term for synthetic compound is verbal compound. In traditional descriptive studies (in the so called classic description), in english, for this word formation process there exists the denomination “composition”, which is recently substituted by the term “compounding”. They are synonymous, they are gradually being differentiated semantically as well (McArthur, 1988, p).

Derivation and compunding do not cover all the process of creating new words in both languages.

6. Other Ways of Word Formation in English and Albanian

There exists four other ways of word formation in English and Albanian:

1. Conversion or functional shift conversion, the process whereby words expand their grammatical and semantic function, usually the noun comes from the verb (“run” in “go for a run”) and the noun of the verb (“position” in “Positioning people”). R. Memushaj recognizes as a word-formation method even backformations when a longer form, a shorter word is formed, such as the Albanian noun “myk”-“mold” from the verb “myk(em)”-“mold”etc., or the English noun “wait- prija” coming form the verb “wait”. The english word “envy” is a noun nd a verb in the meantime.

2. Backformations are the result of a wrong dispersion, based on the existing specimen. Thus, with popular etymology, the albanian word “lakmi-envy” has derived from “lakmoj-envy” making a parallel between couples such as: “afroj end afri” (from afër), “teproj end tepri” (from tepër) translated in english as “close on (from close)”, “excess”( from the latin excessus), etc.and the english verb “edit” comes from the noun “editor” and also “donate-dhuroj” comes from “donation-dhuratë”. In English, the word “burglar” is a borrowing from the language of the Normans of France. When it was borrowed, it was a one-morphemic word. However, judging by the sound and the similar meaning of words with the words worker, runner etc., burglar was incorrectly reinterpreted by the English speakers as formed from a root “burgle” (which in the source language does not exist) and the suffix-er, as the other words in English formed by this suffix.

Backformations are essentially analogue formations that are based in their erroneous etimologizations of words (Memushaj, 2006, p. 193)

In the Albanian text “Hyrjë në Gjuhësi, this scholar, influenced by the morphology of English, accepts as specific ways of word-formation “blendings, and abbreviations”.

3. Blendings are lexemes formed by the merge of two words in such a way that is difficult to separate the morpheme. For example, blendings are the words of “smog”(tym) (“smoke”+ “Fog”), motel
(motor + hotel), stagflation (stagnation + inflation), positron (positive electron), generated in English, which have become the source of such words that are mainly used as specific terms even in Albanian. In Albanian, it appears that this specimen is old, as such words as rrëmoj (rrëmih + gërmoj), kongjill (kondil + thengjill) witness and, among the new formations, Profarma (+ pharmaceutical products, etc.). Blendings are similar to the compoundings, but they do not unite to a complete theme, but the theme is truncated arbitrarily, more strongly by their phonetic sociability. Blending, that anticipates the result of a process that places two words in one such as “spoon”-“lugë” (1) + “fork-“pirun” (1) → spork for both (1). In english, this process that has recently become very productive is an object of study to blending morphology.

4. Abbreviations include three essential forms
   a. Initialisms: formation of an abbreviation by the first letters of a denomination: HTML hyper text markup language.(International)
   b. Acronyms (old greek. Akro “top, edge” + “onyma”) are formed by the merge into a unit of the phonemes or initial graphemes of the words: ATSH(Al) “Agenzia Telegrafike Shqiptare” - “Albanian Telegraphic Agency”, - “no english equivalent” NATO(Eng) “North Atlantic Treaty Organization” - “Organizata e Marrëveshjes së Atlantikut Verior, ASBO(Ang) “Anti-Social Behaviour Order” - “no Albanian equivalent”.
   c. Clipping. Formations of words by the clipping of morphemes generated by the reduction of initial or terminal part of the word, as abbreviations of titles: of it.e.g “pub” from (public house)-“no Albanian equivalent” Such as prof. (professor), dr. (doctor etc)-the same clipping even in Albanian. Or abbreviations of words found in dictionaries: for e.g. pasth.(Al),standing for for “pasthirmë”-“interjection, exlamation”- “no english clipped equivalent num.(Al) “numër” - “numerical”, math(Eng)standing for “Mathematics”-matematikë, -. “no Albanian clipped equivalent”. Bike(Eng)standing for “Bicycle”-“biciklete”-“no Albanian Clipped equivalent”, bus(Eng) standing for “omnibus”-“autobus”, - “no Albanian Clipped equivalent” etc.

In abbreviations, including initializms, acronyms and clippings, but also blendings we should specify that they do not marks a certain notion, they are an abbreviation of a non-simple denomination that marks a certain notion, so the content comes from the simple denomination or a given content is providedby a phrasal denomination even with a single word, this created by joining the letters or the syllables of this denomination. This means that abbreviations as words do not show real semantic values, these values are inherited to them. Word-formation is one of the most studied linguistic processes in language

7. Conclusions

English is not only one of the languages with the highest level of processing and standardization in all subsystems, but it differs from the Albanian even by the steady speed of growth and functional voluminous means of expression.

Both languages create new words, with their dough and formative tools that owns a given language; acquisition of words from territorial and social dialects and their establishment into the rate (becoming part of standard vocabulary)and borrowings, especially when words are historical and languages are both Indo-European, but have differences, which define the authenticity of each. Among other things, relying on grammatical form, cultural borrowings, and not linguistic borrowings.

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Hafez’s and Molavi’s Ideas on Meaning

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Abstract Molavi (=Rumi) and Hafez, two Iranian poets in two succeeding centuries, have each their own ideas on meaning. Molavi uses tales with human or animal characters in a symbolic and multi-layered fashion and Hafez makes use of the natural element of Saba Wind as a channel for transferring a pleasant scent between the lover and beloved, and, thus, in this way they both confirm theories of meaning in the communication process. Case studies of Hafez’s and Molavi’s poetry showed that they, not unlike contemporary western thinkers such as David Berlo and Dean Barnlund, believe that communication is the process of transfer of the message from sender to receiver providing the meaning received by the receiver be similar to that intended by the sender. This aim became possible through comparing Berlo’s famous communication model with Hafez’s and Molavi’s poems. The results will be presented in tables and diagrams and, finally, an answer will be attempted to the question as to whether it is possible to find a connection between prevailing western theories in this field and the points mentioned by Hafez and Molavi.

Keywords: Hafez’ and Molavi’s poetry, communication process, meaning.

1. Introduction

Communication Studies and its branches are relatively young disciplines, not least in Iran where media have still little experience and have not been enjoying a firm footing. But, in this very short time, in the western world, and especially in the United States, much progress has been made towards a more thorough understating of media and some considerably influential studies have been conducted. Conversely, the wide gap felt in Iran concerning such activities seems disappointing. Indeed, Iranians have been more translating the western achievements than producing their own theories.

However, if we Iranians try to develop a keen eye and take a close look at our past, we will see that we are not as unequipped as believed and we may even be able to claim a position for ourselves in the field. This will be realised only when we investigate our past works, while having a comprehensive knowledge of western theories, and try to indigenise the discipline in our own cultural and historical context.

In Iran, Dr. Kazem Mo'tamed-nezhad, who deserves to be called the father of Communication Studies in Iran, followed by Dr. Mahdi Mohseniyan-rad and Dr. Ali-Akbar Farhangi, as well as other researchers and students have taken such major steps in the field that one can claim that the process of indigenisation has already begun since years ago and is progressing ahead. However, since the scientific, cultural and literary works of the past are extremely immense and profound and, despite the intensive work of generations of researchers, many of their dimensions are still unknown to us, an urgent need is felt to decode these scholarly and sophisticated works. Mohseniyan-rad, through his Cultural Roots of Communication in Iran and Iran in Four Communication Galaxies, and Farhangi, through numerous books and particularly Human Communication, have made their scholarly findings available to Iranian researchers. Undoubtedly, Mohseniyan’s Cultural Roots of Communication in Iran is the first comprehensive work to decode the Iranian poems of previous centuries which carefully addresses numerous aspects like, for instance, proverbial expressions. But, as mentioned earlier, since there is still much room for further research, the present paper, by performing case studies on Molavi (=Rumi) and Hafez—two Iranian
poems who enjoy a universal reputation,— seeks to briefly approach a single aspect of Communication Studies, i.e. the issue of meaning in communication, from the viewpoint of adaptation and indigenisation in order to come to a better understanding of this issue as well as to discover new aspects of mystical and knowledgeable character of these two prominent poets. This will help provide a proper answer to questions such as: How can we discover western concepts and theories of communication in Iranian classical poetry? Or, do these exist at all in Iranian classical poems? If yes, which sorts of communication concepts and issues, especially regarding human communication, are mentioned? How are they dealt with? In what way are they presented?

No doubt it is beyond the scope of this paper to answer all of the above questions, but the aim is to provide sufficient explanations with respect to the issue of meaning in communications in Molavi’s and Hafez’s poems.

Before everything, we need to take a brief look at the two poets’ biography and examine the form and content of their poems so as to become familiar with their unique styles and pave the way for a more efficient decoding of their works.

2. A brief Background of Hafez’s and Molavi’s Poems

One of the most famous Iranian poets, Jalal ad-Din Mohammad Balkhi, known as Molavi, was born the 7th century A.H. (13th century A.D.) in the city of Balkh. His poems can be divided into two parts: the first one is an extensive poem called Masnavi-ye Ma'navi whose most reliable manuscripts include 25632 lines and which is composed of six books; the second one is a voluminous book with more than 100000 lines of verse which is known as Divan-e Shams-e Tabrizi (The Divan of Shams-e Tabriz) since in the last line of many of its poems the name of Shams of Tabriz is mentioned and, indeed, the book is an appreciation of Shams, a mysterious character who was extraordinarily influential in Molavi’s life.

Hafez, another universally acclaimed Persian poet, was born in the 8th century A.H. (14th century A.D.) in Shiraz. His poems are mostly in form of ghazal and deal with the topic of love. His Divan, that includes nearly 500 ghazals, several qasidas, two masnavis, a few qit’as, and a number of rubais, has been so far printed 400 times in Persian as well as in different languages.

Molavi’s tales in his Masnavi, that is one of the greatest mystical books of the world, as well as the themes dealt with by Hafez in his ghazals must have generally been in conformity with the Iran of those times, because, according to sociologists, the dominant subculture of each period must be traced in its literary and cultural productions. This can lead us to grasp the general conditions of the milieu wherein Molavi and Hafez lived.

By way of comparison, the two poets’ works differ in that Hafez characteristically presents a huge variety of different meanings. However, we could think of them as two surrealist artists for their verse is imbued with meaning variety and plurality and they both composed poems by means of their unconsciousness. Additionally, on closer inspection, it can be claimed that Hafez was most probably influenced by Molavi. In fact, in the heart of Hafez’s poems one might observe traces of Molavi. But if we consider the content closely in terms of intertextuality, we can find out that in many aspects Hafez cannot be said to be under the influence of Molavi’s poems and, at any rate, it may not be a provable claim because they both inhabited the same cultural and mystical milieu. Therefore, it is not fair to assert that Hafez only made use of Molavi’s poems, rather he used a great number of other sources as well. Another point is that Molavi’s poems, unlike Hafez’s, are dramatically various in terms of their audience. They move sometimes towards a general audience and sometimes towards a specific audience. It is a feature which was rarely heeded by the poetic tradition of his time.

Before embarking upon analyzing the concept of meaning in Hafez’s and Molavi’s poems, it is necessary to discuss western thinkers’ ideas concerning the communication process. In the following, two well-known scholars, i.e. Dean Barnlund and David Berlo, will be mentioned who are famously accomplished in this regard.

3. Meaning in Communications

“Communications”, writes Barlund, “as I conceive it, is a word that describes the process of creating a meaning.” (1962:198) A more famous thinker, David Berlo, states that, “Communication does not involve transfer of meaning. Meanings are not transferrable. Only messages can be transferred and meanings do not lie in the messages, rather they lie in the minds of the users.” Drawing upon an anecdote, Berlo states in a discussion under the title of “meaning of meaning” that “all of us have heard
of the person who, when asked why a pig is called a pig, came up with the answer ‘because it is dirty’. We make use of language to express and extract meanings. It is, indeed, the main function of language. Meaning is inherent to and inseparable from most definitions of language.”

“Meanings do not exist in the message,” further adds Berlo. “Meanings cannot be discovered. In fact, mere words will not yield a certain meaning; rather meanings lie in the human mind. Meanings elicit responses. They are private and exist in the human organism. Meanings are learned and counted as our properties. We learn them, add to or remove from them, but we cannot discover them. They are in us, not in the message. Normally we find individuals who possess meanings similar to those of us so that we could communicate with them. Only people with such similarities are able to communicate, otherwise communication is impossible. If meanings were in the message, it would imply that all people could communicate with each other irrespective of the language and code they used. If meanings were in the words, we would be able to break the words and bring out their meanings, but obviously we do not have such an ability. Some people attribute a specific meaning to a code, while others do not. Elements and structures of language lack any meaning in themselves; they are merely symbols and nothing more. Language acts as a signpost that helps us realise our intended meaning, think about it, as well as reorganise it… Meaning does not lie in the message. It is the task of the speaker to link the message to the audience’s mind in a way that the message gains meaning in his mind according to the sender’s intention.” (1960: 173-176) In his Science of Communication (=Ertebat-shenasi), Mohseniyan-rad mentions three tales from Molavi’s Masnavi in a chapter on meaning which represent well the gist of Berlo’s ideas on meaning. Molavi has even succeeded to cover wider aspects through his poetically lucid and attractive language. The present author performed some case studies on Hafez’s and Molavi’s poems and extended the idea to what will be presented in the following.

4. Molavi’s Ideas on Meaning

In Ghazal 462 of Divan-e Shams I was struck by a line which seemed to be a key line rather than an ordinary one. Here, after three lines about causality and about the fact that everything has a cause which is evidence of its existence and that every cause itself depends upon its result, Molavi addresses a question in the fourth line to the flowers in a garden as to who their evidence is while scent gains meaning only in the mind and colour in the eyes:

O! Roses and rose gardens, what is evidence of your being?  
The scent in the brains, the colour in the eyes.  
(Divan-e Shams, Ghazal 462)

The dictionary meaning of “evidence” is “an indication, a sign”—a sign that must prove the reality of the existence of flowers. “Garden” is a place where many flowers are grown and, in fact, Molavi is addressing both an individual flower and the multitude of flowers. He is referring to the fact that meaning does not exist in the message but it is created in the audience’s mind. The message here is non-verbal and is sent through olfactory and visual channels to the audience, but it still needs be interpreted in the mind.

The second instance is a tale from Book I of Molavi’s Masnavi, section 72. Animals in a jungle decide to submit themselves one by one to the lion as a prey. When it comes to the rabbit, he hesitates and justifies his delay by telling that there is a more powerful lion in the jungle who has captured the rabbit’s friend. On hearing this, the lion infuriates and orders the rabbit to take him to the other lion’s abode. The rabbit leads the lion to a well and points with fear to the inside of the well. When the lion faces the reflected picture of his and the rabbit, he interprets it as the rival lion and jumps down into the well.

Here, Molavi once again refers to the mental nature of meaning and states in the rest of the poem that in order to come up with a correct interpretation of message the receiver should receive it in clear and precise manner without any prejudice and devoid of any parasite. Thus, the receiver’s obtained meaning can be conformed to the sender’s intended meaning. As he states:

You’re wearing lenses tinted funeral blue  
And so this world is dark with grief to you—  
(Masnavi, Book I, Section 72)
Also in another poem Molavi mentions this point:

No bothering veil is hanging before your eyes;
Blessed be the limpidity of those eyes!
(Divan-e Shams, Ghazal 1099)

In explaining Molavi’s ideas, we can draw upon Barnlund’s statement that, “in the same way as we construct ourselves, we also construct others through communication.” (2008: 55) Elsewhere he remarks that all through the communication process the receiver should well bear in mind his centrality and pivotal role. To this Farhangi also adds that, “our perception of a communication process is entirely dependent upon ourselves. In understanding and describing a communication process, every individual extremely relies upon himself and his mind and, as a participant in the process, whether as a sender or a receiver, he is confined to his view of his situation.” (2008: 10)

In three other tales, Molavi discusses the issue of meaning. The first tale relates the story of an elephant which is brought into a city at night and everybody imagines its shape by touching one part of its body. The first person touches its trunk and conceives it as drain-pipe; the second feels the ear and imagines that it is a fan; the third one moves his hand on the back of the elephant and suggests that it is a flat thing. (Masnavi, Book III, Section 49) In this tale, a single phenomenon, i.e. the elephant, sends four different messages to four persons through tactile channel from which they receive various meanings.

In the second tale, a farmer ropes his cow in the barn at night and goes home. In the dark, a lion enters the barn, eats the cow, and lies there on the ground in place of the cow. The farmer comes at midnight to see his cow and instead touches the back of the lion. He conceives him as his cow, while the lion thinks to himself: If he knew me, he would not dare imagine me as a cow and stroke my back. When dawn falls he will see me and become frightened. (Masnavi, Book II, Section 14) Again, like in the previous story, a message is conveyed through tactile channel to the villager’s mind which is interpreted improperly.

The third tale famously narrates the story of the four men—an Iranian, a Turk, an Arab, and a Roman—who receive a sum of money and decide to buy some grape. The Iranian suggests to buy “Angur” (the Persian term for grape); the Arab opposes and says, in his own idiom, that they should buy “Inab”; the Turk resists and insists on buying “Ozom”; and the Roman calls it “Estaphil”. This causes a severe conflict to take place among them. (Masnavi, Book II, Section 112) Here, the same message is sent through aural channel to four individuals but different meanings are created in their minds. Apart from his delicate selection of characters from four prominent civilisations and the many nuances of this selection, Molavi again tells us in a highly artistic manner that some people assign certain meanings to some codes which others do not. Language is merely made of signs and does not contain any meaning in itself. It is much better for human beings to keep this fact in mind and prevent from harmful problems. As Mohseniyan-rad puts it, “words have a secret, and it is their being meaningless.” (1990:91)

David Berlo has presented a model known as S-M-C-R. The letters stand respectively for the four main pillars of a communication process, namely, Source, Message, Channel, and Receiver. This model was developed in 1960 following the models by Aristotle, Lasswell (1948), Shannon and Weaver (1949), and Schramm’s first (1949) and second (1954) models. Berlo’s model is illustrated in Figure 1.

![Figure 1](https://www.mcser.org)

**Figure 1. The main elements of communication process and their components in Berlo’s S-M-C-R model**
Molavi has made use of the four first channels in Berlo’s list in the abovementioned tales and given variety to the stories by not adhering to a single channel. Besides creating variety, he also demonstrates that all senses are capable of conveying and receiving the message—and not simply a certain type of message but various messages—which can be interpreted in different ways in the mind. This would imply that meaning resides not in the message but in the mind.

5. Hafez’s Ideas on Meaning

Unlike Molavi, Hafez does not utilise tales and anecdotes; therefore, he draws upon specific elements. As a result, before discussing Hafez’s ideas on the issue of meaning, it is necessary to become acquainted with a major element of Hafez’s poems, i.e. Saba Wind. Like many other poets, Hafez also shows naturalistic tendencies and makes use of a great many of natural elements. Sometimes he personifies objects and even attributes high and noble traits to them. As to wind, for instance, he has used 21 types in his poems: from wind of spring, autumn, Dey, Saba, wind of distress, arrogance, loftiness, etc. Of course he names Saba Wind more than others and ascribes to it many characteristics. A search in Hafez’ poems (Table 1) showed that the word “Saba” was mentioned 97 times and the word “Saba Wind” 23 times, which is indicative of the crucial importance of this wind in the poet’s opinion. If looked at from the perspective communication studies, Saba Wind obviously indicates all of the components of a communication process:

-Saba Wind plays the role of an informed source;

Hafez consumed; and took not the perfume of the Beloved’s tress:
Perchance, the guide of this fortune of his, the wind maketh. (Ghazal,187)

I sacrifice my life in the trap of your hair
O morning breeze speak of the stranger in the night (Ghazal,415)

-It conveys information as the sender;

With glad tidings, the breeze is the lapwing of Soleiman
That, from the rose-bed of Saba, tidings of joy brought.
(Ghazal,145)

Last night, news to me the messenger of the morning wind brought,
Saying: “To shortness, its face, the day of labor and of grief hath brought.”
(Ghazal,147)

-It acts as a channel for transferring information;

Along with the wind, send from Thy cheek a handful of roses:
It may be that I may perceive a perfume from the dust of the rose garden of Thin.
(Ghazal,12)

O Breeze! If thy path should chance by the Land of the Friend.
Bring a fragrant waft of air from the be perfumed tress of the Friend.
(Ghazal,61)

At morning time, a perfume from the Beloved’s tress, the breeze brought:
Into action, our heart distraught for Thee brought.
(Ghazal,146)

-Sometimes it plays the role of a harbinger;

If from Thee, the footman of the east wind will learn work possible:
For movement, swifter than this, the wind made not.
(Ghazal, 138)

It is the receiver of the message; it creates the meaning in the receiver’s mind; and many other roles can be enumerated for Saba Wind, each of which is evinced by a remarkable number of instances. Of course, one or two verse lines were mentioned as instance for each of the cases above except for Saba’s role as a channel since exactly this is the role we intend to deal with here.

As well as transmitting messages and information, Saba also performs an interesting act and it is the carrying of the beloved’s scent to the poet. This causes the meaning, which is the remembrance of the beloved, to crystallise in the poet’s mind. In fact, Berlo’s theory that meaning does not lie in the message but in the audience’s mind is most accurately exemplified in the following line:

It should not be neglected that Hafez makes use of Saba Wind to convey messages through olfactory channel and make necessary associations in the poet’s mind to create the intended meaning.

Given the channels used by Hafez and Molavi we can draw, according to Berlo’s model, a diagram and tables as following:

**Figure 2**: The channels used by Hafez and Molavi in their poems about meaning according to Berlo’s S-M-C-R model

**Table 1. Frequency of different communicative forms of Saba in the sample**

<table>
<thead>
<tr>
<th>Phrase</th>
<th>Frequency</th>
<th>Percent</th>
</tr>
</thead>
<tbody>
<tr>
<td>Saba Wind</td>
<td>23</td>
<td>54.76</td>
</tr>
<tr>
<td>Saba Breeze</td>
<td>2</td>
<td>4.76</td>
</tr>
<tr>
<td>Harbinger of Saba</td>
<td>3</td>
<td>7.14</td>
</tr>
<tr>
<td>O! Saba</td>
<td>12</td>
<td>28.57</td>
</tr>
<tr>
<td>O! Harbinger of Saba</td>
<td>1</td>
<td>2.38</td>
</tr>
<tr>
<td>O! Saba Wind</td>
<td>1</td>
<td>2.38</td>
</tr>
<tr>
<td><strong>Total Number</strong></td>
<td><strong>42</strong></td>
<td><strong>100</strong></td>
</tr>
</tbody>
</table>
Table 2. The frequency of the channels used by Hafez and Molavi in their poems about meaning according to Berlo’s S-M-C-R model

<table>
<thead>
<tr>
<th>Channel</th>
<th>Frequency</th>
<th>Percent</th>
</tr>
</thead>
<tbody>
<tr>
<td>tactile</td>
<td>2</td>
<td>28.57</td>
</tr>
<tr>
<td>aural</td>
<td>1</td>
<td>14.29</td>
</tr>
<tr>
<td>visual</td>
<td>2</td>
<td>28.57</td>
</tr>
<tr>
<td>olfactory</td>
<td>2</td>
<td>28.57</td>
</tr>
<tr>
<td>gustatory</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Total</td>
<td>7</td>
<td>100</td>
</tr>
</tbody>
</table>

6. Conclusion

Discussion of meaning in the communication process is not something unique to our age or confined simply to a number of western thinkers. It is a long-standing issue that has attracted the attention of mankind over centuries—a fact which was proved in the analysis performed in this paper on Molavi’s and Hafez’s poems, two succeeding Iranian poets.

Molavi addresses the issue mostly by means of tales and narration involving both human and animal characters. He illustrates the communication process as artistically and, at the same time, simply as possible and points out to the lack of meaning in message. These tales are greatly various and revolve mainly around Berlo’s ideas on meaning while also being imbued with humane concepts. Of course we can interpret and decode Molavi’s intended ideas from other viewpoints, which is indicative of his ability of expressing subtle and multivalent ideas, but, as mentioned earlier, this aspect is so remarkable in his poems that is highly likely to be the one intended by Molavi himself.

On the other hand, Hafez performs a similar task with his love poems. Making no use of narration, he employs natural elements, and here especially Saba Wind, as skillfully as possible. Saba takes numerous communicative roles in Hafez: as an informed source; as a sender that informs; as message-giver; as a channel that transmits information; sometimes as a harbinger; etc. It crystallises the meaning in the mind of the receiver, i.e. the poet. The lover and the beloved, in Hafez’s poems, use Saba Wind as a channel to exchange meaning and, thus, Saba makes a meaning each time it conveys the scent of the beloved to her lover.

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Reforming Higher Education In Albania: The Scientific Research

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Abstract  In the current development and perspectives in the Albanian education, reforms on the high education, bears the internal tendency for development, aiming on the integration of the Albanian society in the European regional development. This paper has on its focus the analysis of functioning and malfunctioning of the scientific research in Albania, which would highlight some of the problems it faces, such as: a) Low research level; b) Unclear financing strategies and c) Deep separation between research and university as well between research conclusion and market. System reformation of scientific research and technological development will lead to a rational frame in which the actors would feel estimated and the society itself would experience the investment. In terms of an opened market the process of research integration in universities is unavoidable defined from the adjustment of university offers and labor market demands.

Keywords: Scientific research; Educational reform; Challenge; Perspective.

1. Introduction

Scientific research is estimated as a fundamental element for an economy oriented to the knowledge and is important in all its stages, despite its different manners. Albania has not made any progress in these developments because of the need to be concentrated in finding the “bases” for a proper progress (education, legal framework, abolition of poverty, etc). If Albania aims to achieve its long term intentions for development, it’s time to invest more in the creation, distribution and application of the knowledge.

Reforms of scientific research system and technological development, will lead in a rational framework in which, on one hand actors would feel estimated and on the other the society experiences the results of the appropriate investment. Some of the questions raised during the interviews on scientific research, among members of the staff, who lead the biggest university in Albania, as the one in Tirana, answered: “University in Albania on these days has many challenges, but two of them are the most important: a) diploma quality and b) scientific research. These are and will always be challenges to survive in an opened market. There could not exist universities without research. University can be differently named scientific research and then education. The government benefits from the knowledge, the university provides them. Both have benefits in common. Only comprehending the scientific research and the university interaction, the education would:

- play a very important role in the progress of the country.
- be more integrated within the country
- be more involved in the regional European courses
- be more efficient and helpful in the creation of a suitable motivated environment to minimize brain drain.

2. Methodology and Main Objectives of Studying

Information used in this study is based on different sources. For this purpose is explicated not only the experience and the previous studies of the authors, but also many other materials from Albanian and foreign authors. This questionnaire intends collecting information based on the knowledge and
educational system implementation in private and public universities in Tirana. Through the interviews we tried to identify some of the problems related with this process as how to issue conclusions for the necessary strategies for the future of the education.

The interviews mainly contain structured and half-structured questions, with the intention to allow the freedom of expressing thoughts, assessments, comments and suggestions. These questionnaires are addressed and distributed to managerial level of educational institutions, in different faculties of public and private universities.

2.1 Basic objectives

On the focus of this paper is the analysis of functioning and malfunctioning of scientific research in Albania, which would highlight some of the main problems which faces scientific, such as: a) Low research level; b) Unclear financing strategies; c) Deep separation between research and university as well between research conclusion and market.

System reformation of scientific research and technological development will lead to a rational frame in which the actors would feel estimated and the society itself would experience the investment. In terms of an opened market the process of research integration in universities is unavoidable defined from the adjustment of university offers and labor market demands.

3. General Overview of the Current Situation in the System of SHTI

3.1 Legal Framework and the Process of Taking Decisions

The legal framework which regulates the problems that are connected to the science, technology and innovation has made a big progress during last years, with the passing of the law in 2001 on the High Education and the reviews of the law on the Science Academy. The law of 1994 should be revised according to the international standards, taking into consideration the opening of national programmes in accordance with EU priorities, with the rules of government financing for K&ZH.

The law of 2007 on High Education created a flexibility and greater objectivity in universities’ financing, and the Strategy on High education defines a number of ambitious targets to improve the functioning of this sector. The Strategy on High Education has on its focus improvement of the quality of teaching in the universities and in the Master stage, but as well is focused on a number of directions related to the academic research, including here the doctorate and those post graduate studies.

For instance, the Strategy on High Education highlights low levels of students in the scientific programmes, mathematics and engineering (6% compared with 25% in the region); or with the need to bring up standards of PhD in accordance with high education in region. These issues are very fundamental for the future potential of the Albanian research system.

The development of the academic research should pass several stages; considering the investment in infrastructure or in researching programmes, versus not only the “proper plans” but also versus the capacities to perform it.

As was previously noticed, a great progress happened with the amendment of law on Scientific Academy, which resulted in the integration of the previous institutions of the scientific Academy in the universities. The role of academy, as in other European countries, is more advisory for the science than performing a research. Except these functions, it continues to manage the scientific editions, such as bibliometrics on the magazines in Albanian language, as well motivation of science through conferences and premiums.

Currently, “research policy” is managed from the Science Department in the Ministry of Science and Education(MSE). Research-development financing was possible through the institutional fund from the government, through the programme of MSE and through an international collaboration.

Although there have been some visible efforts to centralize resources and to implement some competitive standards, this policy is not generalized yet.

Policy-making capacities in MSE for research are not sufficient enough even though members of the staff are involved in the policies collaboration. Science department misses the director and the staff of 4-5 persons tries hard to enable the current programme with restricted funds for the applicants (delays in selections and annual terms of disbursement make them feel disgruntled in this process).
3.2 Vision, Priority and Strategy Targets

Science’s vision, technology and innovation is based on the only and the most important resource for an economy oriented to knowledge. Accomplishment of this vision requires:

- Improvements in the base infrastructure of research, sufficient to supply the university in its three levels (BSc, MSc, PhD);
- Creation of scientific excellence in researching fields the most important to the country.
- Education, and retention of the qualified people
- Good comprehension of science and awareness on the role of innovations and new technologies1.

These may happen only through big investments and good oriented, through modern and suitable management of the policies, as well the gradual integration of the system in the European zone of research (EZR)2.

There is an important need for fundamental knowledge for teaching in universities or to provide services for the enterprises or even to answer to the social needs. However, concentration is a condition for the excellence as is expected in the European level.

So that the system can increase gradually, collaboration between different elements is demanded to work with organizations that represent economic sectors to enable those who motivate companies for innovation. Also it is requested to have trainings on the SHTI strategy, setting up respective fundamental capabilities and encouragement of technological enterprising capabilities, so they can work with institutions of high education in defining student’s syllabus.

Consequently, the vision of Albanian system for the scientific research is:

(i) Achievement of a necessary or critical research to support universities formation in its three stages (BSc, MSc and PhD) as well (ii) achievement of the excellence in some of the fields in 2015, through concentration of the national and international human resources3.

3.3 Targets and Stages

The vision and priorities mentioned above must be translated in targets and concrete stages, with the purpose to drive to a systematic progress monitoring. The small part that occupies research-develop in the educational sector is mainly explained with the absence of the direct finance for many years during the transition period and also with the absence of the disposable human resources.

There are not too much probabilities that the private companies will start to invest widely in this fields (in the developed countries, in this direction, the private sector contributes with 2/3 of the funds of K & Zh)4.

3.4 Up to Now Reforms in the SHTI System

Considering the population, Albania is a very small country but with low level of incomes. To make possible a regulation of the activities with much more knowledge in 2006 it was initiated a reform for the system of scientific research, a group of academic experts compiled a platform for the reform:

The main results are summed up as below:

a. Science Academy is reorganized according to the model of other European countries. It acts between a selected organizations of scientists organized in sections.

b. Institutions of Science Academy are divided from it and are integrated in the system of high education. Some of the institutions are on the dependence of the respective ministries and some others on the dependence of the main universities, such as:

1) Three interdisciplinary researching centers

- Intercollegiate Centre of Albanological studies

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2 European Zone of Research
4 (Bëtaj) “Analiza e tregut të punës dhe nevojat për afërsi”
• University research centre of Energy, water and Environmental in the Polytechnic University of Tirana (P.U.T)
• University research Centre of Geosciences in the P.U.T

2) Two new faculties:
• Faculty of Information and technology
• Faculty of Biotechnology and Nutrition

3) Two new departments in the faculty of Natural Sciences in the University of Tirana (UT)
• Centre of Applied and Nuclear Physics.
• Department of biotechnology

Respective ministries’ research centers were organized and created 12 centers of distributing technology and also agencies depended on the ministries, their main mission is transferring technologies and knowledge and also technical support for policymaking in the respective fields.

With the end of the reform in 2008, also with the integration of research institutions in the Academy, leads the research system in Albania in line with the most European countries, where the high education is integrated in the scientific research, which is basic for modern scientific science.

3.5 The System of Scientific Research and its Components

Science system includes institutions of high educations, scientific research of developing knowledge and technology. So it does not include only public fundamental institutions but also enterprises acting in education.

The undertaken reforms at the department of education and at the one of research firstly aims integration of those two systems, which up to now have been totally separated from each-other, also they are expected to be innovative and efficient.

a) Universities are teaching – research institutions that according to its strategy (2008) have as its mission, scientific research and development. Currently there about 12 public universities and 34 private ones. The private ones are new (the first has only 6 years of experience), however some of them have collaborated in the research field for instance those who collaborate as consortium.

b) National research centers are teaching-research centers which mission is scientific research, good university formation in the second and third stage, development and transferring knowledge and technology. So far is created the Centre of Albanological Studies based on the reorganization of the respective institutions of the Scientific Academy. Universities and the scientific research centers should begin to use contracts so it can reflect the spent time for each academic staff in these activities.

So, on this base it will be made the periodical assessment for the scientific “product”. Those public ones which have limited capacities for research, is important to support creation of regional development centers, where researchers from faculties and different departments collaborate through important projects for the region.

c) Centers/Public Agencies for development and technological transfer. Their mission is to make studies and projects also transferring knowledge and technologies in producing products and offering services.

d) Centers/Agency/Institutions and other enterprises which act in searching, developing and transferring of knowledge and technology. This link of the system in Albania is still at the beginnings. Currently exist some private ones as institutes or NGO which have clearly defined their profile in several fields, mainly in those social and economic ones. Recently, there have been created more such private enterprises. Initiatives like those in other fields for the economic and social development are fewer. For instance: there are few private enterprises on energy, agriculture, molecular biology, biotechnology, natural sources etc.

In Albania there are limited possibilities to manage research, in general they are far from the standards that could made possible collaboration and integration in international European programmers. Also on the other hand, scientific infrastructure is almost in each aspect old and insufficient to support a qualitative research.

It’s necessary for a stable programme to equip the institutions in order to have at least a minimal capability to conduct and follow the international standards.

5 National Strategy of Science, Technology and Innovation 2009-2015, June 2009
6 Integrated plan 2005, MSE
quality because: a) studying in all fields; b) to develop new specializations and to enforce existing ones. Recently the limited number of scientific editions and the number of patents confirm the low level of the “product” in the research system.

4. High Education in Albania Today- Challenges

Education is one the main priorities for the future of Albania, as a decisive factor for the economic progress, equality, lowering poverty and the education of the citizen in a democratic society. Education will create to each Albanian citizen to maximally increase his potential.

Nowadays Albanian educational system offers challenges multidimensional, starting with: sufficient environments to accommodate the increasing number of students; supplying with the contemporary technical literature, financial autonomy of the universities, opening of non public universities, organization of private universities according to the legislation.

In the current developments in the Albanian education, reforms on high education, bears with it an inner tendency for development, aiming integration of Albanian society in the European regional developments. According to the interviews the situations of the universities in the country, reconciles with social-cultural-economical developments. “It’s typical Albanian”.

Today, the educational system faces new philosophies of life, of free-market economy and European integration. The Albanian educational system should offer to the students at least:

a. to be democratic citizens
b. to face labor market
c. to increase competitive capabilities.

Achieving European standards stands delicate problems which need relatively quick solutions so that the high education gradually:

a. to be integrated in European network (Bologna system)
b. to be adopted with the market demand
c. to have the necessary institutional autonomy
d. To achieve high level of admissions

Currently is identifies the developing platform, which offers an educational system which will fulfill:

- Upbringing the society with democratic values
- Upbringing success skills in the market- economy

High education reform aim to transform it in a diversified system, to achieve the modern concept. In this frame, our university system has entered in the process of reformation of the structures and of the syllabus, based on the bologna declaration, which adheres since September 2003.

In the questions raised on educational reforms in Albania, members of academic staff, nearly agree that have been some of those, “but are confusing. There are so many frequent changes that could not achieve a standard. Changes in education should be thought properly, the system in general has been in movement, but the reforms need time to create the educational framework”.

It’s clear that there is not any method or any experience of involving of research in the universities. We’re talking about involvement as these research centers are often seen separated from the universities. Extremely there are institutions that exist only formally but there aren’t any footprints of activity.

Analyzing functioning and non-functioning of the research centers highlights the problems like this that the research faces in Albania:

1. low level of research
2. deep division between research and university
3. deep division between research and market
4. unclear strategy of financing

On this point, it’s necessary to mention some of the western’ experiences. Let say the most known and not the most successful, because in this situation they are two different things.

Firstly, it is recognized a high percentage of the public funds spent for research administrated from the universities. In the OECD countries is on the average is 65%. In the countries as England, Sweden, Canada, Austria and Belgium, this fund passes 70% of the total expenditures for research.

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7 Strategjia Kombëtare e Shkencës,Teknologjisë dhe Inovacionit 2009–2015, June
The second peculiarity is the mucilage shape that has the diagram of transferring public fund for research from research institution at the universities. A typical example is France, traditionally conservative for education. On the other hand we must add that the process of increasing “confidence” and the efficiency of managing the research, has had a parallel progress with the process of increasing autonomy in the universities, notably after the 60s.

Let us stress that today the number of private universities has passed that of public, there are 34 private ones but still the “burden” is still in the public universities. Liberalization of public universities in October 2005, was considered to change the number of the students who would prefer to study in the private universities, especially when the last ones can progress qualitatively to compete dignified public universities. The most common method of integration in universities is that of combining individual job between research and study.

One of the first visible effects of the collaboration between research institutions and university is the fact that the results usually are absorbed from the institutions that offer possibilities for carrier in comparison to the classical stability of being a pedagogue. This one of the main reasons why universities are interested in preserving or creating autonomous research groups. Research-pedagogues are automatically interested to work more for the sake of the research than for the values it brings.

Western tendency of research is clearly defined: University is considered more and more as the institution most suitable for developing scientific research.

The main reasons are two:
- The direct relation of scientific research with the process of teaching
- Research integration with an institution that is nearer to the labor market than with any other

In the terms of an open market of high education, the process of integrating research in the universities, needs some suitable measures;
- Firstly, abolishing independent institutions that does not fulfill important research functions or that does not work on fields in public interest.
- Secondly, integration of research institutions in the universities where is possible or even creating separable institutions in the universities.
- Thirdly, distribution of public funds designated for research. So the public investitures will have to distribute funds not on the prearranged subscriptions but based on competition. Two of the recommended criteria would be: a) project innovation b) its value for the arrangement of the students for the labor market

Fourthly, the permanent estimation of the individual work of the research pedagogues according to the research work and eventually the differed financed stimulation. Countries like England, Denmark; the financing quota of the research group is directly depended on the measurable results.

5. The Scientific Research and the Market

The whole reorientation process of research is inevitably defined by the necessity of the conformity of the university offer to the needs of the labor market. The establishment of the competitive criteria to benefit the public funds for the research by the universities serves to approach the labor market. Up to now the rigidity of the public financing of universities and of the research institutions have made the connection to the market really abstract producing degrees that don’t serve as an employment tool. It is obvious that the research in university is a process that may involve directly the student, especially at the high studying levels. The new 3+2 systems give a hand to this new function.

An element that should be seriously discussed is the financing by the private companies. This element is already present in countries like USA, where big companies finance the university researches having back special rights for the utilization of the research results licenses, or directly influencing through the contracts on the research orientation in specific fields with interest for the market. The essential argument against this practice is the contraction of the research field with public interest. But the argument is variable because it looks at the field of the research as a defined abstract object not as a pluralist object, subjective like the nature of the market itself.

On the other hand, the involvement of the alternative finances by the market itself, is a warranty that the university research will be oriented through the obvious interests and needs of the market and the society. After all the public finance may finance that part of research that may be necessary for the...
society, even without being financially necessary for the private sector.

The common and the biggest challenge of the universities is the introduction of a common cultural space, and that certainly aim to reach the European standards in education.

One of the main weaknesses of our higher education, which continues to make a difference in proportion to the higher education in other countries, is the limited research activity of our academic staff, which has been more evident especially in experimental and technical sectors, causing the limitation of the main activity mainly on the pedagogical plan. As a result the university mission, in many faculties is focused only on the educational plan causing the loss of the university physiognomy as a centre of education and scientific research. The reduction of the research activity especially in applied and technical sciences, mainly related to the financial institutional factors, without having the necessary laboratory resource as well as the impossibility to get integrated in many research programmer of European Community, has caused the lack of the intellectual potential in our universities. The research activity can’t be stimulated and developed without the minimum necessary laboratory equipment, without mentioning the salary, the low level of which has brought to an evacuation of the universities. The limited research activity of the professors has even had an influence on the limited commitment of the students in experimental field and on their deficient education with the elementary elements of the scientific research, different from what is noticed in other European universities where students, during the preparation of the diploma theses are part of the research staff of the professors. Apart from the forming aspect, this is also the most important moment for the evidence of the personal qualities and the differential stimulation of the future scientists.

One of the factors influencing the decline of the quality of the scientific research is the simplification of the scientific qualification system10. The unification in 1993 of the degrees Candidate of sciences to the Doctor of sciences in most of the cases was accompanied by dissertation and lack of interest to continue the scientific work. While during the 1975 – 1993 period there were 201 doctors and 1998 science candidates (almost 2200 dissertations in 18 years), in the period 1993 – 97 there were 697 dissertations, almost 30 % more in a year. The unification of degrees and their elimination from the second step relieved the researchers from this obligation and this led to the fall of further studies. Another thing that is noticed both in universities and research institutions is the lack of interactive studies which need highly qualified staff and the necessary facilities. The combination of intellectual and technical capacities of universities with the ones of research institutions would be an important factor. The realization of institutional interactivity would have contributed positively on this, maybe gradually and in suitable forms. Moreover, the unfair share of the budgets between lectures and scientific research has influenced negatively. In order to overcome this difficult situation, we think that the best and most effective way, apart from the institutional efforts on providing with lab facilities, is to cooperate with other European universities on the scientific research field and on the realization of the common complex research projects. We should not forget that a university without scientific research is not complete so it is also needed that the Ministry together with the universities should encourage any form of cooperation with the foreign institutions to achieve the target.

The lack of a well developed economy in our country makes it impossible for the universities to use other alternatives as financial sources such as the mutual cooperation with the industry etc. It is expected that the increase of the autonomy may have a positive effect11.

Among the drawbacks of our university education it is obvious the existence of undeserved and bad organized post university qualifications. Considering the post university qualifications as part of High Education, efforts are being made in order to improve the current legislation so that it will be an effective tool for the further development of university culture and to meet the needs of qualified staff. A question is being raised by post university qualification courses which function detached from university: Will we have post university qualification detached from university system?

Some disadvantages are noticed in the second and third steps of studying whose introduction and function have not been supported by unified criterion12. In our opinion the creation of qualifying spaces should not only be the result of institutional initiative and interest but of the cooperation with the national scientific policy as well. According to the interviews with many lecturers about his problem, it was clear the need of the reorganization of masters on the basis of uninfected criterion and standards as

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10 Bologna with Students Eyes - The National Unions of Students in Europe, 2007, 21.5.2007
11 Standarte dhe Udhëzime për Sigurimin e Cilësisë në Hapësirën Europiane të Arsimit të Lartë, December 2007
well as the increase of the rigor and the qualities of their realization.

For example their pursuit for qualification needs of new pedagogues engaged in universities may be an exception, as our educational system suffers the absence of qualified staff. Cooperation agreements with western and European universities for the qualification of new pedagogues in different research fields, would give a hand to increase the quality of pedagogical staff and of the new researchers in academic field.

An important problem, which seems to have come to a solution, is that of the institutional autonomy. From this point of view the existing legislation is being reviewed in order to establish it in European standards improving its financial autonomy which will guarantee the faculties and the departments more space in the use of financial resources. On the other hand, the increase of autonomy should be accompanied with an increase on the control of the Rectorate over the lower levels (faculty and department) for the right usage of the financial resources, as well as with an increase of the responsibility of the faculty and department directors to use these resources effectively for the teaching process and for the scientific research.

Another positive component in the administration of the financial resources in the administrative structures in universities would be the presence of graduated or qualified administrators in the field of management or information technology.

One of the important aspects where actually is being worked with in the higher education is the introduction of important international standard elements like the system of institutional accreditation and the equivalence of the degrees, the years of studies and the scientific, academic and professional degrees and titles. The first will lead to a real and continuing assessment of the conditions of the higher education and research institutions through the application of international criteria and not the subjective assessment, while the second will facilitate and favor significantly the students’ and graduated mobility through the decrease of real barriers that exist in this respect. The final result would be the increase of the institutional quality and credibility in our higher education and its easier integration in international plan.

Each of these will certainly influence in the increase of the actual higher education level in Albania as well as in new institutional initiative conditions and spaces and in the active interuniversity collaboration.

6. Conclusions

1. The real autonomy is the key to quality, efficiency and responsibility.
2. To the consolidation of financial, structural and administrative autonomy of universities shall be attributed non-profitable unit legal status. This shall permit universities the required autonomy, the financial management of staff and to other operations the possibility to face new challenges.
3. Universities shall have clear intellectual property right and the right to open or to link with other profitable special companies, to commercialize the expertise and their licenses.
4. Decentralization is a good way to empower departments, to take and to become aware of the distribution of financial sources. Strategic initiatives require a method balanced from upside-down and vice-versa.
5. It is required to double the number of researchers and the training of new researchers for an academic qualitative development so that our universities may approach European ones, toward which they aim.
6. The sector is dominated from public research institutions. Most of universities have a small number of medium-aged researchers due to emigration.
7. The general situation of scientific research infrastructure is much or more poor. If it is well managed the public scientific research might help in the modernization of technology.
8. The increase of public scientific activity in collaboration with private companies is considered as necessary in order to create the organic connection of universities students market.
9. The combination of intellectual and technical capacities of universities with those of research institutions would be an advantageous factor.
10. The evaluation of the individual work of research-professors according to research work results and to the differentiated financial stimuli, in fact, does not exist in Albanian universities.
11. The creation of special institutions or the integration of research institutions in universities is a necessity.
12. The moist effective method for the integration of universities according to western standards is one of the combinations between work of research individual and universities.
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The Expenditure of Vietnamese Families in Recent Years

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Abstract
In our daily life, we need certain expenses to ensure the survival and development of ourselves. These expenses can consist of daily food buying, medicine or education, etc., as well as direct investment into production to create income sources for individuals and families, other expenses on creating and maintaining social relationships as expenses on special ceremonies like weddings or funerals, etc. In addition, there are expenses on buying houses, equipment and household facilities. Thus, how is the reality of Vietnamese households’ expenses at current time? Based on the statistics from General Statistical Office in Vietnam in the period 2002-2008, we see that the average expense of Vietnamese households was significantly improved in recent years. Average monthly expense of households headed by women is higher than that of households headed by men. Average expense gap between urban and rural areas have decreased slightly but remained large differences of the expense rate. Nationally, the biggest expense of all the households is living expense and this rate tended to decrease year by year. The rate of living expense in urban areas was always higher than rural areas from 2002 to 2008 and the inequality of quintile 5 (the richest) and quintile 1 (the poorest) in monthly per capita average living expense is clearly shown. It can be said that with daily expenses, women have the highest right of deciding, most men do not take part in this duty. With other expenses like children’s education and disease treatment, men play higher role in deciding. In buying expensive things, the rate of both wives and husbands discussing on making decisions ranks highest.

Keywords: expenditure; Vietnamese; family;

1. Introduction

Based on the statistics from General Statistical Office from 2002 to 2008, the paper will analyse the total expenditure of Vietnamese families to see how is the reality of Vietnamese households’ expenses at current time? We are going to investigate and analyze the three following basic issues: the rate of expenses in Vietnamese households, the structure of households’ expenses and the role of men and women in managing and determining kinds of expenses in Vietnamese households currently.

2. Literature review

Families are not an unfamiliar and new research topic all over the world. As evidence, there are a lot of publications and working papers regarding to this issue. It is possible to list some examinations and investigations relating to aspects of families such as: origin of family (Engels, 1884), definition of family (Goode, 1982; Murdock, 1949), theory in studying family (Bich, 2003; Parsons, 1955), the family in the context of each country in the world (Engstler, 1999; Malinowski, 1913), functions of family (Robersons, 1991), the changes of family in the world (Goode, 1963; Thi, 2002), the future of family (Winch, 1979; Howe, 1972). In those studies, a lot of problems expressed in family are analyzed but they did not focus on the expenditure of family in detail.

Also, family in general and sociology of family in particular become a very common research topic in Vietnam. Many organizations focused studying on families, many workshops and trainings on families have been held. Family studies have also been included as a subject in training programs of sociology faculties in some universities. Research topics focus on the following basic directions: Vietnamese traditional families (Dong, 1991; Huou, 1991), families changes in industrialization perspective (Bich,
1997; Binh, 2011), family and family education (Chuong, 2000), division of labor in the family (Teerawichitchainan, Knodel, Loi, Huy, 2008; Minh, 2008), divorce (Tam, 2002; Phuong, 1986). We could easily see that no one studies the expenditure of family in a systematic way.

Based on the inheritance of previous documents in combination with the data collected; this article has an ambition to filling the documentation about the expenditure of Vietnamese families in present day, in terms of both documented and the analytical approach.

3. Methods

As soon as I chose the title of the article, I set to find and read theme-related literature documentation. This documentation is very important and indispensable for every study. Bernard points out that there are three ways of collecting publications relating to a particular topic, that are: “(1) asking people; (2) reading review article; (3) scouring the literature through use of bibliographic search tools” (Bernard, 1988: 126). This is also the way that many researchers apply to find, read and get the initial information. I am not an exception.

This is not a field study, but an attempt at a synthesis of a number of sources, secondary as well as primary. In other words, it relies on the result of a lot of research; it is to a large extent a survey of existing literature. That means; I collect, interpret and evaluate different studies’ results, which were applied by different researchers and used here as my resources.

Some documental sources related to article:
- The statistics from the statistical agencies, especially from General Statistical Office; General Office for Population Family Planning. It provides an overview statistics about Vietnamese families. The main statistics to write this article is from result of the survey on Household living standard which has been conducted regularly by the General Statistical Office every two years from 2002 to 2008. The focus of the survey has been household income and expenditures; however other important aspects of living standards such as education, health or employment have been included in various rounds.
- Books, journals in sociology; especially from the sociology of family, sociology of gender.
- Information on the contemporary families from magazines and newspapers in Vietnam is also taken into account to give more concrete imagines on the families.
- Literary works, both written (novels, short stories and so on) and oral ones (tales, folk songs, proverbs, and sayings, etc.) are used as well.

4. Results

4.1. The Expense Rate of Vietnamese Households Currently

According to the survey results of households’ living standard through the years from 2002 to 2008, it is nationally estimated at current prices that in 2008 the average monthly expense per head was 792.5 thousand VND, increasing up to 55% compared with 2006, rising by 27.5% yearly, higher than other previous years (17.6% in the period of 2002 - 2004, 14.4% during 2004 - 2006). During the period 2004 - 2006, the expense rate of Vietnamese households had a little reduce in comparison with the previous period because in this period, we were affected by worldwide economic recession.

Figure 1. Monthly total consumption expenditure per capita in some years (Unit: 1000 VND)

Source: 2008 Vietnam Household Living Standard Survey
In 2008, average monthly expense per capita in rural area was 619.5 thousand VND, increasing by 54.2% compared to 2006; increasing by 97.1% compared to 2004 and 266.9% to 2002. Also in 2008, the expense rate of average monthly expense per capita in urban area reached 1245.3 thousand VND, increasing by 53.9% compared with 2006. This is the highest increase during this period in urban area (from 2002 - 2004, the growth rate was 31.1% and 24.5% during 2004 - 2006).

The average expense rate in 2008 in urban area was 2.01 times as high as in rural area and it has had the tendency of gap shortening (the rate in 2006, 2004 and 2002 was 2.02, 2.07 and 2.14, respectively).

Table 1. Monthly total consumption expenditure per capita by urban-rural and regions (Unit: 1000 VND)

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<tbody>
<tr>
<td>Urban</td>
<td>497.5</td>
<td>652.0</td>
<td>811.8</td>
<td>1245.3</td>
</tr>
<tr>
<td>Rural</td>
<td>232.1</td>
<td>314.3</td>
<td>401.7</td>
<td>619.5</td>
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<td>8 regions</td>
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<tr>
<td>Red River Delta</td>
<td>300.2</td>
<td>417.7</td>
<td>531.8</td>
<td>813.9</td>
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<tr>
<td>Northeast</td>
<td>240.8</td>
<td>324.9</td>
<td>414.6</td>
<td>630.8</td>
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<tr>
<td>Northwest</td>
<td>192.4</td>
<td>250.8</td>
<td>324.7</td>
<td>496.8</td>
</tr>
<tr>
<td>North Central</td>
<td>210.2</td>
<td>275.7</td>
<td>350.0</td>
<td>560.2</td>
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<tr>
<td>South Central Coast</td>
<td>267.0</td>
<td>366.4</td>
<td>453.3</td>
<td>706.5</td>
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<tr>
<td>Central Highlands</td>
<td>216.3</td>
<td>321.3</td>
<td>431.0</td>
<td>670.9</td>
</tr>
<tr>
<td>Southeast</td>
<td>482.1</td>
<td>624.4</td>
<td>818.1</td>
<td>1292.6</td>
</tr>
<tr>
<td>Mekong River Delta</td>
<td>284.8</td>
<td>376.1</td>
<td>485.5</td>
<td>709.3</td>
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</table>

Source: 2008 Vietnam Household Living Standard Survey

If considered in terms of geographic regions, in all expense areas, average monthly expense per head in 2008 relatively increased compared with 2006. The North Central had the highest increase rate (1.6 times), and Mekong River Delta had the lowest growth rate (1.46 times).

There is a very great difference in daily expense in the nation’s regions. The highest expense rate in 2008 was in the Southeast, at 1292.6 thousand VND. This is considered the rich region in Vietnam with many industrial zones and is the concentration of many big cities like Ho Chi Minh, Binh Duong, Dong Nai, Ba Ria - Vung Tau. Therefore, the demand of expense is very big. The lowest expense rate in 2008 was in Northwest area, at 469.8 thousand VND. The Northwest has a limitation in households’ expense due to difficult economic social conditions and underdeveloped economy in accordance with the general development of the nation. Moreover, households in this area do not have high demands of shopping because households’ production partly meets most daily demands. Thus, that average expense of these households is low is reasonable. If the expense rate in 2008 of households in the Southeast - the region with the highest rate of expense is compared with that of households in the Northwest - the region with the lowest rate of expense, it can be seen that the gap is 2.6 times.

The difference in expense rate can be recognized in households mastered by women or men. Specifically, average monthly expense per head of households mastered by women is higher than that of households mastered by men. Living expense in households mastered by women in 2002, 2004, 2006 and 2008 was 343.4, 432.3, 545.1 and 875.1 thousand VND, respectively compared to that of households mastered by men at 250.0, 339.9, 436.3, 656.9 thousand VND. This can be attributed to the fact that women care more about looking after and nutrition of family members or other expenses of women are lower so they spend more on family’s expenses.

In conclusion, average expense of Vietnamese households was significantly improved in recent years. Average monthly expense of households headed by women is higher than that of households headed by men. Average expense gap between urban and rural areas have decreased slightly but remained large differences of the expense rate.

4.2. The Structure of Vietnamese Households Expenditure

The expense structure is one of important indicators about the real living standard of families (Van, 2004). The comparison of expense structure from 2002 to 2008 shows a positive change in people’s living standard.
Table 2. Share of total consumption expenditure by consumption item and rural-urban area (%)

<table>
<thead>
<tr>
<th>Categories</th>
<th>Subcategories</th>
<th>Total expense</th>
<th>Living Expense</th>
<th>Expenses on food, drink and cigarettes</th>
<th>Expenses apart from food, drink and cigarettes</th>
<th>Other expenses</th>
</tr>
</thead>
<tbody>
<tr>
<td>Nationwide</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2002</td>
<td>100.0</td>
<td>91.6</td>
<td>51.9</td>
<td>39.7</td>
<td>8.4</td>
<td></td>
</tr>
<tr>
<td>2004</td>
<td>100.0</td>
<td>90.6</td>
<td>48.5</td>
<td>42.1</td>
<td>9.4</td>
<td></td>
</tr>
<tr>
<td>2006</td>
<td>100.0</td>
<td>90.0</td>
<td>47.5</td>
<td>42.5</td>
<td>10.0</td>
<td></td>
</tr>
<tr>
<td>2008</td>
<td>100.0</td>
<td>88.9</td>
<td>47.1</td>
<td>41.8</td>
<td>11.1</td>
<td></td>
</tr>
<tr>
<td>Urban</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2002</td>
<td>100.0</td>
<td>92.6</td>
<td>47.8</td>
<td>44.9</td>
<td>7.4</td>
<td></td>
</tr>
<tr>
<td>2004</td>
<td>100.0</td>
<td>91.3</td>
<td>44.6</td>
<td>46.7</td>
<td>8.7</td>
<td></td>
</tr>
<tr>
<td>2006</td>
<td>100.0</td>
<td>91.0</td>
<td>43.9</td>
<td>47.1</td>
<td>9.1</td>
<td></td>
</tr>
<tr>
<td>2008</td>
<td>100.0</td>
<td>89.5</td>
<td>43.5</td>
<td>46.1</td>
<td>10.5</td>
<td></td>
</tr>
<tr>
<td>Rural</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2002</td>
<td>100.0</td>
<td>91.0</td>
<td>54.6</td>
<td>36.4</td>
<td>9.0</td>
<td></td>
</tr>
<tr>
<td>2004</td>
<td>100.0</td>
<td>90.2</td>
<td>51.1</td>
<td>39.1</td>
<td>9.8</td>
<td></td>
</tr>
<tr>
<td>2006</td>
<td>100.0</td>
<td>89.3</td>
<td>50.2</td>
<td>39.2</td>
<td>10.7</td>
<td></td>
</tr>
<tr>
<td>2008</td>
<td>100.0</td>
<td>87.6</td>
<td>49.9</td>
<td>38.6</td>
<td>11.5</td>
<td></td>
</tr>
</tbody>
</table>

Source: 2008 Vietnam Household Living Standard Survey

Nationally, the biggest expense of all the households is living expense with the rate of 91.6% in 2002 and this rate tended to decrease in the following years with 91.6% in 2004, 90% in 2006 and 88.9% in 2008. This proves that the living standard has been improved more and more because the households do not have to spend too many expenses on daily life but on other purposes in order to satisfy their own lives.

The rate of living expense in urban areas was always higher than rural areas from 2002 to 2008 (see table 2). The main reason is perhaps due to the fact that the demands of urban households are bigger and more various than those of rural households. In addition, the price in urban areas is always higher than that in rural areas. This makes urban households have to spend more on living expenses than rural households. The rate of expenses spent on food, drink, and cigarettes of urban households is much lower than rural households (in 2002, 2004, 2006, 2008, urban households spent 47.8%, 44.6%, 43.9%, 43.5% of the total living expense whereas these rates in urban households were 54.6%, 51.1%, 50.2%, 49.9%). On the contrary, the rate of expense on other purposes apart from food, drink, cigarettes of urban households is higher than rural households (in 2002, 2004, 2006, 2008 these rates in urban areas were 44.9%, 46.7%, 47.1%, 46.1% whereas these rates were 36.4%, 39.1%, 39.2%, 38.6% in rural areas). The rate of expenses on food, drink, cigarettes of urban and rural households as above shows that rural households are still poor and their production mainly satisfies their demands at least on food and drink. Meanwhile, urban households have better lives so they spend more on other purposes.

The inequality of quintile 5 (the richest) and quintile 1 (the poorest) in monthly per capita average living expense is clearly shown. The living expense of the richest group is 4.2 times as high as that of the poorest group (this rate in 2006, 2004 and 2002 was 4.5 times). In comparison with 2006, the living expense of the poorest group increases 63.1% (higher than the increasing rate of 30.1% from 2002 - 2004 and 26.3% from 2004 - 2006); this rate of the richest group increases 51.7% (from 2002 - 2004, the rate was 30.4%, 2004 - 2006, it was 28.3%).

We are going to analyze the expenses of households to recognize the changes in the structures of expense and find out the difference in the structures of expense between rural and urban households; between the richest and poorest group in Vietnam in current situation as well.

4.2.1 Expenses on Food, Drink, Cigarettes

It can be said that depending on certain situations and the demands of each person, each family, people have different expenses on food, drink, cigarettes. The expenses on food, drink, cigarettes in family consist of the following: food, foodstuff, fuel, eating out, drink and cigarettes.
Rural households spend more on food and foodstuff than urban households, especially expenses on food (table 3). The main food Vietnamese people use is rice. 28% of expense budget on food and foodstuff of rural households was spent on rice, whereas this rate was only 14.8% to urban households (in 2008). This can be explained as follow: rural households are often larger so their demands are bigger. Moreover, they do not have many chances to eat out like urban households so the expense on such food as rice is much higher than that of urban households. It can be seen that the living standard of rural households has not been improved much, thus they have to spend their expenses on meeting the daily demands of their own.

Table 3. Share of living expenses categorized into urban, rural areas and expenses (%)

<table>
<thead>
<tr>
<th></th>
<th>Urban areas</th>
<th>Rural areas</th>
</tr>
</thead>
<tbody>
<tr>
<td>Food</td>
<td>16.1</td>
<td>14.9</td>
</tr>
<tr>
<td>Foodstuff</td>
<td>51.5</td>
<td>51.9</td>
</tr>
<tr>
<td>Fuel</td>
<td>4.5</td>
<td>4.7</td>
</tr>
<tr>
<td>Eating out</td>
<td>20.5</td>
<td>22.6</td>
</tr>
<tr>
<td>Drink and cigarettes</td>
<td>7.4</td>
<td>5.9</td>
</tr>
<tr>
<td>Total</td>
<td>100.0</td>
<td>100.0</td>
</tr>
</tbody>
</table>

Source: Calculation based on the results of living standards of households in 2008

The expense on fuel in rural areas is also higher than that of urban areas, the main reason is that the infrastructure system especially electricity system is often overloaded so rural people have to buy petroleum to light up when the electricity go out. This happens more regularly in summer - the season of highest consume on electricity of Vietnamese people.

The expense on eating out in urban areas was 2 times as high as in rural households from 2002 to 2008 (for instance, in 2008, this distance is 2.11 times). Clearly, the life of urban people is better and a convenient system of restaurants helps them to easily access to this service. That is the reason why the expense on eating out in urban areas is higher than in rural areas. However, in rural areas the expense on eating out has also been likely to rise (from 8% in 2002 to 9.5% in 2004 and 2006, 9.4% in 2008), this shows that the life of rural households has been partly improved so that they have better financial condition for eating out.

For the expenses on drink and cigarettes, there is only a slight difference between rural and urban households. Urban households spend a bit more on drink and cigarettes than rural households.

Table 4. Structure of living expenses categorized into income quintile and kinds of expenses (%)

<table>
<thead>
<tr>
<th></th>
<th>Income quintile</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Quintile 1</td>
</tr>
<tr>
<td>Food</td>
<td>2002</td>
</tr>
<tr>
<td></td>
<td>2004</td>
</tr>
<tr>
<td></td>
<td>2006</td>
</tr>
<tr>
<td></td>
<td>2008</td>
</tr>
<tr>
<td>Foodstuff</td>
<td>2002</td>
</tr>
<tr>
<td></td>
<td>2004</td>
</tr>
<tr>
<td></td>
<td>2006</td>
</tr>
<tr>
<td></td>
<td>2008</td>
</tr>
<tr>
<td>Fuel</td>
<td>2002</td>
</tr>
<tr>
<td></td>
<td>2004</td>
</tr>
<tr>
<td></td>
<td>2006</td>
</tr>
<tr>
<td></td>
<td>2008</td>
</tr>
<tr>
<td>Eating out</td>
<td>2002</td>
</tr>
<tr>
<td></td>
<td>2004</td>
</tr>
<tr>
<td></td>
<td>2006</td>
</tr>
</tbody>
</table>
The poorest group (quintile 1) spends most of the expenses on food (39.6% of the expenses in 2008) and this expense tends to decrease depending on the better financial condition of households, whereas quintile 5 (the richest) the expense on food is only 15.3% (in 2008). Obviously, the demand for food of the richest group is not high because they have a better life so they spend much money on other purposes as buying good food, eating out, etc.

The biggest difference in expenses on food, drink, cigarettes of households at different levels of living standard is that, the richest group spends much more on eating out than the poorest group; however, that distance tends to be narrowed (this difference rate was 7.8 times in 2002, 5.7 times in 2004 and 4.7 times in 2008). It is clear that the bad financial condition of the poorest group makes them unable to eat out.

If it is only considered about the poorest group, the expense on food has a tendency of gradually decreasing, and the expense on foodstuff is increasing, and the expense on eating out is going up as well. This helps us to assert that the living standard of the poorest has been partly improved.

Of all the expenses on food, drink, cigarettes, the expense on fuel is the most stable to all the groups though the years (from 2002 to 2008).

4.2.2 Other Expenses Apart from Food, Drink, Cigarettes

Expenses apart from food, drink, cigarettes consists of: group 1) clothes, hats, shoes; group 2) accommodation, electricity and water supply, hygiene; group 3) equipment and household facilities; group 4) medicine and health service, group 5) travel and post service; group 6) education; group 7) culture, sports, entertainment; and group 8) expenses on other facilities and services.

Among the above expenses, Vietnamese families spend most on travel and post office, then equipment and household facilities, education; and least on culture, sports and entertainment. In reality, the living standard of Vietnamese people is not very high so the fact that demands and financial condition for expenses on culture, sports and entertainment activities is not much is easy to be explained. There is almost no big difference of these expenses between geographic areas.

The great difference of the above expenses is clearly shown in households of different income levels. In details, the richest group (quintile 5) spends more on culture, sports and entertainment. The richest group spent 21 times as high as the poorest group in 2002, 24 times in 2004, 14.5 times in 2006, 16 times in 2008. The next big difference in expenses of the richest and poorest groups is on travel and post service. Obviously with the higher living standard, the richest group (quintile 5) has more various and diversified demands for enjoying culture, entertainment and sports activities. Besides, the demand for travel and information exchange of this group is relatively big so the expense on these purposes is no doubt more than the poorest group (quintile 1).

One thing that should be noted is that in the expense on education, almost no difference between groups at different living standards is found. The reason may be due to Vietnamese people are possessed of traditional fondness for learning so however rich or poor, all families want to invest into their children’s education. Furthermore, in people’s awareness as well as the Vietnamese Communist Party and Vietnamese Government, investing into education means investing for the development. Hence, in spite of richness or poverty, households pay much attention to investing into their children’s study. This leads to the unremarkable difference between the rich group and the poor group in expense on education.

4.3 Role of Women and Men in Managing and Determining Expenses in Vietnamese Families at Current Time

In recent years, the position and roles of Vietnamese women have been changed remarkably in the process of economic and social development of the nation in the direction of industrialization and modernization. They have actively taken part in economic, social, educational, politic activities, etc. (Binh,
That change is outside the range of family. Inside their home, how has the role of women changed? Perhaps there are many means to recognize that change. Nevertheless, due to the limit of this paper, I focus on analyzing the role of women in determining expenses in family.

Most of all, it can be asserted that from traditional to modern life, regardless of the North or the South, most of Vietnamese women are the ones who manage the fund of their households, it means that they are in charge of “family’s fund keeping” (Hue, 2007; Minh, 2009). In other words, the management of finance in family is considered the responsibility of women “the role of fund keeping of women has still been the same since the old times”, “no men manage family’s fund” (Chi, 1989; Huou, 1991). Results of sociology survey indicate that in three areas: urban, lowland and highland and mountain, the rate of women managing family’s fund is remarkably higher than that of men (66.2% compared to 5.3%; 68.5% to 3.7%; 9.6% to 10.3%) (Van, 2004). According to a result of another study, in Ho Chi Minh city, wives manage family’s fund in 63.3% of households, this rate of men is only 9.7% (Hoa, 1998). For many husbands, their wives are thought to be a safe keeper of money. If wives keep money, it will be lost less and they spend more for family than husbands do. Therefore, it can be concluded that almost all Vietnamese women are keepers of family’s fund. Do they have the right to decide expenses of their family?

In a family, there are a variety of expenses; normally women decide expense on daily-meals. This is common in both urban and rural areas (84.3% of urban women decide expense on daily meals and this rate of rural women is 85.6%). Mostly, husbands of both rural and urban families do not have the right of determining or do not care about this expense, especially in rural areas, there is no husband who decides daily expenses in his family. With other necessary expenses such as education, disease treatment for children and other members of family, women also have more rights to decide. However, the sharing of responsibility in order to gain the agreement of both wives and husbands in deciding expenses is common in both urban and rural families.

If the position of urban women and that of rural women in deciding family’s expenses is compared, we can realize that the rate of urban women making decisions themselves is higher than that of rural women possibly due to higher levels of social awareness and profession (see table 5).

### Table 5. Who is the person deciding the following duties? (%)

<table>
<thead>
<tr>
<th></th>
<th>Urban areas</th>
<th></th>
<th>Rural areas</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Wife</td>
<td>Husband</td>
<td>Both</td>
<td>Wife</td>
</tr>
<tr>
<td>Expense on daily meals</td>
<td>84.3</td>
<td>0.5</td>
<td>11.6</td>
<td>85.6</td>
</tr>
<tr>
<td>Expense on disease treatment</td>
<td>57.9</td>
<td>4.5</td>
<td>40.4</td>
<td>31.4</td>
</tr>
<tr>
<td>Expense on children’s education</td>
<td>45.9</td>
<td>2.0</td>
<td>49.5</td>
<td>25.4</td>
</tr>
<tr>
<td>Buying expensive things</td>
<td>12.6</td>
<td>12.6</td>
<td>73.7</td>
<td>2.3</td>
</tr>
</tbody>
</table>

Source: Vu Tuan Huy. Transformation in structure of family and roles of women

The above data show the more progressive and equal transformation in the role of making decisions of wives and husbands in most of family’s expenses. In fact, the rate of families in which husbands decide expenses is not remarkable in both rural and urban areas. Moreover, the high rate of families in which both wives and husbands decide not only demonstrates that women have had a remarkable progress on the way to sex equality but also asserts that the democratic relationship has been forming in Vietnamese families.

In buying expensive things, it can be realized that the rate of both wives and husbands discussing on this expense is the highest in both rural and urban areas (these rates are 88.3% and 73.7% respectively), the next highest rate of who makes decisions is husbands; the lowest rate is wives. This is most clearly shown in rural areas.

It can be concluded that with daily expenses, women have the highest right of deciding, most men do not take part in this duty. With other expenses like children’s education and disease treatment, men play higher role in deciding. This is common in all the households in spite of rural or urban families. Nevertheless, in buying expensive things, the rate of both wives and husbands discussing on making decisions ranks highest. Meanwhile, this rate of only women deciding this expense is not high, especially in rural areas.

Results of some studies show that the role of husbands in poor families is much higher than in rich
ones. The rate of both husbands and wives in poor families making decisions is lower than in rich families (The Ministry of Culture, Sports and Tourism, 2008). In addition, the right of decision making of wives or husbands in buying expensive things rises when their financial contribution increases (Hue, 2007). About age, husbands at young age (under 30) and old age (above 60) have higher right of buying expensive things than husbands at other ages. Meanwhile, the right of decision making of wives rises according to their aging but the level of increase is not remarkable. The sex gap in decision making between husbands and wives is shown clearly in illiterate families (Hue, 2007). If regarding the influence of minority factor, the studies indicate that there is almost no difference between men and women in decision-making on family expenses (Van, Khieu, Binh, 2002; Hue, 2007; Lan & Thao, 2006).

5. Concluding Remarks

The results of the analyses and discussions indicated that average expense of Vietnamese households was significantly improved in recent years. Average monthly expense of households headed by women is higher than that of households headed by men. Average expense gap between urban and rural areas have decreased slightly but remained large differences of the expense rate.

The biggest expense of all the households is living expense, but the rate of living expense in urban areas is always higher than that of rural areas. It is the same situation between the quintile 5 and quintile 1. Only the expense on education is almost no difference between groups at different living standards. In daily expenses, women have the highest right of deciding, most men do not take part in this duty. With other expenses like children’s education and disease treatment, men play higher role in deciding. This is common in all the households in spite of rural or urban families. Nevertheless, in buying expensive things, the rate of both wives and husbands discussing on making decisions ranks highest. Meanwhile, this rate of only women deciding this expense is not high, especially in rural areas.

References


Military Coups as a Negation of Social Revolutions: the Nigerian Experience

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Abstract The military in Nigeria has dominated the socio-political landscape of the country for more than thirty years sporadically. Within these years, the military had executed far reaching reforms and policies in the socio-economic and political substructures of the national economy. Although the military had made some progress in areas where civilian administration had failed, military incursion into politics still negates a populist social revolution, thus failed to institute a genuine democratic culture in the country. This paper attempts an examination of military adventurism from the backdrop of revolutionary pressures in Nigeria and contends that such interventions foreclosed the chances of structural change by the people. The paper concludes that a social revolution is a fundamental approach to a genuine democratic culture in Nigeria.

Keywords: Military, Coups, Negation, Social Revolutions, Nigerian Experience

1. Introduction

The imperative of nation-building has always imposed on leaders the necessity for evolving development strategies and policies for the overall well being and development of the nation. This is more so with a neo-colonial state like Nigeria which came into being through the administrative ingenuity of British imperialism of the nineteenth and twentieth centuries. The haphazard way and piecemeal manner by which Nigeria was moulded into a nation state created structural imbalances and upheavals which set in motion revolutionary pressures. These pressures manifested through ethnic chauvinism, leadership inertia, followership amnesia, political miasma/instability, economic discomfiture and social malaise resulting into coups, counter coups and democratic pretensions. It was the attempt to resolve these contradictions that led to the first military incursion into the Nigerian politics.

In the context of this paper, a coup has been defined as an unconstitutional means of change of government with or without blood shed by the arm forces of a given country. Social revolution on the other hand is a process of resolving the major socio-political and socio-economic contradictions that have developed in a given society. Social revolutions occur only when revolutionary situations exist. Recent examples from the Maghreb, states of North Africa (Tunisia, Libya and Egypt) can be cited clearly as presenting revolutionary situations. Revolutions; with or without bloodshed, take many forms ranging from peaceful protest to violent demonstrations. They involve mass popular uprising by the people to redress wrongs or perceived injustice by the ruling class, protest against unpopular policies by the state or whatever the objective conditions may be in the given society. Successful revolutions upturn socio-
economic formations.

That Nigeria; whether in the pre or post 1960 era have provided a hot-bed for people intervention is attested to by the crisis which existed in the ruling class political system. When the military intervenes, they ‘clot up’ the revolution thereby negating peoples’ collective initiative for change. Military intervention in Nigeria except for a few instances has not instituted radical changes or ameliorated the socio-economic and political conditions which necessitated their intervention. Military coups are at best reformist, they do not provide for a radical overturn of the prevailing socio-economic formation. In the hands of reactionaries, reforms are concessions to the masses or a manoeuvre for consolidating their own position. Therefore a military take over never constitutes a revolution, but a limited modification of existing arrangements (Wangome, 1985).

Examples from Latin America in the 1950s and Nigeria in the 1960s has shown that when revolutionary pressures mature to a crisis, the ruling class invites the military as a counter revolutionary force to foil the peoples’ attempt to carry out their historic role. United States imperialism in the 1950s and 1960s in the Latin America provided objective causes for a mass uprising by the people; only for the army to act as counter revolutionary force. In Nigeria, during the first republic, Dr. Nwafor Orizu, then as Acting President of the Federal Republic invited the military to take over the reins of power. This invitation like the one cited above was reactionary and a negation of social revolution.

As recent as 2010, during the constitutional crisis which trailed the ill-health of President Musa Yar’adua and the succession crisis which ensued, a section of the country welcomed a military intervention which was actually imminent but for the division and ethnic affiliation of the top military brass. The crisis was however averted when the ‘Save Nigeria Group’, a civil society organization led by Professor Wole Soyinka, a noble laurette demonstrated openly and called on the National Assembly to empower the Vice President with ‘Acting Powers’. The popular and mass action of the civil society group saved Nigeria from yet another military take over. A genuine democratic culture after a prolonged military interregnum can only be sustained after a long period of trial and error by the people who are in themselves vanguard of change.

Between 1966 and 1999 the military brass in Nigeria could be said to have performed both positively and negatively in the bid towards nation-building. We shall attempt a review of the revolutionary pressures in Nigeria which culminated into the first military intervention, the theory and efficacy or otherwise of the military and their implication on the Nigerian polity.

2. Nigeria in the Pre-Independence Era

British attempt at nation-building during the colonial era included fashioning out a constitution for the country. Wittingly or unwittingly, the division of Nigeria into three regions – the North, East and the West as enshrined in the 1946 Richard’s Constitution aggravated the ethno-political and socio-economic competition of the different groups in the country. In the tripartite arrangement, the North enjoyed a far greater population and size and demanded on the basis of their size majority seats in the federal legislature.

Within the three major ethnic groups also sprang political parties which assumed ethnic colourations. The Northern People’s Congress (NPC) in the North, the National Congress of Nigeria and Cameroun (NCNC) in the East and the Action Group (AG) in the West. These parties had their primary bases in their ethnic domain. In the ensuing constitutional arrangements towards independence, the N.C.N.C. (Igbo) and the AG (Yoruba), demanded an independent Nigeria to be balkanized into small states so that the conservative North could not dominate the country. Northern distrust and fear of domination of the most westernized elites in the South on the other hand preferred the perpetuation of British rule. As a condition for accepting independence, the North demanded that the three regional structures which gave them a clean majority be preserved. The Igbo and Yoruba leaders acquiesced to Northern demand for the interest of peaceful coexistence and for independence from colonial rule. It was under this volatile foundation that the Nigerian state was laid in 1960. The test of independence was to reveal itself in many of the stresses and strains that accompanied nation-building.

In 1965, electoral malpractice in the Western Region amidst ethnic distrust and crisis over population figures culminated to the first military intervention in the politics of Nigeria, which has however been described as an aberration. Whether or not the first military intervention addressed or justified its coming is another matter here.

Following the failed coup of 1966 led by Major Kaduna Nzeogu and four others, General Johnson Aguiyi -Irons, an Igbo and head of the Nigerian Army took over power to become the first military head...
Ironsi alleged that “the democratic institutions have failed and needed revision and clean up before reversion back to democratic rule” (Aliogo, 2009:8). Unfortunately, between 1966 and 1999, the necessary “revision and clean up” exercises have continued to fail in spite of the many military interventions. Unknown to Ironsi it was the people that failed not democratic institutions. Ironsi’s wrong perception of the problem equally led to a wrong prescription of the solution, the country continued to drift away with endless bouts of coups and counter-coups until 1999.

3. Military Intervention: Background & Theory

The unconstitutional and violent overthrow of government is not new or peculiar to Nigeria. In 1799, Napoleon Bonaparte sacked the first French Republic through a coup d’état where they were surrounded by battle ready soldiers and sacked the council. In 1811 Mohammed Ali; who ruled between 1805 – 1849, the founder of the modern Egyptian state tricked the two rival ruling classes in Egypt – the Mamelukes to a dinner party where waiting armed men assassinated them (Ogunmesa; 1979). In contemporary times, between 1952 and 1966 and beyond, a flood-gate of coups was thrown wide open in Africa. In Egypt in 1952, Lt. Col. Gamal Abdel Nasser terminated the regime of King Farouk, Sudan had its share in 1958, (Aliogo, 2009:12). In Congo Kinshasa now Democratic Republic of Congo, Mobutu Sese Seko seized power in 1960; Togo in 1963, Garbon 1964, Algeria 1965, Ghana and Nigeria 1966, Sierra Leone in 1967, Mali in 1968, Sudan, Libya and Somalia in 1969 (Wangone, 1985). The chronology builds up to the 1980s and 1990s. The raison d’être for coups can be explained in theory as is in practice. When in January 15, 1966, Nigeria took its place in the register of coups in Africa, Major Kaduna Nzeogu, the officer widely reputed to be the leader of the coup identified those revolutionary pressures which according to him made the country big for nothing. The political profiteers, the swindlers, the men in high and low places that seek bribes and demand 10% … the tribalist, the nepotist., those who have corrupted our society…(Aliogo, 2009).

Such were the practical reasons for Nzeogu’s coup in 1966. Generally speaking, the military has taken it as a national and patriotic obligation to salvage, or provide a panacea to the socio-economic and political dilemmas. Unfortunately, as noted by Major Jimmi Wangome (1985), more often than not, the guise of national interest and patriotic duty “turned out to be more corrupt, oppressive and downright inefficient than the civilian governments they deposed”. Nzeogu’s coup was foiled, creating yawning gaps in curious attempts to place Nzeogu’s regime in history. It remained to be conjectured whether Nzeogu could have addressed the many faceted problems which he identified in the Nigerian polity.

Incompetence and mismanagement of the national economy, unemployment and high crime rate, inflation and protracted economic crisis leading to the failure of political leadership, corruption and political squabbles are advance as reasons for military intervention. However, failure of political forces is not enough justification for military takeover; for as this attempt seeks to show, the military has not lived above corruption, inefficiency and oppression. It was during the reign of General Ibrahim Babangida that Nigeria witnessed one of its most oppressive moments when the Structural Adjustment Programme introduced by the regime reduced the toiling masses of Nigerians to walking corpses. Babangida’s maladministration provided enough reasons for counter coups. Babangida and latter Gen. Sanni Abacha systematically censored the press and drove the progressives underground. Abacha’s loot until recently cannot be recovered from foreign Banks.

Perhaps a glimpse at few theories will further shape our understanding of the military in Nigerian politics. Two major schools of thoughts have dominated theoretical postulations and discourses on coups in Nigeria and Third World in general. There are the “internal characteristics” model and the “politicization model”. The internal characteristics model also known as the “internal structure” of the military propounded by Morris Janowitz holds that the social backgrounds of the officers, their career lines, professional and political ideology within the military are important factors which help to explain military intervention in politics.

The second school of analysis propounded by Samuel Huntington has condemned the first thought and contends that military intervention is political. His analysis is based on the premise that military intervention in developing countries is only one specific manifestation of general politicization of social forces and institution. According to this school of thought, societies where social forces and institutions are highly politicized have political universities, political labour unions, political corporations and of course political armed forces (Ndoh, 1997:14). All these professional groups according to Ndoh tend to become involved in political issues which affect their interest or groups and also in issues which
affect the society as a whole. The result is that no group or political institution "is recognized or accepted as legitimate intermediary to moderate conflicts. As plausible as Huntington's analysis may seem one cannot divorce Janowitz "Internal structure" in any exhaustive discourse on military intervention. Though peculiarities exist, a synthesis of the two schools of thought explains the predominance of coups in Nigeria and the third world.

4. The Military & Nigerian Politics

The military has really shown itself to be partners in nation-building. They did some good and some bad things in their effort to build the Nigerian state. The attempt here is not much about showcasing their achievements and failures, than the concern to show that military engagement in Nigerian politics foreclosed historic attempts by the people to rise up in demand for popular rule. It may be argued that no military regime in Nigeria operated without civilian appointees who served in different capacities including advisers. In reality, the ‘bloody civilians' were merely taking directives from their juntas; any dissenting opinion including radical thought was not accommodated.

Between 1966 and 1999, Nigeria experienced eight military regimes viz: General Johnson T. U. Aguyi Ironsi (January 16, 1966 – July 29, 1966); General Yakubu Gowon (August 1st, 1966 – July 29th, 1975); General Murtala R. Mohammed (July 29th, 1975 – February 13th, 1976); General Olusegun Obasanjo (February 14th, 1976 – October 1st, 1979); General Mohammed Buhari (December 31st, 1983 – August 27th, 1985), Gen. Ibrahim B. Babangida (August 27, 1985 – August, 27, 1993), General Sanni Abacha (November 17th, 1993 – June 8th, 1998); General Abdusalami Abubakar (June 9th, 1998 – May 29th, 1999). It is interesting to observe that the military coups or regimes did not only oust civilian regimes that “failed to stimulate democratic structures" to meet the yearnings of the people, they also replicated themselves.  The meaning of this is that the military also failed to correct the anomalies which in the first place necessitated their intervention which suggests that vaulting ambitions drives officers to seize power.

Indeed it has been observed that ideological orientation of leaders is a factor in their leadership style. General Murtala Muhammad's (1975 – 1976) regime which lasted only six months was more proactive and determined than all the military regimes in Nigeria put together. Murtala's domestic and foreign policy returned Nigeria to an enviable position within the comity of nations. His total commitment to the eradication of all forms of colonialism in Africa and support for the frontline states was seen by the West as anathema to their interest in Africa. In domestic matters, Murtala came up with a ‘clean-up' exercise which re-ordered and over-hauled government parastatals and the civil and public service. The ‘clean-up' exercise shook the whole nation as both the civilians and military personnel were affected (Otroghagua: 2007:105).

Military regimes in Nigeria were most successful in the areas of state creation. General Yakubu Gowon created twelve states on May 27, 1967 from the four regional structure of the country. His regime changed Nigerian currency from pounds and shillings to naira and kobo, introduced right hand driving; universal primary education (UPE), the Youth Service Corps and played a leading role in the formation of ECOWAS. (Ujam: 1995).

General Murtala Mohammad created seven more states in 1976 from the already existing twelve bringing the number of states to nineteen. Murtala’s policies which were completed by Obasanjo’s regime produced the 1979 Constitution, launched the Operation Feed the Nation and Local Government Reforms in 1976. It was during this period that Nigeria hosted African Festival of Arts and Culture (Festac 1977) and Abuja carved out as a federal capital territory.

The Buhari/Idiagbon regime which torpedoed the democratic pretensions of Shehu Shagari’s regime ruthlessly enforced law and order through War Against Indiscipline (WAI).

In 1987, General Ibrahim Babangida created two states and nine more in 1991. Babangida’s regime interalia introduced MAMSER, SAP, two political parties – the Social Democratic Party (SDP) and the National Republican Convention (NRC), new local government reforms and civil service reforms in 1987. The Road Safety Commission and the People Bank are credited to Ibrahim Babangida’s regime.

General Sani Abacha on assumption of office dissolved the two political parties: (S.D.P) and (N.R.C) and political institutions and their manipulators. His stock in trades were assassination and detention without trial. His excesses put the civil society into panic and pandemonium with social forces like the National Democratic Coalition (NADECO), and other human rights groups driven underground to plumbate radio Kudirat – a progressive voice of the people which made news broadcast against the excesses of General Sanni Abacha. Sanni Abacha’s wife however came up with a community
development programme, the Family Support Programme (F.S.P), aimed at improving the experiences of women in development as well as showing the role of the entire family in national development (Otoghagua: 1999).

In 1996, General Sanni Abacha created six new states that brought Nigeria to the present thirty-six states structure. The underlying current behind state creation is to balance the federal structure which has been lopsided in favour of some major groups in the federation. Until recently, this accomplishment has remained unbeatable by the civilian politicians in government.

General Abulsalami’s regime (9th June, 1998 – 29th May 1999) shied away from holding on to power for too long, having been suffocated by the six points condition issued to it by the NADECO, as a condition for cooperation. Abudusalami midwived a one year transition to democracy and handed power in May 29th 1999 to set the stage for another democratic experiment in the country.

The longevity of military rule in Nigeria and the military memorabilia infused in Nigerians emasculated social forces to a point of socio-political amnesia creating room for political apathy, mediocrity, and passivity. The military in Nigerian politics has not exonerated itself from massive corruption and looting of the national coffers as do the political class. The ruthless killing of real and imaginary coup plotters especially during Babangida and Abacha’s regime drained the Nigerian Army/Armed Forces of part of its best cream of officers. Untold hardship, frustration and desperation unleashed on Nigerians by the military resulting from the haphazard implementation of economic policies reinforced dependency on the international economy, leading to poverty amidst plenty on Nigerians.

The military in the words of Professor Okon Uya (2009:13) “was avowedly anti-intellectual characterized by open hostility towards progressive intellectuals, some of whom were jailed, cajoled into submission or driven into exile”.

The hunting down of the ‘progressives’ by men in uniform resulting from fear, and suspicion according to Uya, began the alienation of the intellectual classes from governance, and the de-radicalization of social forces in the country. This singular factor amounted to the greatest disservice of the military to their fatherland. It is little wonder therefore that the military under Gen. Babangida annulled June 12, 1992 election, and Chief MKO Abiola; a Yoruba, popularly claimed to be the winner of the election arrested and remanded in custody. Abiola died in custody while pressing to regain his mandate.

The southwest region and the progressive forces were violently suppressed by Abacha in their attempt to demand the restoration of June 12 mandate to Chief Abiola.

The military, it should be remembered, is a colonial product, and an instrument of government created to manage external security. Little did the regime know that the colonial heritage would turn against its master through the activities of coups.

Coup as stated by Ujam H. Ujam (1995:188) “is an outrageous act which is contrary to the modern order of things. It is only those perpetrating acts of middle ages that encourage military coups today”. The action of the military no doubt can be likened to the acts of the ‘middle ages’, as when it is ordered to roll tanks against innocent and armless students in Nigerian universities during their protest-march or demonstrations against poor state policies.

In recent times, we may liken the dastardly self serving, and greedy acts of Nigerian politicians to the ‘middle age’ behaviour. In Nigeria, politicians are poorly organized with no integrity. Some are ill-equipped for progressive leadership while others are interested in their families and themselves rather than the nation. Indeed, it has been stated in some quarters that good governance, effective and transparent leadership may discourage military intervention. Politicians and the ruling class could work to uplift the standard of Nigerian political culture as this only can keep the military out of governance.

As stated earlier, when the military intervenes, it forecloses the chances of the people from popular and mass uprising to effect the desired changes of their dreams. Nigerians could learn and grow from their mistakes than accommodate military intervention. The military according tochinweizu “… may be driven from power by superior force, through arm revolt as in Bolivia (1952) where armed civilians defeated the army in three days of street fighting and installed a civilian president” (Chinweizu in Ujam, 1995:200).

5. Conclusion

This paper has attempted an examination of the long interregnum of military rule in Nigeria. A review of the revolutionary pressures which culminated into the first military intervention was undertaken. Our examination has shown that the military contributed both positively and negatively in the bid towards nation-building.
Interestingly, the military in Nigeria made some advances towards social mobilization of the populace. As contained in the MAMSER Handbook, social mobilization is defined as “the process of pulling together, harnessing, actualizing and utilizing potential human resources for the purpose of development” (Ndoh; 1997: 89). The different programmes of the social mobilization include Gowon’s programme of Reconciliation, Reconstruction and Rehabilitation (3c), Murtala’s ‘Unlabelled Social Revolution’, Obasanjo’s Operation Feed the Nation (OFN), Buhari/Idiagbon’s War Against Indiscipline (WAIC), Babangida’s National Orientation Agency (NOA), MAMSER, and Better Life for Rural Women, and Abacha’s War Against Indiscipline and Corruption (WAIC).

While this paper may not examine in detail the success and failure of these programmes, suffice it to state that these programmes achieved as little as their precursors were themselves not sincere or lacked the will-power to pursue their goals objectively as a result of complicity with nefarious activities which these programmes were set to avoid. It may also be stated that military approaches to social issues leaves much to be desired as the military itself needed sufficient doses of civil and political education before delving into civil administration. It is needless to state that none of the programmes was set to radicalize the masses who can lead the nation to social change.

The long period of military dominance of socio-economic and political affairs estranged and reduced civil society to passive on-lookers of political developments. The military is always suspicious of the intellectual class and would not collaborate with the progressives. The effect is the militarization of civil society and far from inculcating a genuine democratic culture. Frequent and prolonged military regimes foreclosed popular uprising for sustainable change and development and de-radicalized social forces in Nigeria. Intervention is at best reformist and not far reaching to affect the socio-economic formation which could induce structural changes.

6. Recommendations

The task of instituting a genuine democratic culture in Nigeria is not the business of the ruling class alone or the politicians alone. A genuine democratic culture will remain a far cry if the people do not rise up to the challenge of self assertion, self rebranding and ethico-cultural cleansing. The “man know thyself” maxim holds the key to the future of democratic stability in Nigeria.

Electoral reforms, if not preceded by the ‘individual reformation’ may amount to a dissipation of energies. The civilians, the military, the politicians, the press, the ruling class and all stake holders owe this nation a duty of national transformation and rebirth.

A genuine democratic culture is still possible if ‘immunity clauses’ which allow corrupt and indolent political office holders are removed from our constitution; if corrupt and non-performing representatives are recalled by their electorates; if the judiciary remains proven and practically independent and the civil society politically conscious. The Nigerian political class is indeed too comfortable therefore insensitive to their electorates. This can be checked if political office holding in Nigeria is made financially unattractive and money-bag democracy checked. Indeed performance should be the yardstick for a second, third, and forth tenures which representatives clamour for. This can be summed by a comprehensive review of the constitution to reflect the people’s aspirations.

As underscored by Professor Uya, a genuine democratic culture for Nigeria is still possible by:

The creation and institutionalization of appropriate apparatus of democratic governance, the mobilization and education of the citizenry, both civilians and military to an awareness of their rights, duties, responsibilities, and obligations for the sustenance of democracy; and above all, the improvement in the welfare and well-being of Nigerian citizens (Uya: 2009: 16).

References

Aspects of Taboos and Euphemisms in Women’s Language

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Abstract
This paper provides insight into some of the research findings regarding two main aspects of women’s language, namely taboos and euphemisms. The main aim is to reveal topics that are considered as taboos, and the linguistic devices that women employ to express them. Exploring the motives that have given way to the creation of euphemisms we reached the conclusion that fear that people have of supernatural powers, superstitions and even the concern that we can cause offence to other human beings if we use a direct language, prevail among other reasons that account for their use. Furthermore, we will focus on the main areas that make a fertile ground for producing many euphemisms. We will be introduced to the lexis of disease, death, sex and tabooed body-parts. The various ways euphemisms are conceptualized reflect directly the mindset and mentality of the community that uses them. Undoubtedly, euphemisms represent a wealth of vocabulary in oral culture. Thus, this topic is of a great interest for lexicographers, linguists and literaticians.

Keywords: euphemism, taboo, women’s language, motives, society.

1. Introduction

Variations in diverse languages beside other factors seem to be direct and significant products of the gender variable. The division of society into men and women, both being different and complex, is reflected in various forms in language, which is the most important means of communication among them.

Problems or differences that occur in communication between men and women cross linguistic borders and take cultural, ethnic and psycho-social dimensions. Different language patterns seem to have originated in childhood, in the way they are raised, especially in the mentality and the nature of both sexes, who share common features but also differ in many others. As a result, distinct linguistic features seem to emerge and to be mainly employed by women.

Linguistic tools by which women convey ideas, thoughts and feelings reveal the truth about their social relationships and their social status that throughout the history placed them in peripheral position, and imposed on them rules and regulations. This is clearly reflected even nowadays in women’s language that can be undoubtedly described in terms of hesitations and euphemisms.

The word euphemism comes from the Greek word eupheme, meaning "auspicious/good/fortunate speech/speaking" which in turn is derived from the Greek root-words eu, "good/well" + pheme "speech/speaking". To better understand what euphemisms represent in language and why they are seen as inseparable aspect of women’s language, we will refer to the Albanian scholar Çabej(1978: 17) who in his study Some euphemisms of Albanian language gives us a clear definition of them: "Euphemism consists in the fact that a creature, a thing, a concept, a figure of popular belief, an illness, etc., is avoided in some circumstances to be called by its own name, and its name is replaced with a different one, which comes close to covering the former.”

A very interesting perspective of the human psyche can be gained from studying euphemisms used as a shield against the refusal of our friends, or at worst, against death. Many euphemisms unveil poetic creativity of ordinary people; they reveal the popular culture of any nation. These values are recognized by our scholar Çabej (1978) who states that euphemisms used in folk languages serve as bridges that
Euphemisms are motivated by taboos, norms and traditions of a society. Euphemistic expressions. words that men prefer to use when they are with one another. Women, therefore, create words and the world find it embarrassing to mention some parts of the body or normal physiological functions in direct instead terms as anatomy and sex (and even words that merely suggest them) have the same connotation.

The belief that women's language is more polite and more refined-in a word, more ladylike-is very widespread and has been current for many years. Presumably there have always been taboos on language, but it looks as if the courtly tradition of the Medieval Ages, who put women on a pedestal, strengthened the linguistic taboos in general, and condemned the use of vulgar language by women, and its use by men in front of women. Jespersen (1922:246) on the issue of offensive words writes: "There are great differences with regard to swearing between different nations; but I think that in those countries and in those circles in which swearing is common it is found much more extensively among men than among women: this at any rate is true of Denmark."

Avoidance of swearing and of 'coarse' words is held up to female speakers as the ideal to be aimed at. It is clear that people have long thought that men and women differ as to the use of taboo expressions. However, we should mention here that women, as well as men, know all those words and phrases but avoid them on purpose. It may be that the women use off-color or indelicate expressions too, but these are isolated cases and cannot be regarded as typical of women's language. As far as taboo language is concerned we can affirm that it is not only represented by swearing. Words dealing with anatomy and sex (and even words that merely suggest them) have the same connotation.

Women in the nineteenth century could not say breast or leg, even when it came to chickens, so instead terms as white meat or (black meat) were used. It is a well-known fact that women all over the world find it embarrassing to mention some parts of the body or normal physiological functions in direct words that men prefer to use when they are with one another. Women, therefore, create words and euphemistic expressions.

In Pinero's entitled "The Gay Lord Quex," a lady discovers some French novels on the table of another lady and says: "This is a littlet-h'm-isn't it?"- she does not dare to say the word "indecent ", and has to express the idea in an inarticulate language. The word "naked" (nude) is paraphrased in the following description by a woman of the work of girls in ammunition works: "They have to take off every stitch from their bodies in one room and run in their innocence and nothing else in another room where the special clothing is."(quoted in Jespersen, 1922:246).

Jespersen (1922:246) stresses the idea that women exercise a great and universal influence on
linguistic development through their instinctive shrinking from coarse and gross expressions and their preference for refined (and in certain spheres) veiled and indirect expressions. In most cases that influence will be exercised privately and in the bosom of the family; but there is a historical example where a group of women worked in that direction collectively and publicly (we refer here to the French ladies who in the seventeenth century gathered in the hotel The Rambouillet and are generally known under the name Precieuses). They discussed matters of orthography and pronunciation and vocabulary purity, and favoured all kinds of elegant paraphrases by which coarse and vulgar words might be avoided.

It is to be emphasized that the issue of euphemism and taboo words is not simply limited to the framework of a language. Instead, it goes beyond it and gains a wider social dimension. Hayakawa (1990) explained that taboos may cause serious problems, since they prevent us from talking openly about sexual issues. Social workers, with whom he has dealt with this issue, report that high school students who have sexually transmitted diseases or are pregnant are almost completely ignorant of the most basic facts about sex and reproduction. Their ignorance is related to the fact that both they and their parents lack the vocabulary with which to discuss these issues: non-technical vocabulary of sex is to be more harsh and shocking to use, whereas the medical and technical vocabulary is unknown for them. Social workers believe that the first step to be taken to help these young people includes a linguistic aspect: students are to be taught the vocabulary with which they can talk about their problems before further help.

As we noticed euphemisms shape our social behavior and relationships and sometimes the consequences have serious implications, as in the case mentioned above. Considering the aforementioned arguments we can naturally come to the conclusion that it is mostly women who are prone to the use of euphemisms. This finding is supported by writers such as Çabej that finds them mainly in women’s language, and Lakoff (1975:55) who holds the view that women don’t use off-color or indicate expressions; women are experts at euphemism.

3. Objective of the Study

The objective of this study was to identify the categories of female speakers that frequently use euphemisms and also to identify the main areas that abound in euphemistic expressions.

4. Materials and Method

Given the fact that euphemisms represent primarily the oral culture, the materials used to collect them are part of the spoken language. We also made use of written texts that specifically illustrate the areas of lexicon that tend to be euphemized. The collection of data was based on the questionnaire designed by the researcher Shkurtaj. The questionnaire was used in the city of Vlora and the regions nearby. The sample consisted of 100 female speakers. The age group of the sample included 18-25 years, 26-35 years and over 36 years of age. They belonged to various professions and cultural background. The geographical spread in both the city and in the village is justified because the position of woman, her mindset is not perceived at the same socio-cultural level in these two sites, which have differences and development specifications. As we already know these factors affect the way women speak and the linguistic devices they employ to express themselves.

For the first two age groups the questions were approached in a written form, while the third age group, where the subjects reached age 60 and 70 years the questionnaire was conducted verbally.

5. Findings

At the end of it we could conclude the following data: First, it is the undeniable fact that the use of euphemisms is not related only to gender variable, it is closely related to other factors such as education, culture, social class. Therefore, they are typical of those environments where women have a secondary role in society, where the mindset and mentality suppress the freedom of expression and communication of ideas. Unlike the neighboring areas, where the above positions are compelling, in the city women exercise more freedom of expression. However, it can not be said that the latter do not use euphemisms as shield against a language that can be offensive, which could hurt the feelings of the others or because of superstition.

Our findings supported the idea of Shkurtaj (1999:245) who claims that "... as a category of vocabulary in Albanian, as in other languages, they have undergone a significant decrease for reasons connected precisely with the development and changes in spiritual and cultural world of the Albanians in
cities and across villages ". This accounts for the fact it was mainly older generation the one that served us as a source of information on euphemisms.

A completely different situation occurs among young people where not too often we notice in their daily speech the use of euphemisms. Young people, mainly aged 18, had little knowledge of euphemisms with the exception of subjects who lived at home with their grandmothers and, being exposed to the language of women of that generation, they had unwittingly made euphemistic expressions part of their language. However, given the social developments in both technology and science, this generation seems to be far from the effects of superstition and fear that arise from them, so they do not hesitate to mention the names of various diseases, including the word death and its lexical field. The only area where you can notice the use of euphemistic terms is that of sexuality and the physiological processes associated only with male and female body. We observed a general tendency for creating new euphemisms that describe phenomena that are becoming more popular these years in the Albanian reality. To mention some of them as: go to open Facebook (meaning go to the toilet), film me luftë (war movie), mesinjet e frengjishtes (French lessons) for "porn movies". Homosexuals are referred to as avëtar i shtogatës (a member of the association), motra (sister), froç (borrowed from Italian), pede, bur/ meaning man but the standart is burre, double r, ata të krabat jetër (those of the other side), gay etc.

6. The Lexicon of Disease, Death, Tabooed Body-Parts and Sexuality

Following we will be introduced to several euphemisms in areas where they are densely encountered in the women’s language.

A very rich area in euphemisms is that of diseases. People think that by calling them with different names will make them disappear. Serious and dangerous diseases such as epilepsy is avoided by using euphemisms such as ajo e fëmijës (that of the child), ajo e tokësis (that of the earth), sëmundje e keqe (the earth disease), e liga e botës (the evil of the world), ajo eardhes (the white one), e ururuara (the blessed one). In English we encounter falling sickness, evil falling, flapping sickness.

There is a tendency to use euphemisms like soothing words to deal with these diseases. Thus, for cough there exist euphemisms such as kollë e mirë (whooping cough), white cough, mumps are called the beauty ones, while the word është (smallpox), as noted by E. abej (1978), comes from Greek and means blessing. Nowadays it has become a unique name and synonyms associated with it are good and white.

It seems that one of the most serious diseases such as cancer makes a fertile ground for producing many euphemisms in Albanian and in English; sëmundje e rëndë, sëmundje e keqe, sëmundje e pasbërueshme (a long / prolonged, incurable illness), neoplasia, neoplastic process. The big C, C.A.

The verbal taboos surrounding sickness can have other motivations too. For example, some euphemisms seem to reflect the cooperative desire not to impose one’s trouble on others. People talk about being unwell rather than being ill.

A variety of euphemistic phrases characterizes women’s language when talking about death. That is because people do not want to hurt the family, but also because there is a belief according to which citing the name of the dead soul would trouble him. Therefore, whenever one’s mentions the dead, they add the expression may be rest in peace. In the older generation the verb Vdiq (died) is replaced by euphemisms such as iku, vate (went), na la lantumirën (left), humbi jetën (lost one’s life), vajti te të parët (met the parent), ndërroj jete (passed away), la uratën (passed on).

If the conversation between women comes to a dead, they do not mention the name but replace it with euphemisms, adjectives or names that indicate quality: meiti (dead meat), i ndjeri (deceased), i mërguari (departed), rinizegji (departed youth).

Sometimes, under cover of euphemism, people take an ironic attitude to dead people by saying: Po ba dëc (checking out the grass from underneath), flë fë mubërin (sleeping the big sleep) bukë për krimba (worm food), then qafën (popped their dog), caf (cracked).

Another area that abounds in euphemisms is that of sexuality, which is closely associated with taboo words that are unacceptable for the vocabulary of women. Thus, instead of the names of some male and female body parts associated with the genitalia or gender relations women use different periphrastic or euphemistic names. In conversations with the children they use baby talk to avoid genital respective names and verbs that express everyday organic needs: bird, chick, grapes, peach, plum, friend, sparrow, cock, hen. As it can be noticed the genitalia of both sexes are likened unto animals. In specialized medical facilities Latin words are mainly used like penis and vagina. Young people, in turn, associate them with familiar characters in animated films as Fiona (for the female body) and Shrek (for the male organ).

On gender relations women use verbal compound words: sleep with her husband, fall into bed, have a
good time, go to bed with, make it, make love with.

We can identify these categories of menstruation:

1. Illness or discomfort: jam sëmurë (became sick), jam pa qejf (unwell, under the weather), më dhemb stomaku (have stomachache).

2. Periodicity: Neutral euphemisms recent and most used in Albanian and English are: jam me periinda (I’ve got / I’m Having my period), jam me të përmuajshmet (It’s that time of the month).

3. A Guest: kam miq (to have a visitor), the littlest sister’s here

4. Colour red: më ka ardhur halla nga Vithkuqi (my aunt / grandma is here from Red Creek, Red Bank).

Euphemism for pregnancy include:

pret një fëmijë (be expecting), s’i preket punë me dorë (be in a delicate condition), është havale me vete (be in trouble), me miell në thes (be with child), po na shton (in the family way).

7. Conclusion

Euphemisms and taboos are the most important aspects of women’s language that differs significantly from that of the other gender. This does not exclude the fact that men do not use them, but a good knowledge of different social cultures makes us understand that social regulators governing codes of conduct are more compelling to women. There are high expectations for women to use always a careful, elegant, refined language and not to ‘threaten’ to mention taboo topics.

The very different motives that lead to the creation of euphemisms reveal the true complex nature of human beings, their understanding and the rich ideological conceptions; therefore, in addition to being property of women’s language, they remain an essential part of any language.

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Abstract This paper examined the concept of organ laundering, it’s sustaining factors, the various organs highly harvested and the socio-psychological implication of the whole practice. Among the Nigerian etiological factors for organ laundering are penury, lengthening patient waiting lists, greed and deception of victims, boom and life organ donors and better quality of life organs. Behavioural tension, fear, suspicions, violence, confusion, somatic pains and loss of brotherhood, freedom and recreation were unveiled as socio-psychological implications of organ laundering in Nigeria. The following were recommended:- Nigerians, especially the youths, should endeavour to be at the right place with the right people and at the right times; Girls specifically, should avoid flexing (mixing up with unknown people, for entertainments or going to unknown destinations); Sick persons, Ladies for abortion and people seeking medical attentions should go to known or traceable hospitals to avoid being butchered; Government and the general public should assist to fight poverty and corruption, and build high morals in people and then create job opportunities.

Keywords: Human laundering/trafficking, Organ laundering, Commercialization of humanity.

1. Introduction

Human/organ laundering or trafficking has become a booming international business. International business magnets, government top officials, medical professionals, the religious fellows etc. are all involved. Due to its long history, calibre of individuals involved and rapid spread in dimensions, this inhuman but ‘lucrative’ business becomes globally difficult to combat. The migration of young biblical Joseph to Egypt was via human trafficking. A slave merchant Ishmaelite bought him and on getting to Egypt sold him to Portipher. The processes that packaged Sampson, the Israeli-fighter, to Philistine with his eyes completely removed as he ‘entertained’ the Philistines in their great temple involved advanced human trafficking. The early slave trade that ravaged Africans and forced them to Europe and America was real human trafficking. The recent and incessant announcements of Nigerians missing in various Nigerian villages, towns, and cities are just a clear manifestation of this barbaric business in Nigeria.
Looking at the Nigerian picture of human trafficking, Titi Atiku Abubakar, wife of Nigeria’s one-time Vice President lamented; ‘For those of you who think it cannot happen to you, I want to let you know that the dragnet of the traffickers is so wide that only God knows who is safe.’ Again from the Nigerian scene Agbu (2003) sees human trafficking as presently practiced as a recent addition to the dictionary of global woes. It is an organised business just as the transatlantic slave trade was with various linkages spread around the globe.

According to UN protocol to prevent, suppress and punish trafficking in persons, human trafficking is the “recruitment, transportation, transfer, harbouring or receipt of persons by improper means, such as force, abduction, fraud or coercion, for an improper purpose such as forced or coerced labour, servitude, slavery or sexual exploitation. It also includes persons trafficked into forced marriages or bonded labour markets such as sweet shops, agricultural plantations, hawking or domestic service. It is prizing human beings as commodities and exchanging same for money like any other article in the market. It is simply put, the commercialization of humanity, which is akin to modern day slavery. In the past, slavery and slave trade existed in various forms. People became slaves as war captives; criminals were punished with enslavement, and in some cases individuals in impoverished circumstances sold their relatives (Agbu, 2003). In the light of these explanations, what is American, Australian and Canadian visa lottery? Is this not another modern slavery package or greener pasture-hook for members of the Third World?

No matter how human trafficking is viewed, it constitutes a fundamental violation of the human person. It has continued to expand in dimensions and categorizations as it wears varying faces across the continents of the globe. However, it broadly includes, forced and child prostitution, domestic servitude, illegal and bonded labour, servile marriage, false adoption, sex tourism and entertainment, pornography, organized begging, organ laundering and other criminal activities.

2. Organ Laundering

Organ laundering also referred to as organ harvesting entails the trafficking of human beings with the intentions of selling their organs for money. It is organ theft and trading. This thriving organ business unveils the barbaric nature of this present age. Organ harvesting, the dissecting of a person into organs and parts, has made it possible for today’s man to float “human organs or spare parts stores” just as one can easily float electronic spare parts’ stores in Singapore or Nigerian Alaba International market. This is just taking place in our so-called jet age with jet planes, cellular phones and internet. Exploiting the poverty rate and the low status of women and children in the developing world, middlemen are able to bring together the supply and demand for human organs in ways that would have simply been unthinkable not long ago.

Organ trafficking could be seen as the unhealthy outcome of the international ban on organ sales and life donor organs. Wherever there is demand there is a market. The excruciating poverty of potential donors, lengthening patient waiting lists and the better quality of organs harvested from life people make organ laundering an irresistible proposition.

3. Statement of the Problem

A day hardly passes in various cities and towns in Nigeria without the street sweepers and refuse collectors or the innocent and empathetic public picking dismembered corpses and body parts. The pages of our daily newspapers and voices from our radio and television houses speak volumes about missing Nigerians. This is gradually spreading to the rural areas where our culture and traditions ought to be firm and where close kinship knitting is suppose to excel. Nigerians more than ever before live in fear. The observed recent increase in fear is based on the fact that body parts of people of varying ages, gender, and socio-economic strata are involved. Repeatedly, certain identifiable body parts seem to be sourced for. As this episode erodes the Igbo man’s philosophy, of “onye aghala Nwanne ya” (being our brothers’ keeper), the total reasons for the incessant nature of this ugly ‘business’ seem not to be comprehended. No matter the reason for organ laundering, it has serious national and international ugly socio-psychological implications.

4. Objectives of the Paper

The general objective of this paper is to draw a contemporary attention to the prevalence of organ
laundering in Nigeria via a consideration of its historical antecedents and nature. In specific terms the paper aims at:

- identifying various reasons for organ laundering;
- unveiling major body parts involved or highly sourced;
- consider the socio-psychological implications for this monster; and
- Proffer solutions towards its eradication.

5. Reason for Organ Laundering

Organ laundering is attributed to different reasons internationally and locally. The following reasons were advanced by Abidde (2009) for organ laundering in Nigeria;

- For magical or religious reasons to appease or please deities and spirits. Traditionally in some communities in Africa, it was a norm to either bury alive human beings with the corpse of a king or get some human parts to appease the gods before the dead king is buried.
- People also procure, buy and sell human cadavers and body parts for scientific and research purposes. Even at that people make money out of the exercise.
- Lengthening patient waiting list is yet another factor, “each day about 63 people receive an organ transplant, but another 16 people on the waiting list die because not enough organs are available (U.S. Department of Health and Human services), hence, the need to explore the dark World of organ harvesting and trafficking black market.
- For the fact that organs harvested from life people are of a better quality than those from dead fellows, the business of organ theft continues to strive in its crude form of “catch, dissect and sell”.
- In India, some very poor and very miserable people willingly sell body parts just to make ends meet. Hence, penury has stood tallest among the factors sustaining organ harvesting as people are daily reduced by penury. The excruciating poverty of potential donors is a heavy force. As a result of abject poverty, human beings get to a high level of barbaric behaviour of forcefully dissecting others into parts for sales. But in real terms, if an individual is not greedy he would not sell his body or assist in dissecting others no matter how poor he may be.
- There are some Nigerians who still believe that money, fame and good fortune can be acquired if certain parts of the human anatomy are consumed or sacrificed. Hence people whose organs are harvested just become victims of their greed and deception. Of course some victims are persons who want to become rich over night.

6. Sources of Organs

The 2003 movie, “Dirty Pretty Things” has hinted that illegal immigrants in the United Kingdom sell their organs for money and residency papers. It also reported of organs harvested from condemned Chinese prisoners. In March 2004, the U.S. News stories reported of organs harvested from cadavers stolen from UCLA’s medical school over a five-year period. The April version of this same source indicated that organs were stolen during unauthorized autopsies and from executed prisoners not clinically dead.

7. Body Parts/ Organs Harvested & Highly Sourced

The importance of an organ to the living often determines its price. Of course, the availability and how easy it is to fetch such a body part or organ are major factors in fixing its value and price. According to VAKMIN (2002), body organs and parts mostly sought for and harvested include; Kidneys, Lungs, Liver, Corneas, Bones, Tendons, Heart Valves, Skin tissues, and other sellable human bits. These organs are kept in cold storage and air lifted to illegal distribution centres. These processes hence make the business an exclusive for the rich persons.

On the other hand Abidde (2009) opined that in Nigeria it has been said that the liver, tongue, brain tissues, the kidneys, lungs and the eyes are much wanted, but the most priced parts are the breasts, private parts and the heart all of which can be bought in some not so discreet markets the way beef and chicken or goats are sold and bought. Abidde, further disclosed that in most western countries where parts/organs are transplanted, a trader in body parts can make upward of $500,000 a year. However in
Nigeria and other African countries body parts are almost free since snatchers and harvesters are primarily concerned with voodoo and magical use of such organs.

In NY Times (2004) it was said “Delivery of an intact Cadaver costs as little as $1,000, but different specialists seek out specific pieces of anatomy for their work, and individual parts can be expensive. A head can cost $500 in processing fees, according to brokers who handle such parts. A torso in good condition can fetch $5,000, a spine goes for as much as $3,500, a knee $650, a cornea $400.”

8. Socio-Psychological implications of Organ Laundering

The act of organ laundering can and will definitely affect social relationships that exist between and amongst people in the society. Even the psych of the people will also be affected. Some of the socio-psychological implications of organ laundering are discussed below:

1) Brotherhood is gone: No man is an island. Man is a group being whose success and/or failure depends often on the group(s) he belongs to and of course, his position, role and commitment to such a group (Uwaoma et al, 2001). The Holy Bible demands that we be our brother’s keeper and as such share in each other’s burden. Organ laundering, a barbaric act, runs counter to this philosophy. Before you try to bear a person’s burden, take him in or extend a helping hand, you must be sure that such a behaviour would not endanger your health or dissect your body organs as per the prevalent organ laundering. The Igbos are known for brotherhood, “onye aghala Nwanne ya”. This highly valued philosophy, the pride and respect of an Igbo man is gone.

2) Behavioural Tension: - The Nigerian environment is tension soaked. Nigerians live, work, make travels, sleep, eat, drive and relate under tension due to organ theft. Just walk down to any public eating centre and shout “Lekwa ha, abiala ha” (look at them, they have come), and see the panic-reactions of Nigerians. No matter the kind of “security” available on ground, a riot situation must be created. Both the operators/owners of the eating centre and customers would manifest tension expressed in an escaping behaviour. Often the first thing that would occur to persons in the above centre is “is this the way I will die”. Such tension soaked behavioural patterns negatively affect productivity, quality of relationships, thinking and health of Nigerians.

3) Fear and Suspicion: - Fear is a killer psychosomatic disease. To live under a constant fear is just the easiest way to burn the candle of one’s life from both ends. Due to the incessant and offensive sights of dead bodies without some organs and adverts on missing persons, there is this fear of “who is the next victim”. Hence, the fear and suspicions most Nigerians in towns and villages exhibit. Certain festive periods like Christmas, New Yam feast, Local festivals, etc. heighten the fear since they are associated with increased rate of organ laundering. When a wealthy or titled man dies, people around would live in fear for the fact that certain burial rituals involving human organs or parts would be performed.

4) Behavioural Confusion: - Various body organs go for an impressive price. Just get a valued human organ and the money is in your hand. This barbaric business has succeeded in making; mostly the Nigerian youths run away from genuine enterprises, hard work, perseverance, and honest behaviours. “It is the end that justifies the means”, most youths assert. Just get the money no matter the source. Even if it means trading one’s brother, sister, child or parents’ organs. However, the younger generation is confused not knowing whether to follow completely the old peoples' culture or dance along with the “jet age phenomenon”.

5) Somatic Pains: - Due to consistent tension, fear, lack of trust and other related ills of organ laundering, many Nigerians express somatic pains. They complain of butterfly sensations, headache, heat in the body and head etc. The older persons report on insomnia, hopelessness, loss of appetite and dizziness.

6) Loss of Freedom and Recreation: - Organ laundering restricts social, mental, political and religious movements. Tourism attractions and movements are never favoured by organ harvesting. People find it difficult lodging in hotels, and picnicking for fear of missing their body organs.

7) Death of Trust: - As a result of fear and suspicion brought through the act of organ laundering, trust has lost its place among Nigerians. It is difficult to even trust a relation who behaves suspiciously towards a person not to talk of a friend.

8) Loss of African Hospitality: - Africans, Nigerians inclusive, are known for their hospitality.
The warm acceptance and assistance to visitors are suspicious of each other. Gifts are frowned at and discarded.

9. Recommendations

Nigerians, especially the youths, should endeavour to be at the right places with the right people and at the right times. Girls specifically, should avoid “flexing” (mixing up with unknown people for entertainments or going to unknown destinations). Sick persons, ladies for abortion and people seeking medical attention should go to known or traceable hospitals to avoid being butchered.

Government and the general public should assist to fight poverty and corruption, build high morals in people and then create job opportunities. The aged who are poor without relatives to take care of then should be assisted by good spirited Nigerians. Old people’s homes could be built for such people. Street/professional begging should be banned and destitute, socially assisted.

All agents of socialization; the family, school, religious groups, mass media, law enforcement agents etc. should emphasis morality and patriotism and dethrone respect and worship of wealth presently ravaging our culture. The police force should be restructured to wear human face.

10. Conclusion

There was a time in Lagos and Ibadan when “Gbomo Gbomo” phenomenon (missing body parts) was very common. Today body parts and people disappear not to be seen again. Like a hurricane fire, the monster is fast spreading in all nooks and crannies of Nigeria. As an enterprise it is sophisticated in nature due to the calibre of Nigerians and huge amounts involved, the privy associated with it and reasons fixed for it. Thus effort to fight or eradicate it must be multifaceted involving the vulnerable groups, individual Nigerians, Nigerian government and the international community.

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Nuclearization of Iran; the Policy of China

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Abstract  Iranian nuclear program has become a political discussion of significance in both Iran and western countries. Iran claims that it is entitled to nuclear sovereignty over civilian nuclear power and has denied that it has had a nuclear weapons program, while western governments feel the peaceful nuclear program has hidden intention of nuclear weapons. The international mediators have been making reconciliatory efforts with Iran but have met with little success. In the face of these past failures and present challenges, China, a member of UN Security Council, could be forced to consider acting with the other major powers to curb Iran’s nuclear ambition. On one hand, China has been increasingly supportive of the nonproliferation of weapons of mass destruction, at the same time; China’s economic boom has resulted in an energy thirst that is now affecting Beijing’s foreign policy. China’s rise has brought its multifaceted national interests to the fore including securing cooperative relations with other major powers, developing peaceful relations with neighbors including Iran, and gaining access to reliable resources to sustain the nation’s growing economy. Thus Iran’s nuclear case presents China’s leaders to demonstrate their ability to balance their domestic interests with their international responsibilities as a growing global power. Under the circumstances China’s support for Iran’s nuclear program has become one of the most talked topics in the international arena. This article mainly aims at discovering the main factors behind China’s support for Iran’s nuclear program. It also includes understanding Iran’s nuclear motivations and aspirations with a view to calculate Beijing’s stand.

Keywords: Nuclear policy, Iran, China, NPT, IAEA, United States, European Union, UN security council.

1. Introduction

Iranian desperation for nuclear power has become a political discussion of significance in both Iran and western countries. A considerable disjunction emerges between the political views of Iranians and that of the west. The Iranian public—nearly all political parties of Iran are unified on the point that Iran is entitled to nuclear sovereignty over civilian nuclear power and has denied that it has had a nuclear weapons program, while western countries feel the program has hidden intentions of nuclear weapons. The International Atomic Energy Agency (IAEA)1 has not been able to present definitive evidence of an Iranian nuclear weapons program over the past two decades (IAEA Statements, GOV/2003/40, GOV/2004/60, GOV/2005/67). Meanwhile, in the 2002 State of the Union speech, US President George W. Bush labeled Iran as part of the “axis of evil” alongside North Korea and Iraq (The White House, 2002). The European Union-3 (France, Germany, and the United Kingdom) have been making reconciliatory efforts with Iran but have met with little success (Christopher and Roula, 2005, p. 7). The permanent members of the UN Security Council (P-5) and Germany could lead the Security Council to consider the matter unless a settlement can be reached.

China—a permanent member of UN Security Council (UNSC), has been increasingly supportive of the nonproliferation of weapons of mass destruction (WMD), eager to be viewed as a “responsible

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1 The International Atomic Energy Agency (IAEA) seeks to promote the peaceful use of nuclear energy and to inhibit its use for military purposes. It was established as an autonomous organization on July 29, 1957 with its headquarters in Vienna, Austria. The organization and its Director General, Mohamed ElBaradei, were jointly awarded the Nobel Peace Prize 2005.
stakeholder” within the international community. At the same time, China’s economic boom has brought its multifaceted national interests to the fore including securing cooperative relations with other major powers; developing peaceful relations with neighbors including Iran; and gaining access to reliable energy resources to sustain the growing economy. In the face of these challenges, the Iranian nuclear case presents China with a challenge to balance their domestic interests with their responsibilities as a growing global power. Under the circumstances Chinese apparent support for Iran’s nuclear program or inability to prevent, has become one of the most talked topics regarding Beijing’s Middle East policy in the international arena. No doubt, some considerations shape China’s policy and thinking on the Iranian nuclear issue. This article mainly aims at discovering the Chinese considerations regarding the nuclear issue of Iran. It also includes understanding the nature of Sino-Iranian relation, Iran’s nuclear motivations with a view to understand Beijing’s calculations.

2. Iran’s Nuclear Ambitions and Motivations

Iran has a long history of nuclear development. As early as 1957, Iran and the US signed a civil nuclear cooperation agreement as part of the US Atoms for Peace program, which provided technical assistance and leased several kilograms of enriched uranium (Department of State Bulletin, 1957, p. 629). As a member of the Nuclear Non-Proliferation Treaty (NPT) since its opening in 1968, Iran claims the right to use nuclear energy for peaceful purposes. In 1974, Iran completed a comprehensive safeguards agreement with the IAEA.

The geopolitical developments in the early 1970s (the Arab-Israeli conflict and the subsequent oil crisis) impelled the Shah’s government to accelerate their nuclear program. The Atomic Energy Organization of Iran (AEOI) founded in 1974 and announced an ambitious plan to build 23 nuclear power plants to generate 23,000 MW of nuclear energy within 20 years (Poneman, 1982, p. 86, 92). The US and the administration of Gerald Ford in particular, together with French and German companies, were actively engaged in Iran’s nuclear programs, supplying Iran with the different components of the nuclear fuel cycle and even training Iranian nuclear scientists. Considerable progress was achieved in constructing two nuclear reactors in Bushehr. Although these countries sought to help Iran develop nuclear energy rather than nuclear weapons, the Shah clearly had nuclear weapons in mind. Speaking in September 1974, the Shah remarked

“The present world is confronted with a problem of some countries possessing nuclear weapons and some not. We are among those who do not posses nuclear weapons, so the friendship of a country such as the United States with it’s arsenal of nuclear weapons….is absolutely vital.” (Cottrell & Dougherty, 1977, p. 3)

These nuclear activities were halted and all assistance from the West was effectively stopped during and after the political turmoil in Iran in the late 1970s, which resulted in the removal of the Shah with the revolution in 1979. The new Islamic regime, led by the Supreme Leader Ayatollah Ruhollah Khomeini, showed little interest in their predecessors’ aspirations. At the time of Iran-Iraq war in 1980s, constructions at Bushehr were bombed and destroyed by Iraq. On the other hand, Israel’s bombing of Iraq’s Osirak nuclear facility in 1981, may have also provided disincentives for Tehran to develop its nuclear program further. In 1983, Iran declared restarting of its nuclear program with the help of China and India (Middle East Executive Reports [MEER], 1983, p. 17). Tehran developed long-term
cooperation agreements with Pakistan (in 1987; in mid-1990s, Iran also acquired components of P-1 centrifuges and blueprints of more advanced P-2 centrifuges from the A.Q. Kahn network) and China (several agreements between 1990 and 1992). In the early 1990s, two significant international events affected Iranian national security in major ways. The fall of the Soviet Union that pushed the former superpower back from Iran’s border and lessened the chances of an invasion into Iran. Ironically, the end of the Soviet threat increased the threat from the US. The second was the Iraqi invasion of Kuwait in 1990 and the subsequent gulf war of 1991. The US’s response to the invasion into Iraq caused its defeat. Though Iraq had been defeated, but the fear of US intervention against Iran remained.

The IAEA pointed out in findings published in November 2004 that Iran has neglected to report on its nuclear program “in a number of instances over an extended period of time,” thereby failing to meet the obligations under its safeguards agreement (IAEA statement, GOV/2004/83). Although the IAEA still has not concluded that Iran must have been pursuing a nuclear weapons program, many within the international community take it as further proof that Iran has engaged in a secretive nuclear program. Especially after Iran’s submission to the IAEA in October 2005 of its nuclear history of the quantity of centrifuges and other nuclear technologies that it purchased from the nuclear black market in the 1980s, Tehran’s position is growing increasingly vulnerable. In an attempt to justify Iran’s nuclear moves, former Iranian president Ali Akbar Hashemi Rafsanjani indicated in March 2005 that Iran indeed had engaged in an intentional clandestine nuclear buildup. He reinforced the claim, however, that it was only for peaceful purposes (Jufang, 2005, p. A15). Iran has already started enriching its stockpile of low enriched Uranium to 20 percent from the mid of 2010.

3. Chinese Involvement in Iran’s Nuclear Program

China has had an extensive nuclear trade relationship with Iran, which has been contributing to the development of Iran’s nuclear program. While Beijing regards its nuclear cooperation with Tehran as legitimate and in compliance with IAEA safeguards, Washington and its western allies has viewed such activities as contributing to Iran’s covert nuclear weapons program. This cooperation dates back to the mid-1980s, when China began training Iranian nuclear technicians in China under a secret nuclear cooperation agreement (NCA), assisted in the construction of Iran’s primary research facility, located at Isfahan, and also agreed to supply Iran with sub-critical or zero yield nuclear reactors— all under IAEA safeguards (Mednews, 1992). In 1991, China agreed to supply Iran’s first nuclear reactor, a 20 MW research reactor (Hibbs, 1992, pp. 5-6). However, under US pressure, China later cancelled the deal. In September 1992, China and Iran signed a NCA and China announced its intent to supply two 300 MW pressurized water reactors to Iran, to be completed within ten years (Kan, 1992, pp. 1-13). But in October 1992, China canceled the deal to supply Iran with the 20 MW reactor for "technical reasons," but many suspected the cancellation came in response to US pressure. The cancellation of this deal, however, by no means ended Sino-Iranian nuclear cooperation. Throughout the 1990s, China continued to discuss the proposed sale of two 300 MW reactors and also assisted with the construction of Iranian uranium enrichment and conversion facilities. But in September 1995, China indicated that "commercial negotiations" were still ongoing even though an agreement had already been signed (Albright, 1995, pp. 21-26). Later that month, Chinese Foreign Minister Qian Qichen reportedly told US Secretary of State Christopher that China canceled the 300 MW reactor sale (Sciolino, 1995, pp. A1, A3). It is unclear how much of a role US pressure played in China’s decision to cancel the sale.

In the late 1990's the US objected to China's assistance in the construction of Iranian uranium enrichment and conversion facilities, particularly a uranium hexafluoride (UF6) plant allegedly being constructed in Iran by China. Both of Iran and China denied that any such transfer had taken place. On 30 October 1997, it was reported that Chinese Foreign Minister Qian Qichen, in a confidential letter to US Secretary of State Madeleine Albright, pledged that China will provide no new nuclear assistance to Iran. China will complete two existing areas of cooperation: the construction of a zero power research reactor and a zirconium cladding production factory. According to US officials, “there would be no fuel cycle-related goods or materials exported to Iran (by China)” (Hibbs and Knapik, 1997, pp. 3, 4). The CIA verified in a 1998 report to Congress that in 1997 China had halted all cooperation with Iran related to building a uranium conversion facility. But recent media reports citing intelligence sources reveal some continued Sino-Iranian nuclear cooperation activities. An unclassified CIA report to Congress released in February 2000 suggests that China’s October 1997 pledge not to engage in any new nuclear cooperation with Iran "appears to be holding."

From the beginning of 21st century Beijing has intended to strengthen its ties with Tehran given
the growing importance of the oil-rich Persian Gulf, as China’s reliance on Middle East/Persian Gulf oil increases. The US and several European countries have accused China of circumventing sanctions against Iran by selling dual-use metals included tungsten copper, aluminum and titanium sheets that Iran could use to manufacture advanced weaponry (Simpson and Solomon, 2008). China claimed that China has strictly adhered to UN limits on trade with Iran. Some analysts believe that China may have subverted sanctions by selling Iran metals in forms not under sanction; for example, China could legally provide Iran with tungsten copper in powder form, but not in ingot form (Simpson and Solomon, 2008). In June 2003, an IAEA report cited Iran for failing to report 1.8 tons of natural uranium it imported from China in 1991 (Frantz, 2003). The possible scopes and an overview of Chinese activities in the nuclear program of Iran are as given below.

Table 1. Chinese activities in the nuclear program of Iran

<table>
<thead>
<tr>
<th>Nuclear Technology/Activity</th>
<th>Relevance to Nuclear Weapons Program</th>
<th>Reported Area of Chinese Assistance to Iran</th>
</tr>
</thead>
<tbody>
<tr>
<td>Miniature (27 kW) subcritical neutron source reactor and Heavy water zero-yield training reactor at Isfahan site</td>
<td>General nuclear research and training</td>
<td>Supplied by China to Iran (1990) (Eisenstadt, 1996, pp. 2-7)</td>
</tr>
<tr>
<td>Small calutron at Isfahan site</td>
<td>Calutrons can be used to enrich uranium for weapons fuel, but the IAEA found that the Isfahan calutron was too small and did not appear to be part of a weapons program</td>
<td>Supplied by China to Iran (1987, 1992) (Mednews, 1992)</td>
</tr>
<tr>
<td>HT-6B Tokamak nuclear fusion reactor at Azan University</td>
<td>No known direct connection to weapons program</td>
<td>Facility built and tested in cooperation with China (1993) (FBIS-CHI-95-078, 1995).</td>
</tr>
<tr>
<td>300 MW pressurized water power reactors</td>
<td>Reactors could be used to produce fuel rods, which can be used to make fissile material for weapons</td>
<td>China agreed to provide the reactor, but in 1997 canceled the deal in exchange for the implementation of the US-China NCA (Nuclear Fuel, 1997, p. 3).</td>
</tr>
<tr>
<td>Uranium hexafluoride (UF6) conversion plant</td>
<td>Conversion of milled uranium ore into UF6 gas is a key step in the uranium enrichment process</td>
<td>In 1994, China agreed to supply Iran with the UF6 plant (Iran Brief, 1995, p. 11). The deal was canceled after the October 1997 summit which facilitated the US-China NCA to be implemented (Nuclear Fuel, 1997, p. 3)</td>
</tr>
<tr>
<td>Calutron, located at Karaj</td>
<td>Could be used to enrich uranium for weapons fuel</td>
<td>Supplied by China to Iran (1992) (FBIS-CHI-95-078, 1995 A)</td>
</tr>
<tr>
<td>Assistance at other stages of the nuclear fuel cycle, including: -Uranium mining -Uranium milling -Fuel fabrication</td>
<td>Development of indigenous fuel cycle facilities enhances Iran’s ability to indigenously produce weapons-grade nuclear material Many of these activities also have civilian or commercial applications</td>
<td>China has reportedly provided technical assistance to Iran in all these areas (Albright, 1995, pp. 21-26)</td>
</tr>
</tbody>
</table>
4. China’s Stand over Nuclear Program of Iran in the International Arena

China has been showing support for Iran’s right to a peaceful nuclear program. At the same time it has also supported some of the UNSC resolutions (UNSCR) against Iran’s nuclear enrichment program (Fars News Agency, 2008). China abstained from voting in the IAEA Board of Governors in 2005 and voted in favor of sending the issue to the UNSC in 2006 (China Daily, 2005). Like Russia, China voted for UNSCR 1696, as well as all of the sanctions resolutions (UNSC Press Release, 2007). China has also called for flexibility and patience in negotiating the issue. Chinese Foreign Ministry Spokesman Liu Jianchao said, “We believe that sanctions, especially unilateral sanctions, are of no help” (Fars News Agency, 2008). China wants to improve its relationship with Iran, especially when there is no persuasive evidence that Iran has used these programs for nuclear weapons development as well as it wants to maintain the relationship with other major powers. China insists that NCA with Iran are for peaceful purposes only and that China has pledged to cease all nuclear transfers and assistance to foreign nuclear facilities not subject to IAEA inspection. In addition, since all known Iranian nuclear facilities are under IAEA monitoring, Beijing views US demands that China suspend all its nuclear cooperation programs with Iran as unreasonable and contrary to Article IV of the NPT.

At the September 2009 UN gathering, China and Russia agreed to support President Obama in putting the UN on record against the spread of nuclear weapons. Chinese Deputy Ambassador Liu Zhenmin said that the UN should only deal with general non-proliferation matters, however, and should not address specific cases (Varner and Zacharia 2009). The group statement will therefore not mention the individual cases of Iran. In September 2009, the UNSC unanimously passed a resolution laying out military and diplomatic safeguards against the use of civilian nuclear programs for military purposes. The resolution also states that any country that halts IAEA inspections will be subject to UNSC safeguards (Weisman, 2009). Despite China voting in favor of this resolution, Chinese Foreign Ministry spokeswoman Jiang Lee reiterated China’s position that sanctions are not the appropriate method to deal with Iran’s nuclear enrichment (Payvand News, 2009). China voted in favor of the November 2009 IAEA resolution that called for “full cooperation” of Iran to clarify its nuclear program. In December 2009, China expressed hope that Iran would work with the IAEA to seek a “proper solution to the Iran nuclear issue.” Chinese Foreign Ministry spokesman Qin Gang made remarks saying the China’s vote on the issue was emblematic of China’s position on the Iran nuclear issue and its desire for Iran to resolve the issue through negotiation (Xinhua, 2009). In December 2009, a meeting by the P5 plus Germany on Iran’s nuclear program had been canceled due to China’s opposition (The Washington Post, 2009). In late December, representatives from China, along with other P5+1 members, adjourned their telephone consultation about Iran’s nuclear program but did not announce when they will ask the UNSC to consider measure to increase pressure on Iran (Wall Street Journal, 2009). In the early part of January 2010, Iranian Foreign Minister Manouchehr Mottaki warned the West that it had one month to accept Iran’s counterproposal to the October UN offer, after which time Iran would enrich its stockpile of low enriched uranium to 20 percent (New York Times, 2010). So it is clear that the position of China on the issue is supporting Iran’s peaceful nuclear program as well as maintaining relationship with the US and other countries who opposed the Iranian program.

5. China’s Considerations

China has been a long time ally of Iran and a major buyer of Iranian oil and gas, subsequently a strong supporter of Iran’s peaceful nuclear program. Regarding Iran’s nuclear development, Beijing’s calculations are complex, intriguing and interwoven interests. In reality, Beijing has its own agenda toward Iran and the Middle East. China has been on record opposing UN sanctions against Iran over the years. On September 6, 2008, Chinese President Hu Jintao urged world powers to show flexibility over Tehran's nuclear program, when he met President Ahmadinejad in Beijing. Hu said China respected Iran's right to the peaceful use of nuclear energy and called for further diplomacy.

“At present, the Iran nuclear issue is faced with a rare opportunity for the resumption of talks, and we hope all parties concerned could seize the opportunity and show flexibility to push for a peaceful settlement of the issues,…China, as always, will be committed to pushing for the settlement of the issues through peaceful negotiations, and will continue to play a constructive role toward this end” (Xinhua, 2008).
On the other hand, by agreeing to limited sanctions, China wanted to show the US and the international community that China is a “responsible stakeholder” on the issue of nuclear non-proliferation, while hoping to reduce the threat of a US or joint US-Israel armed attack against Iran. China shares some common concerns with Iran. Moreover, Iran can provide China with energy, which would serve Beijing’s core national interest. In reality, many factors persuaded China following the supportive policy towards Iran’s nuclear issue.

5.1. Respecting Sovereignty of a Nation

Sovereignty is a very important to the view of China. Recurring foreign intrusions since the mid-nineteenth century have made the Chinese government sensitive to the importance of sovereignty and independence. Its inability even today to reunify the country has reinforced this psyche, increasing Beijing’s sensitivity to external interference in its internal affairs. Therefore, from a legal point of view, if Iran is genuine in its support of nonproliferation, China will support Tehran’s right to civilian nuclear energy based on the principle of sovereignty. Beijing has supported the IAEA view that, before Tehran would ever be granted rights to a full nuclear fuel cycle, it has to accept accountability for its past nuclear program. Even if Iran had never joined the NPT, China would still have no reason to oppose Iran’s civilian nuclear program. No international laws have ever abandoned any states from the peaceful use of nuclear energy. The only restraints imposed on civilian nuclear facilities of non-nuclear NPT member states are the IAEA’s nuclear safeguards. According to current international legal arrangements, Iran has the right to use nuclear power for peaceful purposes. Even if, in the worst case, Iran has already developed nuclear weapons, it is still entitled to civilian nuclear energy as long as it has not done so while verbally committing to nuclear nonproliferation as an NPT member. Furthermore, no states are involuntarily banned from developing nuclear weapons as part of its national defense, with the exception of Iraq, which was deprived of the right to develop nuclear weapons by UNSCR 687 in 1991. Although the norm of nuclear nonproliferation is nearly universal, the decision to join the NPT remains a sovereign matter. Article X of the NPT was specifically created to protect national sovereignty through the right of withdrawal, in case a member state came to believe that remaining in the treaty would harm its national interests. As a member of the NPT, Iran cannot build nuclear weapons when it still officially commits to nuclear nonproliferation. If Iran is found to have violated its commitment, the international community will be forced to take action. While IAEA still does not conclude evidently that Iran is having a nuclear weapon program, its' sovereign right to peaceful use of nuclear energy should be honored.

5.2. Historical Cooperative Relations with Iran

China-Iran relations dated back over many centuries. The Persians had various contacts with China, and the two lands were connected via the Silk Road. Both empires benefited from the trade through Silk Road and shared a common interest in securing that trade. After the Islamic conquest of Persia, it continued to flourish. The Abbasid Caliphate which ruled Persia from 751 to 1258 AD was in dispute with the Tang Dynasty (618-907) of China for control of the Syr Darya region during the Battle of Talas in 751 AD. After the Abbasids victory in the battle, relations again improved and there were no more conflicts between China and the Arabs. These early links set the stage for the ties between Beijing and Tehran which we see today. Since the ouster of the Shah of Iran in the 1970s, Beijing has viewed the Islamic Republic as a potential political ally and has sought to cultivate a strategic partnership with Teheran. In addition to being a major source of energy, Iran is an important geopolitical player, capable of playing a leading role in the diplomatic balance in the Gulf region and Middle East, hence a highly valuable partner for China. Both China and Iran share the belief that "the enemy of my enemy is my friend," and have cooperated to challenge and counterbalance what they see as attempted US hegemony in the region. Both the Iran and China developed a cooperative bilateral relation between them for mutual benefits.

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9 Silk Road was the most important pre-modern trade route linking China, Central Asia, Persia, Western Asia, and Europe. A 19th century German scholar named the network of trails the Silk Road for the precious Chinese cloth.
10 Abbasids, a dynasty of caliphs who ruled the caliphate of Islam from 750 until 1258 AD with its capital in Baghdad.
11 Syr Darya (Persian Sihun; ancient Yaxartes), one of the major rivers of Central Asia, flows generally west through Uzbekistan, Tajikistan, and Kazakhstan.
5.3. Potential Geo-Political, Diplomatic and Military Relationships

China and Iran have been building a potential political relationship based on economic and regional cooperation. In the joint trade conference held in Tehran in May 2009, Chinese vice Minister of Commerce Chen Jian expressed his country’s willingness to increase trade and improve bilateral interaction. The conference was attended by over 500 Iranian and Chinese officials and businessmen (China View, 2009). Iran joined the Shanghai Cooperation Organization (SCO) as an observer in 2005 and submitted a request in March 2008 to join as a permanent member (Beehler and Bhatarharji, 2008). In addition, Iran supported Beijing’s one-China policy and applauded China’s recent anti-secession law, which explicitly stated China’s rejection of an independent Taiwan (Fars News Agency, 2008). Chinese President Hu Jintao stated that “Tehran and Beijing should help each other to manage global developments in favor of their nations otherwise the same people who are the factors of current international problems will again rule the world” (Iranian Students News Agency, 2009).

Following July 2009 ethnic riots in China’s Muslim populated Xinjiang province, Iranian Foreign Minister expressed support for “the rights of Chinese Muslims” (Press TV Online, 2009). In a July 22 statement, the charge d'affaires of the Chinese Embassy in Tehran, Chen Weiqing, insisted that the June riots in Xinjiang were encouraged by foreign separatist groups and were unconnected to religious or ethnic issues (Mehr News Agency, 2009). On July 27, 2009, Iranian Foreign Ministry Spokesman Hassan Qashqari balanced the two stating that “we hope Muslims rights would be considered as well as rights of other ethnic groups,” however condemned international interference in China’s internal affairs (Iranian Students News Agency, 2009A). On October 15, 2009, Chinese Premier Wen Jiabao stated that China would strengthen ties with Iran saying “the Sino-Iranian relationship has witnessed rapid development, as the two countries leaders have frequent exchanges, and cooperation in trade and energy has widened and deepened” (Reuters, 2009). Even as the UNSC placed more sanctions on Iran, China and Iran’s bilateral trade and diplomatic relations continued to increase and widened more in recent years.

Transfer of arms and weapons technology is a major concern between Iran and China. In some cases, Beijing has adopted an “arms for oil” formula, providing weapons in exchange for oil from Iran. China’s extensive sales to Iran since the 1980s have bolstered Iranian military and weapons production capabilities considerably, with far reaching consequences for the balance of power in the Middle East. Iran has been alleged for sponsoring terrorist groups in Iraq and is a well-known patron of Hezbollah guerrillas in Lebanon (and Syria), (Timperlake and Triplett, 1999, pp. 73 and 108) hence a major threat to Israel as well as the US ships and troops in the Persian Gulf. In the 1980s, PolyGroup, a Chinese arms company controlled by the People’s Liberation Army (PLA), exported more than $1 billion worth of Silkworms to Iran (Newsweek, 1988). The Chinese Eagle Strike, a much more sophisticated and dangerous weapon, succeeded the Silkworm in the 1990s. The new cruise missile has two versions, a solid-fuel, rocket-powered model (designated C-801 by NATO) and a longer-range turbojet-powered model (C-802). In 1996, Iran obtained Houdong fast patrol boats equipped with the C-802 from China (Gertz, 2000, p. 104). Iran has a large number of Chinese made C-801 and C-802 anti-ship missiles deployed in coastal batteries along the eastern shore of the waterway in the Strait of Hormuz, the only way into and out of the Gulf (Gertz, 2000, p. 104). In 2008, Iran also test-fired its Shahab-3 missile, which it says put Israel within range (Khaleej Times, 2008) and the longer-range versions, the Shahab-4 and 5, are under development with China’s assistance. Whereas Beijing has vehemently denied the selling of WMD to Iran, international intelligence agencies have collected information that identifies China as the world’s “leading proliferator” (Timperlake and Triplett, 1999, pp. 98-99). On June 25, 2008, the top Asia policy official at the Pentagon told the House of Armed Services Committee that Chinese firms have repeatedly violated UN sanctions which ban the sale of weapons, military equipment and nuclear technology to Iran, and “China’s willingness to cooperate on these is uneven” (Agence France Presse, 2009).

Many times, the US has imposed sanctions on Chinese companies for selling Iran weapons and weapons-related products. Manhattan District Attorney (DA), Robert Morgenthau recently uncovered illicit Iranian finance and procurement network providing evidence that Iran is attempting to produce WMD. In a case against a Chinese company attempting to thwart financial sanctions against Iran, the DA uncovered a listing of items used for converting uranium into plutonium and a plethora of materials used for long-range missile production (Wagner, 2009). The Senate Foreign Relations Committee corroborated Morgenthau’s findings and stated Iran could have enough weapon-grade material to produce a bomb in just six months (Wagner, 2009). Therefore, it may be said with confidence that China herself as well as many of her companies have been providing weapons and weaponry technology to Iran for years despite of different sanctions.
5.4. Bilateral Energy and Economic Ties

China and Iran enjoy an extensive economic relationship even despite UNSC sanctions imposed on Iran with the aid of China’s vote. The Middle East has been the major source of China’s energy; Iran in particular has become indispensable to China’s energy security. China is Iran’s top oil market, and Iran is China’s third-largest oil supplier. In 2004, China imported 122.7 million tons of crude oil, surpassing Japan to become the world’s second-largest energy-consuming state (Oriental Morning Post, 2005, p. A13). China and Iran are also preparing for various other forms of closer energy cooperation. On October 28, 2009, China signed a Memorandum of Understanding with Iran that awarded Sinopec, China’s second-largest oil giant, the rights to participate in developing Yadavaren, an Iranian oil field, in exchange of purchasing 10 million tons of liquefied natural gas (LNG) over 25 years (China Daily, 2004). Yadavaren, as one of the world’s largest undeveloped oil fields, would have a total production capacity of around 300,000 barrels per day, half of which would eventually be exported to China. Only half a year earlier, in March 2004, state oil trader Zhuhai Zhenrong also signed a preliminary deal to import more than 110 million tons of LNG from Iran over 25 years for $20 billion (China Daily, 2004). In 2008, the China National Petroleum Corporation (CNPC) and the National Iranian Oil Company (NIOC) signed a $1.76 billion deal to develop Iran’s North Azadegan oil field, which could produce upwards of 75,000 barrels of oil per day by 2012 (Fars News Agency, 2008A). In March 2009, Iran and China signed a $3.2 billion gas deal to build a line to transport liquid Iranian gas from the South Pars Gas Field (Associated Press, 2009). Soon after in May 2009, at a joint economic conference in Tehran, the two countries signed a number of agreements totaling $17 billion in economic cooperation (Press TV, 2009). In June 2009, CNPC signed a $5 billion gas deal with Iran to develop Iran’s South Pars Gas field (IRNA, 2009). China agreed to several of Tehran’s investment requests in July 2009, offering to construct ten offshore jack-up drilling platforms, seven land drilling rigs, and two float cranes. These projects will total $2.2 billion (IRNA, 2009A). Energy cooperation increased further in August 2009, when China agreed to a $3 billion deal to expand Iran’s Abadan and Persian Gulf refineries (Fars News Agency, 2009). In September 2009, China increased its petroleum supply to Iran up to one-third of total Iranian petroleum imports (Financial Times, 2009). Sinopec and CNPC have also signed $4 billion deals with Tehran to pump more oil out of Iranian oil fields (Financial Times, 2009). In November 2009, Sinopec signed a tentative deal to provide $6.5 billion in financing for oil refinery projects in Iran (Reuters, 2009A).

Beyond the energy sector, bilateral trade between the two nations according to the Iranian Chamber of Commerce, Industry and Mines, reached over $27 billion in 2008, a 35% growth over 2007 (Reuters, 2009A). China is already Iran’s second-largest trading partner, behind only the UAE (China Brief, 2008). More than 100 Chinese companies are now operating in Iran (Fars News Agency, 2009A). As Western countries have decreased their trade and investment in Iran due to sanctions, China, Russia and some other countries have stepped into fill the void. At the same time, Iran is an important source of outsourcing for China. Ninety-five percent of Iran’s motorcycles, for example, are manufactured in China. Iran is also China’s biggest overseas market for large projects and labor export. Currently, about 120 Chinese projects are being implemented in Iran, while hundreds of new projects are currently being negotiated between the two countries, involving tens of billions of dollars. Given China’s increasingly closer energy and economic ties with Iran, Beijing is caught in a dilemma vis-à-vis Iran’s uranium conversion. On one hand, Iran’s uranium conversion raises the issue of the necessity of such nuclear fuel independence, especially considering Iran had tried to cover up this program. On the other hand, because Iran has a higher stake in trade with China, Beijing now has a greater ability to influence Tehran if it is willing to exert its leverage. Because Iran’s nuclear program seems to be of vital interest to Tehran, China must now decide whether to risk its energy and economic interests and join the international pressure group. China’s sustained, rapid economic growth for nearly three decades has resulted in a strong demand for energy resources. Thus Beijing’s foreign policy in particular towards Tehran is largely influenced by the strong economic consideration between them.

5.5. Common Concerns and Rationality in International Affairs

The leaders of China and Iran feel that they are the proud heirs to two great and ancient civilizations that have been humiliated and made victims of Western imperial aggression. Although both of China and Iran have different political systems and ideologies, they carry out independent foreign policy and are not willing to be manipulated by the big nations in the world. They believe that Washington's "hegemonism" represents the unjust continuation of long-standing Western efforts to keep them weak and subordinate.

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Hence, Sino-Iranian relations are bound by what is called a ‘kinship of nationalisms’ (Calabrese, 2006). China seeks to meet all the internationally disputed issues as like nuclear issue of Iran with rationality irrespective of caste and creed. As a member of NPT, Iran preserves the legal right to develop nuclear power for peaceful purposes. Iran more than once reiterated that it has been following all the regulations of NPT and also under the safeguard of UN nuclear watchdog IAEA. Though the west demanded that Iran has had a hidden nuclear weapon program, but till now neither they nor IAEA disclose any proof. So the issue should be solved through negotiation within diplomatic efforts on the basis of rationality.

5.6. Promoting Nonproliferation

As a member of the NPT, China is obliged to support the nonproliferation of nuclear weapons. It has committed not to transfer nuclear weapons to non-nuclear-weapon states and non-state actors, not to assist any non-nuclear weapon states in developing nuclear weapons. Since the early 1990s, China has made remarkable progress in nonproliferation. It joined the NPT in 1992 and the Comprehensive Test Ban Treaty (CTBT) in 1996. Throughout the past decade, China strengthened national export control systems for nuclear, chemical, and biological weapons. China also joined the NSG in 2004, cutting nuclear relations with those refusing to join the NPT. Regionally, as the Chinese economy continues its rapid growth and consequently its interest in the Middle East is also expanding; China needs a peaceful and stable Middle East. A more proliferation-prone environment complicates and likely harms China’s interests. Beijing appears to believe that the emergence of a regional nuclear power or a nuclear arms race in the region would destabilize the Middle East and undercut China’s pursuit of energy security. The risk of the transfer of nuclear technologies by Iran is also a major concern. After his first speech at the UN on September 14, 2005, the new Iranian president, Mahmoud Ahmadinejad, met with Turkish Prime Minister Recep Tayyip Erdogan and offered to share “peaceful nuclear energy” with Islamic countries (Xinhua Daily Dispatch, 2005, p. 4). Today, ample evidence indicates that Iran has acquired centrifuges from the A.Q. Khan network (Albright and Hinderstein, 2005, pp. 111–128). The fear of Iranian transfer of such technology to other Islamic actors worries both Beijing and Washington.

5.7. A Responsible Stakeholder

China’s policy in recent decade might be giving nonproliferation a higher priority. China does not want to see nuclear proliferation in the Middle East. In North Korean case China has been unwilling to pursue through the UNSC for fear that a sanction may disturb regional stability. Under the same logic, China prefers a peaceful settlement of Iran’s nuclear case. However, some differences between the North Korean and Iranian cases are obvious. Pyongyang has acquired nuclear weapons openly and legally outside of the NPT, while Iran remains in the NPT and still accepts IAEA safeguards. In this case, China’s foremost concern is energy security. China's leaders have also tried to triangulate their various interests with Washington and Tehran. If the UNSC debates the issue, China will be forced to make a difficult choice: support sanctions on Iran, damaging Beijing’s energy ties with Tehran; veto any measure, frustrating Washington; or play a passive role of abstention without a clear position, diminishing China’s role as a gradually more influential actor on the world stage. In the case of abstention, if a sanctioning resolution were passed, as a responsible stakeholder China would have to observe it. In the end, the only way for Beijing to gain immunity from these pressures is by keeping the UNSC from taking action in the first place. The way to do that is Iran should be more cooperative with the IAEA. China and Iran have consulted frequently on bilateral ties and Iran’s nuclear program. Iran’s foreign minister, Manouchehr Mottaki, visited Beijing on October 13–14, 2005, to launch talks on the nuclear issue. In between, Chinese foreign minister Li Zhaoxing reciprocally visited Iran on November 6, 2004, where he was quoted as saying that China was “opposed to” referring Iran’s case to the UNSC for fear of complicating the issue (China News, 2004). On August 12, 2005, China again expressed that it would not support moving Iran’s nuclear case from Vienna to New York. (Oriental Morning Post, 2005, p A11) In addition to the energy incentives, China’s leaders fundamentally believe that conflicts should be resolved through a political and consultative manner, considering the legitimate interests of all concerned parties. If the IAEA could not resolve the Iranian issue, these same issues likely could not be peacefully resolved in the UNSC. Therefore, Beijing insisted that the matter be settled within the IAEA framework.
5.8. China’s Interest in the Middle East

Beijing’s policy towards Iran epitomizes its policy towards other major states in the Middle East, with some variations. China’s propaganda mainly focused on its revolutionary credentials, presenting China as the natural ally of the anti-colonial Arab states. As the China grew in economic and diplomatic strength, Beijing became increasingly keen on expanding its influence and asserting its interests in the region, seeking to shape geopolitics in its favor. China has generated major policy priorities in the Middle East with a view to secure energy resources, to pursue investment opportunities and consumer markets for Chinese goods.

Arms sales have been a very effective instrument in Beijing’s efforts to make inroads into the Middle East. In addition to earning foreign exchange, it has helped China to foster diplomatic and strategic ties with Iran, Syria and Saudi Arabia. During the Cold War, Syria maintained close ties with the Soviet Union. But in the waning days of the Cold War, Moscow’s refusal to augment Syria’s missile capabilities provided an opening for China to export ballistic missile systems to Syrian in the late 1980s. This was a significant breakthrough for the Chinese military diplomacy in the Middle East (China Brief, 2008A, p. 9). Likewise, China exported intermediate range ballistic missile systems to Saudi Arabia in the late 1980s. Taking advantage of a Congressional veto that blocked the sale of advanced American missiles to Saudi Arabia, China filled the void and scored the related diplomatic gains. In July 1990, the Saudis cut off official ties with Taiwan and switched diplomatic recognition to Beijing. In addition to arms sales, China attaches greater significance to market access, exports of Chinese goods and investment opportunities. Sino-Syrian trade reached $1.87 billion in 2007, up almost 33 percent from 2006, and the 2007 figure is expected to double by 2011 (Xinhua, 2008A). China has become Syria’s single largest trading partner.

The quest for energy resources is China’s top policy priorities in the Middle East. In recent years China’s oil companies have invested large sums to modernize Syria’s aging oil and gas infrastructure. In September 2008, the China petrochemical corporation made a $2 billion purchase of Canada’s Tanganyika Oil Company, a firm with major operating interests in Syria’s oil industry (China Daily, 2007). Saudi Arabia being China’s largest oil supplier in the Middle East, the relations between them expanded dramatically. There is also significant trade in arms, construction material and cheap engineering labor. Saudi Arabia is China’s largest trading partner in West Asia, while China is the kingdom’s fourth largest trading partner. In the first quarter of 2007, Saudi-China trade registered a year-on-year increase of 77.4 percent to reach $8.5 billion (Xinhua, 2008B). In such way, China’s efforts to forge significant and multifaceted ties with the states of Middle East reflect the increasing complexity of China’s policy calculus towards Middle.

5.9. Anti US-Hegemony

China, Iran and Russia overlapping interests on many issues. They are partners to the Asian Energy Security Grid, an alternative to US-led Western control of the world’s energy resources. Iran has also joined the SCO as an observer. The organization has been largely perceived as a Chinese tool to counter US presence in Central Asia and promote Beijing’s economic interests. In April 2002, shortly after President Bush labeled Iran as a member of the “Axis of Evil,” Chinese President Jiang Zemin visited Teheran and conveyed the message that China and Iran hope to “prevent domination of a superpower on the entire world,” according to the Iranian press. “The two countries believe that for as long as a united and a comprehensive definition of ‘terrorism’ is not offered which can be endorsed by the international organizations, no state can attack other countries under the pretext of fighting terrorism and on the basis of its own definition of the term,” reported Iran’s state-controlled media. Jiang declared that China’s policy was “to oppose American deployments in Central Asia and the Middle East.” He also pledged that “one of China’s most important diplomatic missions is to strengthen unity and cooperation with developing countries and to avoid having developing countries become the targets of American military attacks” (China Times, 2002, p. 2). The growing presence of US and other western troops in Central and South Asia and the Middle East is another joint concern. Politically, the two countries share a common interest in checking the inroads being made by NATO in Asia. Although Beijing and Washington are not at present involved in an open confrontation in the Middle East, the potential for Sino-US conflict over Iran and competition on energy issues cannot be overlooked. There is fear that Iran-Israel military conflict could become a proxy war in the Middle East with the potential to escalate into a direct Sino-US conflict.
5.10. Balancing the US and Iran

The challenge of the Iranian nuclear issue must also be viewed in the context of Sino-US relations. The US has had fundamental problems with Iran’s government since the 1979 revolution. In 1996, Congress sought to step up the international pressure on Tehran by passing the Iran and Libya Sanctions Act. Bush further enhanced the rhetorical pressure by branding Iran as a part of the ‘axis of evil’. These placed the US in a precarious position, forcing it to balance its relationships with Washington and Tehran. In terms of economic development, the US is China’s single-most important partner. There are some predictions that China’s trade surplus with the US for 2005 will reach $200 billion (China Daily 2005A), a figure vastly greater than the volume of Chinese-Iranian trade. However, Washington and Beijing are the two largest energy consumers in the world they may also compete for fuel in the near future. The unsuccessful bid by the China National Offshore Oil Corporation (CNOOC) for Unocal in the summer of 2005 reflected Washington’s caution, primarily because CNOOC is largely a state-sponsored entity.

This in turn raised Iran’s value to Beijing in its search for energy security. So being Tehran an energy source that Beijing cannot refuse, China must balance this relationship with its relations with the US, its larger economic partner. Several times Beijing has faced pressures from Washington over Iranian issue. Deputy Secretary of State Robert B. Zoellick cautioned on September 6, 2005, that, “if China continued to seek energy agreement with such countries as Iran, more conflicts will arise between China and the US” (Oriental Morning Post, 2005, p. A10). So the balancing relation between Tehran and Washington is one of the most important considerations of Beijing’s concern.

6. Conclusion

The rise of China is a phenomenon of globalization that has its roots in China’s welcomed opening in 1978, which has one of the world’s fastest growing economies and which has designs on becoming an economic superpower, is today the world’s second largest consumer of oil. Nearly 60 percent of its oil is imported from the Middle East including Iran. Furthermore, Iran’s oil producing facilities and equipment are in serious need of modernization. Beijing’s willingness to invest in this vital sector of the Iranian economy (as much as 90 percent of Iran’s export income comes from oil) is crucial to the fiscal well-being of the present Islamist regime, which, according to official estimates, faces an 11 percent unemployment rate and inflation exceeding 13 percent (Tehran Times, 2010). Despite US pressure to keep Iran economically isolated, China has leaped into the void created by US sanctions against Iran. Before 1997, Beijing had, for more than a decade, been Iran’s most important partner in helping Iran develop its nuclear capability (Garver, 2006, pp. 139, 155). China has apparently retreated from their policy of direct cooperation with Iran on the nuclear issue since that time.

Yet, as China has become an increasingly powerful presence on the world stage, the international community has grown wary of its future direction. The Iranian nuclear issue is testing Beijing’s wisdom, its responsibility as a major global power, and ultimately its ability to balance its domestic and global interests. Beijing’s delicate range of policy choices will be exhausted if Tehran refuses to be more flexible. If Iran were to declare an end to diplomacy, it would grow increasingly difficult for Washington to be tolerant. Although there is still some room for maneuvering in the short run, the White House may be pressed to take a harder position toward Iran. Beijing will then be forced to develop a more active diplomacy, as it has done with the North Korean nuclear issue. Beijing might send a special envoy to Tehran, asking Iran to follow various IAEA resolutions that require it to detail its past nuclear activities. Given China’s past experience and initiative handling the North Korean nuclear issue, it could also take other preventive measures, such as approaching EU member states for consultation and to exchange policy views as well as coordinate policy action. The EU and Russia would likely welcome China’s proactive stance if Beijing would take this initiative. Such a concerted and coordinated action could also strengthen the global concert of powers beyond the existing Western coalition on this issue. If Iran continues to refuse to implement existing and future IAEA resolutions demanding that it clarify its nuclear history, China would be tested. Beijing’s ability to block Security Council debate or action would become increasingly difficult if Iran continues its lack of compliance with the IAEA mandate. China possibly would be forced to abandon Iran in its defense of its claimed rights. Nevertheless, even though nuclear proliferation has become an increasingly higher priority in Chinese foreign policy, Beijing likely believes that the existing international monitoring and spotlight on Iran would make it virtually incapable of developing any existing clandestine nuclear programs further. China also strongly supports the sovereign right of Tehran to use nuclear power for peaceful purposes within the IAEA safeguards. For
this reason, because of its emphasis on peaceful methods of resolving the dispute and because China’s growing energy demand forces it to value Tehran, Beijing likely would still not support a largely Western action to sanction Iran. If China is reluctant to support a Western sanctioning effort, it would not imply Chinese support for Iranian proliferation or Chinese cowardice or unwillingness to act in the face of a nuclear threat. Rather, it would result from Beijing’s philosophy of peaceful conflict resolution coupled with its need for energy cooperation.

List of Abbreviations used in the Article

1. AEOI - Atomic Energy Organization of Iran
2. CIA – Central Intelligence Agency
3. CNOOC - China National Offshore Oil Corporation
4. CNPC - China National Petroleum Corporation.
5. CTBT - Comprehensive Test Ban Treaty
6. EU – European Union
7. EU-3 European Union-3 (France, Germany, and the United Kingdom)
8. IAEA – International Atomic Energy Agency
9. LNG – Liquefied Natural Gas
10. LWR - Light water reactor
11. MW – Megawatt
12. NATO – North Atlantic Treaty Organisation
13. NCA – Nuclear Cooperation Agreement
14. NIOC - National Iranian Oil Company
15. NPT- Nuclear Non-Proliferation Treaty
16. NSG - Nuclear Suppliers Group
17. P-5 – The five permanent members of the UN Security Council
18. PLA - People’s Liberation Army
19. PWR - Pressurized Water Power Reactor
20. SCO - Shanghai Cooperation Organization
21. Sinopac - China Petroleum and Chemical Corporation
22. UN – United Nations
23. UNSC - United Nations Security Council
25. US – United States of America
26. WMD - weapons of mass destruction.

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Analyzing E-Learning Systems Using Educational Data Mining Techniques

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Abstract Recently, Educational Data Mining has become an emerging research field used to extract knowledge and discover patterns from E-learning systems. The educational system in Albania is currently facing a number of issues such as identifying students’ needs, personalization of training and predicting the quality of student interactions. Educational Data Mining provides a set of techniques, which can help the educational system to overcome these issues. The objective of this research is to introduce Educational Data Mining, by describing a step-by-step process using a variety of techniques such as Attribute Weighting (Weighting by Information Gain, Relief, Hi-Squared, Uncertainty), Clustering (K-Means), Classification (Tree Induction), Association Mining (Apriori, FP-Growth, Create Association Rule, GSP) in order to achieve the goal to discover useful knowledge from the Moodle LMS. Analyzing mining results enables educational institutions to better allocate resources and organize the learning process in order to improve the learning experience of students as well as increase their profits. The experimental results have shown that the data mining model presented in this research was able to obtain comprehensible and logical feedback from the LMS data describing students’ learning behavior patterns. For this work, Rapid Miner (v5.0) and Weka (v3.6.2) data mining tools were used to mine data from the Moodle system, used in “C Programming - CEN112” course taken by Computer Engineering students at Epoka University, during Spring Semester 2009-2010.

Keywords: Educational Data mining, E-learning, LMS, moodle, learning patterns

1. Introduction

1.1 Background

This work describes the application of data mining techniques to the usage data of the Moodle course management system, a case study of Epoka University in Tirana, Albania. The educational system in Albania is currently facing several issues such as identifying students’ needs, personalization of training and predicting the quality of student interactions.

Educational Data mining (EDM) provides a set of techniques, which can help the educational system to overcome these issues. EDM uses powerful tools that enable educational institutions to better allocate resources in order to improve the learning experience of students as well as increase their profits. Moodle has been used as a LMS platform for sharing useful information, and knowledge management, enabling the achievement of valuable results (Tirado, Estrada, & Castro 2007, Romero & Ventura 2007). However, Moodle LMS does not cover all teaching and learning aspects since it doesn’t provide tools to monitor and evaluate all the activities performed by learners (Zaïane & Luo, 2001; Mazza & Dimitrova, 2007).

Several studies have demonstrated that Data Mining techniques could successfully be incorporated into E-learning environments. The application of data mining techniques and concepts in e-Learning systems helps to support educators to improve the e-Learning environment. Data mining techniques have also been addressed as complementary systems to LMS, and in particular to Moodle, where results are achieved through the use of associates, classifiers, clusters, pattern analyzers, and statistical tools (Romero, Ventura, & García, 2007). The scope of data mining is to discover useful knowledge using a variety of techniques such as prediction, classification, association rule mining, clustering, fuzzy logic, etc. Recently, Educational data mining has become an emerging research field used to extract knowledge and
discover patterns from E-learning systems.

The objective of this work is to introduce Educational Data Mining, by describing a step-by-step process using a variety of techniques such as Attribute Weighting (Weighting by Information Gain, Relief, Hi-Squared, Uncertainty), Clustering (K-Means), Classification (Tree Induction), Association Mining (Apriori, FP-Growth, Create Association Rule, GSP) in order to achieve the goal to discover useful knowledge from the Moodle LMS. Analyzing mining results enables educational institutions to better allocate resources and organize the learning process in order to improve the learning experience of students as well as increase their profits. The mining results can be used by the course instructor to investigate the impact of a number of e-learning activities on the students’ learning development.

2. Literature Review

2.1 A Theory for E-Learning

E-learning system is referred to as Learning Management System (LMS), Course Management System (CMS), Learning Content Management System (LCMS), Managed Learning Environment (MLE), Learning Support System (LSS), Web Based Training System (WBT-System). These systems accumulate a great amount of information that can be further processed in analyzing students and educators’ behavior. e-learning Systems offer the facilitation of communication between students and educators, sharing resources, producing content material, preparing assignments, conducting online tests, enabling synchronous learning with forums, chats, news services, etc. Some examples of commercial E-learning systems are Blackboard (2010), TopClass (2010), etc. and some examples of open systems are Moodle (2010), Ilias (2010), Claroline (2010), Dokeos (2010), eFront (2010) ,Olat (2010) etc.

2.2 Educational Data Mining

Due to the large quantities of data that E-learning systems can generate, it is very difficult for educators to analyze them manually. EDM was defined by Baker (Baker, 2010) “as the area of scientific inquiry centered around the development of methods for making discoveries within the unique kinds of data that come from educational settings, and using those methods to better understand students and the settings which they learn in”. “Educational Data Mining is an emerging discipline, concerned with developing methods for exploring the unique types of data that come from educational settings, and using those methods to better understand students, and the settings which they learn in.” as defined by The Educational Data Mining community. This research community has started by organizing workshops since 2004, then conducting an annual International Conference on Educational Data Mining. The first International Conference on Educational Data Mining (EDM’08) was held in Montreal, QC, 2008, followed by a second in Cordoba, Spain (July 2009), the third in Pittsburgh, PA, USA (June 2010), and attending the fourth in Eindhoven, the Netherlands), and now already publishing a Journal on Educational Data Mining since October 2009.

An extensive literature review on Educational Data Mining (Romero & Ventura, 2007) providing an overview of the research efforts in the field between 1995 and 2005, review of the many applications of Data Mining to E-learning over the period 1999-2006 (Castro, Vellido, Nebot, & Mugica, 2007); review of the history and current trends of EDM (Baker & Yacef, 2009), review of most relevant studies carried out in this field to date (Romero & Ventura, 2010). Data Mining techniques relation with the fields of Artificial Intelligence (AI) and Machine Learning (ML) have been highlighted in many researches (Sison & Shimura, 1998; Baker, 2000, Ha, Bae, & Park, 2000; Margó, 2004; Xindong, 2004; Tang & McCalla, 2005). Main applications of EDM as defined by Baker (2010) are classified into four main areas: 1) improving student models, that provide detailed information about a student’s characteristics; 2) discovering models of the knowledge structure of the domain; 3) studying the pedagogical support provided by learning software; 4) scientific discovery about learning and learners. The first three categories are universal across different fields of data mining, the fourth and fifth categories are particularly related to educational data mining. EDM has the following categories (Romero & Ventura, 2007):

- Statistics and visualization
- Web mining (Clustering, Classification, Outlier detection Association rule mining and Sequential pattern mining)
Text mining
According to Baker (2010), the educational data mining has been classified as:

- Prediction (Classification, Regression, Density estimation)
- Clustering
- Relationship mining (Association rule mining, Correlation mining, Sequential pattern mining, Causal data mining)
- Distillation of data for human judgment
- Discovery with models

The table below introduces a review of the available literature according to different topics for data mining in E-learning. Table 1 includes the following information: reference, Data Mining techniques used (DM techniques), goal description, E-learning actors involved, and type of publication: Journal (J), International Conference (C), or Book Chapter (B).

<table>
<thead>
<tr>
<th>Reference</th>
<th>DM Techniques</th>
<th>Goal Description</th>
<th>E-learning actor</th>
<th>Type of Publication</th>
</tr>
</thead>
<tbody>
<tr>
<td>(Hwang, 1999)</td>
<td>Classification (Fuzzy reasoning)</td>
<td>Network-based intelligent testing and diagnostic system that can be used to guide the students to raise their learning status</td>
<td>Student</td>
<td>J</td>
</tr>
<tr>
<td>(Hogo, 2010)</td>
<td>Classification Clustering</td>
<td>Comparative study based on the use of different fuzzy c-means</td>
<td>Student</td>
<td>J</td>
</tr>
<tr>
<td>(Matsui, 2003)</td>
<td>Classification</td>
<td>Learning Process Assessment under the e-Learning Environment applying ID3 algorithm</td>
<td>Teacher</td>
<td>C</td>
</tr>
<tr>
<td>(Hwang, 2003)</td>
<td>Classification</td>
<td>Applying Concept effect relationship, (CER) model to Diagnosing Student Learning Problems in Science Courses.</td>
<td>Teacher</td>
<td>J</td>
</tr>
<tr>
<td>(Kotsiantis Pichrakeas, Pintelas, 2004)</td>
<td>Classification and Prediction</td>
<td>Using Naïve Bayes, kNN, MLPANN, C4.5, Logistic Regression and SVM to Predict</td>
<td>Teacher</td>
<td>J</td>
</tr>
<tr>
<td>(Yoo, J., Yoo, S., Lance, Hankins, 2006)</td>
<td>Classification and visualization</td>
<td>Student Progress Monitoring Tool Using Treeview (ADT tree)</td>
<td>Student, Teacher</td>
<td>C</td>
</tr>
<tr>
<td>(Muehlenbrock, 2005)</td>
<td>Prediction</td>
<td>Automatic Action Analysis in an Interactive Learning Environment using</td>
<td>Teacher</td>
<td>C</td>
</tr>
<tr>
<td>(Wang &amp; Shao, 2004)</td>
<td>Clustering Classification</td>
<td>Time-framed navigation clustering and association mining for Expert Systems</td>
<td>Student</td>
<td>J</td>
</tr>
<tr>
<td>(Rodrigo, Anglo, Sugay, Baker, 2008)</td>
<td>Clustering</td>
<td>Unsupervised Clustering to Characterize Learner Behaviors</td>
<td>Student</td>
<td>C</td>
</tr>
<tr>
<td>(Tsai, Tsen., &amp; Lin, 2001)</td>
<td>Classification</td>
<td>Integrating Aporti algorithm, fuzzy set theory and inductive learning (AQR algorithm) for Adaptive Learning Environment</td>
<td>Teacher</td>
<td>C</td>
</tr>
<tr>
<td>(Jeong, Biswas, Johnson, &amp; Howard, 2010)</td>
<td>Statistical Analysis</td>
<td>Applying hidden Markov model analysis, to</td>
<td>Student</td>
<td>C</td>
</tr>
</tbody>
</table>
Data Mining Techniques for Associations, Clustering and Classification are introduced in (Aggarwal & Yu, 1999). Surveys of Clustering Algorithms can be found in (Xu & Wunsch, 2005; Berkhin, 2006).

### 2.3 Process of Data Mining in E-Learning

Knowledge Discovery and Data mining (KDD) process is interactive and iterative; a brief description about each process as proposed by (Cios, Pedrycz, & Swiniarski 1998):

- Define the Goal of KDD Process.
- Selection of Target Dataset.
Data cleaning and preprocessing.
Data reduction and transformation.
Define a particular data-mining method.
Exploratory analysis and hypothesis selection.
Data mining: Searching for hidden patterns of interest.
Interpreting mined patterns.
Acting on the discovered knowledge.

The application of data mining in educational systems has specific requirements, mainly the need to take into account learners' specific behavior, including pedagogical aspects (Romero & Ventura 2007). The application of data mining in E-learning systems can be described as an iterative cycle (Romero, Ventura, & Garcia, 2007) where data mining applications contribute to enhancing learning, and also using mined knowledge for decision making. The E-learning data mining process consists of the same four steps (Romero & Ventura, 2007) in the general data mining process as follows:

1. Collect data. Interaction information is stored in the database of the LMS.
2. Preprocess the data. The data is transformed into an appropriate format.
3. Apply data mining. The data mining algorithms are applied to create and execute the model that discovers the knowledge and patterns of interest. In order to achieve this goal a data mining tool can be used.
4. Interpret, evaluate and deploy the results. The model obtained is interpreted and used by the educator for further analyses. The educator can use the information discovered to make decisions about e-learning system and process.

2.4 Data Mining Tools for Learning Management Systems

Several data mining tools which assist educator to extract knowledge and discover patterns can be used. Such tools can be generic or specific, commercial or open source. Some Examples of commercial data mining tools are: DBMiner, IBM SPSS Modeler (former SPSS Clementine), DB2 and Intelligent Miner (Kdnuggets, 2011) etc.

Examples of open source tools are Rapid Miner, Weka, Keel (Kdnuggets, 2011) etc. In order to offer a better and more flexible service to educators there have been developed several specific educational data mining tools: Tools for association and classification and text mining – The Mining tool, EPRules, Simulog, Sequential Mining tool, O3R and KAON (Zaïane & Luo, 2001), MultiStar and CIECoF (Silva & Vieira, 2002); Tools for statistics and visualization-Synergo/ColAT, GISMO, Listen tool TADAEd (Mazza & Milani, 2005) etc

3. Research Methods

3.1 Participants

In this study, some EDM techniques were applied in the “C Programming - CEN112” course taken by 29 Computer Engineering students at Epoka University, during Spring Semester of 2009-2010. Blended Learning was applied for this course.

3.2 Procedures and Instruments

Although Moodle LMS offers several reports on the students’ activities, they are not flexible enough to satisfy the educators’ needs for evaluating their interactions with the system (Mazza & Dimitrova 2007). The research methodology of this study has four components: (1) select and prepare a data set through summarization tables, (2) select data mining algorithms set, (3) perform data-mining experiments, (4) analyze experimental results (Romero & Ventura 2007). The goal was to understand and prepare the required data and apply data mining techniques that allow teachers to detect patterns of use for further evaluation. This work is based on log analysis of Moodle LMS by applying data mining techniques to student’s usage of data in order to evaluate web activity and to acquire knowledge about how the students learn on the E-learning environment.

Data mining techniques are used to build relationships among Moodle LMS system components (Uribe-Tirado, A., Melgar-Estrada, L.-M., & Bornacelly-Castro, J.-A., 2007; Romero, Ventura, & Garcia -
2007). Rapid Miner (v5.0) and Weka (v3.6.2) data mining tools are used to extract knowledge from the Moodle system. Data for the initial set of experiments in this study was derived from the Moodle logs. These data were analyzed from various levels and perspectives, in order to provide more insight in the overall educational system. From the level of an individual course user activity is considered, accomplishing assignments, quizzes project assignments, participation in forum and chat. This work focus on adopting data mining approaches for solving various educational data mining tasks by applying Attribute Weighting (Weighting by Information Gain, Relief, Hi-Squared, Uncertainty)), Clustering (K-Means), Classification(Tree Induction) and Association Mining (Apriori, FP-Growth, Create Association Rule, Generalized Sequential Patterns)

3.3 Applying Statistics and Visualization Techniques to Moodle Data

Moodle does not provide visualization tools but it offers log reports. Several graphical system tools can extract tracking from Moodle data and visualize them graphically. Moodle offers some statistical information in some of the modules (grades and quizzes) and has statistical quiz reports which show item analysis for representing the performance of each question for the function of assessment.

3.4 Mining Moodle Logs

Web usage mining, based on Moodle log files, tries to discover usage patterns by making use of data mining techniques with the purpose of understanding and better serving the user and the application itself.

Table 2 represents the summarization table created from the Moodle logs tables such as: mdl_user, mdl_user_students, mdl_log, mdl_assignement, mdl_assignment_submission, mdl_chat, mdl_char_user, mdl_forum, mdl_forum_posts, mdl_forum_discussion, mdl_message and mdl_quiz.

<table>
<thead>
<tr>
<th>Name</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>UserName</td>
<td>Name of User</td>
</tr>
<tr>
<td>ResourceView</td>
<td>Number of Courseware and Other Supporting Materials Views (action='resource view')</td>
</tr>
<tr>
<td>ChatTalk</td>
<td>Number of Chat Messages (action='chat talk')</td>
</tr>
<tr>
<td>BlogView</td>
<td>Number of Blog Views (action='blog view')</td>
</tr>
<tr>
<td>ForumRead</td>
<td>Number of Forum Reads (action='view forum')</td>
</tr>
<tr>
<td>ForumPost</td>
<td>Number of Forum Posts (action='forum add post')</td>
</tr>
<tr>
<td>DiscussionRead</td>
<td>Number of Discussion Reads (action='forum view discussion')</td>
</tr>
<tr>
<td>AssignmentView</td>
<td>Number of Assignments Views Participations (action='assignment view')</td>
</tr>
<tr>
<td>AssignmentUpload</td>
<td>Number of Assignment Answer Uploads (action=assignment upload')</td>
</tr>
<tr>
<td>QuizScore</td>
<td>Quiz Result (view quiz report)</td>
</tr>
<tr>
<td>AssignmentScore</td>
<td>Assignment Result</td>
</tr>
<tr>
<td>FinalMark</td>
<td>Final Mark</td>
</tr>
</tbody>
</table>

3.5 Ranking Moodle Activities

Moodle stores detailed records of students’ activities and the educator can access summarized reports about these activities according to the categories specified by the Moodle system (see Figure 1).
Although there are several activities such as messaging, forums and text chat to support collaboration of teachers and students, a full use of synchronous collaboration tools in Moodle is still missing. We have to take into consideration that it was the first semester that the Moodle LMS was used at Epoka University. The main activities are classified into: resource view, virtual classroom participation, archive view, assignment view, forum read, forum post, assignment upload, discussion read, and discussion post. The ranking table of students activities was created using Information gain, Relief, Hi-Squared, and Uncertainty (Quinlan 1993, Kononenko 1994) as the main activity evaluation metrics.

### 3.6 Applying Clustering Techniques

In E-learning, clustering has been used for finding clusters of students with similar learning characteristics and to promote group-based collaborative learning and to provide learner diagnosis (Tang & McCalla, 2005). Rapid Miner system has several clustering algorithms available. The K-Means (MacQueen, 1967), has been used here. Clustering techniques apply when the instances of data are to be divided into natural groups. In k-means algorithm (Hartigan 1975; Hartigan & Wong, 1979) clusters are specified in advance prior to application of the algorithm. (Berkhin, 2006) provides a good review of different data mining clustering techniques.

### 3.7 Applying Classification Techniques

In this case, the objective is to classify students into different groups with equal final marks depending on the activities carried out in Moodle. Rapid Miner system has several classification algorithms available. The Tree Induction operator (similar to C4.5 algorithm (Quinlan, 1993) is used to characterize students who passed or failed the course. The goal is to define a set of IF-THEN-ELSE rules from the decision tree that can show interesting information about the classification of the students. The tree induction algorithm in Rapid Miner works as follows: Whenever a new node is created, an attribute is picked to maximize the discriminative power of that node. Different split evaluation criteria can be selected by the user such as: ratio gain from C4.5, information gain from ID3, the Gini impurity measure from CART etc. (gain ratio was used in this case). The educator can use the knowledge discovered by these rules for making decisions about Moodle course activities and deciding to eliminate some activities related to low marks detect in time if they will have learning problems (students classified as FAIL). Decision Trees are able to estimate the importance of each factor and how it affects the model (Apte & Weiss, 1997).

### 3.8 Applying Association Mining Techniques

Rapid Miner and Weka offer several association mining techniques.
3.8.1. Applying Association Rule Mining – Apriori in Weka

Apriori algorithm (Agarwal, Imilienski, & Swami, 1993) was used for finding association rules over moodle tables. Apriori is a seminal algorithm (Agarwal & Srikant, 1994) for finding frequent item sets using candidate generation, by applying an iterative approach (level-wise search), where k-item sets are used to explore (k+1) item sets.

3.8.2. Applying FP-Growth and Create Association Rule in Rapid Miner

Rapid Miner has several association rule-discovering algorithms available. In the FP-Growth algorithm, the process of finding frequent item sets involves two steps – candidate item set generation and pruning. In Rapid Miner, the process of frequent item set mining can be divided into main operators: first, the generation of frequent item sets and second, the generation of association rules from these sets. For the generation of frequent item sets without candidate generation, we have used the operator FPGrowth. The result will be a set of frequent item sets, which served as input for Create Association Rule operator. This operator will create Association Rules, which express regularities that occur often in the learning and teaching process. The interest is restricted to those rules that predict with a high confidence.

3.8.3. Applying Sequential Pattern Mining – GSP in Rapid Miner

Sequential pattern mining tries to discover if the presence of a set of items is followed by another item in a time-ordered set of sessions. It was first introduced in the study of customer purchase sequences by Agrawal & Srikant, 1995). Sequential pattern mining algorithms (Agrawal & Srikant 1995; Ha, Bae, & Park, 2005) discover inter-session patterns. The input set is focused on raw pattern events or episodes and in order to identify the correct interesting sequences, further analyses with field experts should be considered. The following select query can be used in order to select the required data.

```
SELECT time, ip, userid, module, action, url
FROM moodle.mdl_log
WHERE course_id=5
```

4. Results

4.1 Ranking Results

The results of activity ranking are obtained using Rapid Miner v5.0 (see Figure 2). Table 3 presents the results obtained from applying gain attribute weighting method on the summarized table of students’ activities.
The results show that Resource View has the most dominant role in this ranking while the second place belongs to assignment upload. Results reveal a high weight for Discussion Read and Forum Read but a low weight for Forum Post, which points out that student are interested in such activities but the complementary action (Post) is missing, so the educator should enhance the use of the forum and discussion.

Table 3. Attribute Weighting by Information Gain, Relief, Hi-Squared

<table>
<thead>
<tr>
<th>Activity</th>
<th>Information Gain</th>
<th>Relief</th>
<th>Hi-Squared</th>
<th>Uncertainty</th>
</tr>
</thead>
<tbody>
<tr>
<td>AssignmentUpload</td>
<td>0.98</td>
<td>0.67</td>
<td>0.62</td>
<td>0.82</td>
</tr>
<tr>
<td>AssignmentView</td>
<td>1.00</td>
<td>0.78</td>
<td>0.63</td>
<td>0.83</td>
</tr>
<tr>
<td>ChatTalk</td>
<td>0.00</td>
<td>0.00</td>
<td>0.00</td>
<td>0.00</td>
</tr>
<tr>
<td>ForumPost</td>
<td>0.00</td>
<td>0.00</td>
<td>0.00</td>
<td>0.00</td>
</tr>
<tr>
<td>DiscussionRead</td>
<td>0.90</td>
<td>0.69</td>
<td>0.38</td>
<td>0.52</td>
</tr>
<tr>
<td>ForumRead</td>
<td>0.98</td>
<td>0.83</td>
<td>0.75</td>
<td>0.69</td>
</tr>
<tr>
<td>ResourceView</td>
<td>1.00</td>
<td>1.00</td>
<td>1.00</td>
<td>1.00</td>
</tr>
<tr>
<td>BlogView</td>
<td>0.93</td>
<td>0.65</td>
<td>0.37</td>
<td>0.53</td>
</tr>
</tbody>
</table>

4.2 K-Means Results

The educator can use the cluster centroid K-Means results as presented in Table 4 in order to group students into three types of students: very active students (cluster 0), active students (cluster 1) and non-active students (2). This information helps educator to group students for working together in collaborative activities (see Figure 3).

Figure 3. Rapid Miner executing K-Means Algorithm for CEN112 Course.

Students were divided in 3 groups based on their activities done in Moodle: Cluster 0 is characterized by most active students in Moodle, with high assignment number, which participated to the online quiz and have a moderately number of discussion and forum read; Cluster 1 is characterized by moderately active students in Moodle, with moderately assignment number, who participated or not to the online quiz; Cluster 2 is characterized by inactive students in Moodle with a low number of actions in the system.
Table 4. Rapid Miner K-Means Centroid Table

<table>
<thead>
<tr>
<th>Attribute</th>
<th>Cluster 0</th>
<th>Cluster 1</th>
<th>Cluster 2</th>
</tr>
</thead>
<tbody>
<tr>
<td>AssignmentUpload</td>
<td>17.4</td>
<td>4.85</td>
<td>1.33</td>
</tr>
<tr>
<td>AssignmentView</td>
<td>62.0</td>
<td>14.57</td>
<td>3.00</td>
</tr>
<tr>
<td>ChatTalk</td>
<td>0.00</td>
<td>0.11</td>
<td>0.00</td>
</tr>
<tr>
<td>ForumPost</td>
<td>0.00</td>
<td>0.04</td>
<td>0.00</td>
</tr>
<tr>
<td>DiscussionRead</td>
<td>2.00</td>
<td>0.64</td>
<td>0.00</td>
</tr>
<tr>
<td>ForumRead</td>
<td>8.60</td>
<td>2.07</td>
<td>0.00</td>
</tr>
<tr>
<td>ResourceView</td>
<td>34.6</td>
<td>22.96</td>
<td>4.33</td>
</tr>
<tr>
<td>BlogView</td>
<td>1.20</td>
<td>0.54</td>
<td>0.00</td>
</tr>
<tr>
<td>QuizNumber</td>
<td>1.00</td>
<td>0.86</td>
<td>0.33</td>
</tr>
</tbody>
</table>

4.3 Classification - Tree Induction Results

The Tree Induction algorithm used to predict students’ potential performance was focused on using student assessment (quiz score, assignment score and final mark) and Moodle usage (number of hits on Moodle system). Pessimistic pruning was applied to insure that the expected confidence levels obtained for predictions on the training data are similar to actual confidence levels obtained from unseen data (see Figure 4).

![Image of Rapid Miner executing Tree Induction Algorithm]

A set of IF-THEN-ELSE rules was generated from the decision tree operator, showing interesting information about the supervised classification of the students. These rules classify at least three main categories of students: students with a low number of assignments are classified as FAIL; students with medium number of assignments quizzes are classified as FAIL or PASS depending on their quiz score, and students with a high number of assignments are classified as FAIL, PASS or EXCELLENT depending on number of actions in the Moodle system etc. The rules generated from the Tree Induction Algorithm operator were:
n_assignment = HIGH
| n_actions = HIGH: GOOD {FAIL=0, GOOD=5, EXCELLENT=2, PASS=3, VERY GOOD=0}
| n_actions = LOW: GOOD {FAIL=0, GOOD=1, EXCELLENT=0, PASS=1, VERY GOOD=0}
| n_actions = MEDIUM
| | quiz_score = HIGH: EXCELLENT {FAIL=0, GOOD=0, EXCELLENT=2, PASS=0, VERY GOOD=0}
| | quiz_score = LOW: GOOD {FAIL=0, GOOD=6, EXCELLENT=2, PASS=0, VERY GOOD=1}
| | quiz_score = MEDIUM: EXCELLENT { FAIL=0, GOOD=1, EXCELLENT=2, PASS=0, VERY GOOD=0}
| n_actions = VERY HIGH: EXCELLENT {FAIL=0, GOOD=0, EXCELLENT=2, PASS=0, VERY GOOD=0}
| n_assignment = LOW: FAIL {FAIL=9, GOOD=1, EXCELLENT=0, PASS=0, VERY GOOD=0}
| n_assignment = MEDIUM
| | quiz_score = LOW: FAIL {FAIL=3, GOOD=1, EXCELLENT=0, PASS=1, VERY GOOD=0}
| | quiz_score = NULL: PASS { FAIL=1,GOOD=0, EXCELLENT=0, PASS=1, VERY GOOD=0}

4.4 Association Rule Mining Results

Association Rule Mining (ARM) was applied using two different tools: 1) FPGrowth, 2) Create Association Rule, in Rapid Miner; and the popular Apriori algorithm in Weka. Each rule obtained is accompanied by two meaningful measures, confidence and support, where confidence measures the percentage of transactions containing X that also contain Y, and support measures the percentage of transactions that contain X or Y.

4.4.1 Frequent Item Set (FPGrowth) Results

The results of FPGrowth (see Figure 5) are a set of frequent item sets which would be used as input for Create Association Rule operator. The most frequent item sets are presented in Table 5.

![Rapid Miner executing FPGrowth Algorithm](image-url)
### Table 5. Rapid Miner FPGrowth Item Sets

<table>
<thead>
<tr>
<th>Size</th>
<th>Support</th>
<th>Item1</th>
<th>Item2</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>0.722</td>
<td>FinalMark</td>
<td></td>
</tr>
<tr>
<td>1</td>
<td>0.528</td>
<td>ResourceView</td>
<td></td>
</tr>
<tr>
<td>1</td>
<td>0.361</td>
<td>AssignmentNumber</td>
<td></td>
</tr>
<tr>
<td>1</td>
<td>0.333</td>
<td>ForumRead</td>
<td></td>
</tr>
<tr>
<td>1</td>
<td>0.306</td>
<td>QuizPoints</td>
<td></td>
</tr>
<tr>
<td>2</td>
<td>0.417</td>
<td>FinalMark</td>
<td>ResourceView</td>
</tr>
<tr>
<td>2</td>
<td>0.306</td>
<td>FinalMark</td>
<td>AssignmentNumber</td>
</tr>
<tr>
<td>2</td>
<td>0.278</td>
<td>FinalMark</td>
<td>ForumRead</td>
</tr>
<tr>
<td>2</td>
<td>0.306</td>
<td>FinalMark</td>
<td>QuizPoints</td>
</tr>
<tr>
<td>2</td>
<td>0.222</td>
<td>AssignmentNumber</td>
<td>ForumRead</td>
</tr>
</tbody>
</table>

#### 4.4.2 Creating Association Rule Results

The result of running the process of FPGrowth operator will be a set of frequent item sets which could be used as input for Create Association Rule operator (see Figure 6). This operator has created several Association Rules, which express regularities that occur often. The most valuable rules are those that predict with a high confidence, presented in Table 6.

### Table 6. Rapid Miner Creating Association Rule

<table>
<thead>
<tr>
<th>Premisis</th>
<th>Conclusion</th>
<th>Support</th>
<th>Confidence</th>
<th>LaPlace</th>
<th>Gain</th>
<th>g-s</th>
<th>Lift</th>
<th>Conviction</th>
</tr>
</thead>
<tbody>
<tr>
<td>ForumRead</td>
<td>FinalMark</td>
<td>0.28</td>
<td>0.83</td>
<td>0.96</td>
<td>-0.39</td>
<td>0.0</td>
<td>0.1</td>
<td>1.66</td>
</tr>
<tr>
<td>Assignment Score</td>
<td>FinalMark</td>
<td>0.31</td>
<td>0.85</td>
<td>0.96</td>
<td>-0.42</td>
<td>0.0</td>
<td>1.1</td>
<td>1.80</td>
</tr>
<tr>
<td>Quiz Score</td>
<td>FinalMark</td>
<td>0.31</td>
<td>1.0</td>
<td>1.0</td>
<td>-0.31</td>
<td>0.0</td>
<td>1.3</td>
<td>Infinity</td>
</tr>
</tbody>
</table>

![Figure 6. Rapid Miner executing Create Association Rule Algorithm](image-url)
Summarizing the obtained rules, with support over 0.3 and confidence over 0.8, two main rules were identified concluding that Assignment and Quiz Score serve as predictors for Final Marks.

### 4.4.3 Apriori Results

Apriori algorithm (Agarwal et al., 1993) was applied for finding association rules over Moodle tables in Weka. In this research Apriori algorithm was used for identifying attributes characterizing patterns of performance differences between various groups of students.

Figure 7. Weka executing Apriori Algorithm

Best rules found are obtained are described as below:

1. QuizScore=HIGH 11 ==> FinalMark=PASS 11  conf:(1)
2. ResourceView=LOW AssignmentScore=HIGH 11 ==> FinalMark=PASS 11  conf:(1)
3. FinalMark=FAIL 10 ==> QuizScore=LOW 10  conf:(1)
4. QuizScore=HIGH AssignmentScore=HIGH 10 ==> FinalMark=PASS 10  conf:(1)
5. AssignmentNumber=LOW ResourceView=LOW QuizScore=LOW 9 ==> ForumRead=LOW 9 conf:(1)
6. ResourceView=LOW QuizScore=LOW 13 ==> ForumRead=LOW 12 conf:(0.92)
7. QuizScore=HIGH 11 ==> AssignmentScore=HIGH 10 conf:(0.91)
8. FinalMark=PASS ResourceView=HIGH 11 ==> AssignmentScore=HIGH 10 conf:(0.91)
9. FinalMark=PASS QuizScore=HIGH 11 ==> AssignmentScore=HIGH 10 conf:(0.91)
10. QuizScore=HIGH 11 ==> FinalMark=PASS AssignmentScore=HIGH 10 conf:(0.91)

Summarizing the obtained Apriori rules, with support over .3 and confidence over .9, and comparing them with the rules obtained from the two step process in Rapid Miner as described in the previous section, the results set were quite similar by concluding that Assignment and Quiz Score served as predictors for Final Marks.

### 4.4.5 Generalized Sequential Patterns (GSP) Results

By applying Generalized Sequential Patterns (GSP) to summarization of Moodle logs table from, possible sequence candidates were identified (see Figure 8).
The GSP window width parameter was set to $w = 5$ minute, because the most interesting items are those that come in a close chronological sequence. GSP operator processed 6866 transactions with minimum support of 0.7 (min support was decreased from 0.9 to 0.7). The results included sequences like: \{assignment view, assignment upload, resource view\}, \{resource view, assignment view, assignment upload\} etc. Due to the low amount of data related to collaborative activities (forum, chats etc) the sequential patterns discovered for the CEN112 Course were not very interesting. Interpreting GSP patterns enable how to best organize the educational web space and be able to make suggestions to learners who share similar characteristics (Ha et al., 2000).

5. Discussion

Several data mining techniques such as: Attribute Weighting (Weighting by Information Gain, Relief, Hi-Squared, Uncertainty), Clustering (K-Means), Classification (Tree Induction), Association Mining (Apriori, FPgrowth, Create Association Rule, GSP) were applied to Moodle summarization tables.

By applying clustering methods, the goal was to split data set in groups of data points that naturally group together. Student actions were clustered together in order to investigate patterns of students behavior in the Moodle System. KMeans algorithm was used to define clusters, which starts with no prior knowledge about groups in the data.

By using prediction techniques, the goal was to develop a model that can infer predicted variables from predictors’ variables. Inductive Decision tree algorithm was selected as classification method. The predicted variable was the categorical variable Final Mark. The target was to define variables that significantly affect in the Final Mark.

By applying ARM, the goal was to discover relationships between variables. FPgrowth, Create Association Rule and APRIORI algorithms were selected as association rule mining techniques. The rules obtained can be explained in the form that if some set of variable values is found, another variable will have a great chance to have a specific value.

6. Conclusions

In this research, a data mining model for Moodle data was proposed based on several techniques: Attribute Weighting (Weighting by Information Gain, Relief, Hi-Squared, Uncertainty), Clustering (K-Means), Classification (Tree Induction), Association Mining (Apriori, FPgrowth, Create Association Rule, GSP) was proposed. This educational data mining work allowed identifying and locating information about E-learning processes that need improvements, or those that perform very well and

Figure 8. Rapid Miner executing GSP Algorithm
could be used as good examples. The educational data mining investigated in this research allows analyzing and better understanding the learning and teaching processes by applying data mining techniques. The experimental results have shown that the data mining model presented was able to obtain comprehensible, actionable and logical feedback from the LMS data describing students' learning behavior patterns.

This work concentrated on the overall LMS performance at Epoka University and the mining process of Moodle data. Mining the Moodle data allowed identifying the most effective ways to the teaching process that can be used to enhance the education process. To further test the effectiveness of the proposed model and to increase the generality of this research, more extensive experiments should be conducted by using larger LMS data sets.

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Examining the Effects of Nonprofit Brand Communications on Nonprofit Brand Evaluation

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Abstract Despite the importance for the nonprofit organizations to communicate with the donors to receive support from them in the nonprofit sector, there have been surprisingly few researches examining communication and fundraising in the nonprofit sector. To receive more support from the donors, nonprofit organizations should provide information about the needy, the organization itself, and its activities not just to donors, who might be accepted as customers, but to the public in general as well. Nonprofit organizations like profit organizations communicate with the environment mainly in two ways: controlled and uncontrolled communication. Having a strong brand also helps nonprofit organizations to send messages to the donors. The effects of these communication tools on donors' satisfaction, brand attitude, and giving intentions are examined in this paper. Results reveal that controlled communication and brand name play an important role in providing information to donor and affecting their satisfaction, attitudes and behaviors.

Keywords: Nonprofit Sector, Donating Behaviors, Communication Types, Nonprofit Brand

1. Introduction

Jeremy Rifkin (1995) theorized that third sector organizations will increasingly act in the market place and would likely provide more basic services to people who need help. Unlike the organizations in the profit sector, nonprofits do not operate to advance their own (or supporters) interests. Instead, they use society’s resources and goodwill to meet society’s needs, delivering to them both social and psychological benefits usually without remuneration (Andreasen and Kotler 2003). Not only have their numbers increased, but the scope of their work has widened also, to the point where they are involved with almost every aspect of human endeavor. These endeavors include home making, child rearing, volunteering, and community activity (Macarow, 1995). It is also predicted that increased growth of the aged population, economic crisis, changes in the working population, and escalation in permanent unemployment will increase the need of nonprofit organizations’ charity campaigns. This increase in disadvantaged populations brings about a rising need for social welfare services, which in turn increases the sense of community of the nonprofit sector and solidifies the spirit of its origins.

This rise in the number and significance of nonprofits has not been without its problems however. The nature and structure of the nonprofit sector continues to evolve in response to new challenges and opportunities. The nonprofit sector now consists of many players who compete with one another for scarce public and private funds. The fact that there has been a sharp increase in the number of registered nonprofit organizations has contributed to the creation of an ever more hostile fundraising environment. To exacerbate this situation, for some reasons donors are becoming increasingly reluctant to provide resources to support the activities of such organizations. In many countries, levels of individual giving have failed to keep pace with both the increase in the number of nonprofit organizations and the levels of need which these organizations exist to provide for (Sargeant, 1999). The problem of trust to the nonprofit organizations because of the abuse of the donations is another big issue nonprofit organizations should deal with. As a result, the principle focus for many nonprofit organizations is toward
attracting and raising funds and establishing viable partnerships with organizations (Lowell et al., 2001).

Many nonprofits now appreciate the role that marketing can play in achieving such significant objectives. Since Kotler and Levy’s (1969) proposal to broaden the marketing concept, nonprofit researchers have examined a wide range of issues such as pricing, competition, service quality, promotion, customer satisfaction, and relationship marketing, and etc. (Rees, 1998). That nonprofit organizations have begun to develop marketing strategies is not surprising when one considers the above mentioned challenges facing the industry and organizations today. Therefore, nonprofit organizations clearly need to understand far more about the factors that can affect nonprofit marketing activities and to tailor their approach to ensure that as wide as possible segments of societies have positive evaluation of their activities.

As discussed above, the range of work and the number of voluntary organizations have grown rapidly, which has led to greater competition for both financial and human resources. To reach such resources and others, the sector is trying to adopt a wide range of marketing activities developed in profit sector (Bussell and Forbes, 2001; Bennett and Sargeant, 2005). An important marketing concept which has received so much attention and researched is communication of organizations with the environment. If nonprofit organizations want to survive, they have to refine both communicating and the targeting of their activities. So communication of nonprofit organizations should be researched with great care.

Donation actually is an interactive selection process, and then it would be a mistake to ignore impacts of recipient organizations on donor attitudes, behaviors and satisfaction. It is, therefore, necessary to delineate the communication of the support of nonprofits, to explore the nature of the relationship between these, and individual donor giving intention. It is the purpose of this article to address the way nonprofit organizations provide information to the donors and supporters of nonprofit organizations to increase their resources. In this article a detailed review of the available research was done and three models explaining communication ways were examined. The article will conclude by establishing an agenda for future researches.

2. Literature Review

A nonprofit organization’s ability to fulfill its mission depends on its fundraising capabilities. Without a stable stream of income a nonprofit organization cannot continue to complete its philanthropic work. Thus, nonprofit organizations that are heavily involved in raising public awareness of social issues need to possess excellent marketing communication capabilities. Marketing communication methods are explored as they relate to marketing communications for nonprofit organizations as well. Most widely used ones are advertising, direct and interactive marketing, public relations, and personal selling. Each medium has unique capabilities, while possessing some limitations as well. The effective marketing communications strategy will leverage the advantages while minimizing the disadvantages.

Nonprofit organizations obtain their revenue from a wide range of sources (Lyons, 2001). Such sources of revenue include income from the people who consume and pay for the services of a particular organization, membership fees from those who may choose to join a particular organization, fundraising, government contracts and grants, interest or rents received from investments and other business activities.

Fundraising revenue can come from the public via a great variety of appeals, from bequests, from business as donations, sponsorships or grants as well as from trusts and foundations. Some large nonprofit organizations, for example, use various fundraising techniques such as telemarketing. While fundraising techniques and activities vary, there is general consensus that fundraising is a philanthropic or altruistic activity, carried out for the benefit of a particular cause or issue rather than for commercial profit or benefit (Zappala and Lyons, 2006).

The issue of how and why individuals elect to offer their help to nonprofit organizations has been an issue for philosophers and economists since the early times. It is only comparatively recently, however that marketing’s contribution to the subject has been recognized and some authors have now demonstrated its utility (Guy and Patton, 1989). Organizations that do promotion activities tend to be more effective in communicating organizational values to stakeholders, changing public opinion, building donor trust, achieving objectives and attracting a higher proportion of voluntary income. Authors such as Glaser (1994) and Sargeant et al. (2001) have suggested that nonprofit organizations’ communication affects how donors perceive the management of the organization, its performance, and a variety of benefits that might accrue to the individual and to the society from giving.

Donors are becoming ever more susceptible to the increasingly diverse sets of stimuli to which
they are exposed. Whatever form the communication might take, it tends to impact on a potential donor's perceptual reaction. In particular, donors receiving messages are statistically more likely to respond to the messages (Benson and Catt, 1978) and can have an impact on recall, attitudes towards support, and actual giving behavior. For example, the portrayal of the individuals in need in the advertisements act as a strong stimulus to impact perception of the individuals.

There are so many external inputs to the decision making process of individuals. Nonprofit organizations currently engage in a various fundraising techniques employing communication methods such as direct mail, telemarketing, face-to-face canvassing, door-to-door distribution, press advertising and, increasingly, radio advertising and DRTV (Direct Response Television). The use of each of these media is potentially capable of generating a response from the individuals targeted. In the case of a number of the larger nonprofit organizations, it has been argued that this process has been greatly facilitated by the presence of a well-known and 'trusted' brand and their effective communication (Sargeant, 1999).

Mainly, nonprofit organizations communicate with their customers in two ways: controlled and uncontrolled. While advertising and promotional activities are seen as controlled communication, word-of-mouth and non-paid publicity are considered as uncontrolled communication. Because nonprofit organizations have limited financial resources they do not apply controlled communication so often. Nevertheless, donors get information about the nonprofit organizations mainly through WOM and non-paid publicity. In effect, it is argued that positive WOM communication may cause the information of a favorable attitude toward the nonprofit brand, which implies uncontrolled communications can exert significant influence on donors’ decisions. Other than these two types of communication, nonprofit brands are important purveyors of information to donors. Stern (1983) mentions that “a good brand name can save millions of dollars over the product’s life because it carries its own meaning, describes the product’s advantages, is instantly recognized and serves to differentiate the product significantly from other competitors”. Moreover, in the nonprofit context, brand names are accepted to be vital part of the brand and significant information source to the donor, for in most situations the attributes of service are difficult to communicate through other means.

2.1. Controlled Communication

Nonprofit organizations can clearly approach donors and communicate with them in a variety of different ways. Reference has already been made to the variety of media that can be used for the purposes of solicitation and the literature suggests that the profile of the donors recruited by each of these means will vary in terms of their demographic, lifestyle and behavioral characteristics. It also appears obvious that the approach adopted within each respective media will affect the pattern and amount of support exhibited (Sargeant, 1999).

The organization’s beliefs need to be communicated appropriately to the intended audiences. The channels chosen for this need to reflect the nonprofit organization’s mission are significant. Different communication channels are appropriate for different nonprofit organizations because of the nature of their activities and their audiences. Advertisement is one of the most visible, recognizable, and memorable elements of organizational communication for nonprofits. Advertising is an important and widely used tool of communication with large array of people. For instance, nonprofit organizations providing services adopt a rational or informational approach to reduce uncertainty and increase donors’ satisfaction, their attitudes, and the likelihood of future donating intentions (Stafford and Day, 1995). While some nonprofit organizations spend sizable sums on advertising, many more rely on public service announcements (PSAs) for the reason that they do not have enough resources and for the fear that marketing activities might be disregarded by the people.

2.2. Uncontrolled Communications

Word-of-mouth (WOM) communication has long been considered important in influencing donor’ attitudes and decision-making processes. Furthermore, WOM is believed to be much more trustworthy than any other influence, because the communicators are independent in the environment, and are usually our friends and family, that is, the people we trust (Derbaix and Vanhamme, 2003). Therefore, when people face a high-risk situation and as the difficulty of the task and the number of information sources increase, they depend heavily on WOM messages. In essence, risk reduction is one of the most important motives for donors to seek WOM communication (Lin and Fang, 2006).
Word of mouth engenders a stronger sense of relationship and has also been found to increase compliance (Aune and Basil, 1994). In effect, there is now strong evidence to suggest that on commencing a solicitation, asking people how they feel, then acknowledging their response and then asking for a donation greatly enhances compliance.

Both advertising and media publicity seek to deliver a message to a mass audience, but advertising is typically paid for while media publicity is “free and sometimes uncontrolled.” Nonprofit organizations cannot afford large amounts of money to allocate to communication. This is why for so many nonprofit organizations word-of-mouth and public relations possess advantages so extensively.

Word-of-mouth and non-paid publicity have stronger influence on donor satisfaction, brand attitudes, and donor behavior than controlled communication tools (Swanson and Kelley, 2001). The reason for that is communications that are not for market purpose are believed to have more credibility for the public (Mangold et al., 1999). Uncontrolled communications which appear in the form of word-of-mouth and non-publicity have the effect of enhancing brand attitudes. On the other hand, when they are negative, they have the capacity to diminish positive brand attitudes (Ennew et al., 2000). It is argued that negative uncontrolled communication has greater effect on brand attitudes than does controlled communication. Word-of-mouth and non-paid publicity, which are mostly derived from personal sources, are significant sources of information for the donors to judge the services provided by non-profit organizations and influence short and long term judgments (Bone, 1995).

Media publicity relies on media gatekeepers to communicate the message of the nonprofit organizations. Media coverage generated by media often carries added clout because it can be perceived as an independent endorsement instead of organizational self-promotion (Hall, 1993). Nonprofit organizations may use strategies by understanding public relations and publicity tools available to the organizations and how to best utilize them. Common strategies include news releases, special events, speakers’ bureaus, sponsorships and newsletters.

Several reasons for nonprofit organizations to think that media publicity is a particularly valuable resource exist. First, it is a way to assure that their money is used wisely to accomplish nonprofit organizations’ mission (Swanson and Kelley, 2001). Financial contributors must trust the organization to use donations in an altruistic, charitable, or socially important way. When nonprofit organizations have their activities reported in the news, they are able to reassure existing and prospective supporters that their donations are being put to good use. Media publicity is also a valuable resource for nonprofit organizations seeking to justify their activities to politicians, a group that is an increasingly important second constituency for the voluntary sector. Even though the choice of influence tactics is likely to depend on the material resources available to an organization, access to the major media is an invaluable resource. Although there is little question that media publicity is important for contemporary nonprofit organizations, not much research has been directed to assessing those resources and organizational characteristics that are most important for getting media attention.

2.3. Brand Names

Wray (1994) was one of the first explicitly to debate the need of branding to the nonprofit sector, suggesting that in the nonprofit sector context a strong brand should both draw on, and project the beliefs and values of its various stakeholders. Brand names can greatly aid a donor's understanding of the nonprofit organization concerned and suggest very potent reasons why it might be worthy of support. It is only comparatively recently, however, that there has been much formal interest in branding within the nonprofit sector and nonprofit organizations have long been concerned with maintaining a consistent style and tone of voice and conducting periodic reviews of both policies and actions to ensure that a consistent personality is projected. In the author's view, the clarity with which this 'personality' is projected will have a direct impact on an organization's ability to fundraise (Grounds and Harkness, 1998).

Brand names play an integral role in the marketing of non-profit organizations, with a good brand name being argued to create high levels of brand awareness, stimulate strong consumer preference, and contribute to the success of the organization (Hassay and Peloza, 2009). In effect, many researchers mention the importance of brand names in donor evaluations of brand, in that, brand names help the donors in recalling the benefits of non-profit organizations’ services (Janiszewski and van Osselaer, 2000) in making service inferences and evaluations. Hence, it cannot be disputed that brand names are a valuable source of information to donors.

Brand names are partially controlled and partially uncontrolled. It is accepted as a controlled
communication due to the fact that nonprofit organizations create brand image and provide brand knowledge via advertisements. Managers of nonprofit organizations target, create message, select media and evaluate campaign. On the other hand, the meaning that is attached to or transmitted by the brand name comes from other sources as well (Hassay and Peloza, 2009). For instance, the users’ personal experiences and what is known of others’ experiences with the brand will result in information and meaning being attached to the brand name in memory.

Degeratu et al. (2000) note that the brand name is weighted as even more important when there is lack of available information, as the brand name becomes a surrogate for attribute information that is missing. Because of the nature of services of nonprofit organizations where little information is available to donors in their evaluations before they donate, the brand name may well prove to be an important source of information. In effect, some researchers support that because of the difficulty in nonprofit service evaluation, the nonprofit service brand name is a vital component of the brand and important information to the user.

In essence, like the decision of purchasing certain commercial product, decision making of donation on which nonprofit a donor should elect to give will be affected by nonprofit brand, because brand provides a uniqueness that can allow donors to distinguish a nonprofit brand from competitors (Beverly et al., 2005). Findings of the many researches suggest that branding plays an important role in shaping stakeholder attitudes and actions (Bendapudi, et. al., 1996). This signals the importance of creating and sustaining a desirable brand name and individual donors are strongly influenced by brand name in their giving intentions or behaviors (Hou, et. al., 2009).

Extrinsic cues enhance confidence in donors by predicting performance of nonprofit organizations (Bearden and Shimp, 1982). Brand name is one of the most significant cues, which are organization-related attributes not involved with the organizations’ functional aspects, that donors make use to evaluate products. When they don’t have experience about these organizations, donors employ extrinsic cues. In many researches it has been indicated that brand name can help donors decrease search cost and cognitive effort while evaluating the nonprofit organizations, and therefore reduce their perception of risk related to quality.

Bearden and Shimp (1982) mentioned that reputation of the brand is a significant factor in decreasing the risk perception of the donors. Therefore, if a brand is well-known, donors perceive less risk (Kapferer, 2002). The brand perception is defined as the total impression that donors have of a brand, based on their exposure to the brand. This consists of both the image that donors form of the brand and their experience with the brand. Some brands have a strong mental image among donors even if they do not have much experience, while the perception of other brands will be more based on experience (Gelder, 2004). Therefore, it can be posited that donors’ attitudes and behaviors vary towards different nonprofit organizations. Tapp (1996) proposed that an excellent nonprofit organization image is a significant determinant of donation income. On the other hand, it influences donor preferences for brand choice, and then generates "halo effects" vis-à-vis a wide range of organizational activities.

Donors use a variety of associations to form an overall evaluation of functionality of the services of nonprofit organizations. The associations used by donors are related with perceived attributes or features services. Although products have so many attributes, donors do evaluation about overall perception of nonprofit organizations on several attributes, and in some cases they may make use just on attribute (Huang and Ai-Ping, 2003). Brand-specific associations refer to “features, attributes, or benefits that donors link to a brand and that differentiate it from the competition”.

2.4. Satisfaction

Satisfying the donors is an imperative for nonprofit organizations because satisfied donors develop positive brand attitudes and repeat their donation (Spreng et al., 1995). It is put forward that effective communication affects donor’s satisfaction level of a nonprofit organization’s activities. Spreng et al (1995) argue that overall satisfaction with brand consists of satisfaction with services provided by the nonprofit organization and satisfaction with the information. They describe information satisfaction as a subjective judgment of the information used in donating to an organization.

Donor satisfaction can be explained with the expectancy disconfirmation model. This theory suggests satisfaction with consumption experiences depends on expectations, performance, and disconfirmation (Smith and Balton, 2002). Thus, donors’ satisfaction depends on their expectations of nonprofit organizations’ activities and decisions, their performance, and dis/confirmation of expectations. Donors have expectations about the results of the nonprofit organizations’ activities and decisions and
they evaluate their performance by checking how much their expectations are met. The more their expectations are met, the more satisfied they become.

2.5. Brand Attitudes

Brand attitudes, which are defined as “the donor’s overall evaluation of a brand- whether good or bad”, encapsulate the meaning that donors attach to brands, in turn affecting their giving behavior (Low and Lamb, 2000). Thus, positive brand attitudes are crucial to the success and sustainability of brands in the long run. That is why clever managers of nonprofit organizations expend considerable effort on creating and maintaining positive attitudes towards their brands and this is usually achieved through the brand’s communication. In creating positive brand attitudes advertising has a significant role like non-paid publicity and word-of-mouth (Kempf and Smith, 1998). However, while nonprofit organizations can control information provided to the donors in advertising, it is not possible to do it with word-of-mouth and publicity. When donors are provided negative information via word-of-mouth and publicity, positive brand attitudes may easily be reduced. Like communication tools mentioned above, brand names can be used as a powerful communication tool to develop positive brand attitude in the donors. As brand names have the ability to evoke feelings such as trust, confidence and the like, they should not be overlooked as a valid and beneficial way of communication in creating brand attitudes.

Brand attitudes determine what donors like and dislike about the nonprofit brand. Likeability has been comprehensively researched in the field of advertising, with findings indicative of a positive relationship to advertising effectiveness. Similar relationships have also been found out between positive brand attitudes and brand loyalty. As such, it is important that organizations ascertain the level of ‘brand likeability’ and identify which aspects are the most or least preferred amongst stakeholders. In the promotional activities such aspects should be stressed to affect the perception of donor. This may have an impact upon the subsequent behavior of stakeholders (Webb et al. 2000) and ultimately organizational performance. To attract more funds in the nonprofit sector, nonprofit organizations need to devise strategies for cultivating positive attitudes using effective communication tools.

2.6. Donating Intentions

The ultimate goal of managers of nonprofit organizations is to develop the desired behavioral response towards the brand. Arora and Stoner (1996) and other researchers have found out that a positive relationship exists between attitude toward the brand and behavioral intentions. While donor response variables such as satisfaction, brand attitudes and behavioral intentions, have long been researched in various contexts, few studies have compared the influence that different types of communications have on donor response to nonprofit brands (Peloza and Hassay, 2007; Hibbert and Home, 1995).

Diffusion of innovation theory, stresses the importance of communication people need to develop some kind of attitudes and behaviors. Some other researchers also stress the significance of communication to affect the donors giving intentions. For example, Petty, Cacioppo, and Schumann (1983) examines how advertising affects attitude change and they posit “a person’s diligent consideration of issue relevant information central to the true merit of a particular attitudinal position.” So it can be concluded that communication tools associate nonprofit with positive or negative cues. Thus, managers of nonprofit organizations should spend effort to send messages to the donors through relevant communication tools to associate the nonprofit organization with positive cues. These positive cues might consist of their activities which are successful in helping the needy. Hibbert and Horne (1996) advocate that greater understanding of stimuli in donation is important for different levels and types of donation in order to elicit optimal responses. Particularly, providing information about both the activities of the nonprofit organization and the situations of the needy may stimulate the giving intentions of donors.

Based on the literature survey, following hypotheses were developed and they are depicted in the models below:

H1: Brand names affect satisfaction positively.
H2: Controlled communication affects satisfaction positively.
H3: Uncontrolled communication affects satisfaction positively.
H4: Brand names affect brand attitudes positively.
H5: Controlled communication affects brand attitudes positively.
H6: Uncontrolled communication affects brand attitudes positively.
H7: Brand names affect donating intentions positively.
H8: Controlled communication affects donating intentions positively.
H9: Uncontrolled communication affects donating intentions positively.

Models

3. Methodology

3.1. Measures

The survey began by asking respondents to nominate from one nonprofit brand that they were familiar with. They were then asked to respond to the survey questions keeping their chosen brand in mind as their frame of reference. Controlled communications were measured using an adapted version of measure developed by Holbrook and Batra (1987) to measure attitude toward the advertisement. Uncontrolled communications was measured with adapted version of Bansal and Voyer’s (2000) measure of the influence of word-of-mouth on service purchase decisions. Brand name was measured with the scale developed by Grace and O’Cass (2005) and satisfaction was measured with the scale used by Caruana et al. (2000). Brand attitude was measured with scale developed by Yoo and Donthu (2001). Finally, donating intentions were measured with the scale adapted by Oliver and Swan (1989). Scales were all five-point and ranged from “strongly agree” (5) to “strongly disagree” (1).

The measurements had been standardized and validated by other researchers. Measures were pilot tested using managers of nonprofit organizations. The questionnaire was also reviewed by some other academicians. An independent samples t-test was done to test non-response bias to compare responses between early and late respondents. Results indicated that there were no significant differences between early and late respondents so it can be assumed that the probability of non-response bias is minimal.

The data underwent a number of preliminary evaluation procedures, such as exploratory factor analysis (EFA) and reliability analysis. Reliability coefficients were estimated via Cronbach’s alpha in order to be assessed against the suggested level of 0,70 (Sureshchandar et al., 2001). EFA was conducted via principal component factor analysis using varimax rotation and factors with eigenvalues greater than 1 were identified and items with factor loadings less than 0,50 were deleted and two items measuring controlled communications and one item measuring uncontrolled communication were deleted. In addition, any items exhibiting cross-loadings greater than 0,4 were at this point, also removed from the analysis (O’Cass, 2002). Finally, construct validity was assessed using contemporary analytical guidelines recommended by Anderson and Gerbing (1988). All factor loadings and reliability estimates are presented in Table 1 along with the survey items. Having established that the data were suitable for further analysis to address the research questions, composite variables were computed and regression analyses conducted.

<table>
<thead>
<tr>
<th>Survey item</th>
<th>Mean</th>
<th>Std. Dev.</th>
<th>Loading</th>
</tr>
</thead>
<tbody>
<tr>
<td>Brand name</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>The brand name of this organization tells me a lot about what to expect.</td>
<td>4,10</td>
<td>0,86</td>
<td>0,82</td>
</tr>
<tr>
<td>The brand name of this organization tells a lot about this organization.</td>
<td>3,95</td>
<td>0,89</td>
<td>0,83</td>
</tr>
</tbody>
</table>

Table 1. Questionnaire
<table>
<thead>
<tr>
<th></th>
<th>Rating</th>
<th>Reliability</th>
</tr>
</thead>
<tbody>
<tr>
<td>The brand name of this organization means something to me.</td>
<td>4,26</td>
<td>0,73</td>
</tr>
<tr>
<td>The brand name of this organization sends a message to me.</td>
<td>4,32</td>
<td>0,80</td>
</tr>
<tr>
<td>The brand name of this organization tells me everything I need to know.</td>
<td>3,90</td>
<td>0,97</td>
</tr>
<tr>
<td>Reliability</td>
<td></td>
<td>0,83</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Controlled communication</td>
<td></td>
<td></td>
</tr>
<tr>
<td>I like the advertising and promotions of this organization.</td>
<td>4,18</td>
<td>0,77</td>
</tr>
<tr>
<td>I react favorably to the advertising and promotions of this organization.</td>
<td>4,32</td>
<td>0,63</td>
</tr>
<tr>
<td>I feel positive toward the advertising and promotions of this organization.</td>
<td>4,26</td>
<td>0,81</td>
</tr>
<tr>
<td>The advertising and promotions of this organization are good.</td>
<td>3,91</td>
<td>0,93</td>
</tr>
<tr>
<td>The advertising and promotions of this organization do a good job.</td>
<td>3,80</td>
<td>0,92</td>
</tr>
<tr>
<td>I am happy with the advertising and promotions of this organization.</td>
<td>4,13</td>
<td>0,89</td>
</tr>
<tr>
<td>Reliability</td>
<td></td>
<td>0,82</td>
</tr>
<tr>
<td>Uncontrolled communication</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Publicity revealed some things I had not considered about this organization.</td>
<td>3,65</td>
<td>1,21</td>
</tr>
<tr>
<td>Publicity revealed some different ideas about this organization.</td>
<td>3,51</td>
<td>1,10</td>
</tr>
<tr>
<td>Publicity helped me formulate my ideas about this organization.</td>
<td>3,75</td>
<td>1,09</td>
</tr>
<tr>
<td>Publicity influenced my evaluation of this organization.</td>
<td>3,71</td>
<td>1,10</td>
</tr>
<tr>
<td>My friends/family have been significant in affecting my views about this organization.</td>
<td>3,29</td>
<td>1,23</td>
</tr>
<tr>
<td>My friends/family mentioned things I had not considered about this organization.</td>
<td>3,29</td>
<td>1,19</td>
</tr>
<tr>
<td>My friends/family provided some different ideas about this organization.</td>
<td>3,25</td>
<td>1,23</td>
</tr>
<tr>
<td>My friends/family helped me formulate my ideas about this organization.</td>
<td>3,38</td>
<td>1,20</td>
</tr>
<tr>
<td>My friends/family influenced my evaluation of this organization.</td>
<td>3,24</td>
<td>1,25</td>
</tr>
<tr>
<td>Reliability</td>
<td></td>
<td>0,87</td>
</tr>
<tr>
<td>Satisfaction</td>
<td></td>
<td></td>
</tr>
<tr>
<td>I am very satisfied with the service provided by this organization.</td>
<td>3,93</td>
<td>0,94</td>
</tr>
<tr>
<td>This organization does a good job of satisfying the needs of society.</td>
<td>4,04</td>
<td>0,92</td>
</tr>
<tr>
<td>The services provided by this organization are very satisfactory.</td>
<td>3,84</td>
<td>0,96</td>
</tr>
<tr>
<td>I believe that using the services provided by this organization is usually a very satisfactory experience.</td>
<td>3,88</td>
<td>0,87</td>
</tr>
<tr>
<td>I made the right decision when I decided to support this organization.</td>
<td>4,24</td>
<td>0,75</td>
</tr>
<tr>
<td>Reliability</td>
<td></td>
<td>0,87</td>
</tr>
<tr>
<td>Brand attitude</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Overall, I think the services of this organization are good.</td>
<td>4,18</td>
<td>0,71</td>
</tr>
<tr>
<td>Overall, I think the services of this organization are nice.</td>
<td>4,04</td>
<td>0,88</td>
</tr>
<tr>
<td>Overall, I think the services of this organization are very attractive.</td>
<td>4,01</td>
<td>0,86</td>
</tr>
<tr>
<td>Overall, I think the services of this organization are very desirable.</td>
<td>4,18</td>
<td>0,78</td>
</tr>
<tr>
<td>Overall, I think the services of this organization are extremely likeable.</td>
<td>4,01</td>
<td>0,91</td>
</tr>
<tr>
<td>Reliability</td>
<td></td>
<td>0,87</td>
</tr>
<tr>
<td>Donating intentions</td>
<td></td>
<td></td>
</tr>
<tr>
<td>I am likely to support this organization in the future.</td>
<td>4,20</td>
<td>0,87</td>
</tr>
<tr>
<td>I will probably support this organization in the future.</td>
<td>4,07</td>
<td>0,92</td>
</tr>
<tr>
<td>I will possibly support this organization in the future.</td>
<td>3,53</td>
<td>1,25</td>
</tr>
<tr>
<td>I have every intention of supporting this organization in the future.</td>
<td>4,07</td>
<td>0,92</td>
</tr>
<tr>
<td>Reliability</td>
<td></td>
<td>0,73</td>
</tr>
</tbody>
</table>
3.2. Sample

Table 2 shows demographic features of the respondents in the survey. 150 People were reached to carry out the survey, but in total 136 surveys were obtained and used in the analyses. An analysis of the demographics revealed that 51.9 percent were female and 48.1 were male. 72.8% of respondents were between 17 and 30, who might be considered as young people. 18.4 percent of the respondents were between 31 and 40, who might be considered as middle aged. 5.1% of people were 51 and above. 19.1% of respondents were graduate, 27.2 were undergraduate, 43.4 had high school education, and 10.3 had secondary school education. Respondents who earned more than 3000 dollars monthly were 3.4%, people who earned 2999-2000 constitute 5.8%, 27.5% of the respondents earned between 1999-1000, 22.5% earned between 999-500 and 22.5% earned 499 and less.

Table 2. Demographic Features of Respondents

<table>
<thead>
<tr>
<th>Sex</th>
<th>Female</th>
<th>Male</th>
</tr>
</thead>
<tbody>
<tr>
<td>%</td>
<td>51.9</td>
<td>48.1</td>
</tr>
<tr>
<td>Age</td>
<td></td>
<td></td>
</tr>
<tr>
<td>%</td>
<td>17-30</td>
<td>31-40</td>
</tr>
<tr>
<td>%</td>
<td>72.8</td>
<td>18.4</td>
</tr>
<tr>
<td>Education</td>
<td></td>
<td></td>
</tr>
<tr>
<td>%</td>
<td>graduate</td>
<td>undergraduate</td>
</tr>
<tr>
<td>%</td>
<td>19.1</td>
<td>27.2</td>
</tr>
<tr>
<td>Income($)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>%</td>
<td>above 3000</td>
<td>2999-2000</td>
</tr>
<tr>
<td>%</td>
<td>3.4</td>
<td>5.8</td>
</tr>
</tbody>
</table>

3.3. Findings and Discussion

Correlation

Descriptive statistics related to the constructs in the model are shown in Table 3. It is observed that brand name has medium level of correlation with the variables satisfaction (r=0.39, p<0.01), brand attitude (r=0.40, p<0.01), and donating intentions (r=0.35, p<0.01). Controlled communication has medium level of correlation with the variables satisfaction (r=0.52, p<0.01), brand attitude (r=0.57, p<0.01), and donating intentions (r=0.28, p<0.01). Finally, uncontrolled communication has no correlation with the variables satisfaction and donating intentions. It has a weak correlation with brand attitude (r=0.17, p<0.01).

Table 3. Correlations and Descriptive Statistics

<table>
<thead>
<tr>
<th></th>
<th>Mean</th>
<th>Std. Dev.</th>
<th>1</th>
<th>2</th>
<th>3</th>
<th>4</th>
<th>5</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 Satisfaction</td>
<td>3.98</td>
<td>0.72</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2 Donating Intention</td>
<td>3.96</td>
<td>0.73</td>
<td></td>
<td>0.37**</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3 Brand attitude</td>
<td>4.08</td>
<td>0.67</td>
<td></td>
<td></td>
<td>0.45**</td>
<td></td>
<td></td>
</tr>
<tr>
<td>4 Controlled communication</td>
<td>4.10</td>
<td>0.60</td>
<td></td>
<td>0.52**</td>
<td>0.28**</td>
<td>0.57**</td>
<td></td>
</tr>
<tr>
<td>5 Brand name</td>
<td>4.10</td>
<td>0.65</td>
<td></td>
<td>0.39**</td>
<td>0.35**</td>
<td>0.40**</td>
<td>0.26**</td>
</tr>
<tr>
<td>6 Uncontrolled communication</td>
<td>3.45</td>
<td>0.83</td>
<td></td>
<td>0.04</td>
<td>0.04</td>
<td>0.17*</td>
<td>0.26**</td>
</tr>
</tbody>
</table>

** Correlation is significant at the 0.01 level (2-tailed).
* Correlation is significant at the 0.05 level (2-tailed).

3.4. Regression Analysis

Regression analysis was used to examine the effect of communication variables (brand name, controlled communications, and uncontrolled communications) on the satisfaction of donators from the services of
nonprofit organizations. Table 4 indicates that 34 percent of satisfaction was accounted for by the independent variables of brand names and controlled communication and F statistic was 24.01 (p<0.001). As such, the communication variables explained a considerable amount of the variance in satisfaction. The results also show that controlled communication has a beta weight of 0.48 (p<0.05), which is higher than the beta weight of brand name (a beta weight of 0.28, p<0.05). Uncontrolled communication is not significant in this model either (p=0.13). Hypotheses 1 and 2 are accepted, but 3 is rejected.

In a similar fashion, regression analysis was conducted to examine the effects of communication variables (brand name, controlled communications, and uncontrolled communications) on brand attitude. The results presented in Table 4 indicate that brand name and controlled communication account for 39 percent of the variation in brand attitude (F statistic of 29.23, p<0.001). Controlled communication with a beta weight of 0.50 (p<0.05) has a higher effect on brand attitude than brand name with a beta weight of 0.27 (p<0.05). As in the other models, uncontrolled communication is not significant (p=0.13). Hypotheses 4 and 5 are accepted, but 6 is rejected.

Finally, regression analysis was conducted to examine the effect of the communication variables (brand name, controlled communications, and uncontrolled communications) on donating intentions of people. 15 percent of variation in donating intentions is accounted for by controlled communications and brand name (F statistic of 8.67, p<0.001). The dependent variable uncontrolled communication is not significant in the model (p=0.62). The results also show that controlled communications had a significant positive effect on donating intentions with a beta weight of 0.22 (p<0.05), as did brand name with a beta weight of 0.30 (p<0.05). Therefore, in terms of donating intentions brand name had the largest positive effect, with controlled communications also having a significant but smaller effect on donating intentions. While hypotheses 7 and 8 are accepted, 9 is rejected.

### Table 4. Results of Regression Analyses

<table>
<thead>
<tr>
<th>Dependent variable</th>
<th>Independent variables</th>
<th>Beta</th>
<th>Sig.</th>
<th>$R^2$</th>
<th>F-st.</th>
<th>Sig</th>
</tr>
</thead>
<tbody>
<tr>
<td>Satisfaction</td>
<td>Brand name</td>
<td>0.28</td>
<td>0.001</td>
<td>0.34</td>
<td>24.01</td>
<td>.001</td>
</tr>
<tr>
<td></td>
<td>(model 1)</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Controlled communication</td>
<td>0.48</td>
<td>0.001</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Uncontrolled communication</td>
<td>-0.11</td>
<td>0.13</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Brand attitude</td>
<td>Brand name</td>
<td>0.27</td>
<td>0.001</td>
<td>0.39</td>
<td>29.33</td>
<td>.001</td>
</tr>
<tr>
<td></td>
<td>(model 2)</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Controlled communication</td>
<td>0.50</td>
<td>0.001</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Uncontrolled communication</td>
<td>0.02</td>
<td>0.76</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Donating intentions</td>
<td>Brand name</td>
<td>0.30</td>
<td>0.001</td>
<td>0.15</td>
<td>8.67</td>
<td>.001</td>
</tr>
<tr>
<td></td>
<td>(model 3)</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Controlled communication</td>
<td>0.22</td>
<td>0.01</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Uncontrolled communication</td>
<td>-0.04</td>
<td>0.62</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

### 4. Conclusion

The findings suggest the important role of brand names and controlled communications in the evaluation of nonprofit brands. That uncontrolled communication is not significant in three models needs to be explained as the result contradicts with the literature. The reason why uncontrolled communication is not meaningful in the models might be explained with people’s attitudes about the nonprofit organizations’ mission. They might abstain from giving information to the people about such organizations, carrying out ‘holy mission of helping the needy’, which may influence others either in a positive or negative way for the fear that they do not want to mislead others about a delicate issue (helping the needy). Controlled communication is shown to exert the strongest influence on satisfaction and brand attitudes, whereas brand name is more affective on donating intentions. In terms of satisfaction, the result is desirable when we view donor satisfaction in the context of expectancy disconfirmation theory. This is so because nonprofit advertisements, in an attempt to tangibilise the services offerings, often portray images that
reflect the nonprofit service experience as a whole, thus having a direct effect on donors’ pre-donating expectations. Similarly, the nonprofit brand name has a significant positive influence on satisfaction and this may also be due to the impact the nonprofit brand name has on donor expectation. For instance, information or meaning attached to the nonprofit brand name may come from the donors’ or others’ past experience with nonprofit brand and thus is used to predict future nonprofit brand performance or create expectations.

In terms of brand attitudes, similar findings were derived in that controlled communications exhibited the strongest effect on nonprofit brand attitudes and the effect of nonprofit brand name was significant as well. The variance explained in brand attitudes by these two communication variables was the highest, which complies with the literature. This may well highlight the importance of brand communications in creating the brand imagery that ultimately arouses feelings and thoughts within the donor and forms the bases for nonprofit brand attitude. As this is the case, controlled communications and nonprofit brand names must work closely together to maximize and achieve consistency of the communication of the nonprofit organization image to develop positive attitudes and behaviors in the public.

Finally, in contrast to findings concerning donor satisfaction and brand attitudes, brand names have the strongest impact on donating intentions. This suggests that when the time comes for donors to act, or think about future actions towards the nonprofit organization, information derived from brand names is effective.

This survey has some practical recommendations for the managers of nonprofit organizations. When we examine and compare the various communications tools regarding their effects on donor evaluation and intentions, it has been observed that different communications vary in terms of their effect on donor outcomes. So it can be suggested the findings that certain kinds of communication tools might be more influential in creating positive donor outcomes.

The findings suggest that controlled communications and strong brand names have a considerable effect on donor satisfaction. Therefore, these communication tools should be used optimally to create advantages for the nonprofit organizations. However, peoples’ attitudes toward nonprofit organizations and their activities vary from the profit sector. So advertising and other controlled communication alternatives should be used to communicate realistic and representative organizational experiences to let donors know what to expect and have their expectations met on performance. The content of such promotional activities should include both the situations of the needy and the activities of organizations for them. Similarly, as the brand names can be utilized as a tool that reinforces donor trust, managers of nonprofit organizations should spend great effort to create and develop strong nonprofit organization brand.

When it comes to positive brand attitudes, the findings indicate that both controlled communications and brand names have a significant effect. Keeping in mind the effects of attitudes on donor behaviors, people having positive attitudes towards nonprofit organizations are more likely to support the nonprofit organizations. As a result, these tools should be used effectively to develop positive brand attitudes so that nonprofit organizations could obtain enough donations to increase their resources.

In terms of donating intentions, brand names and controlled communication have significant effect. Therefore, to have consistent and sustainable resources, managers of nonprofit organizations which depend on mainly donations should endeavor to effect the future intentions of people to encourage them to support the nonprofit organization not only financially but in other various ways such as participating in the charity campaigns.

Finally, though uncontrolled communication shows no significant effect on donor satisfaction, brand attitudes, and donating intentions, it is well known from the researches done in profit sector that uncontrolled communication has high potential for donors to provide with them information about the nonprofit organizations. Therefore, nonprofit organizations should not neglect the possible effects of uncontrolled communication and should carry necessary efforts to manage uncontrolled communication tools.

There are some limitations for the research that should be mentioned. First, the findings may not be generalizable to other organizations, regions or different age groups. The selection of the subjects was not optimal. Convenience of, and simplicity in, recruitment were the primary considerations in the selection of respondents for the study. This process was limited to donors in Yalova, a small city in Turkey. As most of the subjects were from the local area, these subjects and the findings may not be representative of the general population. A more sophisticated sample collection method is needed to eliminate this potential shortcoming. The number of the samples is rather small, which made it difficult to
do some other analyses to explain the results and relationships better. Another one is ample evidence exists that would indicate that various types of helping behaviors should not be treated as analogous. So different ways of communicating may be effective on different helping behaviors distinctly, which is not possible to see in this research. Finally, marketing activities are not so widely applied in the nonprofit sector in Turkey, which might have affected the results of the study.

This research can be extended in several important ways. Some other related dependent variables can be added into the models such as the content of the advertisements. Some of the more interesting topics for future research are ones that could increase the effectiveness of nonprofit advertising. One of the highgain opportunities for research is to seek a better understanding of the relationship between communication density and other constructs in the study. Another research area might be how donors perceive nonprofit organizations owned by the government and the ones established by the civil initiative. Respondents have answered the questions regarding the nonprofit organizations they are familiar with. So a potential research area focuses on communication tools used by the different types of nonprofit organizations which provide service to the needy to make comparisons.

References


Understanding the Escalation of Brain Drain in Nigeria From Poor Leadership Point of View

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Abstract Migration of people from one place to another in countries of the world in search of better conditions of living predates history. It ignited western societies’ contact with Africa and the rest of the world. Prior the contact, agriculture was the mainstay of Africa’s economy. Thus, the movement of farmers from one location to another in search of fertile grounds for cultivation was in vogue. After independence in Nigeria, cattle rearers are known for relocating from the North to South during dry season in search of green grass to sustain their cattle and occupation. In the present day Nigeria, the same scenario still abounds but in a new dimension. It now involves movement of highly skilled manpower from the country to developed societies. Among other things, this paper finds out if there is a relationship between poor leadership of the country and escalation of brain drain. Simple percentage and ranking method was used to analyze the study’s data. Chi-square was used to test its hypothesis. Our result revealed a relationship between poor leadership of the country and brain drain. It equally indicated that students are interested in travelling out of the country to developed societies after their study. Also from the study, twelve causes of brain drain were indentified. Some of them are: mass unemployment, poor salaries and conditions of service, mass poverty, crises-religious, communal, political, education etc. In respect of effects of brain drain on the nation’s economy, eleven factors were identified by the respondents. Some of them are: loss of human capital assets to man various institutions in the country, loss of tax of migrated manpower to foreign countries, loss of capital invested in education of migrated manpower assets etc. Finally, eleven solutions were profiled to the lingering problem of brain drain. The most important ones are: Good leadership, salary and conditions of service as well as rewarding system for diligent staff, mass employment etc.

Keywords: Poor leadership; Brain drain; Escalation; Nigeria;

1. Introduction

Stenman (2006) describes brain drain as a large emigration of individuals with technical skills or knowledge from one country to another usually for better conditions of service and good living environment. These factors are germane for man and his family. The former serves as a means of livelihood while the latter makes life convenient for him and his household. Thus, every professional is
interested in both. That is why he subjects himself to the rigor of academic activities in institutions of learning from the elementary stage to the highest level. At the end of his study, he looks for where the best salary and conditions of service can be obtained around the world. The menace of human capital flight seems to be an issue of concern to scholars across the globe; because its occurrence defiles ideological affiliation of countries worldwide as well as their level of development. In respect of ideological background, brain drain affects both socialist and capitalist nations. Socialist countries like Cuba and Russia would have been exempted from the problem, judging from the fact that they strive to build societies based on equality and humane values of living not for accumulating personal wealth but for using knowledge, skills, talents and whatever resources available to make their countries better places for entire citizenry. The paradigm being the arch rival of capitalism is expected to make its countries free from brain drain (Mghanga 2008). But the reverse is the case. The problem of brain drain is worse in some socialist countries than many capitalist states (BCC News 2002; Goodman 2007).

In term of advancement of countries worldwide, the level of development is never an antidote to human capital flight. Hence, the most developed countries of North America and Western Europe are not spared out in the scourge (Paterson 2007 and Canadian Immigration 2008). Moreover, the less developed countries of Central and Eastern Europe are not exonerated from the problem of brain drain (McLaughlin and Smith 2005). In developing countries of India, Pakistan and Middle East, outflow of professionals to Western Europe and North America is evident (BCC News 2001; Harrison 2007). Furthermore, a number of Latin America countries had, over the years, suffered a considerable loss of professionals to Western nations (World Bank 2007). In underdeveloped nations of Caribbean Islands, the menace of brain drain has prompted 80% of college graduates from Suriname, Haiti, Grenada and Guyana to migrate, mostly to the United States (Viveros and Jackson 2006). Countries of Africa are equally in the same rank with Caribbean Islands in term of underdevelopment. Nevertheless, the continent is the hotbed of brain drain in the world (Harrison 2007; Offiong 2001). Countries like Gambia, Ghana, Kenya, Sierra Leone, Uganda, Zambia and Zimbabwe are the most affected nations Carrington & Detragiache (1998) as indicated in chart 1. South Africa, Nigeria and Ethiopia are also included in the list of affected countries in Africa (Paul et al 2004; Girma 2009).

Chart 1. The migration rates of manpower assets from Africa to the United States in 1990, by educational category

As brain drain is considered a world problem, its degree of occurrence varies from one country to another (Anekwe 2009). While its occurrence is very minimal in developed world, it is endemic in underdeveloped nations. This cannot be divorced from the fact that factors prompting brain drain in underdeveloped countries are well addressed in developed countries. The lure of well-maintained high-tech facilities in rich countries, in particular, is seductive for manpower assets in underdeveloped societies (Hagopian et al 2005). Job security, prestige and high salaries prevailing in their work settings equally attract them (Hagopian et al 2005). Although, manpower assets do migrate from one developed or less
developed country to another but the movement is not rampant. Moreover, it does not constitute a major setback to the advancement of such nations. In another development, it is observed that skilled manpower assets do migrate from developed nations to underdeveloped countries, but this could be viewed in three ways:

- They migrate to work in their nations’ companies operating in underdeveloped countries. Such companies operating in Nigeria include, Shell Petroleum Development Company Limited (SPDC), Chevron Nigeria Limited (CNL), Texaco Overseas, Halliburton, Julius Berger etc.
- They migrate to offer selfless services in international bodies set up to address specific social problems- war, deluge and famine etc threatening the existence of mankind in underdeveloped countries. Such bodies include UNO peace keeping force, WHO, ILO etc.
- They are coming as expatriates to tackle technological, leadership, scientific, education and economic problems of underdeveloped countries.

Nevertheless, it is obvious that manpower assets don’t migrate from developed world to underdeveloped countries because of joblessness, poor salary, and condition of service etc. Thus, brain drain could be perceived as a major problem affecting underdeveloped societies. Its escalation reached an alarming rate in Nigeria in 80s, when militancy dictators (Ibrahim Babangida and Sani Abacha) and ‘political profiteers’ (Alhaji Umaru Dikko, late Chief Richard Akinjide, late Alhaji Bakin Zuwo, Joseph Wayas, late Chief Adisa Akinloye etc) were in power (UNDP 2001: & The World Worst Dictators 2010). It is on the basis of identifying the relationship between poor leadership of the country and escalation of brain drain that this paper is conceived. It strives to examine factors leading to the escalation of the social problem. Equally not certain but very germane to this study is whether students who are undergoing training in the higher institutions are interested in migrating to developed countries after their study. Furthermore, effects of brain drain on the nation’s economy may not have been fully established.

The study employs opinion of undergraduate students, academic and non academic staff in two selected private universities in South West Nigeria to address these social problems. The choice becomes expedient because the hope of achieving excellent education in the present day Nigeria rests heavily on private universities Aina cited in (Anugwom, Omonijo and Fadugba 2011).

2. Hypothesis

H¹: There is a relationship between poor leadership of the country and escalation of brain drain.

3. Objectives of the Study

a. To discovered if there is a relationship between the poor leadership of the country and escalation of brain drain.
b. To find out factors causing the escalation of brain drain.
c. To discover whether students who are undergoing training in higher institutions are interested in travelling to developed societies after their study.
d. To find out effects of brain drain on the economy of the country.
e. To discover solutions to the problem of brain drain.

4. Literature Review

4.1 Examination of Research in Brain Drain

The British Royal Society, views brain drain as the outflow of scientists to North America (Shin 2002). In a similar vein, UNESCO sees brain drain is an odd form of scientific exchange among states that is characterized by a movement in one direction, which inevitably flows to developed countries (http://www.sudanesenonline.com/cgi-bin/enews 2008). These two bodies view brain drain as an emigration of scientists to developed countries such as North America. But UNESCO extends the destination of these scientists to other parts of the world. Nevertheless, it could be observed that brain drain is not only flowing to one direction. It is an affair that involves different nations of the world (http://www.answers.com/ topic/braindrain. 2008). David (2005) tackles the above flaw. According to him, brain drain is an emigration of trained and talented individuals to other nations of the world. The menace is traceable to conflicts, lack of opportunity, health hazards and political imbroglio arising from
bad leadership, prevalent in countries of origin of these manpower assets (David 2005). David’s view is very comprehensive. It does not restrict brain drain to human capital in the field of medicine alone. Specialists in other areas of study in life are obviously included. Moreover, it includes various reasons behind exodus of manpower assets from one country to another. Nevertheless, the view ignored the crop of people who travelled abroad for training and acquired the necessary skill needed in their fields of specialization and stay permanently (Aredo 2008).

Johnson and Regets (1998) addressed the gap in knowledge inherent in David (2005) view. According to them, brain drain refers to the cycle of people moving abroad to study and taking a job at the end of their studies. Such circular migration is prevalent amongst Malaysians and Ethiopia who studied abroad (Aredo 2008; Smith and Favell 2006). Such students don’t like coming back to their countries of origin due to the menace of brain drain. However, Johnson and Regets (1998) are found wanting for their inability to consider movement of skilled manpower from one sector of the economy or other field of human endeavour to another with the hope of securing better incomes and other benefits within a country or in another country. Encyclopaedia Britannica addresses this flaw. According to the dictionary, brain drain is the "departure of educated or professional people from one country, economic sector, or field to another usually for a better pay or living conditions (http://www.sudaneseonline.com/cgi 2008:1). In Ethiopia for example, The Gondar Medical Science College reported in 2000 that it lost 25 specialists and general practitioners to private clinics and foreign employers in the previous three years (http://www.sudaneseonline.com/cgi 2008:1).

However, movement of manpower from one job to another within a country is evident in all the nations of the world. Any manpower asset who sees a better placement in another organization moves to such an establishment when chance avails. This does not impact negatively on the advancement of such societies but the mass movement of human capitals from poor countries to rich countries does. Technologies, scientific thoughts and design methods are stored in human brain. They are only accessible to the individual involved. When such persons depart from their countries, their brains which can be used to develop their countries go along with them. Thus, their nations remain underdeveloped (Pei 2008).

4.2 State of Knowledge on Leadership

Leadership is one of the most observed phenomenon but least understood in human society (Burns 1998 cited in Blackaby and Blackaby 2001). Therefore, it is an issue of concern to writers worldwide. One of such is Gardner (1990). He perceives it as the process of persuasion or example by which an individual or leadership team induces a group to pursue objectives held by a leader and his or her followers. This perception recognizes the fact that leaders and their followers have aims which they want the ruled to obey. But it is not obvious whether such rules are to the detriment of the ruled or not. Nevertheless, the term in this context could be restricted to private organizations or parastatals where promotion of elites into leadership positions is based on qualifications and not competition through election. Mac Gregor (1998) views the concept in that direction. For him, leadership is when persons with certain motives and purposes mobilize, in competition or conflict with others, institutional, political, psychological, and other resources so as to arise, engage, and satisfy the motives of followers. This idea is comprehensive but motives of members of the clique are of paramount importance to leaders in this scenario. In this regard, interests of the ruled are not counted much. This gap in knowledge is provided for in the idea of the concept given by Our Lord Jesus Christ in (Mark 10: 42-45). According to him:

> Ye know that they who are accounted to rule over the gentiles exercise lordship over them; and their great ones exercise authority upon them. But so shall it not be among you; but whosoever would be great among you, shall be your minister; And whosoever of you would be the chiefest, shall be servant of all. For even the son of man came, not to be ministered unto but to minister, and give his life a ransom for many.

Applying the above to nations of the world, two types of leaders come to mind. Firstly, leaders who wield power over the ruled. Such leaders see themselves as masters who should be served by the ruled. Secondly, leaders who minister to the ruled. Such leaders see themselves as servants of the ruled and offer themselves as ransom. The former explains leadership position in underdeveloped countries of Africa and Caribbean Island. In curt, most post-colonial leaders in Africa are modern Nero’s in brutality, tyranny and self-indulgence (West 2003). Bloody dictators litter the entire black continent (Ekwueme 1994). In these parts of the world, leaders who minister to the ruled are very few. Men and women who can effectively address a multitude of societal and political ills that galvanized brain drain are very scarce. The latter characterizes leadership position in the developed world. Such leaders promote the general good rather
than regional or personal self interest (Blackaby and Blackaby 2001). They see leadership position as an avenue to render selfless service to the public. Their personal interest is always slaughtered for public interest. This seems to have been the major reason behind the advancement of western societies.

4.3 Examination of Research on the Causes of Escalation of Brain Drain in Nigeria

Numerous reasons pervade literature to account for the exodus of the best minds from Nigeria to the developed world. Most of these reasons tend to be skewed towards push and pull factors that are economic and political in origin. Nevertheless, we should not lose sight of the social and psychological needs that compel human capital to seek more conducive environments for their careers and lives as well as that of their families.

Commencing from economic factor with particular reference to Marx and Engels (1969:69) “...the economic structure of society is the real foundation, which raises a legal and political structure that corresponds with definite forms of social consciousness”. Therefore, whatever manifests in the superstructure is settled in the substructure under heathen wherein its strength lies. Economy is very essential in any nation, but economy of Nigeria is very poor. Consequently, the level of industrialization, which can provide job opportunities for the populace, is very low. Salaries and condition of service of workers are poor. Household incomes of many workers often drop below an acceptable level (Chandra 2008). Thus, a substantial percentage of the population is living below poverty index. Nigeria, which was one of the richest 50 countries in early 1970s, has retrogressed to become one of the 25 poorest countries at the threshold of the 21 century (Igbuzor 2007). Also, the nation hosts the third largest number of poor people worldwide, after China and India (Igbuzor 2007). Statistics show that the incidence of poverty using the rate of US $1 per day increased from 28.1% in 1980 to 46.3% in 1985 and declined to 42.7% in 1992. Nigeria fares very poorly in all development indices. Therefore, her average annual percentage growth of GDP from 1990 -2000 was 2.4. This is very poor when compared to Ghana (4.3) and Egypt (4.6). The gross national income per capita is US $260; under five mortality rate per 1,000 live births is 153; maternal mortality rate per 100,000 live births is 1,100; and life expectancy at birth is 46 years for males and 48 years for females (Igbuzor 2007). The Gini index for Nigeria is 50.6. This compares woefully with other countries such as India (37.8), Jamaica (37.9), Mauritania (37.3) and Rwanda (28.9) (Igbuzor 2007). The average Nigerian only consumes between 85 and 90 percent of the calories required to maintain a healthy life, a figure that has actually declined from 95 percent in the mid-1960s. Only 38 percent have access to safe drinking water. There are about 6,440 Nigerians for every doctor. In Mexico, the comparable figure is 1,242. Only about half of the Nigerian population is literate (Achebe 1984). Nigeria is on the bottom 191st position out of 192 nations with poor road network recording the highest number of deaths attributed to road accidents in the world (Oloko et al 2011; Ajayi 2011). These combined together seem to make manpower assets vulnerable to brain drain in the country.

In term of poor salaries and conditions of service, lecturers are the most affected staff in Nigeria. Within the domestic labour force, academics constitute the least paid workers as indicated in table 1.

Table 1. A Comparison of average salaries in different sectors of the Nigerian economy.

<table>
<thead>
<tr>
<th>S/n</th>
<th>Sector</th>
<th>Salary per annum [N]</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Public sector (oil)</td>
<td>450,000-600,000</td>
</tr>
<tr>
<td>2</td>
<td>Public sector (iron &amp; steel)</td>
<td>300,000-400,000</td>
</tr>
<tr>
<td>3</td>
<td>Nigerian economy (Average)</td>
<td>100,000-200,000</td>
</tr>
<tr>
<td>4</td>
<td>University academic staff</td>
<td>30,000-54,000</td>
</tr>
</tbody>
</table>

Source: ASSU, National Secretariat Publication, cited in Oni 2010

The salary differentials between the university and other sectors of the economy prompted frustration and disillusionment among lecturers (Oni 2010). It could aggravate the menace of brain drain. To make the matter worse, salaries of their contemporaries in other African nations are much better than theirs as indicated in table 2.
Table 2. Academic staff salaries in selected African countries

<table>
<thead>
<tr>
<th>S/n</th>
<th>Countries</th>
<th>Lecturer (US$)</th>
<th>Senior lecturer (US$)</th>
<th>Professor (US$)</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>South Africa</td>
<td>15,000</td>
<td>30,000</td>
<td>55,000</td>
</tr>
<tr>
<td>2</td>
<td>Africa</td>
<td>12,000</td>
<td>24,000</td>
<td>48,000</td>
</tr>
<tr>
<td>3</td>
<td>Zimbabwe</td>
<td>3,600</td>
<td>4,800</td>
<td>6,000</td>
</tr>
<tr>
<td>4</td>
<td>Ethiopia</td>
<td>3,600</td>
<td>4,500</td>
<td>5,400</td>
</tr>
<tr>
<td>5</td>
<td>Kenya</td>
<td>1,800</td>
<td>3,000</td>
<td>4,800</td>
</tr>
<tr>
<td>6</td>
<td>Ghana</td>
<td>222</td>
<td>360</td>
<td>439, 2</td>
</tr>
</tbody>
</table>

Source: ASSU National Secretariat Publication cited in Oni 2010

The pay package for a professor is about 1% of his colleague in South Africa, 7.32% in Ethiopia and 9.15% in Ghana (Oni 2010). Hence, some faculty abandoned academia for other sectors of the economy, where professionals and scientists received higher salaries and greater social recognition (Ogu 2008). Thus, poor salary could be a major cause of brain drain in academia in the country.

Inability to secure good employment opportunities by many young graduates to tackle their economic and social needs as indicated in table 3 could be a strong force behind their migration to developed nations.

Table 3. National unemployment rate between 2000-2009

<table>
<thead>
<tr>
<th>S/n</th>
<th>Year</th>
<th>Rates</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>2000</td>
<td>13.1</td>
</tr>
<tr>
<td>2</td>
<td>2001</td>
<td>13.6</td>
</tr>
<tr>
<td>3</td>
<td>2002</td>
<td>12.6</td>
</tr>
<tr>
<td>4</td>
<td>2003</td>
<td>14.8</td>
</tr>
<tr>
<td>5</td>
<td>2004</td>
<td>13.4</td>
</tr>
<tr>
<td>6</td>
<td>2005</td>
<td>11.9</td>
</tr>
<tr>
<td>7</td>
<td>2006</td>
<td>12.3</td>
</tr>
<tr>
<td>8</td>
<td>2007</td>
<td>12.7</td>
</tr>
<tr>
<td>9</td>
<td>2008</td>
<td>14.9</td>
</tr>
<tr>
<td>10</td>
<td>2009</td>
<td>19.7</td>
</tr>
</tbody>
</table>

Source: National bureau of statistics cited in Igwe 2011

The high rate of unemployment in Nigeria within this period is further decomposed to three groups in table 4

Table 4. Unemployment rate by educational group, age and gender (March 2009)

<table>
<thead>
<tr>
<th>Item</th>
<th>Urban</th>
<th>Rural</th>
<th>Composite</th>
</tr>
</thead>
<tbody>
<tr>
<td>All groups</td>
<td>19.2</td>
<td>19.8</td>
<td>19.7</td>
</tr>
<tr>
<td><strong>Educational group</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Never attended</td>
<td>20.6</td>
<td>20</td>
<td>20.1</td>
</tr>
<tr>
<td>Below primary</td>
<td>18.6</td>
<td>22.9</td>
<td>22.3</td>
</tr>
<tr>
<td>Primary</td>
<td>15.1</td>
<td>14.7</td>
<td>14.8</td>
</tr>
<tr>
<td>Secondary</td>
<td>21.3</td>
<td>25.3</td>
<td>23.8</td>
</tr>
<tr>
<td>Post secondary</td>
<td>13.9</td>
<td>26.4</td>
<td>21.3</td>
</tr>
<tr>
<td><strong>Age group</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>15-24</td>
<td>49.9</td>
<td>39.6</td>
<td>41.6</td>
</tr>
<tr>
<td>25-44</td>
<td>16.3</td>
<td>17.3</td>
<td>17</td>
</tr>
<tr>
<td>45-59</td>
<td>10</td>
<td>12.1</td>
<td>11.5</td>
</tr>
<tr>
<td>60-64</td>
<td>18.2</td>
<td>16.2</td>
<td>16.7</td>
</tr>
<tr>
<td><strong>Gender</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Male</td>
<td>17.2</td>
<td>16.9</td>
<td>17</td>
</tr>
<tr>
<td>Female</td>
<td>21.7</td>
<td>23.9</td>
<td>23.3</td>
</tr>
</tbody>
</table>

Source: National bureau of statistics cited in Igwe 2011
The blow of economic downturn has badly affected young graduates and female gender in Nigeria (Igwe 2011). It could force young manpower assets-male and female to migrate to developed nations.

Directly connected to the above is the loss of status that many manpower assets suffer in societies where more value is placed on material attainments rather than educational accomplishments. It could be a contributing factor to the escalation of brain drain in Nigeria. This may not be easily ignored in Eastern Nigeria, where such manpower assets are often subject to ridicule because high value is placed on accumulation of material things that they cannot acquire with their poor remunerations. To recapture the worth of their academic achievements, they move to developed countries where they think their value can be appreciated and rewarded. The situation is worse in a culture where professionals are seeing as the worth of their academic achievements, they move to developed countries where they think the value is shared.

A contributing factor to the escalation of brain drain in Nigeria. This may not be easily ignored in Eastern Nigeria, where such manpower assets are often subject to ridicule because high value is placed on accumulation of material things that they cannot acquire with their poor remunerations. To recapture the worth of their academic achievements, they move to developed countries where they think their value can be appreciated and rewarded. The situation is worse in a culture where professionals are seeing as the worth of their academic achievements, they move to developed countries where they think the value is shared.

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Linking economic factor with political ill, it could be realized that Elites in government use politics to secure power in order to satisfy their selfish economic interests (Ake 2001; Offiong 2001). That seems to be one of the major reasons behind rigging of elections in Nigeria. It enables many elites to stay in power long. When they are in power, they pillaged and emptied the treasury to the detriment of the poor masses (Amokeodo 2004). They demonstrate that the struggle for power among them is for sharing the spoil of political office (Osakwe 2002; Amaefule and Owete 2006). Most of these elites-Abubakar, Sanni Abacha etc are richer than the country without any traces of notable invention.

Economic and political crises in Nigeria have resulted in riots, unrest and wars (Tettey 2007). The salvage of war seems to defile the worth of properties and manpower assets of any nation. The wealth of a country could be wiped out in a second, in the process of warfare as witnessed in industrial cities of Hiroshima and Nagasaki during Second World War in Japan (Adams and Crawford 2000). Also, the effect of the war on Poland’s manpower assets was grievous and too costly, as 22, 000 of the best and brightest brains including an admiral, 14 generals, 24 colonels, 20 university professors, 300 physicians, several hundred of lawyers, engineers, more than 100 writers and journalists as well as 200 pilots lost their lives and talents deposited in them perished (Guardian Editorial, April 2010). Effects of the civil war between 1966 and 1972 in Nigeria were great deal in terms of lives, money and infrastructure (Alexander 1980). In term of lives, estimated three million persons died, most from hunger and disease (Alexander 1980). Apart from the above full scale war, crises in Nigeria have led to destruction of lives and properties. Such includes the Boko Haram insurgency in Borno, Yobe, Gombe, Bauchi and Kano States (Farouk 2011), Jos Shittes outbreak, Jos mayhem, Maiduguri on slaughter, Kaduna religious and Omota riots, Ilorin church burnings, Maitatsine insurgents, Lagos and Ijebu-ode catastrophe, Ali must go student riot of 1977, June 12 political imbroglio, militants attack on oil installations and personnel in Niger Delta (Ajayi 2009), communal clashes between Ife and Modakeke (Osun-State), Aguleri and Amuleri (Anambra-state), Ijaw-Isokiri and Urbobo (Delta-State), Barakor and Nwchiara-Rivers-State (Ibanga 2010) etc. These could be other major reasons why manpower assets flee their homes in Nigeria for Western nations, where they think their lives could be preserved.

Security conditions continue to deteriorate in large parts of the country. The drastic level of deterioration, as reported by the United Nations High Commission for Refugees (UNHCR) 2009 edition has prompted many people to seek asylum in industrialized societies (Akande and Fagbemi 2009). UNHCR submission goes to justify the study of the World’s Worst Country to live in (Reinstra 2009). The survey ranked Nigeria and many Sub-Sahara African nations the worst countries to live in worldwide. In view of this, it could be noted that worst countries are not the best places to display talents. Talents are developed, utilised and preserved in the conducive environments.

Apart from these, lack of psychological satisfaction of manpower assets with their jobs, humiliation of many manpower assets by elites in power as well as unnecessary hostility to the advancement of young and talented persons in academia and their families could add fuel to the fire of brain drain in Nigeria. Some frustrated academics, technicians and Doctors, who do not have access to relevant literature and equipment to perform their jobs at optimal levels could quit out of frustration for developed nations, where they think they could be fulfilled. The death of infrastructure in the public citadel of learning is sickening and runs short of an ideal academic environment (Onyekakeyah 2005). The National University Commission survey discovered that only about 30 percent of Nigerian student population has adequate access to classrooms, lecture theatres, laboratories, workshops and libraries (Okebukola 2002). In most universities, where computer course is offered, students graduate without touching a computer once (Onyekakeyah 2005). In the present day Nigeria, students are learning in dilapidated buildings, environmentally depressing and learning disabling situations (Odetunde 2004). These could prompt brain drain in the country.
American Visa Lottery is another major cause of brain drain in Nigeria. The program was established in the 1996 Immigration Act of America to encourage mass movement of manpower to the United States. In the last five years, the programme has taken 36,669 manpower assets out of Nigeria to America (United States of America Green Card 2011). The programme succeeded in recruiting this large number of personnel from the country because most of them were battered, bitten and jobless prior winning the lottery that took them to America, where they now live in good conditions (Emeagwali 2009)

4.4 State of Knowledge on the Effects of Brain Drain on Nigerian Economy

Brain drain is a social index. Thus, its effects could be very difficult to measure. Nevertheless, it could be seen as a devastating blow to the economy of Nigeria in term of physical cash. The United Nations Commission for Trade and Development estimated that each migrating African professional represents a loss of $184,000 to Africa (Haines 2002). Moreover, brain drain is a loss in term of money used to employed skilled manpower from developed societies to replaced migrated manpower from underdeveloped countries. In the light of a dwindling professional sector, African institutions are increasingly dependent on foreign expertise. 35% of total ODA to Africa is spent on expatriate professionals from the west (Goodman 2008). In Nigeria, the petroleum industry hired about 1,000 of such skilled expatriates. Also, the nation use to contract out its oil exploration at the staggeringly high price of 40% of its profits to foreign oil companies. To make the matter sad for manpower at home, expatriates’ are paid higher than them (Emeagwali 2009). Besides, brain drain serves as a loss to the country in term of tax earnings. Taxes of migrated human capital assets go to their resident countries (African New Service, 2000). In term of the remittance of money to Nigeria, developed nations economies are heavily benefitted. For every $300 per month a professional African sends home, that person contributes $12,000 per month to the U.S. economy (Emeagwali 2009).

Very similar to the above is the loss of investment of the country in education. Nigeria carries the burden of investing resources in education to produce skilled manpower needed in various sector of the economy but who instead end up benefiting the development of North America, Western Europe and other less developed nations of the world, who do not pay for the education (Mghanga 2008). It takes $150,000 to train a doctor and US$15,000 for a university student in Africa (Ngatia in Wilson 2008). When they leave their country for developed countries after their education, Africa will lose not just the money spent on them but everything that goes with them. For instance, an African professional working in the United States contributes about $150,000 per year to the U.S. economy and contributed nothing to the continent’s advancement (Emeagwali 2009).

Apart from the loss of manpower in money, the most catastrophic consequence of brain drain in Africa is the shortage of manpower assets in all areas of human endeavours. The Economic Commission for Africa estimates that between 1960 and 1989, some 127,000 highly qualified African professionals left the continent (Tebeje 2005). The continuous outflow of skilled labour from the continent contributes to a widening gap in science and technology between the continent and other parts of the world (Tebeje 2005). In Nigeria between 1986 and 1990, 10,694 professionals from tertiary institutions alone migrated to developed countries, while those who left public, industrial and private organizations, was over 30,000 (Anekwe 2009).

The shortage of manpower assets in the country is evident in education, mostly in areas of science and technology. Tertiary institutions in the country are in mess due to the inadequacy of competent lecturers. Most of the best scholars have migrated to developed countries. The enormity of the load that few ones left behind are shouldering in respect of lecturer/student ratio can’t be overemphasized. In 1997, the total number of academic staff in Nigeria was 12,395 while that of students was 236,261. Therefore, a lecturer/student ratio of 1:19 should be considered much lower than the UNESCO norms of 1 lecturer to 10 students (UNESCO cited in Oni 2010). Table 5 indicates comparative lecturer/student ratio for some developed, less and underdeveloped societies of the world.
Table 5. University lecturer/student ratio in some selected societies

<table>
<thead>
<tr>
<th>S/n</th>
<th>Country</th>
<th>No. Lecturers</th>
<th>No. Students</th>
<th>Ratio</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Nigeria</td>
<td>12,395</td>
<td>236,261</td>
<td>1:19</td>
</tr>
<tr>
<td>2</td>
<td>Ethiopia</td>
<td>1,440</td>
<td>26,415</td>
<td>1:18</td>
</tr>
<tr>
<td>3</td>
<td>Kenya</td>
<td>4,392</td>
<td>35,421</td>
<td>1:8</td>
</tr>
<tr>
<td>4</td>
<td>Zimbabwe</td>
<td>1,618</td>
<td>13,045</td>
<td>1:8</td>
</tr>
<tr>
<td>5</td>
<td>South Africa</td>
<td>13,326</td>
<td>380,184</td>
<td>1:28.5</td>
</tr>
<tr>
<td>6</td>
<td>Brazil</td>
<td>172,828</td>
<td>1,716,263</td>
<td>1:10</td>
</tr>
<tr>
<td>7</td>
<td>Mexico</td>
<td>72,742</td>
<td>125,207</td>
<td>1:7</td>
</tr>
<tr>
<td>8</td>
<td>Germany</td>
<td>243,303</td>
<td>1,856,542</td>
<td>1:7.6</td>
</tr>
<tr>
<td>9</td>
<td>United Kingdom</td>
<td>97,274</td>
<td>923,878</td>
<td>1:9</td>
</tr>
</tbody>
</table>

UNESCO Norm 1:10


Dwelling on lecturer/students ratio displayed in table 5, it is obvious that an average lecturer in Nigeria carries much heavier burden than his colleague in Kenya or Zimbabwe. The norm in developed countries such as Britain, Germany and Mexico is lower than UNESCO’s prescription. Therefore, lecturers in Nigeria would consider it wise to migrate to these countries because the burden of dealing with overcrowded students in Nigeria could be gladly avoided. The lecturer/student ratio is evident in nearly all courses in the country. Also, laboratories are either empty of important equipment and experimental consumables or non-existent. Libraries clamour for updating with recent materials. Teachers are badly underpaid. Most of them have abandoned academics for private industries; banks etc while many of them have had to resort to migration to other countries to keep their bodies fit (Yesufu 1996). Due to brain drain, many institutions of learning are now producing half baked graduates, who are not able to deliver in their areas of specializations. Their impact on national economy in term of productivity is generally below the required standard for an underdeveloped economy. As a result of lack of competent hands in the tertiary institutions, enrolment of post-graduate students has equally declined as illustrated in table 6.

Table 6. Post-Graduate awards by the Nigerian universities between 1988 and 1992

<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Administration</td>
<td>519</td>
<td>436</td>
<td>469</td>
<td>621</td>
<td>734</td>
</tr>
<tr>
<td>Agriculture</td>
<td>319</td>
<td>306</td>
<td>215</td>
<td>421</td>
<td>429</td>
</tr>
<tr>
<td>Arts</td>
<td>374</td>
<td>390</td>
<td>441</td>
<td>404</td>
<td>214</td>
</tr>
<tr>
<td>Education</td>
<td>1,751</td>
<td>2,055</td>
<td>1,229</td>
<td>1,972</td>
<td>1,062</td>
</tr>
<tr>
<td>Engineer &amp; Technology</td>
<td>275</td>
<td>217</td>
<td>305</td>
<td>226</td>
<td>112</td>
</tr>
<tr>
<td>Environmental Design</td>
<td>267</td>
<td>170</td>
<td>210</td>
<td>199</td>
<td>41</td>
</tr>
<tr>
<td>Law</td>
<td>121</td>
<td>138</td>
<td>181</td>
<td>226</td>
<td>08</td>
</tr>
<tr>
<td>Medicine</td>
<td>141</td>
<td>152</td>
<td>157</td>
<td>200</td>
<td>77</td>
</tr>
<tr>
<td>Pharmacy</td>
<td>28</td>
<td>15</td>
<td>19</td>
<td>12</td>
<td>06</td>
</tr>
<tr>
<td>Sciences</td>
<td>420</td>
<td>474</td>
<td>620</td>
<td>491</td>
<td>276</td>
</tr>
<tr>
<td>Social Sciences</td>
<td>849</td>
<td>881</td>
<td>1,127</td>
<td>1,218</td>
<td>847</td>
</tr>
<tr>
<td>Veterinary Medicine</td>
<td>87</td>
<td>14</td>
<td>18</td>
<td>17</td>
<td>12</td>
</tr>
<tr>
<td>Others</td>
<td>Nil</td>
<td>Nil</td>
<td>Nil</td>
<td>918</td>
<td>Nil</td>
</tr>
</tbody>
</table>


Brain drain has worsened the already depleted health care resources in Africa and widens the gap in health inequalities worldwide (Haines 2002). The departure of health professionals from Africa has eroded the ability of medical and social services to deliver even basic health and social needs in the region. For instance, thirty-eight of the 47 sub-Saharan African countries, including Nigeria fall short of the minimum World Health Organization (WHO) standard of 20 physicians per 100,000 people (Tebeje 2005). Physicians migrating from Nigeria to developed nations have accelerated dramatically over the last 20 years. In 2005, 1, 805 physicians, who graduated from five universities in Nigeria migrated to the United States of America, as indicated in table 7.
Table 7. International medical graduates in the U.S by top medical schools in Nigeria (2005)

<table>
<thead>
<tr>
<th>S/n</th>
<th>Medical School</th>
<th>No. of physicians now practicing in US</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>University of Ibadan</td>
<td>643</td>
</tr>
<tr>
<td>2</td>
<td>University of Lagos</td>
<td>429</td>
</tr>
<tr>
<td>3</td>
<td>University of Nigeria</td>
<td>394</td>
</tr>
<tr>
<td>4</td>
<td>University of Benin</td>
<td>183</td>
</tr>
<tr>
<td>5</td>
<td>University of Ife</td>
<td>156</td>
</tr>
<tr>
<td></td>
<td>Total</td>
<td>1,805</td>
</tr>
</tbody>
</table>

Source: Hagopian et al (2005)

Dearth of health workers has badly affected the nation’s health sector (Ojimadu 2007; Stilwell and Diallo 2003). It depletes an important element of the middle class (Hagopian et al 2005). Medical Doctors are regarded as important segment in the social and economic make up of the middle class, who are generally respected as being above corruption. They provide a market for consumer goods and contribute to political, social and economic stability of the country (Hagopian et al 2005). Moreover, poor persons who cannot afford overseas treatment for their patients are dying every day through sicknesses and diseases due to insufficient health workers in the country (Mason 2009). Other glaring effects in the sector are:

- **Loss of Health Services**: Healthcare professionals contribute to health promotion, disease prevention, diagnosis, treatment, and rehabilitation. Thus, the emigration of such professionals exacerbates the human resource shortages in national and district health systems and reduces the capability of such systems to perform their core functions.

- **Loss of Supervisors**: Practicing doctors and senior nurses normally play major roles in supervising staff in peripheral facilities in any given country that serve the majority of populations—such as health centers, dispensaries and health posts. Thus, when such doctors and nurses emigrate, the supervisory capabilities of a country’s healthcare system are diminished, contributing to a further weakening of the capacities of the healthcare system to provide quality services to patients.

- **Loss of Mentors for Trainees**: There is a diminishing scope of mentoring junior researchers by seasoned and senior researchers due to brain drain (Okebukola 2002). In any given country, practicing doctors and senior nurses train and counsel new healthcare employees and students on housemanship. Thus, exodus of such manpower assets can create a negative inter-generational effect on the process of health-related human capital creation in a country.

- **Loss of Public Health Researchers**: Many of a country’s specialized doctors and nurses who may decide to migrate to other countries are often among the very few active researchers in local healthcare institutions.

These trends have sparked claims that African countries are dying a slow death from escalation of brain drain (Tebeje 2005). United Nations in particular believes that emigration of African professionals to the West is one of the greatest obstacles to her development. (Tebeje 2005).

5. Theoretical Insights

Existence of mankind without leadership is in vain in our society. Leadership is more or less like an engine that propels man’s society to either advancement or backwardness. Ideas embedded in leadership, which makes it germane to this paper are heavily rooted in “Elite theory”.

The paradigm erupted from the works Pareto (1963) and Mosca (1939) as a reaction to the view of Karl Marx on power and state. Karl Max postulates in his last stage of development, tagged communism that society will be governed by Marxist elites, who will distribute goods and services to the populace according to their needs and not wants. Instead, Pareto and his associates argue that communist party is not realistic. That only elite rule is inevitable in man society. Moreover, they contend against popular participation of people in politics. In that wise, the paradigm kicks against popular definition of democracy as the government of the people by the people and for the people as put forward by Abraham Lincoln. Although, Mosca (1939) agrees with Abraham Lincoln on Democracy being the government of the people and for the people, he however disagrees with him on the ground of democracy being the government by the people. For him, democracy can never be the government by the people. Olaniyi (1995:91), a scholar of elite extraction shares the same view with (Mosca 1939). According to him “to talk
of government in which all take part in decision making is farce. What we have in practice is the
government by a minority protecting the selfish interest of members to the detriment of the ruled”.

Central to elite theory is that society is divided into two main groups; a ruling minority and the
ruled. Minority monopolizes power by taking major decisions that affect the ruled. This is possible
because elite owes its power to internal organization. It forms a united and cohesive minority against
unorganized and fragmented masses (Mosca 1939).

In man’s society, everybody cannot exercise power. Therefore, few people are vested with power
while others are ruled. Those vested with power seems to be highly organized while the ruled are
disorganized and find it intricate to present a common front to challenge the ruling elites. In
underdeveloped societies, the ruling minority seize this opportunity to hold unto power perpetually and
abuse the same. Such elite direct affairs of the society by formulating and implementing policies void of
public interest. The structure of institutions in man’s society such as major corporations; the military,
federal, state and local government etc is such that those at the top of the hierarchy largely monopolize
power to the detriment of those at the lower level (Mills 1956). These institutions occupy key pivotal
positions in the society and elite comprises those who hold positions in these institutions (Mills 1956).
They are not neutral social structures pursuing clear goals but arenas for conflicting interests in which the
social issues and power relations of society are played out to the detriment of the masses (Hughes and
Kroehler 2005).

This approach demonstrates the usefulness of leadership in our society. No nation can survive
without leadership but how far a nation can survive and sustain its survival satisfactorily depends on the
type of leadership prevailing in that nation. A country with poor leadership is doomed in the comity of
nations worldwide (Omonijo 2008). Bad leadership seems to be the gateway to a failed state. Most
countries in sub-Sahara Africa is regarded as failed states as indicated in table 8.

Table 8. Failed state index 2009 edition.

<table>
<thead>
<tr>
<th>S/n</th>
<th>Countries</th>
<th>Ranking</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Somalia</td>
<td>1</td>
</tr>
<tr>
<td>2</td>
<td>Zimbabwe</td>
<td>2</td>
</tr>
<tr>
<td>3</td>
<td>Sudan</td>
<td>3</td>
</tr>
<tr>
<td>4</td>
<td>Chad</td>
<td>4</td>
</tr>
<tr>
<td>5</td>
<td>Democratic Republic of Congo</td>
<td>5</td>
</tr>
<tr>
<td>6</td>
<td>Central African Republic</td>
<td>8</td>
</tr>
<tr>
<td>7</td>
<td>Guinea</td>
<td>9</td>
</tr>
<tr>
<td>8</td>
<td>Ivory Coast</td>
<td>11</td>
</tr>
<tr>
<td>9</td>
<td>Kenya</td>
<td>14</td>
</tr>
<tr>
<td>10</td>
<td>Nigeria</td>
<td>15</td>
</tr>
</tbody>
</table>

Source: Jude 2009

Nigeria is regarded as 15th most failed state in the world according to 2009 edition of the ranking (Jude
2009). The implication in table 8 is that elites of these nations have failed completely in governing their
nations properly. That is the social life reality of leadership in Nigeria and others underdeveloped
societies, which elite approach has successfully pointed out (Hughes and Kroehler 2005). Elites who
control power in these societies use it to pursue their self motives to the detriment of the ruled (Bakoji
2006; Amokeodo 2004). Resources meant for development is often siphoned and embezzled by these
elites (Omonijo 2008), leaving their countries impoverished, which galvanized poor economy, low level
of industrialization, mass unemployment, high rates of armed robbery etc. These are facilitators of brain
drain in underdeveloped countries.

However, inability of elite scholars to make a distinction between elites who manipulated power to
their advantages and those whose served their nations without any reservation is a major flaw against
the paradigm. Even in underdeveloped countries, where poor leadership reigns supreme, it is noted that
few elites had served their nations to the best of their ability (Omonijo 2008). Elites such as Dr. Nelson
Mandela of the Republic of South Africa; late Julius Nyerere of Tanzania, General Buhari/Idiagbon of
Nigeria etc are in this category. Hence, scholars like Olaniyi (1995) and Mill (1956) should be reminded
that not all elites use their positions to satisfy self interests.
6. Methodological Issues

This study employs primary and secondary means of data collection. Questionnaire and in depth interview were used as instruments of data collection. Questionnaires were applied to students while the in-depth interview aspect was applied to academic and non-academic staff. The questionnaire aspect presents five tables. It contains both open and closed ended questions. Table 1 features twelve questions, in which respondents were asked to rank items provided from 1 to 12 using a one way ranking scale. Table 2 contains one question, which instructs respondents to indicate their interest in travelling to developed nations after their study. Table 3 contained items relating to effects of brain drain in Nigeria. Also, respondent were asked to rank these items from 1 to 11 on a one way raking scale. Table 4 contains one question that has to do with poor leadership of the country. Respondents were asked to indicate whether escalation of brain drain in the country could be attributed to it. Three options- yes, no and don’t know were provided. The last table contains 11 questions relating to solutions to the problem of brain drain in Nigeria. Respondents were asked to tick one best option known to them. In the open ended question, respondents were asked to indicate countries which they are planning to travel to after their study. This was applied to those who indicated their interest in travelling out of the country at the end of their study.

6.1 Population and Sample Size

Student body, academic and non-academic staff constitutes the population of this study. In The Bells University of Technology, the population of students is two thousand three hundred (2, 300) while that of staff is two hundred (200). In Crawford University, the population of students is one thousand two hundred and fifty (1, 250) while that of staff is one hundred and fifty (150) resulting in 3, 900 (three thousand nine hundred) all together. Out of this figure, six hundred and ninety-one (691) samples were drawn from the population. Six hundred and thirty-seven (637) students were drawn from the student body in the two universities while fifty-four (54) members of staff were selected.

Sample techniques

Proportional sample technique was employed in selecting respondents for the study. This method involves selecting from the population according to its size. Thus, the number of respondents to be selected depends on the population of each department. Bells University of Technology was divided into six (6) departments-Biological, Chemical and Physical Sciences, Centre for Foundation Education, Accounting and Economics while Crawford University is divided to 5 departments. Each department produced sample according to its population. A simple random sampling technique was used to select respondents from each department for the study. The same method was used in selecting interviewees among academic and non-academic staff.

a. Instruments of data analysis

Simple percentage and one way ranking scale was used to describe data collected. Moreover, chi-square was used to test hypothesis formulated. Furthermore, in-depth interview was used to complement the result obtained from simple percentage, ranking and chi-square

b. Response rate

650 questionnaires were distributed to the respondents but 637 were returned back to the researcher. That represents 98.9% of the distribution.

7. Analysis and Results

Results of data analyzed in this study are presented in table nine to fourteen.
Table 9. Causes of brain drain in Niger

<table>
<thead>
<tr>
<th>S/N</th>
<th>Causes</th>
<th>Frequency</th>
<th>%</th>
<th>Rank</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Mass unemployment</td>
<td>95</td>
<td>14.91</td>
<td>3</td>
</tr>
<tr>
<td>2</td>
<td>Mass poverty</td>
<td>92</td>
<td>14.44</td>
<td>4</td>
</tr>
<tr>
<td>3</td>
<td>Poor leadership of the country</td>
<td>110</td>
<td>17.27</td>
<td>1</td>
</tr>
<tr>
<td>4</td>
<td>Poor salaries and conditions of service</td>
<td>100</td>
<td>15.69</td>
<td>2</td>
</tr>
<tr>
<td>5</td>
<td>Crises (political, religion, communal, education)</td>
<td>73</td>
<td>11.46</td>
<td>5</td>
</tr>
<tr>
<td>6</td>
<td>Poor infrastructural facilities</td>
<td>27</td>
<td>4.24</td>
<td>8</td>
</tr>
<tr>
<td>7</td>
<td>Poor recreational facilities</td>
<td>15</td>
<td>2.35</td>
<td>11</td>
</tr>
<tr>
<td>8</td>
<td>Lack of opportunity for advancement</td>
<td>12</td>
<td>1.88</td>
<td>12</td>
</tr>
<tr>
<td>9</td>
<td>Poor education facilities</td>
<td>19</td>
<td>2.98</td>
<td>10</td>
</tr>
<tr>
<td>10</td>
<td>Poor health facilities</td>
<td>29</td>
<td>4.55</td>
<td>7</td>
</tr>
<tr>
<td>11</td>
<td>Lack of good rewarding system for hardworking manpower</td>
<td>43</td>
<td>6.75</td>
<td>6</td>
</tr>
<tr>
<td>12</td>
<td>Untimely death of manpower assets</td>
<td>22</td>
<td>3.45</td>
<td>9</td>
</tr>
<tr>
<td></td>
<td>Total</td>
<td>637</td>
<td>100</td>
<td></td>
</tr>
</tbody>
</table>

Source: From the data collected by the researcher

Deducing from table 9, respondents rated poor leadership of the country as the major cause of brain drain highest with 17.27%. This is followed by poor salaries and condition of service of manpower assets in the country with 2nd position (15.69%). Mass unemployment was ranked 3rd with 14.91% while mass poverty was ranked 4th with 14.44%. Crises in the country such as political, religion, communal and education were ranked 5th with 11.46%. Lack of good rewarding system for hardworking manpower was rated 6th with 6.75%. Poor health, infrastructural, untimely death of manpower assets and recreational facilities were ranked 7th, 8th, 9th and 10th with 4.55%, 4.24%, 2.98% and 2.35% respectively. Finally, poor education facilities and lack of opportunity for advancement was rated 11th and 12th position with (1.88%). Opinions of students corroborate views of the majority of members of staff. Fifty (92.6%) of them ranked poor leadership of the country highest. They argued that if good leaders were in place, other factors causing escalation of brain drain would have been gladly arrested. Just four of them (07.4%) ranked lack of good rewarding system highest.

On the escalation of brain drain in Nigeria, opinion of respondents in item 3 as reflected in table 9 corroborates David (2005) while their views as expressed in item 4 is in line with (Oni 2010). Item 1 in the table agrees with Chandra (2008) while item 2 corroborates (Igbuzor 2007). Mass unemployment and abject poverty can prompt human capital to migrate to developed societies. Item 5 as expressed by respondents corroborates (Tettey 2007; Ajayi 2009 and Ibanga 2010). Crises arising from politics, education, communal clashes, religion etc have prompted many manpower assets to desert Nigeria for developed nations. Views of respondents in item 12 corroborate Ogundele (2009), who regrets untimely death of many manpower assets in the country in questionable circumstances. For instance, the life of Dele Giwa and his great intelligence in journalism was terminated abruptly via a parcel bomb. Also, the life of Chief Moshood Abiola-a business mogul, the greatest African philanthropist, pillar of sport in Africa, a visionary who had great ideas to contribute to his country’s development, Chartered Accountant and an advocate of reparation course in Africa was cut short suddenly (http://www.kind.org/mko_biography.html 2011; Africa Confidence 2011). The life of Ken Saro-Wiwa and his great scholarly skill as well as that of Chief Alfred Rewane and his entrepreneurial wealth were terminated abruptly. Elites in power were responsible for the death of most of this human capital. Armed robbers played prominent roles in terminating lives of many others. Ajayi (2011) lends credence to others who died via accidents due to bad roads in the country. This is enough to drive manpower assets out of Nigeria to developed societies, where they think they are safe.
Table 10. Effects of brain drain on Nigerian economy

<table>
<thead>
<tr>
<th>S/N</th>
<th>Effects of brain drain</th>
<th>Frequency</th>
<th>%</th>
<th>Rank</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Insufficient manpower assets to mount various institutions in the country</td>
<td>105</td>
<td>16.48</td>
<td>2</td>
</tr>
<tr>
<td>2</td>
<td>Loss of tax of manpower assets to the migrated country</td>
<td>30</td>
<td>4.70</td>
<td>9</td>
</tr>
<tr>
<td>3</td>
<td>Loss of investment in education of migrated manpower assets</td>
<td>32</td>
<td>5.02</td>
<td>8</td>
</tr>
<tr>
<td>4</td>
<td>Loss of capital used to employ expatriates to replace migrated manpower</td>
<td>41</td>
<td>6.43</td>
<td>6</td>
</tr>
<tr>
<td>5</td>
<td>Production of half baked graduates from higher institutions</td>
<td>95</td>
<td>14.91</td>
<td>4</td>
</tr>
<tr>
<td>6</td>
<td>Decline in enrolment of post-graduate students</td>
<td>33</td>
<td>5.18</td>
<td>7</td>
</tr>
<tr>
<td>7</td>
<td>High lecturer / student ratio in tertiary institutions across the nation</td>
<td>101</td>
<td>15.85</td>
<td>3</td>
</tr>
<tr>
<td>8</td>
<td>High mortality rate</td>
<td>11</td>
<td>1.72</td>
<td>10</td>
</tr>
<tr>
<td>9</td>
<td>Underdevelopment of the nation</td>
<td>118</td>
<td>18.52</td>
<td>1</td>
</tr>
<tr>
<td>10</td>
<td>Loss of remittance of money sent by migrated manpower to foreign country</td>
<td>53</td>
<td>8.32</td>
<td>5</td>
</tr>
<tr>
<td>11</td>
<td>High level of illiteracy</td>
<td>18</td>
<td>2.82</td>
<td>11</td>
</tr>
<tr>
<td></td>
<td><strong>Total</strong></td>
<td><strong>637</strong></td>
<td><strong>100</strong></td>
<td></td>
</tr>
</tbody>
</table>

Source: From the data collected by the researcher

Table 10 displays effects of brain drain on the economy of Nigeria. Respondents rated underdevelopment of the country 1st with 18.52%. This is followed by insufficient manpower assets to mount various institutions in the country with 2nd position (16.48%). High lecturer / students ratio was ranked 3rd with 15.85%. Production of half baked graduates from Nigerian tertiary institutions was rated 4th with 14.91%. Next in the hierarchy is loss of capital used to employed expatriates to replace migrated manpower assets, which was ranked 5th with 6.43%. Loss of capital used to employed expatriates to replace migrated manpower assets comes next with 6th position (5.02%). Decline in enrolment of post-graduate students, loss of investment in education of migrated manpower assets, loss of tax of manpower assets to the migrated country, high rate of death of sick persons were rated 7th, 8th, 9th and 10th respectively. Finally, high level of illiteracy was rated last with 11 (2.82%). Members of staff equally shared the same view with students. All of them ranked underdevelopment of the country highest, which represents 100%

Views of respondents in item 9, table 10 agree with Tebeje (2005), who argued that “emigration of African professionals to the West is one of the greatest obstacles to Africa’s development.” Views of respondents in item 1 agree with Emeagwali (2009), who attributes the shortage level of manpower assets in Nigeria to brain drain. The country is indeed witnessing shortage of human capital assets to mount her various institutions. Effects of this are indicated in items 5, 6, 7, 8 and 11. The cumulative effect of these is indicated in item 9. When manpower assets who can develop Nigeria are scattered all over developed societies due to brain drain, the nation will remain underdeveloped.

Table 11. Students interest in travelling to developed countries after their study

<table>
<thead>
<tr>
<th>S/n</th>
<th>Institutions under study</th>
<th>Students responses</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>Yes</td>
<td>No</td>
</tr>
<tr>
<td>1</td>
<td>Bells University of Technology</td>
<td>268 (42.07%)</td>
<td>46 (7.23%)</td>
</tr>
<tr>
<td>2</td>
<td>Crawford University</td>
<td>213 (33.44%)</td>
<td>30 (4.70%)</td>
</tr>
<tr>
<td></td>
<td><strong>Total</strong></td>
<td><strong>481 (75.51%)</strong></td>
<td><strong>76 (11.93%)</strong></td>
</tr>
</tbody>
</table>

Source: From the data collected by the researcher

As indicated in table 11, 75.51% of the entire sample indicated their intentions to travel to developed countries at the end of their study in Nigeria. Out of the figure, respondents from Bells University of technology represent 42.07% while that of Crawford University represents 33.44%. Respondents who expressed their dislike for travelling abroad after their study represent 11.93%. 7.23% of them are in the Bells University of Technology while 4.70% are in Crawford University. Lastly, 12.56% of students sampled could not decide whether they would travel or not. 6.91% of them are from Crawford University while 5.65% is from Bells University of Technology. Commenting on this, thirty-five (64.81%) members of staff did not see anything bad about students desire to travel out of the country at the end of their study; whereas nineteen (35.19%) of them frank at it bitterly. According to them, the hope of the country
is in their hand. They should be able to team up and wage war against poor leadership of the country that is responsible for the escalation of brain drain.

Table 12 below presents the sum total of four hundred and eight-one students (75.51%), who indicated their interest in travelling to eleven developed countries after their study in Nigeria.

### Table 12. Country of choice of students who intend to travel after graduation.

<table>
<thead>
<tr>
<th>S/n</th>
<th>Country</th>
<th>Frequency</th>
<th>%</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>United States of America</td>
<td>103</td>
<td>21.44</td>
</tr>
<tr>
<td>2</td>
<td>United Kingdom</td>
<td>94</td>
<td>19.54</td>
</tr>
<tr>
<td>3</td>
<td>Canada</td>
<td>72</td>
<td>14.96</td>
</tr>
<tr>
<td>4</td>
<td>Italy</td>
<td>58</td>
<td>12.05</td>
</tr>
<tr>
<td>5</td>
<td>Belgium</td>
<td>45</td>
<td>9.36</td>
</tr>
<tr>
<td>6</td>
<td>France</td>
<td>37</td>
<td>7.69</td>
</tr>
<tr>
<td>7</td>
<td>Germany</td>
<td>24</td>
<td>4.98</td>
</tr>
<tr>
<td>8</td>
<td>Japan</td>
<td>15</td>
<td>3.11</td>
</tr>
<tr>
<td>9</td>
<td>Turkey</td>
<td>13</td>
<td>2.70</td>
</tr>
<tr>
<td>10</td>
<td>Australia</td>
<td>11</td>
<td>2.29</td>
</tr>
<tr>
<td>11</td>
<td>Netherlands</td>
<td>9</td>
<td>1.88</td>
</tr>
<tr>
<td></td>
<td><strong>Total</strong></td>
<td><strong>481</strong></td>
<td><strong>100</strong></td>
</tr>
</tbody>
</table>

**Source:** From the data collected by the researcher.

Opinions of respondents as expressed in table 11 & 12 indicate that students, who are undergoing training in higher institutions, are interested in travelling abroad after their programmes in Nigeria. The hope of every nation rests on her youth. If the youth are not interested in staying in the country due to the problem of brain drain, then the future is at stake. Reasons mentioned to justify their stand reflected in table 8. These points corroborate Chandra 2008, Igbuluzor 2007, Tettey 2007, Ajayi 2009 and Ibanga 2010 on why manpower assets migrate to developed societies.

### Table 13. Solutions to the problem of brain drain in Nigeria.

<table>
<thead>
<tr>
<th>S/N</th>
<th>Solutions</th>
<th>Frequency</th>
<th>%</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Good leadership of the country</td>
<td>109</td>
<td>17.11</td>
</tr>
<tr>
<td>2</td>
<td>Mass employment opportunities</td>
<td>85</td>
<td>13.34</td>
</tr>
<tr>
<td>3</td>
<td>Political stability (sound democratization process)</td>
<td>74</td>
<td>11.61</td>
</tr>
<tr>
<td>4</td>
<td>Good salary and conditions of service for workers</td>
<td>100</td>
<td>15.69</td>
</tr>
<tr>
<td>5</td>
<td>Good rewarding system for hard working staff</td>
<td>92</td>
<td>14.44</td>
</tr>
<tr>
<td>6</td>
<td>Solid infrastructural facilities</td>
<td>46</td>
<td>7.22</td>
</tr>
<tr>
<td>7</td>
<td>Solid health facilities,</td>
<td>37</td>
<td>5.80</td>
</tr>
<tr>
<td>8</td>
<td>Solid recreational facilities</td>
<td>25</td>
<td>3.92</td>
</tr>
<tr>
<td>9</td>
<td>Reduction of high level of poverty in the country</td>
<td>19</td>
<td>2.98</td>
</tr>
<tr>
<td>10</td>
<td>Eradication of unnecessary crises in the country</td>
<td>22</td>
<td>3.45</td>
</tr>
<tr>
<td>11</td>
<td>Eradication of high level of poverty salvaging the country</td>
<td>28</td>
<td>4.39</td>
</tr>
<tr>
<td></td>
<td><strong>Total</strong></td>
<td><strong>637</strong></td>
<td><strong>100</strong></td>
</tr>
</tbody>
</table>

**Source:** From the data collected by the researcher.

Deducing from table 13, respondents put good leadership as the best solution to the menace of brain drain in Nigeria with 17.11%. This is followed by good salary and condition of service for staff with 15.69%. Next on the hierarchy is good rewarding system for diligence workers with 14.44% while mass employment for the populace takes the next position with 13.34%. Respondents, who suggested political stability, solid infrastructural facilities, health facilities and eradication of high level of mass poverty in the country constitute 11.61%, 7.22%, 5.80% and 4.39% respectively. Finally, respondents who put forward eradication of unnecessary crises and solid recreational facilities in the country as their solutions to brain drain represent 3.92% and 3.45 respectively. The view of students is equally similar with the view of the majority of members of staff on this subject. All of them perceived good leadership as the major solution to the escalation of brain drain. These interviewees argued that if the issue of bad headship could be addressed, factors leading to the escalation of brain drain would be greatly addressed as witnessed in the present day Ghana. Since the enthronement of good leadership, deluge of problems prompting Ghana’s
manpower assets to scatter all over the world have been arrested to the barest minimum (Aduhene 2009). Hence, the menace of brain drain is no longer as serious as it was in the past.

Item 1 in table 13 indicates the best solution to the menace of brain drain in Nigeria (good leadership). Factors aggravating brain drain, which includes mass unemployment, religion, communal, political, education crises, poor salaries and condition of service etc are anchored on poor leadership in the country. If the nation can adequately address the question of poor leadership as suggested by respondents, items 2-11 will be expressly tackled and the problem of brain drain will be reduced.

8. Testing of Hypothesis

Hypothesis one

H¹: There is a relationship between poor leadership and brain drain in Nigeria

Table 14a. Relationship between poor leadership and brain drain in Nigeria

<table>
<thead>
<tr>
<th>Question</th>
<th>Institutions under study</th>
<th>Students responses</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Do you think the escalation of brain drain in Nigeria can be attributed to poor leadership of the country?</td>
<td>Bells University of Technology Crawford University</td>
<td>Yes (a) 190 No (b) 125 Don’t know (c) 85</td>
<td>(d) 104 (e) 78 (f) 55</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Total</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Table 14b. Calculating data for hypothesis 1

<table>
<thead>
<tr>
<th>Cells</th>
<th>$f_o$</th>
<th>$f_e$</th>
<th>$(f_o-f_e)$</th>
<th>$(f_o-f_e)^2$</th>
<th>$(f_o-f_e)^2/f_e$</th>
</tr>
</thead>
<tbody>
<tr>
<td>A</td>
<td>190</td>
<td>155.5</td>
<td>34.5</td>
<td>1168</td>
<td>7.51</td>
</tr>
<tr>
<td>B</td>
<td>125</td>
<td>107.4</td>
<td>17.6</td>
<td>309.76</td>
<td>2.88</td>
</tr>
<tr>
<td>C</td>
<td>85</td>
<td>70.1</td>
<td>14.9</td>
<td>222.01</td>
<td>3.17</td>
</tr>
<tr>
<td>D</td>
<td>104</td>
<td>138.5</td>
<td>-34.5</td>
<td>1190.25</td>
<td>8.59</td>
</tr>
<tr>
<td>E</td>
<td>78</td>
<td>95.6</td>
<td>-17.6</td>
<td>309.76</td>
<td>3.24</td>
</tr>
<tr>
<td>F</td>
<td>55</td>
<td>65.9</td>
<td>-10.9</td>
<td>118.81</td>
<td>1.24</td>
</tr>
<tr>
<td>Total</td>
<td></td>
<td></td>
<td></td>
<td>$\sum (f_o-f_e)^2$</td>
<td>26.63</td>
</tr>
</tbody>
</table>

Chi-square ($X^2_{cal}$) value = 26.63 and Chi-square tabulated ($X^2_{tab}$) value = 7.378

$X^2 = \sum (f_o-f_e)^2/f_e$

Where $X^2$ is chi-square, $f_o$ is frequency observed, $f_e$ is frequency expected, $f_o-f_e$ is the difference between the observed and expected frequency, $(f_o-f_e)^2$ is the difference between the observed and expected frequency all squared. The degree of freedom is 2 while .025 is the level of significance.

The chi-square computed value of 26.63 is > (greater) than the chi-square tabulated value of 7.378. As a result, the hypothesis that says there is a relationship between poor leadership of the country and escalation of brain drain is upheld. Our result here justifies the view of fifty (92.81%) members of staff. They argued that most factors causing the escalation of brain drain are anchored on poor leadership of the country. As elites in government keeps on enriching themselves, the job market worsens day by day (Igwe 2011). Inflation, rising foreign exchange rate, and depreciating Nigerian naira continued to destroy the economy.

Thus, unemployment, poverty and hardship increased in cities, town and villages across the nation (Igwe 2011). This paved the way for human capital flight in the country. Therefore, moral decadence of many elites in government has its root in maladministration that leads to the escalation of brain drain in the country. Therefore, the fear of God, which is the beginning of wisdom, is absolutely lacked in the
lives of many elites in positions of authority. When the fear of God is destroyed in one’s life, wisdom needed for direction towards achieving excellence in government could be erased. That might lead to maladministration, which is the route to economy malady, political uproar and social ills.

9. Findings

Findings of this study indicate a relationship between poor leadership of the country and escalation of brain drain. Also, it shows that students are interested in migrating to the developed societies at the end of their study. Causes of the escalation of brain drain in Nigeria are: poor leadership of the country, poor salaries of workers and conditions of service etc. effects of brain drain on the economy of the country are: underdevelopment of Nigeria in the comity of nations, shortage of manpower resources, loss of tax to the country etc. Solutions to the problem of brain drain are: good leadership, good salaries and condition of service for staff etc.

10. Concluding Remarks

This study concludes that there is a relationship between poor leadership and brain drain in Nigeria. Moreover, it discovers that students are interested in travelling to developed nations at the end of their study. Causes of escalation are poor leadership of the country, poor salary and condition of service, mass unemployment, mass poverty etc. major effects of brain drain in Nigeria are, backwardness of the nation in the comity of nations, shortage of manpower to mount various institutions in the country, loss of tax of migrated manpower to developed countries, loss of tax of migrated manpower to foreign countries. Considering the above, one wonders why most elites in Nigeria keep on attributing the backwardness of the nation to colonialism and slavery. By this, they are ignoring devastating roles, which they are playing in this backwardness. This could be seeing as an escapist approach to shift their stupidity and foolishness on the colonial masters. More than slavery and colonialism, elites in Nigeria have contributed immensely to the backwardness of the nation. The newly Industrialized Countries of South East Asia were once colonized like Nigeria and at the same time backward in the comity of nations worldwide. Nevertheless, elites of these societies have been able to transform their countries from agrarian societies of yesteryears to industrialized ones of today. Nothing empowers than knowledge (Oyedepo 2009). It is an irony of life to realize that many custodians of knowledge, who could transform Nigeria are scattered all over the world due to the menace of brain drain. Thus, to create the future that Nigeria deserves, our elites need a huge shift in thinking, values, and action. Their shift in thinking from wrongs to rights is very crucial to the advancement of the nation.

11. Recommendations

Based on the above conclusion the following recommendations are made:

- Good leadership. Transparency in leadership is very important and it should be worked for seriously and maintained in underdeveloped countries. This will usher in good governance, which ensures merit system without favoritisms in various institutions in the country. Effective and efficient administration will make provision for equal distribution of resources.

- Solid economy. Sound economy has its root in high level of industrialization. This arrests unemployment among the masses and subsequently abject poverty. When manpower assets are well placed with better remunerations, their movement to developed nations will be reduced. Solid social, infrastructural, recreational facilities, road network equally emerge through a flourished economy. These make life convenient for manpower assets and the entire populace. Their availability could go a long way in reducing migration of human assets from underdeveloped countries.

- Education plays a powerful role especially in the growing problems of international migration of manpower assets and young intellects. Therefore, offering these individuals the necessary education qualifications in their home countries, and expanding a better educational infrastructure might prevent emigrants who are seeking a higher education abroad. This could also prevent those who are planning to stay permanently abroad after their education from doing so.
• Offering higher wages for human capitals according to their qualifications is very essential. Furthermore, underdeveloped countries should shore up the qualities of their research institutes and provide research incentives for professionals. This could address issues of research integrity, professional development, and psychological satisfaction.

• General safety of lives and properties of the entire citizenry should be put in place. Crises – political, religious, and communal as well as full scale wars should be avoided at all cost. These could forestall migration of manpower assets from leaving the country out of fear for their lives.

• Indiscriminate elimination of manpower asset should stop with immediate effect. Developed nations do protect their manpower assets from any attack that can take the worth of their knowledge away. They are preserved, encouraged and rewarded accordingly. Underdeveloped nations should follow suit.

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The Impact of Corruption on Human Rights & the Legal Mechanism for its Compacting: Case of Jordan

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Abstract The present paper addresses the issue of corruption and human rights in Jordan. This paper aims to explain the concepts of corruption and human right, the dimensions of corruption and its types. The main focus of the current study will be on the international and national legal frame work to compact corruption, the relation between corruption and economic crimes and organized crimes in Jordan. The issue of corruption and a comprehensive development in Jordan will be discussed by this paper. According to the adopted legal and judicial mechanisms to compact corruption in Jordan and the judicial attitude regarding this issue will be highlighted. The current study brings a significant conclusions and recommendations in order to protect human rights from corruptions; it advocates that all these recommendations are necessary for all branches of the state to reduce and eliminate the phenomena of corruption by all of its types.

Keywords: Corruption, Law, Jordanian Legal System, Democracy & Governance.

1. Introduction

Corruption is an universal phenomenon. It is existed and conducted by human beings since time immemorial. Corruption is derived from the Latin verb *ruptere*, to break. According to this approach, corruption is where the law is clearly broken. This requires that all laws must be precisely stated, leaving no doubts about their meaning and no discretion to the public officials. A legal interpretation of corruption provides a clearly demarcated boundary between what is a corrupt activity and what is not. 'If an official’s act is prohibited by laws established by the government, it is corrupt; if it is not prohibited, it is not corrupt even if it is abusive or unethical'. (John A. Gardiner, 1993:7)

2. Problem of the Study

Tracing the old penal codes of the world shows that even ancient civilizations clearly used bribery, which was like a disease among the Jews, the Chinese, the Greeks and the Romans communities (Thakur, 1979:7). In many other civilizations corruption was dominated public life, such as in ancient India (Thakur, 1979:12). It has been rightly stated that "corruption prevailed on a larger scale in India during the ancient period and the ones that followed" (Padhay 1986:26). Therefore, it can be said this phenomena was well known and increased during the medieval ages of many corners of the world. One
of the greatest evils of medieval administration was the extortion of perquisites and presents (Sarkar, 1935:83). Corruption was evident during the colonialism, there was almost regular and systematic corruption involving almost all officials at different levels in the political and administrative hierarchy of many of the occupied countries. There was an underlying belief among officials that corruption is a legal behavior that can be exercised freely without any stigma (Dwivedi and Bhargava, 1967:7). Corruption has been part of our economic and political life since ancient times. During the past few years, there has been a resurgence of interest in understanding the impact that corruption has on our societies (Jain, 1999: 192).

3. Hypothesis of the Study

The current study is about the Impact of Corruption on Human Rights & the Legal Mechanism for its Compacting: Case of Jordan. The first hypothesis to be tested in this study is that there exists a relationship between corruption and violations on human rights, the study showed that there are direct violations on human rights and indirect violations on human rights caused by corruption in public and private sectors of the state. The literature review of the studies revealed that the main causes of corruption may be individual, organizational or societal reasons. The second hypothesis of this study is that the increasing of the levels and degrees of corruption are linked with the existence of the efficient legislative, judicial and anti- corruption institutions or not.

4. Importance and Objectives of the Study

The importance of the current study emanates from the reality of that corruption is the main reason behind the violation of the social values and human rights in the modern era, moreover, corruption is paralyzing all the efforts of the sustainable economic development, especially when it is known that this disease is spreading in every and each corner of the today state, in the public and private sectors of the state. The main aims of the present study can be sought as following:

- To raise the level of awareness about corruption, therefore it is very necessary to define the concept of corruption and explain its causes and types.
- To develop a special understanding pertaining the issues related to corruption, especially to focus in the affects of the political, administrative, private and public corruption.
- To discuss the impacts of corruption on human rights, by focusing on the direct and indirect violations caused by corruption to the rights and freedoms of citizens in Jordan and other countries.
- To clarify the vital role of the legal mechanism in Jordan in order to compact corruption, such as the role of the judiciary, legislator, anti- corruptions commission, board of auditing and board of grievances.
- To identify the national strategies adopted by official and private agencies in order to compact corruption for the preservation of the human rights in Jordan.

5. Methodology of the Study

The present study is an exploratory one and hence a multipronged methodology is used to complete the study. This is included analytical and descriptive method as far as historical development and analysis of legal framework is concerned. The analysis of impact of corruption on human rights and the legal mechanism for compacting it in Jordan based on data that gathered through published annual Reports, Articles published in books, journals and newspapers etc. Materials posted on websites are consulted. Thus, both primary and secondary sources are made use of in the completion of study. The Articles of the Constitution of Jordan, 1952 and several sections of different legislations and laws in Jordan are already reviewed by the researchers.

6. Definition of the Concept Corruption

There is no widely and a comprehensive accepted definition of the concept of corruption. It is found that each and every writer defines it from the view of his specialized area; however, most definitions emphasize the concept as a crime of economic calculation, abuse of public power or position for personal benefits. For example, El.Kayed defines it as “ an act by a public or private employee or citizen that...
violates the laws, rules, regulations and principles governing the proper discharge of one's official duties in the expectation of personal gains" (El.Kayed, 1996:11). According to Wraith the term means the “gulf between prescribed behavior and actual behavior of an individual (Wraith & Simpkins, 1968). In general the term regarding Huntington means" behavior conducted by public officials in order to achieve private goals and purposes" (Huntington, 1977, 450). In the views of Wraith and Simpkins, the concept of corruption indicates that any act deemed corrupted by the society, where a man feels guilty while committing it"(Wraith, Simpkins, 1964). On the same context, it means any bad an official that aim at gaining illegal money or personal benefits"(Rashied, 1976).

In accordance with the opinion of Arnold J. Heidenheimer, the concept of corruption indicates the “pecuniary gains on the process of social interaction” (Heidenheimer, 1978: v), while in the view of Lasswell, it means “violation of public interest” (Kim, 1990:177-82). On the same context, Tilleke & Gibbins assume that the definition, which places the public sector at the centre, is so wide-spread, because the harms of private-to-private corruption have not been acknowledged as well as the public corruption, until recently, although it has always been present too (Warsta, 2004: 4). Corruption can be defined also as the abuse use of public office for private gain. This includes bribery and extortion, which necessarily involve at least two parties, and other types of malfeasance that a public official can carry out alone, including fraud and embezzlement (Gray and Kaufmanns, 1998: 9).

Corruption is a term with many meanings, but generally it entails misusing one's office for a private gain or unofficial end. It involves both a monetary and non-monetary benefit. Bribery, extortion, influence peddling, nepotism, scams, fraud, 'grease money', and opportunism readily spring to mind (Lal Balkaran, 2010). It can be defined also as a behavior which deviates from the normal duties of a public role because of private – regarding (family, close private clique), pecuniary or status gain, or violates rules against the exercise of private-regarding influence. This includes such behavior as bribery (use of reward to prevent the judgment of a person in a position of trust); nepotism (bestowal of patronage by reason of relationship rather than merit); and misappropriation (illegal appropriation of public resources for private-regarding use) (Abu-Bakr H. Kargbo, 2006). It is defined also as Giving or obtaining advantage through means which are illegitimate, immoral, and/or inconsistent with one's duty or the rights of others. Corruption often results from patronage (businessdictionary, 2010).

Corruption demands a multidisciplinary approach, and many fields of study, from political science to economics, have addressed the issue. Each has a different perception of the problem and therefore generates different policies: operational definitions tend therefore to start broad and become more specific as they try to render corruption measurable. A well-known classification distinguishes grand from petty corruption. Grand corruption refers to the corruption of heads of state, ministers, and top officials and usually involves large amounts of assets. Petty corruption also called “low” and “street” corruption indicates the kinds of corruption that people experience in their encounters with public officials and when they use public services (hospitals, schools, local licensing authorities, police, tax offices, etc.). It generally involves modest sums of money (Karen Massier, 2009:15).

7. Types of Corruption

Corruption takes many forms; these many varieties of corruption can be categorized further in terms of their nature and types that can be summarized as follows:

A) Cronyism: It refers to a biased behavior or favorable treatment includes assisting friend or relatives by given them positions without regard to their qualification and professionalism, therefore, appointing people of personal relationship is regarded as cronyism (the oxford English dictionary, 1989). The term cronyism also embodies any type of priority given to a friend or relative to complete his dealings with government or gaining benefits of its services. Thus, it means “relationship” or connection, which can be translated as friendship with implications of continued exchange of favors (pye, 1992), but it differs from the concept of favoritism that involves subjectivity or bias on personal preference (Prendergast and Topel, 1993).

In Jordan, cronyism is dealt with as symbiotic relationship between business and bureaucracy, it includes the abuse of public office for private gains (Jordan watch, 2006) and it forms a goodwill act among the interested individuals according to the view strategies adopted by the Jordanian anti-corruption commission, cronyism is an illegal act aims at depriving people their rights, or granting them interests of others (anti- corruption commission of Jordan,2008:5). However, this act is not dealt with as a crime, neither in the punishment code of 1960 nor in the law of economic crimes no (11) of 1993, but it becomes a crime under the law of anti corruption commission No (62) of 2006.
In a country like Jordan, cronyism is regarded as a chronic disease practiced even by the nation representatives, who use their political power to assist their voters, friend and relatives in gaining positions in both public and private sectors (Samira al.dassoqi, 2010).

**B) Bribery:** It is an act committed by public employees, in which favors are accepted in return for providing inside information or special services to certain individuals seeking to benefit from it” (Z.el-kayed, 1996:12). It can be defined also as “offering or accepting something of value in a situation where the person a service which goes beyond his normal job description (Smith, 2003).

According to article 170 of punishment code of Jordan no (16) of 1960, the crime of bribery is “an act of demanding or accepting, made by an employee or a deputed person, in service either by election or appointment, or any other person deputed with official task such as arbitrator, experts or liquidator, to receive gifts, promise or any sort of other interests. Some countries (such as Jordan), defines the crime of taking bribes simply as “bribes” (article 197 cr of Jordan), some (such as Germany) define it as “interest”(article331 GCC). Therefore, the crime of bribery includes an agreement between an employee and the interested person in order to make an employee receives interests or promise of getting it in future, and at the same time granting the second party his demands or needs.

**C) Baksheesh:** It is part of Middle East daily life, the concept originally refers to the Persian word that means “present”. The term baksheesh my be known as that extortion payments are required for the involvement of supplies and people, contractors inflated their bids accordingly “(Williams, 2009:159). Therefore, it is a gratuity, tip, or bribe paid to exercise in Jordan, especially in private sectors (Awad and yousif, 2010:24).

Under the punishment code of Jordan, baksheesh is not provided as a crime, unless if it comes within acceptance of gifts or bribes by official employees as mentioned in Article 170. The common practices of baksheesh in Jordan takes forms of petty amounts of money given for services made a waiters and the paid amounts for restaurants and hotels servants is usually included in the invoices with limited percentages, moreover, labor owners keep some kind of collection boxes for collecting baksheesh’s and then distributing it equally a money all servants (al-marashdah, 2008:24-25) therefore, baksheesh is part of wages as provided under article 2 of labor law no18 of 1996.

**D) Embezzlement:** Embezzlement is defined as taking money for ones own use in violation of trust, such as embezzlement of public funds by officer having them in charge.

According to article 174 of the Jordanian punishment code no (16) of 1960, the crime at embezzlement is “any act of receiving of states money or thing made by public officer having them in his charge”. Therefore, it is an act of taking property or funds legally entrusted to someone in their formal position as public officer, private officer, agent or trustee. The crime of embezzlement is constituted from four elements ,namely, the act of embezzling, committed by public officer, the taken money should be in his charge and the availability of the Mens Rea (criminal intention)(cassation decision 2002,966).

8. The Integrated Causes of Corruption

Various attempts have been made by many studies in regard to analyze the causes of corruption. These studies insist that the main causes of motives or as result of financial problems or it can be for external factors that are prevalent within an existing social and administrative context can also be a problem (Al. kayed, 1996:13). Other studies, suggest that the causes of corruption are that government monopoly of economic activities, conditions of political “softness”, widespread poverty and socio- economic inequalities imbalance in the legitimacy of governmental organization, and maladministration (Gould,1983:1-41).

As regard the phenomena of corruption in developing countries, some studies suggest that its reasons are the colonial regime and institutionalization of capitalism, which influenced the main social structure of these countries (Hoogvelt, 1976). Thus, these causes have led to the loss of national efforts to compact corruption, rights and frustration as well as losing morality of work (Kilani,2002:80).

Accordingly, other writers advocate that bureaucracy is one aspect of the main causes behind corruption (Kim, 1992: 177-182) overwhelming administrative red tape ,excessively complicated bureaucratic procedures ambiguous instructions and a general “lack of transparency” (El.Kayed:1996:13). However, the bureaucratic culture model focuses on the causes of corruption though using the effect of Confucianism (Henderson, 1968). Therefore due to this model corruption is explained as a violation to the socio- cultural norms in the society by bureaucrats.

Meanwhile ,El.kayed points out that the external pressure, law and modest salaries, large differentials between wages paid in the private sector, lack of self-control and restraint, poverty and
unemployment, a monopoly of services by one party and common values of corruption (El. Kayed:1996:13).

In particular, in case of Jordan, the family – first ideology of social values and attitudes that place loyalty to ones family, tribe or clan above personal duties to serve his own state and to discharge his obligations in a violative and professional style. As it is done in many counters of the world, families in Jordan pushed their sons to make their divine role in common life to protect their family reputation and to increase their family influence to give rise to family – type administration. Therefore, public officers are most likely to relatives of the office head, then they feel the head is obliged to take care of his relatives as if he their tribe or family head (Faqir, 1998).

In fact, the major causes of corruption can be classified into three types, mainly, individual or behavioral causes, organizational, and societal reasons. The individual reasons are attributed to the poverty, unemployment, family’s ideology, lack of morality and professional ethics and internal motives. One of the most important individual causes of the corruption is deterioration of personal morality, which is caused either by genetic or environmental circumstances. The genetic reason usually referred to the disorder of the human genetic factors, while the environmental reasons are emerged due to many external conditions of the social, economic, cultural, educational and ethnic values of the society that resulting in deviant behavior (Traub and little,1975:59-61).

The organizational reasons are related to different factors: the absence of accountability, collapse of the control system, lack of transparency, poor organization leadership and poor recruitment and selection procedures as well as lack of explicit standards of performance for employees and organization units (Kim,1992). In general, other organization causes of corruption my be lack of transparency, loss of public morality and the influence or pressure of external type imposed on public and government officers (El. Kayed: 1996:13).

The societal causes of corruption may include injustice, inequality, absence of the legal protection of legislation to the public funds, lack of transparency, unfairness in privat or public deals and malpractice of the common values of the society (Al. Shakanbeh ,2008:2). Other types of social cases of corruption may include common values of society, societal tolerance of corruption, absence of political will to compact corruption and absence of national strategies for anti- corruptions determinant (Kim,1992:251).

In the context of the integrated approach, it can be said that people are not corrupt by nature, the main causes of corruption not only in Jordan, but in general, include bureaucracy of individuals and organization, internal motives and external factors. Jordan’s socio-economic environment have been unstable and under developed until recently. However, the efforts of the different government of Jordan since its establishment determinately to enhance justice, equality before law by enacting contemporary laws and legislation that protect public fund, transparency and fairness (Al.shakanbah, 2008:2).

9. Corruption’s Effects to the Human Rights in Jordan

The effects of corruption on the issue of human right became very clear in the present days. The very nature of the human rights is relevant and common to all peoples (UD HR, 1948). The united nation organization spend a lot of efforts to mitigate the implications of corruption on human rights of people, either involved in public or private sector. It has drafted every important document in this regard that is the United Nations convention against corruption (UN convention against corruption, 2003). Therefore, the present study tries to focus on the issue of preventing human rights abuses, the violations caused to human rights by corruption and examine how corruption effects human rights in Jordan.

The idea of human rights is common one for all societies; it gained a huge attention during World War II due to the extreme violations and abuses to nations and individuals of the world. This war later led to the birth of the United Nations organization, which was the most important of its contribution in keeping international peace and security the adaptation of Universal Declaration on Human Rights, 1948 that really called as the most important legal document in the history of world (Drinan, 2001:9).

However, the Universal Declaration On Human Rights, 1949 is the main basis for adopting the two UN. Convenient; The international covenant on economic, social, and cultural rights and the international covenant on civil and political rights (ICESR, 1966, ICCRR, 1966). The UN. Human rights sub-commission provides basic rights to be respected and promoted, namely, rights to equal opportunity, on-discriminatory treatment, security of person, rights against use forced or compulsory labor, freedom of association, right to collective bargaining moreover, the commission provides respect to national sovereignty and human rights that include not paying bribes, not abusing human rights by company’s goods or services, the right to respect civil, cultural, economic, political and social rights. Furthermore, it
insists on respecting rights to development, adequate food and drinking water, rights to have adequate health services, housing, education and freedom of thought, opinion and religion etc (Feng, 2004:10).

The violation of human rights by conducting corrupt acts may be direct or indirect ways. These act, can be explained as following:

**A) Direct violation of human rights:** Corruption violates human right, when it is used as a means or act by itself to deliberately abuse human rights values and standard that embodies in the international bill of rights (ICHRP, 2009). For example, denying freedom of association or religious rights is considered as unlawful action, and then sort of corruption that violates human right can be a result of political or police corruption, in this regard the study made by international transparency showed that “the first rank of corruption was found in police and the third rank was in the legal and judiciary system (transparency international, 2007).”

In present days, corruption attacks the main pillars of criminal justice system, which affects the human rights of the accused during the pre-trial and trial stage, therefore the rights of the person involved with criminal process during police investigation and judicial investigations. The violations of the human right in the field of criminal justice in Jordan may be due to many reasons such as: the lack of specialization, lack of modern technological systems for judges, personal interference in the independence of judiciary, administrative monitoring of judicial decisions, giving order in cases, slow proceeding of trials, disorder in file keep and the dominance of traditions (Kalani, 2002:71-79). Sometimes, the poor ethics of police that make police arrest, detain persons by relying on fake evidence and bribery (Thaipradit, 2004).

Access to fair legal proceedings of justice is the major issue for human rights protection. Therefore an anti-corruption measures need to be developed in order to preserve the human rights during justice procedures, in Jordan it is basic element of criminal justice that no person to be charged in absence of evidence (El.Kayed, 1996:15). The problem of injustice and unfairness inside the court system in any country may be attributed to the political corruption, which indicates imbalance in the distribution of powers, and especially the powers of justice administration (Abu-Soilam, 2010:18).

In addition, direct human rights violation caused by corruption is also found in legislations of public services. Thus, an attention should be given to the legislative aspect, which involves refining both the legal system and the legislative process and enhancing its transparency (El.Kayed, 1996:16). In this case, it can be mentioned that lack of transparency and poor supervision are behind abusing the power of appointing and selecting employees on grounds not based on qualifications or equities, this kind of abuse is a violation to the right of equal opportunities provided by article 6(2) of the constitution of Jordan, 1952.

**B) Indirect violation of human rights:** In contrary to the direct violation of human rights, the indirect violation to the human rights by corruption may be considered as necessary for violation, but it can not be dealt as a violation by itself. For example, when police keep eye blind to the committed crime of any nature is considered indirect violation of the human rights of victims.

Corruption is deemed as indirect violation to human rights, when it is committed as means to protect corrupt person, or to avoid the legal consequences of the crimes of corruption, such as attacking or arresting journalists and activities after the exposure of corruption, threats made against witnesses in order to hide the truth before the competent court or practicing kind of discrimination by police or public officers on the bases of religion, color, race or any other foundations (Article 6 of the constitution of Jordan, 1952). Thus, sometime public officers may commit criminal acts in order to hide corruption or to prevent others from exposing it (Asian center for human rights, 2004).

Accordingly, corruption leads to create new rule, traditions and illegal organization in dealing with government agencies. In same time, it contributes in collapsing, hiding the legal organization set by laws, regulation which make these agenciesuntreatable nationally and internationally (Bowadi, 2008:28). The indirect violation of human rights caused by corruption may affect the fundamental rights of persons, such as the rights to equal opportunities, rights of access to information and the freedom of media (Abu-soilam, 2010:91).

**10. The Legal Mechanism for Compacting Corruption in Jordan**

**10.1 The Role of Legislator**

The constitution of Jordan, 1952 set the main fundamental rights and freedoms of citizens, and left the issue of its regulating to the legislative law in the country. Therefore, the enactment of any law violates
these rights and freedoms will make this law as unconstitutional in this regard, it can be said the constitutional legislator had a tendency to compact corruption, but not explicitly, by providing some articles prohibits any sort of violation to the fundamental rights of the Jordanian citizen. In addition, the criminal and panels laws in Jordan provide many provisions for criminalization and punishment of corrupt acts, such laws try to protect the human rights of individuals and groups.

In spite, the constitutional legislator does not used the term of “corruption” within the articles and provisions of the constitution of Jordan, 1952, but he insists on the issues of democracy any transparency of the ruling system in Jordan, especially in regard the subject of protection human rights. For example, article 1 of the constitution provides that the nation is the source of powers in the country; in this case it is assured that no one except parliament can enact laws in order to protect the rights of citizen. On the same context, the constitutional legislator an tended to prevent political corruption by specifying the duration of nation representatives in the house of nation (house of deputies) for four years (Al.khatib,271).

The constitution also provides for the respect of right and freedoms of citizen and its violation within the limits of rules of legitimacy and due process as provided in articles 7 and 8 of the constitution of Jordan, 1952.

In response to the international efforts to compact corruption, the law of anti- corruption commission No (62) of 2006, was enacted. This law is considered as a contemporary law to control and eliminates all sort of corruption that may occur in Jordanian public or private sectors. Article 5 of the Jordanian law of anti-corruption commission provides clearly for all acts, which can be classified as corrupt crimes such as, crimes against the duties of public employment, crimes against public trust that provided in the Jordanian punishment code, No (16) of 1960 and its new amendments, and economic crimes as provided in the Jordanian law of economic offenses No (11) of 1993 and its new amendments. It is provided also by the types of corruption all acts of abuse of powers, acceptance as well as all sorts of acts prohibited by international documents, which have been approved by the government of Jordan.

Finally, the legislative role for controlling and compacting corruption for controlling and compacting in Jordan can be concluded namely, as by raising questions regarding corrupt cases, holding hearing and inquiries to these cases. The legislator can set measures that necessary to improve the performance of public administration, it can also ensure civil servants are paid adequate wages, insist on the simplification of bureaucratic policies and measure decrease the chances of corruption and enacting rules and regulations that prohibit corruption etc.

10.2 The Role of Judiciary

Judiciary is deemed as the castle for protection of human right of citizens against violations caused by corruption. Thus, it can not play a vital role in preserving human rights unless it is free from the dominance of the executive power (Kilani,2004:71). It has been really noticed by Jordanian justice Farouq Kilani that the independence of the judiciary is a principle that had been set by the will of free people as an immortal objective to achieve justice in the society and safeguard the state and the individuals’ rights.

According, the constitution of Jordan,1952 provides in its article 97 that judges are independent in the exercise of their judicial functions, and they are subject to no authority other than that of the law. While, article 101 (I) states that the courts shall be free from any interference in their affairs. Therefore, it can be inferred from these articles that no one have any power over the ruling of judges in Jordan, or to interfere in the judges affairs such as the power to demand any case pending trial nor to oversee it or give directive about it.

Moreover, the judicial system in Jordan in order to compact corruption should be entirely independent from the influence of other branches of the state. The judges himself should be free from the internal and external influences and interferences (Faqir, 2004). In fact, fighting corruption in Jordan by judiciary requires to enlarge the powers of judges in deciding cases, especially as regard the cases of unconstitutionality of laws, which need to establish anew positional court in Jordan that may deal with the cases of political, administrative and government corruption (Al.Thbitat and Faqir,2010:6-8).

Enhancing the role of judiciary for compacting corruption in Jordan requires to strength the authorities of the general district attorney and the legal consultants or advisors within many ministries as well as establishing a depart of investigation within ministry of justice in order to investigate corruption cases such as abuse of powers by public officer, movement of public funds, evasion of customs and income taxes and monitoring transactions relating to banks, stokes and financial markets, privatization

10.3 The Role of Anti-Corruption Commission

The Jordanian Law of Anti-Corruption Commission No (62) of 2006 embodies a group of procedures that designed for pre-trial investigation of corruption crimes in order to preserve the human rights of individuals as provided by the constitution of Jordan, 1952. Article 7 of this law emphasizes many legal procedures to be conducted during the pre-trial stage, which can be used to inspect and detect the financial and administrative corruption, such as the detection of violations and encroachments, gathering all information about the offense of corruption and the initiation of the essential legal and administrative proceedings against persons involved with such type of offenses. Therefore, it can be said it is within the powers and authorities of the Anti-Corruption Office in Jordan to bring and gather all information about the commission of the crime of corruption in order to evaluate the situation for initiating the legal proceedings against the suspected person and subject him/her to primary investigation in order to refer the case to the competent court or to release him in absence of criminalizing evidences (Al. Bahar, 1998:194-195).

The pre-trial investigation includes inspection stage and criminal investigation stage; these two stages can be conducted by the officers of the Anti-Corruption Commission in Jordan, as follows:

- **Inspection Stage**: The inspection stage starts from the moment of receiving the information or complaints by police men, or where there is a real doubts about the commission of an offense of corruption that necessitates investigation, such as the act of abuse of power by any of the public employees (Al.Juraish, 2003: 327). Accordingly, the employees of the Jordanian Anti-Corruption Commission as provided by Article 7 of the Jordanian Law of Anti-Corruption Commission No (62) of 2006 are judicial police officers that have wide powers and authorities to collect and gather information about the committed offenses of corruption or regarding the potential commission of these crimes in future. In addition, Article 16 of the same law in matching with Article 9 (1) of the Jordanian Criminal Procedure Code of 1967, provides that the president and members of the “Anti-Corruption Commission” are considered as judicial police officers for the purpose of exercising their tasks, and the assembly can also determine the officer who can enjoy this designation.

- **Investigation Stage**: This stage is the second one that follows the stage of inspection of collection of information about the commission of the crime of corruption, therefore this stage is not decided unless there real evidence against the suspected person that he commits the occurred crime. For this reason refereeing the case of corruption with the suspected employee of commission corruption is the first step in the legal proceedings or legal litigation (Al.Zakary: 68). Furthermore, the Anti-Corruption Commission is a competent Body that conduct criminal investigation regards the offenses of corruption, in this regard Article 14 of the Law of Anti-Corruption Commission No (62) of 2006 states that “the judicial counsel deputies on the request of the president number of public prosecutors to the Commission for exercising their tasks and authorities as per as in force laws”. The same Article provides also that the public prosecutors of the commission have the power to conduct the legal and administrative procedures against the suspected person involved in corruption case in order to keep the movable and immovable things, preventing the suspect from travelling and exercising his work and pending his salaries and improvements. The public prosecutor should be obliged to the rules of the Jordanian Criminal Procedures Code while investigating corruption cases; they can not refer the case to the competent court unless there is real evidence that may be relied on by the court to convict the accused. Therefore, referring the case of corruption to the competent court by the public prosecutor needs the presence of the legal evidence, or confession of the accused or existence of the strong suspicion for the commission of the crime of corruption by public employee.

10.4 The Role of Audit & Administrative Control

The Audit Bureau has powers of requisitioning all records of the auditee organizations to discharge its mandate as per the Constitution. It has powers to enforce or initiate enforcement action to secure access to needed records which are not produced as per the audit law and to seal, search and seize documents and other related items considered necessary for audit and inspection. The Audit Bureau does not have powers to instruct government investigating agencies to perform activities considered necessary, or powers to decide on claims of interested persons in connection with official actions, duties and behavior of persons subject to audit and inspection (Audit Bureau-Jordan, 2010).
As regards Article 8 of the Constitution of Jordan, 1952 provides for performance of such audits. The Audit methodology/ procedures is as specified by the provisions of the Audit law and audit standards, however, the Audit Bureau does not discharge judicial functions and its findings are followed up with the concerned audited bodies, the cabinet and the Parliament. It is required to follow specific standards, practices and guidelines in conducting audit and reporting. On the same context, The Jordanian Audit Bureau can consult and collaborate with other countries. In accordance with its role in compacting corruption, the Audit Bureau requires that any fraud or embezzlement be reported mandatorily by the auditees. Reporting Procedure on the recommendations of the Audit Bureau includes, a report is submitted to the concerned audited body if the case has not been settled by the concerned audited bodies, and the issue shall be raised by the Audit Bureau to the Parliament.

However, in order to catalyze the role of the Jordanian Audit Bureau, there is a need to update the legislations regarding the powers and authorities that provided to the Audit Bureau, the president of the bureau should have powers over corruption cases and have the legal authorities in order to engage the powers of the public prosecutor in sending persons accused with any offense of corruption such as fraud, theft or misuse of public funds to the public prosecution office in the Ministry of Justice (El.Kayed, 1996:19). Moreover, the Audit Bureau in Jordan can not play vital role in compacting corruption unless the administrative and accounting systems are developed and updated and using high technologies, strengthen the role of internal control units and forming special units to compact many forms of corruption within the governmental agencies of the state, such as theft, fraud, abuse of public power, smuggling, customs and income tax evasion, utilizing public and governmental cares and vehicles for personal uses etc.(El.Kayed, 1996:20-21).

10.5 The Role of Board of Grievances

The Board was established by the Law of Board of Grievances No (11) of 2008, it is empowered with wide functions and authorities to compact corruption in Jordan. Article 12 of this law provides that The board is having essential functions and authorities over all complains against public administration's decisions, measures and malpractices, at the same time no complains can be accepted by the board against the public administration if it already leveled before any judicial or administrative body, or if it is under the investigation of any court or already decided by the competent court. This Article recommends for the simplification of the administrative procedures in order to entitle citizens with utilizing the services, which are introduced by the public administration through receiving their complaints.

According to Article 14 of the Law of Board of Grievances any party that gravened from any illegal action of the public administration can level a complain before the board in order to prevent any suspicion of corruption or violations caused by the corrupt act of the administration or its employees, the president after the completion of the investigation find that the act which is complaint against forms a crime or an offense should be refereed to the concerned authorities, while the administrative part of the case will remain in his office for issuing the final decision regards it, as provided by Article 16 of the same law.

11. Conclusion and Recommendations

Corruption is a complex social and legal phenomenon with multi-dimensional impacts and effects. It spreads every where in this world, there is no society free of this disease, which attacks person and individuals on their personalities, properties, rights and freedoms. This evil takes place as a result of deficiencies in the existing systems of government's administrations and systems as well as cultural, economic, political and social causes.

As discussed in this study previously, there are no comprehensive definitions to the concept of corruption, moreover, the Jordanian legislator dose not give a clear meaning to the term of corruption neither in the penal and punishment code nor in other related legislations. For this reason this study tries to reveal different definitions to the term of corruption, primarily because jurists and writers look at corruption from their own vantage points influenced by surrounding environment. But what is heartening is that in present years corruption may attribute to many causes, such as individual, organizational or societal reasons.

The study concluded that there are many types of corruption. To understand the dynamics of so many types of corruption attempts have been made to classify different forms of corruption into several categories, therefore corruption may take the forms of cronyism, bribery; baksheesh or embezzlement
that can be practiced by persons in public administration. The cost of corruption has been enormous in terms of a country’s socio-political and economic advancement. What has been conclusively demonstrated is that corruption has negative consequences on the very nature of the human rights of citizens that violate their economic, administrative and political rights?

The examination of corruption is a crying need of today’s state. On the same context, it is understood that total eradication of corruption is a problematic by itself. But that does not mean in any way that corruption cannot be compacted, it can be compacted by using the national and international legal mechanism for eliminating it. In Jordan there are many institutions have been established for this purpose, even the legislative and judicial branches of the state are playing a vital role in compacting all forms of political, administrative and financial corruption. Experiences of the developing countries have clearly showed that corruption networks are extensive and hide under the administration systems of all forms. What is more alarming is that corruption itself prevents any attempt to make remedies in public administration in order to eliminate or tackle the negative consequences resulted by corruption?

In this regard, the study brings many recommendations to be taken into consideration for compacting and the elimination of corruption in Jordan and other countries that have similar political, administrative, financial, economic and cultural conditions as that exist in Jordan. These Recommendations can be summarized as following:

- There is no comprehensive definition for the term of corruption that mat be considerable and agreable to individuals and states of the universe, therefore it is recommended to held an international conference on the corruption in order to achieve this purpose.
- The need to adopt decisive measures and procedures to fight corruption, such as the termination of contracts, the cancellation of all licenses and permits that were obtained illegally, and encouraging the press to scrutinize and reveal incidents of corrupt behavior and to make the public aware of anti-corruption measures in a fashion that will not harm public confidence and retain public respect for government agencies.
- Neither the provisions of the constitution of Jordan nor other relevant penal and criminal laws and legislations have defined the concept of corruption, therefore it is recommended by this study to bring new legislative amendments in Jordan to achieve this goal.
- The need to balance or weigh the salaries of top political leaders against their duties and responsibilities, and to ensure that reimbursement for government service well continue to attract and retain excellent candidates, The need to encourage open, objective political discussion and to maximize the role of parliament in exercising oversight and accountability.
- The judicial role is very vital an fighting and compacting corruption, therefore, the present study recommends that the issue of the independenence of judiciary should not be merely in written papers, but should be translated in the reality also, moreover, in order to reveal and control all types of corruption in Jordan there a real need to establish the constitutional court.
- There is a real need to evaluate, weigh and prioritize the type of corrupt behavior that is most prevalent, and then to review measures for compacting these particular forms of corruption.
- The Board of Auditing plays a real role in compacting corruption, but still there is a need to make this Board independent from the controlling of the other legislative, executive and judicial branches of the state, moreover, the president of the Board should have wide and extensive powers in order to enable to deal with all types of corruption.
- The Anti – corruption commission and the Board of grievances are playing a vital role in compacting corruption, but still there are not entirely independent from the executive branch of the state, therefore, it is recommended that the head or president of these institutions should be the president of either the court of cassation or court of high justice and they have to be appointed in a decision made by the Judicial counsel associated with the Royal Decree and not by a nomination made by the Prime Minster.

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Non-Conformist Heroine: The Assertive Female in Alobwed ‘Epie’s The Lady With A Beard

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Abstract Postcolonial discourse has, for the past decade, been a major area of focus for scholarship in the academia. The issues of alterity, identity, subalternism, violation, religion, and culture which find expression in post-colonial studies has been debated from multiple perspective by scholars representing different and varied interests. This suggest therefore that within the framework of Postcolonial studies the creation of meaning goes along with a vision that maintains that postcolonial societies are caught in complex situations that resist any single interpretation. These complexities are experienced both at the individual and the societal levels. The expectations, roles and the issues attached to gender; the assumptions, the constraints, and the benefits of defined gender binarism in postcolonial societies create avenues for the interpretation and the creation of meaning in a postcolonial text. The Lady With A Beard by Cameroonian novelist and scholar, Alobwed ‘Epie, is one of such postcolonial texts that open-up new avenues of discourse on the question gender.

Keywords: Gender, Postcolonial, Feminism, identity, anti-establishment

1. Introduction

This paper seeks to show that contrary to some African writers who project the African woman as an oppressed and subjugated girl or wife or widow who can do very little in shaping or changing the system that deprives and oppresses her, Alobwed ‘Epie in The Lady with a Beard shows that the African woman possess some authority and can make her own choices on how/where to live, can overcome cultural limitations, and can exploit men's vulnerabilities and loopholes in the culture to assert her personality and identify. The paper focuses on the character of Emade with the intent to show that she takes a series of measures to shape her life style as well as exploit the weaknesses of men, and the loopholes of cultural stereotypes to establish her identity with great success.

The choice of this novel is necessitated by the way it deviates from what some feminist critics have defined to be the role of women in male narratives. Some Feminist arguments and critiques find fault with the depiction of female characters in male novels in which they are often "defined by their relationships to men: someone's daughter or wife or mother, shadowy figures who hover on the fringes of the plot, suckling infants, cooking, plaiting their hair. (Frank, 1987, p14) Frank and others argue that women fall into a “specific category of female stereotypes” amongst which they appear as “men appendages, and prostitutes, or courtesans” (Frank, 1987, p14). This has given rise to interesting and complex analysis of the place and role of female heroines in female narrative. Contrary to this presentation of the female, we find a male novelist (who of course is not the first) to project a woman in a way that is conspicuously different from the perceived male-presentation. In this novel we find a woman whose actions and activities may be individualistic and isolated but who establishes a personal life within what Gordon calls “the framework of possibilities and the limitations of structures and cultures” (Gordon and Gordon, 2005, p17). This novel therefore provides a good template for commenting on the assertive women in action as portrayed in male fiction.

Emade is a widow battling for her rights in a male dominated society. Being assertive is a matter
of survival to the heroine who is not daunted by the obstacles she confronts right from the onset of the novel. A string of events happen to Emade in one evening and she considers these events as the manifestation of wizards. Ntube dashes the food that her mother sends her to deliver to her ‘son’ Ewang-Ename, she not only throw the food, but breaks Emade’s late husband’s enamel bowls that she cherishes. The leftover of the meal preserved in the coals catches fire and almost burns down her hut. In the midst of these obstacles, Emade does not show weakness as is expected of women. She dashes into her hut and stops the fire with a gourd of water after which she comes out and challenges the principalities that are trying to bring her down. Chest pounding is a dominantly male thing in African traditional setting but Emade has no qualms, she hushes the women who come to sympathise with her and solves her problems on her own. She says:

All children break utensils. Any person who has a child, or sends one should expect that. So, let each and every one of us go and blow her wet-wood fire and not intrude in other people’s affairs. For one thing, she who organizes a hunting expedition, and she who actually kills, are equally responsible for the death of the animal. If what happened was the work of wizards, then all of you who are magnifying it are witches. (‘Epie, 2008, p16)

Emade is logical in her argument, that it is common for children to break utensils and everyone should know that. She resents the fact that Ntube’s case raises so much interest. She insists that if the village women interpret the incidence as the work of wizards then they too are witches for magnifying the situation. Emade is a nonconformist and this is evident in this instance, yet she follows traditional etiquette to the letter. According to Ambanasom, it is this attachment to culture that leads to her downfall since she is superstitious and believes that things happen for a reason. Though Ambanasom considers this as her flaw, this might not be a weakness but a strength, indicating that Emade is not spiteful but seeks to deal with the challenges that come her way, and also as a woman who seeks to uphold her tradition, without giving up her rights. Men are only frightened by the fact that she is capable of taking care of her own problems and second guesses them, whenever they become chauvinistic.

This behaviour is threatening to the male ego, a woman who is capable of taking care of her problems without resorting to male aid. She is annoyed that the whole village considers Ntube’s fall as breaking news, when every child is bound to fall. She hides the stools in her house so that the sympathisers will not sit down. Scoffing the village women and rejecting their sympathy is regarded as disdain, especially by Eduke who bears an unexplained vendetta against Emade and this defiance does not help matters for Emade. Eduke who is nursing a grudge against Emade takes advantage of this attitude and try to rally the other village women against her. The nullification of native lifestyle as Emade’s rejection of sympathy is interpreted is a consequence of self assertion which most of the villagers cannot comprehend. The fact that Emade rejects their sympathy indicates this idea which is that of individualism. Individualism is frowned at in the imagined community in Alobwed ‘Epie the Lady with a Beard and equally to the real African community. This is why the women take the fact that Emade refuse their sympathy as an affront to them.

Emade makes a point that accidents happen to children all the time and there is no reason for Ntube’s to be regarded as something else. She puts it as follows:

All children break utensils. Any person who has a child, or sends one should expect that. So, let each and every one of us go and blow her wet-wood fire and not intrude in other people’s affairs... If what happened was the work of wizards, then all of you who are magnifying it are witches. (‘Epie, 2008, p16)

There is nothing wrong with the logic of what the heroine says. All children break utensils all the time, so why the fuse over this particular incidence? It is mostly Emade’s attitude that the other village women contend with. It is expected of the traditional woman to simper and whine at misfortunes, Emade refuse to play this role and is therefore seen as a radical by her peers. Her assertiveness earns her a lot of enemies but she also gain admirers like Mboke who finds the underhanded attempt of Eduke to ostracize Emade disgusting.

2. The Custodians of Culture

The custodians of culture are jealous in their task and will let nothing intervene in this job. Emade is now a thorn in the side of these patriarchs since they are unable to dominate her. After the death of Emade’s husband the elders demand that she move to the village centre because it is not proper for a widow with a baby to live in isolation and also that it is not right for a woman to occupy the first compound at the entrance to the village; and also because Muankum was incarnated behind her late husband’s house. Emade refuses to move from her home despite the councilors’ attempts to evict her. The village elders
assume that Emade is a woman and therefore weak and unable to take care of herself. She proves herself as the lady with a beard, who is capable of protecting herself.

The village women assert that “a deep rooted mushroom, loses its crown” (‘Epie, 2008, p18) and that no matter how powerful Emade might be, they can still put her down. This proverb suggest that excessive self-indulgence leads to self-destruction, and their hope is that Emade’s attitude will bring ruin to her. This does not come true because Emade moves as if driven by an unstoppable force that is invisible. She continues to strive despite the disdain of the community. She is a force to reckon with and succeeds in many of her endeavours. As a means of sanctioning her for her rebellious behaviour, Emade is suspended from women groups and activities. Although she is banned from these women groups and activities she does not relent. She is equally empowered by the fact that not all the village women are against her. Ewang-Ename also catches a buffalo and gives it to Emade, she is a situation of power, one which many of the women detest.

The idea of marriage is discussed and it is ironical that it is the radical Emade who contests the idea of marrying outside the tribe. She thinks that had Wobe, Mechane’s daughter married a man from the tribe she would be aware of the mother’s illness and be able to take good care of her. Since she is married to an Ibo man she spends most of her time in Nigeria and thus hardly knows what is happening to the mother. Emade speaks against this issue of marrying outside the tribe because she also has only one daughter whom she will like to have around in her old age. In her assertive manner therefore, she arranges for Ewang-Ename to marry Ntube in future so she would have the company of her daughter in old age. She is very happy therefore that Ntube on her way to visit her mother in Ekenzu, stops by Ewang-Ename’s house. She thinks that “the plantain stem begets the bunch but it is the bunch that dictates where the stem will incline” (‘Epie, 2008, p27).

The African community is different from the West because they lay more emphasis on the family. At old age the parents depend on their children to carter for them while in the West old people are mostly sent to nursing homes. Emade has an only daughter and she knows that if she should marry out of the tribe, she will have a lonely old age. This is why she nurtures the relationship between Ewang-Ename and her daughter Ntube. By taking Ntube with her to visit Mechane, Emade is showing the daughter how meaningless her life will be if she chose to marry in a far off land.

3. The Woman’s Place

In the Bakossi community depicted by Alobwed ‘Epie in the Lady with a Beard, women are weak and can only cry when in time of crises. This is seen in the instance of Mechane’s death, after cleaning the compound the women starts yelling and weeping but to no avail since no one comes around. While the others take the crying into the village to alert the villagers, Emade decides to play the drum which will announce the death of her half sister. This is unheard of since it is not the place of the woman to play the drum; Emade defies tradition and play the drum showing her independence and defiance to tradition. Even her manner is controversial since she calls the half-sister “she who wrestled with the gorilla at the cross-roads” (‘Epie, 2008, p34). The men who listen to the death announcement question whether a woman can wrestle a gorilla. Emade is defiant and this is seen in her statement concerning her playing the drum, she says: “women who guard village entrances must not only understand but must also know how to play the drum, not only the drum announcing death but also the drum announcing war” (‘Epie, 2008, p35). Emade thus think that it is a matter of capability and not of gender, people should therefore do according to their capabilities without bias which comes as a result of their gender. To Emade learning how to perform tasks that are male oriented is a matter of practicality since she is a widow. Emade is pissed that men are held in such high esteem and she wants to know “how many men are in this village?” (‘Epie, 2008, p35). Gender roles are prescribed to the woman in the Bakossi society and for Emade this is unfair because the men are not always around all the time and for someone who is a widow might never do anything for themselves. So for practical purposes women with the ability to do work for themselves should not be held back by tradition.

When Emade finds her half-sister dying and unattended, she is furious with the villagers and want to exclude the Muabag people from the burial ceremony since they neglected her in life. This is a reflection of the traditional mind because Emade thinks that it is the obligation of the villagers to carter for the older generation especially when the person in question has lived a generous life and whose daughter always comes home with a stock of presents for them. Emade emphasises this with the following proverb, “she that eats snails must not dread the slime” (‘Epie, 2008, p42), this is to say that those who
enjoyed Mechane’s hospitality should also take care of her when she falls ill. She goes further to state that:

If the tail had any choice but to follow the head, I would have said that we rule out the Muabag people in this burial. I ruled them out immediately we arrived here and saw what they had done. They had abandoned Mechane to die unattended to. Agreed, their excuse might have been that each person should blow her wet-wood fire. But Mechane was no longer the wet-wood fire of a specific person in this village. (‘Epie, 2008, p42)

Emade is very angry at the hypocritical nature of the Muabag people who enjoy Mechane’s hospitality yet neglect to check on her. Since Mechane is an old woman and lives alone, it is the place of the villagers to watch over her, their failure to perform this task according to Emade is enough reason for the family to exclude the villagers from the burial preparations. She is only complacent with the idea of their inclusion because her elder sister Ahone and Wobe insists.

The nonconformity of Emade is evident in the questions she poses, she will like to know whether “if a woman digs a grave does she remain in it? If a wake is not heavily attended does the corpse refuse to be buried? (‘Epie, 2008, p43) This mind frame is “modern” and not peculiar to the community in which the heroine finds herself. A question does arouse when one considers the impact of feminine awareness and its roots. There is always the misconceived notion that feminism comes about as a result of education and socialisation with other cultures. This is not the case with Emade who has not had any form of formal education yet she is a radical woman and asserts herself as a human being capable of standing her own ground in the world of men. In some instances she seems to resist new ideas as evident in the instance when she disapproves of Wobe’s marriage with an Igbo man yet most of her ideals are quite emancipated. She is mostly angry with the elevation of the man especially when it comes to practical issues. Emade does not only challenge the men and leave it at a verbal attack but goes further to dig the grave which is a slap on the face of the Muabag men.

The reaction of the Atieg and Muabag communities is symbolic of the custodian of tradition’s bitterness towards radicals who make their task difficult. Emade is a woman who has refused to conform to the traditional role delegated to the woman, some will say that this is so because she is a widow with no husband and is therefore bound to do most things for herself. But is she the only widow in the community or the first? Equally what is the basis of these male oriented roles, should women be subjected to rules which men put in place to sound and look important?

4. The Lady with the Beard

Grave digging is a man’s job in the Bakossi community, the grave digging incidence is regarded as an affront to the Maubag men who had expected to be called upon to perform the task. As usual Emade is defiant and it is only the sister Ahone who apologises on her behalf. The outrage aroused by Emade was mostly because her digging the grave will deprive the Muabag boys of the entertainment which come after such occasions. This is also an affront and a challenge to manhood. Emade accuses these men of being opportunists who only want to take advantage of Wobe’s hospitality. She tells them to their face that they neglected Mechane and should be ashamed of themselves. Emade thus dares anybody to dig a grave anywhere else in the compound but where she is digging. She finishes her challenge with the following “this is not a woman digging a grave; this is a woman spitting in your faces” (‘Epie, 2008, p46). Emade is a heroine in the eyes of the Maubag women, despite her flagrant disregard for propriety, because of her strength of purpose and ability to take charge under difficult situations. Ambanasom reiterates that on her return to her own community, her fame deteriorates and she becomes more of an outcast despite all these great feats.

Emade is a heroine who matches her words with action as evident in the burial ceremony, Wobe’s husband is a foreigner and therefore ignorant of the tradition of the land. When the coffin arrives, Wobe is happy and will want to bury her mother in style without resorting to the tradition of the land. Although Emade is angry she performs the burial ritual as a man would and by passing the totemic cloth to Wobe’s husband, she is introducing him to the ancestors. One mourner tells Wobe the significance of the ceremony and tells Wobe that her late father could not perform this particular ritual because he did not own a piece of the totemic cloth. Emade does not bluff, she takes the place of the man of the family seriously. That is why she can boast when she says that her father had only daughters but he elected her the spokesperson because he saw her inner strength. This indicates that roles should be awarded according to capability and not because somebody was born with a pair of testicles.

The feminist manifestations of Emade, though unconscious and stifled by the community at every opportunity is a wind of change that affects the whole society. This is evident in the song that the women
singing in Emade's praise when she plays the drum beautifully at the funeral. To them, “If hens crow instead of cocks, the day will still break, o”. Emade has thus launched a great momentum which has affected the other women even without their knowledge. When the opportunity was given to the men they failed to play a pleasing tune, they see nothing wrong in the fact that Emade entertains them though she is a woman. So if the men have become so incompetent, they are free to look elsewhere for entertainment. Therefore if the cock has grown so lazy, then hens should crow since the essential thing is for someone to announce the dawn of a new day. Whoever said that the particular individual must be a man? The women are proud and feel empowered that one of their own can do such a great job.

Contrary to the critical opinion that feminism is cultivated only through formal education and interaction with the outside world, Emade has proven this to be untrue. Hers is intuitive and even though she is a widow, she is unwilling to allow the men take what is hers. Emade is angered that other women are not as assertive especially when they are right as she is. She needs a soothsayer and will be happy to consult one who is a woman, but because most women have conformed to the designated roles the men have allocated them there is no hope for Emade. After the encounter with female soothsayer, Emade is disgusted because though talented, she is the mouth piece of patriarchy. Emade resolves to seek her own solutions to her problems and not relent despite the numerous obstacles.

In a keynote address by Ambanasom entitled “Half a Century of Written Anglophone Cameroon Literature”, he gives a history of Anglophone literature starting from Sankie Maimo I am Vindicated published in 1959, to Bernard Fonlon’s unpublished As I See it to 2008, half a century later wherein authors like Alobwed ‘Epie, John Kempong Kengasong, Bate Bessong, Bole Butake among others, have made a mark on Cameroon Anglophone Literature with a variety of themes like Feminism, the political situation and marginalisation. Emade’s feminist revolt is thus the wind of change that has blown through this literature for the past fifty years. George Ngwane in an interview with Manjoh Pricilla Musoh, supports Ambanasom’s view when he indicates that Cameroon Anglophone literature has been generational, the first dealing mostly with culture since protest was totally stamped out by the then President Amadou Ahidjo. Only writers like Fonlon and Albert Mukong were courageous enough to address some political issues.

Women shy away from being called feminist because its detractors insinuate that women are no longer marginalised therefore they have no reason to talk about discrimination. This is fallacious since more archaic discourses are still actively debated; let’s take the religious discourse that has been going on for at least two thousand years. Has anyone insinuated that we stop talking about it because it is this old news? When Dan Brown wrote the Da Vinci Code was there not sufficient outcry in the Christian world? Have there not been other such works throughout the ages? When Salman Rushdie wrote the Satanic Verses are there not still fatwas on his head? So why is the issue of feminism a taboo? Why do writers fear to be termed feminists when women are still raped with bottles, assaulted and abused even today?

Authors like Alobwed ‘Epie should be lauded for indicating that there are strong women out there who are capable of holding their own in a world in which men have taken it upon themselves to dominate. Although the author denies that he is a feminist and insists that Emade’s behaviour is unwomanly. He speaks like a typical Bakossi man, since women are assigned roles in this community and the tasks that Emade performs are considered mainly duties. What else should a widow with an only daughter whose relatives and community are bent on taking the little that she has do? Should she not dig a grave for her half-sister whose community members have abandoned her at death? If the male drummers are lousy, why should Emade not animate the funeral? Women have allowed themselves to be marginalised not only by men in their communities but also by their fellow women. If anyone is capable of performing a task that others men/women alike are incompetent in, why should that individual be ostracised and not praised? Is it because men have egos that have been pampered throughout history that they fail realise that women might have potential which when exploited alongside theirs could lead to the betterment of the community? Ambanasom therefore points out the author’s denial of his feminist streak by indicating that Alobwed ‘Epie builds up an admirable character and then cut her down to size. He constructs a heroine who deconstructs patriarchy only to deflate her at the end.

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Dynamic Organicism and the Traditional Imagination in Alobwed'Epie the Lady With a Beard

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Abstract This paper sets out to examine the concept of dynamic organicism in the Bakossi traditional society as imaginatively revealed in Alobwed'Epie's The Lady With A Beard. Dynamic organicism refers to an energetic and driving force instrumental in growth or change; a universal literary phenomenon whereby the writer transcends the ordinary view of things, sees reality beyond the corporal frame of existence and through the imagination seeks an ideal and works towards changing the corrupt order of the universe by reinstating order and moving it backwards to its natural state of felicity. The paper thus reads Alobwed'Epie's The Lady With A Beard in the light of romantic organicism. Emade suffers isolation because she realises that there exist reparations for her attempted breaking of the organic unit. Alobwed'Epie intimates that Emade's 'uppishness' (sic) is the cause of her problems. It is only by reconciling with her community and tradition that she will be able to live a peaceful life.

Keywords: Postcolonial, Romanticism, dynamic Organicism, Gender, Traditional society

1. Introduction

This paper sets out to examine the concept of dynamic organicism in the Bakossi traditional society as imaginatively revealed in Alobwed'Epie's The Lady With A Beard. Dynamic organicism refers to an energetic and driving force instrumental in growth or change; a universal literary phenomenon whereby the writer transcends the ordinary view of things, sees reality beyond the corporal frame of existence and through the imagination seeks an ideal and works towards changing the corrupt order of the universe by reinstating order and moving it backwards to its natural state of felicity. In the words of Jacques Barzun, it is “a kind of revolt, a vindication of the individual, a liberation of the unconscious, a reaction against scientific methods... a revival of idealism, a revival of Catholicism... a return to nature” (Barzun, 1943, p2-3). The traditional society, like the universe as a whole, is metaphorically organised like “a machine” or “a tree” (Kumar, 1995, p7). There is a relation (in the case of a tree) of “leaves to stem to trunk to root to earth” (Kumar, 1995, p7). These apparent entities are organic parts of a whole and the existence of each part is made possible only by the existence of every other part. This is same as Alexander Pope's “The Great Chain of Being”, Wordsworth's “Cosmic Harmony” or “monism”. Where this organicism, chain, harmony or monism is broken by any of its constitutive components leading to a distortion of the natural order, in this case the traditional order, there is bound to be an organic lesion1. It is therefore the place of the writer to reinstate order and this Alobwed'Epie does with a mastery of the norms, rather, the order of the Bakossi traditional society that Emade, the main character, so desperately and rather consciously attempts to distort.

Romanticism as a theoretical tool has constituted topics of heated debate recently. Some scholars

1 An organic lesion is, put simply, the punishment that befalls any element of the chain that distorts harmony in the organ.
opine that romanticism is strictly a historical epoch while others like Morse Peckham and Jerome McGann insist that though the term is used to refer to “a revolution in art and ideas...an expression of a general redirection of European life which included also a political revolution, an industrial revolution, and perhaps several others” (Peckham, 1951, p5), it is equally “a general and permanent characteristic of mind, art and personality, found in all periods and in all cultures” (Peckham, 1951, p5). This is indicative of the fact that any work of literature can be studied against the backdrop of the romantic theory even though it might not fall in the epoch that literary historians call Romanticism. Dynamic organicism, imagination, the binaries of positive and negative romanticism and diversitarianism construct outlets for the interpretation of texts through this medium. The paper thus reads Alobwed’Epie’s The Lady With A Beard in the light of organicism.

From the perspective of Bakossi cosmology, the traditional society that Alobwed ‘Epie projects from the beginning is one that is harmonious with male and female attributes defined naturally by the cosmology of the people. In this society, there are rituals, songs, dance, drumbeats, values, mores and mannerisms that are attributed to each sex. The men know the rituals, songs, dance etc. that are exclusively within their sphere of competence by virtue of their gender. The same holds for the women. It is this knowledge that binds society together and makes the women and men live in harmony, not only between and among themselves, but equally with the spirit world of the ancestors of the Bakossi community. For purposes of convenience and in order to demonstrate the weirdness of and traditional chaos caused by Emade, the topic is discussed from four perspectives: communal humanism, rites and rituals; songs and dance, and burial of the dead.

2. Communal Humanism

Although individualism is gradually taking hold in Bakossiland, this does not negate the concept of communal humanism found in most of Africa. For the Bakossi, to exist is to leave in a group, to see and do things in a group. John S. Mbiti says “to be human is to belong to the whole community and to do so involve participating in the beliefs, ceremonies, rituals and festivals of that community” (Mbiti, 1969, p2).

This is corroborated by Emile Durkheim for whom “the sacred character of a being does not rest on its intrinsic attributes but depends on the impressions of comfort and dependence which the action of society provokes in the mind” (Durkheim, 1915, p364). The actions of Emade, considered as repugnant, lead to her downfall and watering down by the society and the author. She is a social misfit, at least among the women of the Atieg community of which she is a part. This is a traditional society where the joys and sorrows of one woman are the joys and sorrows of every woman. Emade’s daughter, Ntube, on her way to give food to Ewang-Ename, falls and breaks ‘the age-polished bowls of her late husband-bowls she had jealously preserved’ (‘Epie, 2008, p11). Arriving on the scene, Emade finds the bowls ‘shredded as by a devil’s wand’. She faints and the women present help her back to life by fanning her.

The bowls are very important to her as they carry ‘Her past, present and future’ and like them her past, ‘shredded as by a devil’s wand’. As life goes on, the community will want it, they follow her to her home to sympathise with her and share in her agony. This tragedy is further compounded by another one, the burning to ashes of her evening meal of ‘alem’. Arriving on the scene, Emade finds the bowls ‘shredded as by a devil’s wand’. She faints and the women present help her back to life by fanning her. The bowls are very important to her as they carry ‘Her past, present and future’ and like them her past, present and future seem ‘broken into bits’. The women of Atieg understand Emade’s sad feelings. As life goes on, the community will want it, they follow her to her home to sympathise with her and share in her agony. This tragedy is further compounded by another one, the burning to ashes of her evening meal of ‘alem’. They come to sympathise with Emade but they are most unwelcome. Emade had taken time to put all the stools in her house on the ceiling and receives them standing. The women consider it one more ‘challenge’ to their ‘existence’ and ‘pride’ from Emade. She tells the women of Atieg that they should have engaged in other activities instead of make a breaking of mere utensils to appear to be such a big issue. She tells them “As you leave my compound, tell all other women who want to come and sympathise with me not to come...” (‘Epie, 2008, p16-17). Emade’s utterances leave the women gasping with surprise. Feminists may see nothing wrong in Emade’s uncouth behaviour and desperate attempt to render banal what happened to her. The point is that it is a serious and pathetic incident which hurt her seriously. She faints when she sees her bowls on the ground and does not sleep the whole night trying to give an interpretation to the events of the day. The women also feel her pain, rescue her while she is fainted and come to sympathise with her. Trying to consider what happened as a non-event before the other women who have simply come to sympathise with her is hypocritical. What is important, however, is the reaction, the communal reaction, of the women. They decide to ostracise Emade “from all women groups and activities until she apologised and paid a heavy fine” (“Epie, 2008, p18) for her acts of societal and traditional misdemeanour. This is what is referred to as communal humanism.

Equally, negative romanticism applies in this instance as an attribute of dynamic organicism. As Peckham propounds, negative romanticism entails moving from a place of trust in the universe to a
period of doubt and despair of any meaning then to a rebirth (‘Epie, 2008, p16). Emade is such a character who has lost faith in the universe mostly because of the traumatic experiences meted upon her by the community, what with the death of her husband, the elders’ attempts to move her from her compound and having to bring up a child singlehandedly. Her rebellion is an attempt to affirm the universe in terms of organicism since it is the process of coming into being. Emade therefore gains new insight into a widow’s position and the challenges this entails. From this knowledge, she tries to develop a historical consciousness and self-reliance.

3. Rites and Rituals

In *The Lady With A Beard*, there are different occasions during which rites are performed in the ‘Bakossiland’. There are, among others, naming rites performed after the birth of a baby in a family; the ceremony of the closing of the door in a situation where the death of a man or a woman ends the family lineage; the rite of sharing to the whole village the ‘state animal’ like a ‘buffalo’ killed or trapped by a valiant man in the community and the purification ritual to appease the ‘brook-of-the-serpent’ (‘Epie, 2008, p100-01) in case anyone falls in the brook-of-the-serpent. These rites and rituals are known by all. Emade is even one of those who know how to perform them with mastery and she is also cognizant of the dangers in case they are not performed at all or wrongly performed. In her characteristic disrespect for societal norms, she tramples on the rules that govern and bind society.

The ceremony of the closing of the door is ‘the last rite’ after the death, burial and other traditional ceremonies. This is one of the rituals that Emade violates and in so doing breaks the organic structure of her traditional world. The ritual is symbolic of the end of a family lineage. It is a sad ceremony that confirms that in that family there is no one left to take care of the compound. It involves closing the doors of the house and throwing the keys “into the bush...always...in the bush” (‘Epie, 2008, p.91). After Mechane’s burial and other ceremonies, Emade had to perform this ceremony alongside her sister Ahone, village women, and elderly men. The ceremony involves cooking by village women, eating and the closing of the door with a key that is thrown in the bush. The emotional ceremony goes on without any hitches but for Emade’s doing of the ‘unthinkable’ in deliberate defiance of traditionally set norms.

Immediately the people finish eating they stand up to watch Emade perform the act. She closes the door, locks it with a padlock and throws the key at the door. “You should have thrown it into the bush. They always throw it into the bush,” a woman remarked (“Epie, 2008, p.91). The women are afraid. They know that Emade’s behaviour is an act of traditional misdemeanour and that “what she has done can cause” them “the wrath of the spirits”. She is advised to pick it up and throw it far into the bush but she hushes the women to “Stop saying rubbish....those of you who are afraid of death, how many people are remaining here to die?...Was it the key that was thrown at the door that killed everybody here?” (‘Epie, 2008, p.91). The women quietly walk out of the compound “lurching with great grief” conscious of the unknown consequences of such defiance against tradition. Emade is like the proverbial fly that does not heed to advice and so follows the corpse to the grave (‘Epie, 2008, p.90-01).

Another ritual in the Bakossi tradition is the naming rites of a new baby. It is a ceremony ‘done early in the morning’(‘Epie, 2008, p.75). There is usually a lot of ululation and singing because of the happy moment which brings together the families of the husband and the wife. In *The Lady With A Beard*, the naming ceremony is at Kodmin and it concerns Ahone’s daughter who has finally given birth after eight years of marriage. The chief celebrant is Nyango Diele. The in-law’s family has to “verify whether the naming ceremony is at Kodmin and it concerns Ahone’s daughter who has finally given birth after the-basket-of-the-child contains all the necessary items”. The items include calaba chalk, *hii* (camwood), and an array of others’ plus a one pound note for the verifier. It is a long ritual, an emotional ceremony intended to strengthen the umbilical relationship between the mother and the child. Each family is to sing eight songs but Emade’s family falls short of one song and in her usual ‘uppishness’ she sings the eighth song which is neither a birth song nor a women’s song. The song she sings is a song for men’s called the “Muankum song” (“Epie, 2008, p.79). She is admonished by the women who think that ‘the song can cause the wrath of the deity’ on them. Although the women do nothing to Emade, the news spreads around the village that she has sung a Muankum song at a naming ceremony. In reaction to this Emade says “...the daughter-of-the-deities-of-Kupe-Muanengubadoes not waste time buying raincoats for such rains...all songs lead to dance...”(‘Epie, 2008, p.82). Emade’s behaviour and pride in her deliberate traditional misconduct is a breakaway from the tradition of the people and therefore creates chaos. It is another instance in which she deliberately breaks the chain of being that guides and holds her traditional society as one organic unit. This is evidence of another trait of negative romanticism which is religious doubt; the muankum song which Emade chants reinforces this
Drums, the rhythm they produce and the dance they provoke in the Bakossi tradition depends not only on what rituals to respect or to disregard. This further increases her cosmic and social isolation.

Emade is selective of what rituals to respect or to disrespect. This shows that in the case where she thinks that respecting the traditional organic order will lead to her disease, she flouts them. In the case where the rituals do not pose any problem to her, she respects them. An example of a ritual that Emade respects is the killing and sharing of the “State animal”. The “State animal” is an animal that is of traditional importance and is usually one that is ferocious and difficult to kill or trap. If killed or trapped by some valiant citizen, the trapper brings home (the village) “its tail and the fore-hoof” and reports to the chief who summons the entire village to announce the news. After the ululations, energetic young men, accompanied by some elder, are sent to the forest where they killed the animal was killed to cut it in sizes and as tradition requires. The women also follow them to carry the meat. In the novel, the killer of the buffalo is Ewang-Ename, the ‘son’ of Emade. The other women are hesitant to carry the meat because they have ostracized Emade but the chief intervenes to ask them to sink their differences knowing that the state animal is killed by Ewang-Ename and not Emade. The sharing of the meat is done as tradition and custom requires. The sharing is done by an elderly woman, Nsume. She does so taking into consideration the ‘seventeen’ women absent as a result of the ban on Emade. The rest eat in the compound. Such a ritual is known by all and respected even by Emade. In her revolt against tradition she still follows it, at least for once. She does not claim the whole animal because it is killed by her ‘son’. She, like other women, respects the rules of the game. The ceremony of the sharing of the state animal is one of two rituals that Emade respects and participates according to tradition.

Another ritual respected by Emade is the purification ritual of the brook-of-the-serpent. Her daughter, Neube, has fallen in the brook and tradition demands that anyone who falls there has to appease the gods. For once Emade succumbs and her sister, Ahone, is flabbergasted. She could not believe that “her iron-sister, the-spoon-that-stirs-steaming broth, could capitulate that easily” (Epie, 2008, p.104). As a result of this unhesitating acceptance to perform the ritual, Ahone falls a “premonitory chilly sensation” (Epie, 2008, p104). Emade performs the ritual because she wants to protect her daughter, and not herself, from the wrath of the gods or the spirits. Even after the performance, she still takes her daughter to the mission to shield her from possible witchcraft. This is the beginning of the end of Emade because she realises that the disruption of the cosmic harmony of the traditional society has severe consequences. She realises that “a woman’s urine indeed never crosses the beam”. She hates the decision she has taken but has no other option.

Emade understands the culture and mind set of her community perfectly, as realised in the instances cited above. This conforms to what dynamic organicism purports that “entities are an organic part of that which produced them. The existence of each part is made possible only by the existence of every other part. Relationships, not entities, are the object of contemplation and study” (Peckham, 2008, p.10). Since nothing exists in isolation, Emade’s actions could be justified; her digging of the grave is her manner of indicating to the Maubag people that they have broken their part of the organicist agreement by allowing Mechane to die unattended.

Shadrach A. Ambanasom in “Half a Century of Written Anglophone Cameroon Literature” acknowledges the fact that Emade is a strong protagonist, capable of handling the challenges that life sends her way. This is quite an innovation on the part of the author since very few such characters exist in Cameroon Anglophone literature. By acknowledging this difference, Ambanasom affirms the dynamic organicist believe that “change is a positive value, not a negative value; change is not man’s punishment, it is his opportunity. Anything that continues to grow, or change qualitatively, is not perfect, can, perhaps never be perfect (Epie, 2008, p.10-11). Through her growth as a character, Emade indicates to the community that the status quo could change for the better, that men and women could switch roles depending on their capabilities and needs. By asserting that “women who guard village entrances must not only understand but must know how to play the drum, not only the drum announcing death but also the drum announcing war” (Epie, 2008, p.35), she is calling for the recognition of the positive value of change and not issuing a challenge per se.

4. Drums, Songs and Dance

Drums, the rhythm they produce and the dance they provoke in the Bakossi tradition depends not only on the occasion but also on whether the performer is male or female. As such there are songs and dances that women, for instance, sing during naming ceremonies. There are equally songs and dances that are peculiar to men. To maintain the social order of this traditional setup, people are expected to conform strictly to the limitations placed with regards to songs and dances, that is women must sing only female
songs and not play the drum while men must sing only male songs and play the drum. Drumming in the Bakossi tradition that Alobwed’Epie projects is reserve exclusively for men. During funerals the women sing and perform “mbesu-a women’s dance” and the men sing and dance “ebenzu-a men’s dance”. At the funeral of Mechane:

Emade got two drums and taught them [two young men] how to play the accompanying parts. She herself took the lead drum and they started playing ebengu-a men’s dance. They played so exquisitely well that the neighbouring villages vibrated with the rhythm. Most people danced in their sleep. Others woke and listened to the music but were too tired to go and dance. SangoMesumbe’s (the old man’s) bones creaked as he rolled on his bed enjoying the music. He remembered the old days when great artists like SangoNgole thrilled them and made them dance all night long...the staccato rhythm penetrated even the most deadened hearts-deadened by sleep. There was something mysterious about it. ...It came vibrating with power and taking possession of the living and the dead. People thought they heard the voices of their departed ones in the cacophony of spirits dancing. (‘Epie, 2008, p59-60)

She is conscious that she has done is likely to disrupt the social order. That is why she makes the two young men “take an oath never to reveal the identity of the drummers” (‘Epie, 2008, p.60). The young men too are conscious of the danger of flouting tradition. To be “on the safe side” they decide to quit the scene and go back to their own villages. Three days after the burial, the ahieg ceremony is combined with the Ngandu. Emade pooh-poohs and lampoons the men playing the drums. For her “they are choking the drums instead of making them speak to the people” (‘Epie, 2008, p.63). The drums, she says,”must unite not only the body and the soul but also the living and the dead. And from that fusion, dance comes” (‘Epie, 2008, p.63).This suggests that the drum, when well-handled or played with expertise, can be a symbol of dynamic organicism and unison not just in the individual or in society but between the world of the living and the dead. When it is finally revealed that the nondescript beauty of the drum that echoed the villages was played by Emade, her sister Ahone is terribly worried. She exclaims to herself, “Emade has killed me. She has done it again....what shall I do now? When she played the drum announcing death, I brought the matter under control. Now the whole clan is here. The men are now going to gang up against her, and break her....A stubborn mushroom losses its crown” (Epie, 2008, p.67). But Emade herself is fearless and defiant. She plays the drum again without fear, in broad day light, before the entire clan. The beauty and the effect of the drumming are described superlatively and in dithyrambic terms:

Emade then took the lead drum and presently the compound vibrated with sweet powerful music as if some witchery were implanted into the drums. She made the lead drum speak. It spoke to the living and the dead in a compelling tone. Inexplicable sounds of whirling storms, interlaced with voodoo shuddering of shoulders and mysterious shrieks of joy took possession of all and sundry. (‘Epie, 2008, p68)

She abruptly stops drumming because the men got angry at the ululation of the women that shower praise on the woman, “...if hens crow instead of cocks/The day will still break, o” (‘Epie, 2008, p69). In total defiance of tradition, although enjoyed by many, she has played the drum, and she has challenged the men and established norms. She fails to understand that the men danced because they were almost all drunk. She also fails to understand that the spirits will not be happy with a woman playing the drum no matter how bewitching the melody may be. She beats her chest and proudly tells them “If the hens have not crowed, let the cocks come forth and crow, after all it is cocks that must crow...” (’Epie, 2008, p69).The one person who understands the precarious situation and the danger in which Emade finds herself is Ahone. The narrator says “Her heart throbbed with concern at the consequences of what Emade had done. She had challenged the whole of the Mbougmut Clan”. For Emade herself, her sister is afraid of “the so-called men. What do you think they can do to me?” (‘Epie, 2008, p72) What Emade has done is considered a slap on the face of the entire clan and on the face of men. She has gone against tradition and therefore provoked the anger of the ancestors and the spirits of the land.

5. Burial of the Dead

How, where and who buries the dead in the Bakossiland is important because the dead are considered as having joined the ancestors and therefore have become deities. A befitting burial in the tradition of the people lays their spirits to rest. The dead are buried behind the house, in a grave dug by young men who also place the corpse in it and after which burial there is eating and drinking. Mechane’s death is no exception but Emade decides to make it one as she says to her sisters “If a woman digs a grave does she remain in it? ...if a woman lays a corpse in the grave does it jump out?” (‘Epie, 2008, p43). She does not end at this. She “pegged out the grave in the middle of the courtyard and started digging. The
women...were petrified” (Epie, 2008, p44). At first the women thought she was digging “hole” and out of curiosity ran to the spot. When they realise that Emade is digging a grave, in their consternation, they question: “Is it in the centre of the courtyard that they bury people?”  They asked, really astounded and almost going wild. Emade went on with the digging unperturbed (Epie, 2008, p44). When she is rebuked by “a stout and well muscled woman” (Epie, 2008, p45) named Mbome, Emade comes out of the grave she is digging and “thundered”, in all her effrontery, “Who is squirting bad breath here?” (Epie, 2008, p44). The defiant Mbome retorts “What do you call bad breath? If people are buried in the middle of the courtyard at Atieg, this is not Atieg” (Epie, 2008, p45).

The men have the same reaction to Emade’s untraditional behaviour. Mesape, one of the men scolds her. He bellows “Tell that woman to get out of that hole she is digging in the middle of the compound...Is it in courtyards that they bury people in her village? If that’s what they do, we don’t bury people in the middle of courtyards here” (Epie, 2008, p45). In spite of the general disagreement, Emade continues to dig the grave. The men decide to ignore her and dig the grave behind the house. Emade threatens them “let me see one of you wound the face of the earth by scratching it for a grave anywhere else in this compound...This is not a woman digging a grave, this is a woman spitting on your faces” (Epie, 2008, p46). The onslaughts of Emade “exploded” in each person causing their “bowels to turn”. The men threaten to incarnate Muankum but she remains steadfast and defiant. Emade may have reasons for burying Mechane in the courtyard and probably be forgiven for that, but that she should dig a grave is unacceptable by the people. Emade succeeds in having her sister buried where she wants, against all supplication and anger. She succeeds in bringing shame to the men of Muabag. The question and the fear is whether she comes out of this open defiance of the tradition of the people of Bakossi free. What she has done is attempting to break the chains that hold society together and for this there is bound to be an organic lesion.

Alobwed ‘Epie captures the behaviour of Emade in vivid terms. She is the lady with a beard, “slaughterer-of slaves”, “lion of the unbroken tradition”, “widow of the upstream python” (Epie, 2008, p13). She is also considered as “the daughter-of-the-deity-of-Kupe-Muanenga”, and her strength is described as that of “Nine women put together” (Epie, 2008, p14). Other descriptions of Emade in symbolic terminology include: “Daughter-of-the-dreaded deity” (Epie, 2008, p16), and the “spoon-that-stars-steaming-broth” (Epie, 2008, p65). All these endearments tell of the peculiarity of the character. She is a woman who tramples on tradition and societal norms, a woman who thinks that assigning specific tasks to men and women without the possibility of other genders performing some tasks is wrong. Her attempt to recreate the community by destroying established norms is an aberration which creates chaos especially in a society where rules govern and hold society together.

The novelist’s philosophic vision is one that upholds societal norms, traditions, mores and mannerisms. He lets Emade goes ahead in her folly and in the end subjects her to the mercy of tradition. All that she stood for crumbles “like a mud statue in rain” (Epie, 2008 p104). The right foot “the foot of ill omen” (Epie, 2008, p105) she stubs against a stone a few yards away from her home is symbolic of all the evil she had committed and ills done against her society as well as the punishment thereof. In her desperate attempt to get the meaning of foot-stubbing, she resorts to the same tradition she had so neglected and trampled upon. Her attempts to get any male soothsayers explain to her the meaning of that ill-omen fail. As if in a conspiracy, all renowned male soothsayers are either absent or too busy to attend to her. She tries in vain for two months to unravel the mystery by consulting male soothsayers but fails. Her attempt to consult female soothsayers also fails. For three years, Emade is unable to unravel the mystery of the symbolic foot-stubbing. Her worry increases, and her fear of the unknown is very visible. She wanders from one place to the other, touching all the nooks and crannies of the Bakossiland in search of a solution.

Consequently, Emade suffers isolation because she realises that there exist reparations for her attempted breaking of the organic unit. It dawns on her that “a deep rooted mushroom, loses its crown” (Epie, 2008, p16) which in this case is her only daughter Ntube. The only solution is to take Ntube out of that space to one that is indifferent to the disruptions caused in the pre-existing cosmic entity. Emade is therefore alienated from her society through her actions, since she is at loggerhead with the ideals of the other women in the community, threatens the egos of the men and forced to send her daughter into hiding at the mission. Ambanasom sees Emade’s cognisance of the consequences of her actions and her unyielding attachment to culture as what constitutes her subsequent downfall. She is still defiant to the last, emphasising the organic ideal that change no matter its form is a positive value.

Alobwed ‘Epie intimates that Emade’s ‘uppishness’ (sic) is the cause of her problems. It is only by reconciling with her community and tradition that she will be able to live a peaceful life. She stubs her
foot when she defies traditionally established norms and can only have peace and know happiness if she returns to tradition. Although she does not reconcile with her community, she seeks refuge in God by washing her legs with Holy water on the spot where she stubbed her foot saying “Holy water, cleanse the ill-omen that trails me” (‘Epie, 2008, p117). Emade is reduced to a mere superstitious widow. Emade’s abandonment of tradition for Christian religion makes the society stable and order re-established. The society once again can return to its natural state of felicity as it was before the intrusion of Emade. Alobwed ‘Epie does not destroy the Bakossi tradition through Emade, on the contrary he upholds the traditional values and weeds out the bad grass. The Bakossi tradition that is left behind is one that is organic, where the finite and the infinite, the visible and the invisible form a chain and continue to leave in harmony.

References

Clients’ Perception of the Reliability of Property Investment Valuation in Nigeria

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Abstract
The question of overvaluation and undervaluation has been a subject of intense debate in the valuation industry for more than two decades now. However, the discussion started taking prominent position in Nigeria in the late 1990s. The effect of unreliable valuation in any economy cannot just be over emphasized as valuation estimates given by valuer during valuation exercises are very germane to the decision to be taking by clients seeking for the valuer’s advice. This paper set out to ascertain the perception of clients to the reliability of valuation figures emanating from Nigerian valuers. Twenty four commercial banks and fifty property companies were randomly chosen sampled in Lagos State. The data collected were analysed using descriptive statistic. The study revealed that clients were of the opinion that valuation figures from Nigerian valuers were inaccurate and unreliable based on their experiences. The study concluded that Nigerians valuers needed to be more thorough and painstaking in their valuation assignments so as to make valuation estimates emanating from them more accurate and reliable.

Keywords: Investment Valuation, Perception, Reliability, Lagos Metropolis, Nigeria

1. Introduction

Valuers, valuation processes and results have been focus of debate and controversy in many parts of the world in the past two and half decades. The valuation of property can be regarded as a process which culminates into forming an opinion of value. The Appraisal Institute (2001) prescribes a normative systematic process involving eight steps at arriving at a figure of value. The steps are (i) Definition of the problem; (ii) Scope of work; (iii) Data Collection and Property Description; (iv) Data Analysis (v) Land Value Opinion (vi) Application of the approaches to value; (vii) Reconciliation of Value Indications and final opinion of value and (vii) Report of defined value.

While the above described model represents an important step in valuation process to aid the achievement of reliable and accurate valuations, it is not clear how applicable the process is to practice, how well the valuers analyses the forces that affect value and how accurately the valuers mirrors the actions and motivation of market participants and hence how the end result of the valuation assignments are able to mirror the market.

In Nigeria, the disparity between valuation estimates emanating from valuers and the market prices has been subject of intense discussion amongst the professionals, academicians and other valuation stakeholders. The competence of Nigerian valuers vis-à-vis the reliability of valuation estimates emanating from the valuers has been the focus of such discussions and debates. Ogunba, 1997; Ogunba and Ajayi, 1998, Aluko, 2000, Ogunba, 2003 and Ogunba and Ojo, 2007 studies dealt extensively on the subject matter of reliability or accuracy of valuation figures.

The effect of inaccurate or unreliable valuation cannot be over emphasized in any economy
especially in a developing economy such as Nigeria where investors (mostly private individuals) are less sophisticated and depends mostly on the opinion offered them by their professional consultants such as Estate Surveyors and Valuers and any wrong advice giving them have potential of throwing them into perpetual financial problems. For example, some private individuals had have cause to invest their hard earned incomes on some real investments that does not worth the amount recommended to them by their consultant valuers while others had had cause to dispose their properties at prices far lower than their market worth based on the recommended valuation estimates from valuers. These kind of scenarios has resulted in dispute over large amount of money that sometimes run into millions of Nigeria Naira currency.

This paper therefore represents an attempt to ascertain the perception of valuation clients' to the reliability of valuation opinion being given by Nigerian valuers.

2. Review of Related Literature

In the past two decades or so, several studies have focussed on the issue of valuation accuracy and/or variance. Valuation accuracy is the extent to which valuation accurately predicts actual market prices while valuation variance is essentially a theoretical measure used to indicate the reliability of valuations, expressed as the distribution of valuations around the mean or median valuation that would result if a number of valuers value the same property simultaneously.

Hager and Lord (1985) started the debate on the subject matter of valuation accuracy in United Kingdom and since their pioneering effort, volumes of literature have been written in such countries as UK, USA, Canada and Australia on the topic. The debate on accuracy of valuation in the UK was triggered by the problems which came to the fore during the 1990-1994 economic recession which resulted in the banks and other lending institutions in the country blaming the valuers for their inability to dispose mortgaged properties at previous valuation figures advisedly by the valuers for the properties and also by the publicity on the apparent conflicting valuation figures on the same properties by different valuers (Herd and Lizieri, 1994). With regard to conflicting valuation figures on same property by different valuers, the case of of valuation of Queen’s Moat Hotel Chain by two firms of estate valuers in the UK readily came to mind and which was the immediate main reason why Michael Malison RICS Presidential Working party was set up to investigate and address the growing criticisms of valuation reports emanating from va;luers (Adair et at, 1996). Also in Australia, the case of the valuation of Governor Place in Sydney by two estate valuers that produced a difference of $120 million or 16.6%, and the commissioning of Professor Neville Normans Property Economic Task Force was another case study (Parker, 1988). These two cases (in the UK and Australia) drew considerable public attention and attracted negative comments from the press, academia and the general public with damaging effects on the public confidence in both the valuation profession and the valuation process.

Crosby et al (1995) conducted a survey to examine clients’ view on the information content of property investment valuation report. The authors surveyed four major groups of clients namely insurance companies, pension funds, property companies and banks. The findings identified inadequate information on market trend, tenant strength and valuation methodology as the major drawback of valuation reports from the professional valuers. However, the study indicated that the valuers in the UK were well regarded by clients. The only cause for concern by the lenders’ clients had to do with the quality of the report. The clients expect more information on the state of investment market generally.

Crosby, Laver and Foster (1998) study of the perception of lenders about the valuation reports in the UK showed that there was a general perception that valuers reports contained too little information regarding property locations in their national and regional context, planning situations and the general state of property markets. Clients wish to see detail information on the state of the wider investment market opportunities, market trends, tenant strengths and valuation methodology employed.

Newell (1999) undertook a survey of 140 major external users of valuation reports comprising of insurance companies, superannuation funds, property trust companies, property developers, banks and fund managers in Australia. The study indicated that the clients as represented by respondents surveyed would wish for detailed instructions to valuers, greater emphasis on market dynamisms/future performance and that too much generalisation and unrealistic future projections in valuation reports be do away with. Newell (2005) observed increasing use of Discounted Cash Flow (DCF) analysis for ascertaining the market worth of real estate properties and the fact that a greater number of clients were satisfied with the valuation report emanating through the process from the UK valuers.

Baum et al (2000) maintained that valuation accuracy was at the heart of client confidence and the
fact that the profession needs to keep its house in order. It is for such reason that the debate for valuation accuracy has been sustained in the UK academic and professional cycles since the debate started in the country in the mid 1980s. This has resulted in such studies as Hager and Lord (1985), Brown (1985), IPD/Jonas series spanning 1988 up till lately as 2008, Cullen (1994) and Matysiak and Wang (1995). In the same vein, in the US similar studies such Cole et al (1986), and Fisher et al (1999) has also been carried out.

Aluko (2007) in a study conducted in Nigeria examined mortgage valuation process in Lagos metropolis. The researcher administered questionnaires on practicing Estate Surveying and Valuation firms and lending institutions with a view to ascertaining whether the contents of mortgage valuation reports being prepared for them by their external valuers meet their expectations as well as meeting the standards set for such valuation assignments by the professions’ regulatory bodies in the country. The study revealed that mortgage valuation reports emanating from valuers were very far from meeting the needs and demands of the lending institutions. Other studies has equally been carried out in the country on the subject matter of valuation accuracy and the likes including that of Ogunba (1997), Ogunba and Ajayi (1998) Ajibola (2006) Oloyede and Ayedu (2009) and Ayedun (2009).

Even though various researches have been carried out to address this topical issue, however the various studies conducted in this field have largely examined valuation with respect to methods, processes, risk analysis and database from which valuers obtain valuation estimates. In Nigeria especially, little or no attention has been devoted to the issue of the study of the perception of valuation clients as much of the research works on valuation standard in the country have centred on valuation variance and accuracy, the influence of clients on valuation outcome and the influence of valuers’ behaviour on valuation reliability. If the opinion of Baum et al (2000) that accuracy is the heart of clients’ confidence is to hold and to be taken seriously, then there is serious need to investigate into the perception of these clients since they are the users of the valuation reports emanating from the professional valuers. Their feelings cannot be taking lightly, hence the need for this study.

3. The Study Area

Lagos State covers an area of about 3,577 square kilometers, representing 0.4% of Nigeria’s territorial landmass according to Esuibi (1994). The State shares boundary in the North with Ogun State, West with the Republic of Benin, and stretches for over 180 kilometers North of the Guinea Coast of the Atlantic Ocean. Politically, Lagos State according to Ogunba (1997) had expanded as a result of rural-urban drift and had become a metropolis enclosing settlements such as Mushin, Oshodi, Ikeja, Agege, Shomolu and Bariga. The 2006 National census put the population of the State at 9,013,534.

Lagos Metropolis has been chosen as the study area because it is the most important commercial city in Nigeria thus providing a sufficiently vibrant economic base and valuation activity which the researcher hopes to provide a vigorous and robust study base. Lagos metropolis, apart from being Nigeria’s former capital, is the largest metropolitan city in Africa. The metropolis is located within the coastal frontage of Lagos State and is bounded in the West, by the Republic of Benin, in the East by Ondo State and Atlantic Ocean in the South and in the North by Ogun State. The metropolis covers an approximate land area of 2,350 square kilometers spreading over four main islands of Lagos, Iddo, Ikoyi and Victoria islands. In the economic scene, Lagos metropolis has grown from a small farming and fishing settlement to become an important centre of commerce, finance and maritime in Nigeria, housing the headquarters of several banks, industries and commercial enterprises. According to the NIESV Directory (2009), most Estate Surveyors and Valuers aggregate around major business districts of the metropolis such as Lagos Island, Ikeja, Apapa/Ijora, and Lagos Mainland where there is the expectation of a very active property market.

4. Research Methods

The research study population consist of twenty four (24) commercial banks operating in the study area and fifty (50) property companies that constituted the major external users of valuation reports. The contact details of the property companies were obtained from the Real Estate Business in Nigeria Directory (2003) while that of the commercial banks were obtained from the publications of Central Bank of Nigeria (2006). Structured questionnaires were administered on the respondents. Questionnaires were sent to the twenty four commercial banks and fifty property companies. A total of fifteen responses were received from the banks and thirty two responses from the property companies with the resulting survey.
response rates being 62.5% and 64% from the banks and property companies respectively. The study used descriptive analysis to analyse the data collected from the respondents.

5. The Results and Discussion

The clients as represented by commercial banks and the property companies were asked the frequency of their commissioning valuers for valuation assignments. The number and frequency of valuation assignments commission by both the banks and the property companies varied considerably from one another as shown in Tables 1 & 2 below. The response by the banks indicated that 47% of the banks commission valuation assignments on monthly basis while 33% of the banks indicated that they commission valuers for valuation assignments on 3-monthly basis. On the other hand, 40.6% of the property companies affirmed that they normally request for valuation services from their external valuers on yearly basis while 25% of the property companies were of the opinion that they commission valuers for valuation services on 3-monthly basis as indicated in the Table 2 below.

Table 1. Frequency of Valuation Assignments Commissioned by the Banks

<table>
<thead>
<tr>
<th>Frequency of Valuation</th>
<th>Frequency Count</th>
<th>Percentage</th>
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<tbody>
<tr>
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<td>47</td>
</tr>
<tr>
<td>3- Monthly Basis</td>
<td>5</td>
<td>33</td>
</tr>
<tr>
<td>6- Monthly Basis</td>
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<tr>
<td>Yearly Basis</td>
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<tr>
<td>Total</td>
<td>15</td>
<td>100</td>
</tr>
</tbody>
</table>

Source: Field Survey (2011)

Table 2. Frequency of Valuation Assignments Commissioned by the Property Companies

<table>
<thead>
<tr>
<th>Frequency of Valuation</th>
<th>Frequency Count</th>
<th>Percentage</th>
</tr>
</thead>
<tbody>
<tr>
<td>Monthly Basis</td>
<td>6</td>
<td>18.75</td>
</tr>
<tr>
<td>3- Monthly Basis</td>
<td>8</td>
<td>25.0</td>
</tr>
<tr>
<td>6- Monthly Basis</td>
<td>5</td>
<td>15.6</td>
</tr>
<tr>
<td>Yearly Basis</td>
<td>13</td>
<td>40.6</td>
</tr>
<tr>
<td>Total</td>
<td>32</td>
<td>100</td>
</tr>
</tbody>
</table>

Source: Field Survey (2011)

Tables 3 and 4 below concerns the purposes for which valuation estimates are always required by both the banks and the property companies clients. As for the commercial banks, valuation for the purpose of determining financial statement ranked first amongst the purposes for which valuations are required while mortgage lending, performance measurement, tax, sale and purchases were ranked second, third, fourth, fifth and sixth respectively in the hierarchy of purposes and types of valuation often asked for by the banks. On the other hand, sale, mortgage lending, purchases, financial statement, performance measurement and tax ranked first, second, third, fourth, fifth and sixth respectively among the purposes for which valuations are commissioned by the property companies.

Table 3. Types/Purposes of Valuations Often Requested by Banks

<table>
<thead>
<tr>
<th>Types of Valuations</th>
<th>Always</th>
<th>Most of the time</th>
<th>Sometimes</th>
<th>Never</th>
<th>RII</th>
<th>Ranking</th>
</tr>
</thead>
<tbody>
<tr>
<td>Mortgage/Lending</td>
<td>10</td>
<td>3</td>
<td>2</td>
<td>-</td>
<td>3.53</td>
<td>2nd</td>
</tr>
<tr>
<td>Financial Statement</td>
<td>12</td>
<td>2</td>
<td>1</td>
<td>-</td>
<td>3.73</td>
<td>1st</td>
</tr>
<tr>
<td>Sales</td>
<td>6</td>
<td>4</td>
<td>2</td>
<td>3</td>
<td>2.86</td>
<td>5th</td>
</tr>
<tr>
<td>Purchases</td>
<td>5</td>
<td>5</td>
<td>2</td>
<td>3</td>
<td>2.80</td>
<td>6th</td>
</tr>
<tr>
<td>Tax</td>
<td>7</td>
<td>5</td>
<td>2</td>
<td>1</td>
<td>3.20</td>
<td>4th</td>
</tr>
<tr>
<td>Performance Measurement</td>
<td>9</td>
<td>3</td>
<td>3</td>
<td>-</td>
<td>3.40</td>
<td>3rd</td>
</tr>
</tbody>
</table>

Source: Field Survey (2011)
Table 4. Types/Purposes of Valuations Often Requested by Property Companies

<table>
<thead>
<tr>
<th>Types of Valuations</th>
<th>Always</th>
<th>Most of the time</th>
<th>Sometimes</th>
<th>Never</th>
<th>RII</th>
<th>Ranking</th>
</tr>
</thead>
<tbody>
<tr>
<td>Mortgage/Lending</td>
<td>18</td>
<td>8</td>
<td>4</td>
<td>2</td>
<td>3.31</td>
<td>2nd</td>
</tr>
<tr>
<td>Financial Statement</td>
<td>12</td>
<td>14</td>
<td>1</td>
<td>1</td>
<td>2.94</td>
<td>4th</td>
</tr>
<tr>
<td>Sales</td>
<td>22</td>
<td>7</td>
<td>3</td>
<td>-</td>
<td>3.60</td>
<td>1st</td>
</tr>
<tr>
<td>Purchases</td>
<td>15</td>
<td>12</td>
<td>4</td>
<td>1</td>
<td>3.28</td>
<td>3rd</td>
</tr>
<tr>
<td>Tax</td>
<td>7</td>
<td>7</td>
<td>13</td>
<td>5</td>
<td>2.50</td>
<td>6th</td>
</tr>
<tr>
<td>Performance</td>
<td>8</td>
<td>12</td>
<td>4</td>
<td>6</td>
<td>2.56</td>
<td>5th</td>
</tr>
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<td>Measurement</td>
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<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Source: Field Survey (2011)

To ascertain the issue of reliability of valuation estimates by professional estate surveyors and valuers as perceived by the clients, the property companies and the banks were requested to give their impression of the valuation estimates emanating from the valuers based on their experiences. The response of both the banks and the property companies are as indicated in Table 5 and 6 respectively. 60% of the banks were of the opinion that valuation figures by Nigerian valuers were not reliable while 26.66% agreed that the valuation are fairly reliable and only 13.33% believed that the valuation estimates by the valuers is absolutely reliable. On the part of property companies 56.25% of them concluded that the valuations by the valuers to be unreliable while only 15.625% affirmed the valuation estimates from valuers to be absolutely reliable. Based on the results of the responses of both the banks and the property companies, it can be concluded that the clients are far from being satisfied with the reliability and accuracy of valuation opinions being received from their external valuers.

Table 5: Perception of Bank (Client) on Reliability of the Valuers’ Valuation Estimates

<table>
<thead>
<tr>
<th>Reliability of Valuation</th>
<th>Frequency</th>
<th>Percentage</th>
</tr>
</thead>
<tbody>
<tr>
<td>Absolutely Reliable</td>
<td>2</td>
<td>13.33</td>
</tr>
<tr>
<td>Fairly Reliable</td>
<td>4</td>
<td>26.66</td>
</tr>
<tr>
<td>Not Reliable</td>
<td>9</td>
<td>60</td>
</tr>
<tr>
<td>Total</td>
<td>15</td>
<td>100</td>
</tr>
</tbody>
</table>

Source: Field Survey (2011)

Table 6. Perception of Property Companies to the Reliability of the Valuers’ Valuation Estimates

<table>
<thead>
<tr>
<th>Reliability of Valuation</th>
<th>Frequency</th>
<th>Percentage</th>
</tr>
</thead>
<tbody>
<tr>
<td>Absolutely Reliable</td>
<td>5</td>
<td>15.625</td>
</tr>
<tr>
<td>Fairly/Just Reliable</td>
<td>9</td>
<td>28.125</td>
</tr>
<tr>
<td>Not Reliable</td>
<td>18</td>
<td>56.25</td>
</tr>
<tr>
<td>Total</td>
<td>32</td>
<td>100</td>
</tr>
</tbody>
</table>

Source: Field Survey (2011)

When asked about the acceptable margin of error they could take, both the banks and the companies chose a margin of error of between 1-5%. The results of their responses as contained in Tables 7 and 8 showed that while 47% of the banks chose between 1-5%, 56.25% of the property companies also indicated 1-5% as their most acceptable margin of error. 40% of the banks indicated 6-10% as their ideal margin of error while 13% of the banks accepted 11-15% for margin of error. On the other hand, 31.25% of the property companies indicated 6-10% as margin of error acceptable to them. From the analyses, it can be concluded that majority of clients as represented by banks (47%) and property companies (56.25%) wanted the valuation estimates from the valuers to be as close as possible to the market prices of properties as expressed in their responses which indicated that majority preferred the valuation figures falling within 1-5% of the sale prices of such properties.
Table 7. Acceptable Margin of Error to the Banks

<table>
<thead>
<tr>
<th>Margin of Error (%)</th>
<th>Frequency</th>
<th>Percentage (%)</th>
</tr>
</thead>
<tbody>
<tr>
<td>1-5</td>
<td>7</td>
<td>47</td>
</tr>
<tr>
<td>6-10</td>
<td>6</td>
<td>40</td>
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<tr>
<td>11-15</td>
<td>2</td>
<td>13</td>
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<td>16-20</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td>21-25</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>15</strong></td>
<td><strong>100</strong></td>
</tr>
</tbody>
</table>

Source: Field Survey (2011)

Table 8. Acceptable Margin of Error to the Property Companies

<table>
<thead>
<tr>
<th>Margin of Error (%)</th>
<th>Frequency</th>
<th>Percentage (%)</th>
</tr>
</thead>
<tbody>
<tr>
<td>1-5</td>
<td>18</td>
<td>56.25</td>
</tr>
<tr>
<td>6-10</td>
<td>10</td>
<td>31.25</td>
</tr>
<tr>
<td>11-15</td>
<td>2</td>
<td>6.25</td>
</tr>
<tr>
<td>16-20</td>
<td>2</td>
<td>6.25</td>
</tr>
<tr>
<td>21-25</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>32</strong></td>
<td><strong>100</strong></td>
</tr>
</tbody>
</table>

Source: Field Survey (2011)

It can be concluded that the clients of valuation profession do not seem to agree with majority of the literature which recommended +/-10% as the margin of error. The majority of clients favoured between 1-5% as the acceptable margin of error and that the clients are far from being satisfied with the kind of valuation opinions being offered by the Nigerian valuers.

6. Conclusion and Recommendations

This study examined clients’ perception of reliability of valuation figures emanating from estate surveyors and valuers practising in Lagos metropolis with a view to ascertaining their satisfaction or otherwise so as to proffer necessary recommendations. Valuation practices as one of the core aspect of Estate Surveying and Valuation profession in the country may be suffering from a number of inadequacies, however, the focus of this study is its inability to meeting the expectation of the clients. The study revealed that the clients were of the opinion that valuation opinions offered them by Nigerian valuers were not absolutely reliable. This conclusion was based on their experiences with the opinion of valuation given them by their professional valuers in the past which gave wide disparity between the valuation opinions given them and the market prices of such properties. The study further revealed that the clients were far from satisfied with literature which established a margin of error of +/-10%, rather they would want the margin of error of the valuation opinion emanating from the valuers to fall between +/- 5% which they feel will give them enough confidence while delving into real estate investment. This development should of necessity be of concern to both Estate Surveyors and Valuers Registration Board of Nigeria (ESVARBON) and Nigerian Institution of Estate Surveyors and Valuers (NIESV) the two bodies responsible for the regulation of valuation practice in Nigeria.

There should be greater understanding between the clients and their external valuers with respects to needs and expectation of the clients’ in the area of valuation accuracy as well as greater understanding of the limitations of valuation figures. Afterall, a professional exists to meet his clients’ needs. The professional services of the estate surveyors and valuers are meant to satisfy the needs of clients, hence professional valuers owe it a duty not to mislead his clients by giving them unreliable and inaccurate valuation opinions since many interested stakeholders of the real property investors often rely on the valuation opinions from the valuers for their investment decisions. The estate surveyors and valuers should as a matter of necessity strive hard to meet the yearnings and expectations of their clients by way of producing accurate and reliable valuation opinions at all times. The challenge for building the confidence of the clients in the valuation figures emanating from Nigerian valuers by way of reducing the level of inaccurate and unreliable valuation estimates falls across the practitioners and the Nigerian
Institution of Estate Surveyors and Valuers (NIESV) as well as Estate Surveyors and Valuers Registration Board of Nigeria (ESVARBON) the two bodies responsible for the regulation of valuation practice in the country. While the contributions of both bodies are in the areas of providing valuation standards of international standard and putting in place a more effective regulatory framework, the practicing valuers must as a matter of necessity cease from settling for the mediocrity of inaccuracy; pursue professionalism; embrace continued professional development; global alliance with foreign firms and membership of international bodies for better exposure and exchange of ideas and more importantly, be willing to adopt necessary changes in practice.

References


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Students’ Self-Perceived Multiple Intelligences and their Parents’ Education

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Habib Nawaz Khan
Dr. Safeer Zaman
M. Tahir Shah

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Abstract This study aimed at to investigate the relationship between parent’s education and students’ self perceived multiple intelligences. All Students of 1st years in district Bannu constituted population of the study. Using multistage random sampling 379 male and 335 female all together 714 students were selected as a sample of the study. A significant correlation was found between Students’ self-perceived verbal/linguistic, logical/mathematical, musical intelligence and their parents’ education, and nonsignificant correlation was found between students’ self-perceived bodily/kinesthetic, interpersonal, intrapersonal, naturalistic intelligence and their parents’ education. There was a negative correlation between students’ self-perceived bodily/kinesthetic intelligence and their parents’ education. On the basis of the findings it was recommended that children may be provided various opportunities so they may develop properly their multiple intelligences. Government may make such policies regarding education where education of every citizen is guaranteed.

Keywords: parents, education, intelligence, IQ, linguistic, logical, visual/spatial, musical, interpersonal, intrapersonal, natural, bodily/kinesthetic.

1. Introduction

The most important contribution of education towards child advancement is to facilitate him where his abilities can better flourish and reach his pick of competencies. We assess every one in the context that he meets that limited criteria of achievement. A great attention must be given to help children to become aware of their potentials and develop them without paying less attention to their ranking. There are thousands of ways to get success and there are many abilities that would help an individual to be triumphant (Gardner, 1993). Perceived intelligence plays a great role in one’s life, especially in students’ academic achievement. Gardner discovered the following eight types of intelligence and said that there may be a possibility of more intelligences:

Logical-Mathematical Intelligence: Consists of the ability to detect patterns, reason deductively and think logically. This intelligence is most often associated with scientific and mathematical thinking.

Linguistic Intelligence: Involves having a mastery of language. This intelligence includes the ability to effectively manipulate language to express oneself rhetorically or poetically. It also allows one to use language as a means to remember information.

Spatial Intelligence: Gives one the ability to manipulate and create mental images in order to solve problems. This intelligence is not limited to visual domains. Gardner notes that spatial intelligence is also formed in blind children.

Musical Intelligence: Encompasses the capability to recognize and compose musical pitches, tones, and rhythms. (Auditory functions are required for a person to develop this intelligence in relation to pitch and tone, but it is not needed for the knowledge of rhythm.)
**Bodily-Kinesthetic Intelligence:** The ability to use one's mental abilities to coordinate one's own bodily movements. This intelligence challenges the popular belief that mental and physical activity is unrelated.

**Interpersonal intelligence:** The ability to understand and discern the feelings and intentions of others.

**Intrapersonal intelligence:** The ability to understand one's own feelings and motivations.

**Natural intelligence:** The ability to recognize and classify plants, animals, and minerals including a mastery of taxonomies.

The topic of intelligence is of considerable interest to academics and lay people alike (Mackintosh, 1998). Over the past decade, there have been a number of studies concerned with self-estimates of intelligence. This area of research is seen as important because it has been demonstrated that beliefs about intelligence have systematic motivational and behavioral consequences (Dweck, 2000). Furthermore, it has been suggested that self-estimated intelligence can have self-fulfilling effects in relation to examination performance (Chamorro-Premuzic, Furnham, & Moutafi, 2004). Numerous research studies have been conducted in order to explore the relationship of academic achievement with different variables. No specific study was found regarding the relationship of self-perceived multiple intelligences and parents' education in Pakistan. Being a very important area that needs to be explored it was felt intensely to conduct a research study on this topic.

Parents who have succeeded in the academic arena have achieved an important personal goal. Success tends to reinforce positive behaviors, as shown by B.F. Skinner's (1971) work in behaviorism. Confidence is a product of environmental influences, and mastery of certain cognitive skills engenders more self confidence. Parents who did not find as much success and positive reinforcement in their own schooling would naturally withdraw from further academic challenges. On the other hand, parents who have achieved higher education would most likely have fostered tenacity and skills in their children to navigate pathways to success by praising and rewarding their child's budding abilities.

Sánchez, Reyes, and Singh (2006) identified negative domains within the family such as low parental school involvement, socioeconomic status, and educational level to explain Latino youths' educational failure. Behnke, Piercy and Diversi (2004) found a connection between Latino youth's educational and occupational expectations and their parents' education. Garg et al. (2002) reported that “educational self-schema,” referring to the student's perception of self and school, along with parental expectations, resulted in 76% of the predicted variance in educational aspirations of adolescents. A study on the effects of parental involvement as a form of social capital found a greater likelihood of the youth enrolling in both a 2-year and 4-year college (Perna & Titus, 2005). The data used for the analyses in Lippman, Guzman, Dombrowski Keith, Kinukawa, Schwab, and Tice's (2008) report originated from the 2003 National Household Surveys Program (NHES) Parent and Family Involvement in Education Survey (PFI). They found 88% of students whose parents had earned at least a bachelor's degree had parents who expected them to finish college compared to 44% of students whose parents had graduated from high school or who had less than a high school diploma (Lippman et al., 2008).

When an adolescent rehearses mental images of success or failure scenarios, they become the construct of self-efficacy (Bandura, 1994). “These visualizations can serve to motivate one to take action to pursue a given goal” (Vick & Packer, 2008, p. 476). Self-efficacy was identified as a possible mediating factor of instrumentality in future goal possibilities such as “becoming a college student” (Vick & Packer, 2008). Kao and Tienda (1998) concluded that eighth grader aspirations to attend college derive primarily from parent's education and family background. Other researchers found substantial support for positive relationship between mothers' and fathers' supportive educational behaviors, educational level, language spoken in the home, and adolescents' aspirations (Plunkett & Bamaca-Gomez, 2003).

Chiu and Khoo (2005) reported 15-year-old students' test scores correlated significantly with mothers' mean years of schooling. In a study among black and white men born from 1907-1946, Kuo and Hauser (1995) found that at least half the variance in educational attainment was attributed to family background, including parental schooling. Other researchers noted only about 40% of the variance within families can be explained by standard domains of socioeconomic standing (Teachman & Paasch, 1998). “Most of the relationship is due to differences in parental education” (Teachman & Paasch, 1998, p. 712). Past studies have demonstrated that first-generation college students (students who do not have a parent who attended college) often encounter major hurdles in the college process. In comparison to students whose parent(s) attended college, first-generation students experience greater challenges to college access, college involvement, institutional connectedness, academic and social integration, and degree completion.
As such, first-generation students may be especially susceptible to personal doubts regarding their academic and motivational ability.

College-educated parents are typically more aware of the long-term benefits of acquiring a college degree, and thus they share this information with their children. The higher the degree the parents have obtained, the greater the support the student will have from their parents to complete a similar academic goal.

2. Statement of the Problem

The problem under study was to find out the relationship between students’ self-perceived multiple intelligences and their parents’ education.

3. Objectives of the study

1. To investigate the relationship between students’ self-perceived multiple intelligences and their parents’ education.

4. Research question

1. Is there any relationship between students self-perceived multiple intelligences and their parents’ education?

5. Research Methodology

Review of relevant literature revealed that numerous studies have been conducted in order to explore the relationship of academic achievement with different variables. No specific study was found regarding the relationship between students’ self-perceived multiple intelligences and their parents’ education. Therefore it was felt intensely to conduct study on this topic. The following research methodology was adopted.

5.1 Population & Sample

Students enrolled in 1st year, in all government degree colleges, session 2010, in district Bannu constituted population of the study.

There were ten government degree colleges in district Bannu. Four male and three female degree colleges were randomly selected. Using simple random sampling techniques 379 male and 335 female all together 714 students were selected as a sample of the study.

5.2 Instrumentation

Some psychologists have developed different scales for the measurement of multiple intelligences. Multiple intelligence inventory based on Howard Gardner multiple intelligences theory, developed by Armstrong (1994) was used to measure students perceived multiple intelligences. This inventory contains 40 items five statement for measuring each intelligence.

This inventory was translated in Urdu with the help of English and Urdu expert in order to make it easier and understandable to the students.

For the reliability and validity and to remove language ambiguity the multiple intelligence inventory was personally distributed among 50 subjects as a pilot run. The subjects were part of the population but were not included in the selected sample of the study. Data was analyzed through SPSS–16. The reliability of forty items at Cronbach’s alpha obtained was .784 which is quite reasonable.

5.3 Data Analysis

The collected data was entered in SPSS-16 and was analyzed using appropriate statistical tests. The central tendency and variability of the multiple intelligences of the sampled students was measured using Mean and SD respectively. Pearson co efficient correlation was used to find out the relationship between parents’ education and students self-perceived multiple intelligences.
6. Findings of the Study

1. The coefficient of correlation between students’ self-perceived verbal/linguistic intelligence and their parents’ education is .14 with a P value .00 which means that there is a significant correlation between students’ self-perceived verbal/linguistic intelligence and their parents’ education.

2. The coefficient of correlation between students’ self-perceived logical/mathematical intelligence and their parents’ education is .13 with a P value .00 which means that there is a significant correlation between students’ self-perceived logical/mathematical intelligence and their parents’ education.

3. The coefficient of correlation between students’ self-perceived visual/spatial intelligence and parents’ education is .10 with a P value .00 which means that there is a significant correlation between students’ self-perceived visual/spatial intelligence and their parents’ education.

4. The coefficient of correlation between students’ self-perceived musical intelligence and parents’ education is .11 with a P value .00 which means that there is a significant correlation between students’ self-perceived musical intelligence and their parents’ education.

5. The coefficient of correlation between students’ self-perceived bodily/kinesthetic intelligence and their parents’ education is -.00 with a P value .90 which means that there is a negative correlation between students’ self-perceived bodily/kinesthetic intelligence and their parents’ education.

6. The coefficient of correlation between students’ self-perceived interpersonal intelligence and their parents’ education is .59 with a P value .11 which means that there is a nonsignificant correlation between students’ self-perceived interpersonal intelligence and their parents’ education.

7. The coefficient of correlation between students’ self-perceived intrapersonal intelligence and their parents’ education is .06 with a P value .08 which means that there is a nonsignificant correlation between students’ self-perceived intrapersonal intelligence and their parents’ education.

8. The coefficient of correlation between students’ self-perceived naturalistic intelligence and their parents’ education is .00 with a P value .90 which means that there is a nonsignificant correlation between students’ self-perceived naturalistic intelligence and their parents’ education.

(See table 1)

Table 1. Correlation between students’ self-perceived multiple intelligences and their parents’ education

<table>
<thead>
<tr>
<th>S.NO</th>
<th>Variables</th>
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<th>p</th>
</tr>
</thead>
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<td>1</td>
<td>Parents’ education</td>
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<td>.00</td>
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</tr>
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<td>2</td>
<td>Parent’ education</td>
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<td>.00</td>
</tr>
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<td></td>
<td>Logical/mathematical intelligence</td>
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<td></td>
</tr>
<tr>
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<td>Parent’ education</td>
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<td>.00</td>
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<td>Visual/spatial intelligence</td>
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<td>4</td>
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<td>.00</td>
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<td></td>
<td>Musical intelligence</td>
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<td></td>
</tr>
<tr>
<td>5</td>
<td>Parent’ education</td>
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<td>.90</td>
</tr>
<tr>
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<td>Bodily/kinesthetic intelligence</td>
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</tr>
<tr>
<td>6</td>
<td>Parent’ education</td>
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<td>.11</td>
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<td>Interpersonal intelligence</td>
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<td>Parents’ education</td>
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<td>.08</td>
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<td></td>
<td>Intrapersonal intelligence</td>
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<tr>
<td>8</td>
<td>Parents’ education</td>
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<td>.90</td>
</tr>
<tr>
<td></td>
<td>Naturalistic intelligence</td>
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</tbody>
</table>
7. Conclusions

1. There is a significant correlation between students’ self-perceived verbal/linguistic, logical/mathematical, musical intelligence and their parents’ education.
2. There is a nonsignificant correlation between students’ self-perceived interpersonal, intrapersonal, naturalistic intelligence and their parents’ education.
3. There is a negative correlation between students’ self-perceived bodily/kinesthetic intelligence and their parents’ education.

8. Recommendations

1. Parents should make efforts to provide encouraging environment for the enhancement of different intelligences of their children, rather than to impose their own wishes or decision on them. Children can lead towards self actualization if parents care for their individual potentialities.
2. Government should make such a policies where education for all the people is guaranteed. So educated parents may be produced.

References

The Effects of Classroom Interaction on Students’ Academic Achievement at Secondary School Level

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Abstract This research study focused on investigating “The effects of classroom interaction on students’ academic achievement at secondary school level”. The main objective of the study was to see the students’ academic achievement with and without classroom interaction. The study was significant because it tells about the effects of classroom interaction at the secondary school level. The population of the study was all the secondary level school students. 60 students studying in Class 9th of University WENSAM School and College were taken as the sample of the study. The study was experimental, and pre-test, post-test were used for the collection of data. The experimental group was taught by the classroom interaction and the control group without classroom interaction method. Mean Standard deviation, variance and the difference between means t-statistics were used for the analysis of data. The result showed that experimental group performed significantly better than the control group on the post-test. It is recommended that teachers should adopt interactive learning style in their classrooms because it actively engages students in the learning process. Teachers may be provided support so that they may implement various interactive activities in the classrooms.

Keywords: Classroom interaction, Students, achievement, Secondary School level

1. Introduction

Education is a social process which brings positive changes in the behavior, character and knowledge of the students. A school is one of the social institutes established to achieve specific goals of bringing changes in the behavior, knowledge and character of the students. The teacher is not mere a transmitter of knowledge, he is rather supposed to play quite a significant role in modifying the modes of thinking and acquitting among students. In this regard instructions towards purposeful direction are quite necessary for the success and fecundity of learning process. This modified role of teacher requires that instruction should be an active process rather than passive one. It should be a two way communication and both the parties (students and teachers) should be actively engaged for its best accomplishment. Effective teaching learning process requires conscious efforts by the teacher and the taught (Henry.C.L., 1980). The above desired situation is achieved when a substantive interaction between the students and teachers is established. This sort of interaction requires that students should be tempted to participate actively in the process by the teacher. It should be acknowledged that the effectiveness of school education much depends upon the development of sound relationship between the teacher and his pupils who become more active partners in education process. Unfortunately in Pakistan the education system depicts an opposite and undesirable situation, whereas the classroom environment is particularly rather concerning. AT secondary level, the teaching learning process in the country is extremely week and it is totally based on rote learning. The teacher seems to be in a very
dominant role in the class while the students are given very less time for active participation and interaction. According to Siddiqui H.M (2005) interaction between students and teachers is an essential part of teaching learning process. It promotes involvement, enhances learning and motivates the students. It promotes a shift from teacher centered to a student centered environment while maintaining a teacher led activity (Daivd. F, 1985). This study entitled “effect of classroom interaction on student achievement at secondary level” was thus initiated to know the effectuality of classroom interaction on student’s academic achievement.

2. Statement of the Problem

The problem under study was to investigate “The effects of classroom interaction on students’ academic achievement at secondary level”.

3. Objectives of the Study

Following were the objectives of the study:
vi) To measure the academic achievement of students without classroom interaction.

vii) To examine the academic achievements of students consequent upon the classroom interaction.

viii) To determine the effects of classroom interaction on students’ academic achievement.

4. Significance

The study was significant for the following reasons:
• The study may provide proper professional guideline in order to make the learning more effective.

• The findings of the study may be helpful in planning and organizing of classroom interaction in most effective way.

• The study may motivate the participating teachers to use the classroom interaction as a tool of success for the students.

• This research study may prove helpful in improving instructions by increasing the volume of student participation in the activity.

• The findings and conclusions of this research study may provide a guideline to all the practicing teachers for improvement of their teaching strategies.

5. Hypothesis

The following null hypothesis was tested.
H0: There is no significant effect of classroom interaction on students’ academic achievement.

6. Delimitations of the Study

The study was delimited to:
The 60 University WENSAM School and College students of 9th class.

7. Review of Related Literature

A great deal of research has been conducted into the nature of effective teaching and education researchers have concluded that a systematic approach to providing instruction greatly improves student’s achievement (Johana.T. 1979). The researchers also state that teachers can learn the specific components of an effective teaching systematic approach, for providing more purposeful instructions, and can modify and thereby enhance their teaching behavior. Use of this sort of a systematic approach with whatever is being taught can only assist in further improvement of educational opportunities for all students, especially those who have learning disabilities.

Rohnshine and Stevens (2002 ) identified common teaching practices of successful teachers, such as teaching in small steps, exercising after every step, guiding students during initial practice, and providing all students with opportunities for success. Englert (2000 ) pointed out that successful teachers use lesson
strategies to provide students with both direct instructions and the opportunities for success practice.

Sindelar et al. (1997) added that the more time an actively engaged educator spends in the instructional process, the more positive student behavior and achievement will be. They further suggested that effective teacher limits seat work activities, provide ample opportunities for students over learning through teacher questioning and allow to socially interact with student.

Research indicates that teacher directed rather than student directed activities provide for an effective educational experience that is more likely to improve student’s achievement (Nowacek et al. 2001). Higher level of student achievement occurs because teacher, using a systematic approach are more organized, have clearer student attention and provide immediate, corrective and constructive feedback.

8. Methodology and Procedure

8.1 Population

All the secondary level school students of constituted the population of the study.

8.2 Sample

60 students of WENSAM School and College studying in class 9th which were divided into two groups i.e. experimental and control groups were taken as a sample of the study.

8.3 Instrument

The following two instruments were used for data collection.

1- Pre-Test: To check the academic achievement of the students before experiment.
2- Post-Test: To check the academic achievement of the students after experiment.

8.4 Administration of Pre-Test

Pre-test was administered to the students of class 9th. On the basis of their scores, students were equally divided into two groups the experimental and the control group.

8.5 Treatment of the Groups

Both the groups were taught by the researcher himself. Time factor was controlled during the treatment. Both the groups were exposed to same experience, except the style of learning. Group formation was based on the pre-test scores in which mix ability students were chosen for each group.

8.6 Administration of Post-Test

Soon after the treatment was over, post-test was administered to the students of both groups. Administration and scoring of the test were done by the researcher himself.

8.7 Data Collection

The researcher personally taught the experimental group and control group for the period of four weeks. Both the groups were equated on the basis of pre-test scores. The control group was taught without interaction, while experimental group was taught by class interaction method. After the completion of experiment, post-test was administered to both groups. Post-test scores served to measure the academic achievement of the students of both groups in order to determine the effect of the treatment.

8.8 Data Analysis

The following statistical procedure was applied for the analysis of the collected data. Mean and standard deviation were applied on the scores of both the pre-test of the experimental group and of the control group. Then, t-test was applied to make sure that both the groups were equal on dependent variable before treatment. Mean and standard deviation were applied on the scores of both the
post-test of the experimental group and of the control group. For comparison of the score of Post-test t-test was used.

Table 1: Showing the pre-test scores of control and experimental groups.

<table>
<thead>
<tr>
<th>Groups</th>
<th>Size of Group</th>
<th>Mean</th>
<th>Variance</th>
<th>Standard Deviation</th>
<th>t-Tabulated</th>
<th>t-Calculated</th>
</tr>
</thead>
<tbody>
<tr>
<td>Control</td>
<td>30</td>
<td>16.4333</td>
<td>10.6447</td>
<td>3.2629</td>
<td>+2.000</td>
<td>-0.1509</td>
</tr>
<tr>
<td>Experimental</td>
<td>30</td>
<td>16.4667</td>
<td>11.4478</td>
<td>3.3835</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

The above table shows that calculated t-value for significant difference between control and experimental group was -0.1509, at 0.05 level of significance. Tabulated value of t was 2.000. Since computed value of t-test falls in the acceptance region. This means that both the groups were equivalent before starting the experiment.

Table 2: Showing Post Test Scores Of Control and Experimental Groups.

<table>
<thead>
<tr>
<th>Groups</th>
<th>Size of Group</th>
<th>Mean</th>
<th>Variance</th>
<th>Standard Deviation</th>
<th>t-Tabulate</th>
<th>t-Calculated</th>
</tr>
</thead>
<tbody>
<tr>
<td>Control</td>
<td>30</td>
<td>15.8</td>
<td>4.6733</td>
<td>2.1618</td>
<td>+2.000</td>
<td>-4.3911</td>
</tr>
<tr>
<td>Experimental</td>
<td>30</td>
<td>18.1</td>
<td>2</td>
<td>1.4142</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

The above table shows that in the post test calculated t value was -4.3911 at 0.05 level of significance for V=n1+n2-2=30+30-2=58. d.f whereas the tabulated t value was 2.000. Since computed value of t-tested falls in the critical region so Ho was rejected and it was thus concluded that there is a significant effect of the classroom interaction on students achievement.

9. Findings

Following were the major findings of the study:
- Mean, Standard deviation, and Variance on pre-test for the control group (taught without classroom interaction) were 16.4333, 3.2629 and 10.6447 respectively.
- Mean, Standard deviation, and Variance on pre-test for the experimental group (taught with classroom interaction) were 16.4667, 3.3835 and 11.4478 respectively.
- Calculated value of t on pre-test was -0.1509, where as tabulated value was 2.00.
- Mean, Standard deviation, and Variance on post-test for the control group (taught without classroom interaction) were 15.8, 2.1618 and 4.6733 respectively.
- Mean, Standard deviation, and Variance on post-test for the experimental group (taught with classroom interaction) were 18.1, 1.4142 and 2.0 respectively.
- Calculated value of t on pre-test was -4.3911, where as tabulated value was 2.00.

10. Conclusions

- On the pre-test, the calculated t-value for significant difference between control and experimental group was -0.1509, at 0.05 level of significance. Tabulated value of t was 2.000. Since computed value of t-test falls in the acceptance region, it was therefore concluded that both the groups were equivalent before starting the experiment.
- On the post test calculated t value was -4.3911 at 0.05 level of significance for V=n1+n2-2=30+30-2=58. d.f , whereas the tabulated t value was +2.000. Since computed value of t-test falls in the critical region so the null hypothesis that “there is no effect of classroom interaction on students achievement was rejected”. So we conclude that there is a positive effect of the classroom interaction on student achievement.
11. Discussions

Teacher pupil relations were interdependent and the pupils emotional and teacher’s professional needs had to be met in order to generate a positive atmosphere. Studies conducted during the 1960s show that teachers with an emotional climate spoke to more pupils, made specific statements of praise to pupils who had been co-operative but made general statements when they wished to control. Stubbs (1976) considered the function of teacher talk in some detail and found that teachers were mainly concerned with controlling the class by continually explaining, correcting, evaluating, editing and summarizing. Much time was spent merely in keeping in touch with their pupils. The author draws out eight functions of classroom and shows that certain characteristics of teacher talk are very much effective to the teaching situation.

A pupil's morale and behavior is affected by his view of himself and his relationship with his peers. Individual morale is a function of the degree of similarity between the individual’s views of himself as he is and as he would wish himself to be. Schmuck (1963) showed that classrooms with widely spread liking choices (diffuse liking structure) had a more positive climate than those with narrowly focused liking structures.

From the above discussions it is clear that classroom interaction leads to the students’ success and contributes a lot to an effective classroom teaching and classroom climate.

12. Recommendations

Following recommendations float up from the findings and conclusions of the study.

v) Teachers should established high level of interaction through questioning as it promotes involvement, enhances learning and motivates students.

vi) Teachers should give attention to all the students in the class including back benchers to increase achievement of students.

vii) Teachers should increase the amount of student’s participation by redirecting, probing, and focusing questioning techniques.

viii) Teachers should provide chances to the students to participate in the teaching learning process and start classroom discussion.

ix) Teachers should try to help students to achieve best possible understanding, through classroom interaction.

x) Teachers should avoid over reaction against incorrect response, but rather guide the student to encourage and motivate them in the classroom interaction.

xi) Teachers should ask students to clarify their ambiguities through questions where they don’t understand the lesson.

Bibliography


Effect of Word of Mouth on Consumer Buying Behavior

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Abstract: The objective of this study is to examine the negative and positive affect of word of mouth marketing on consumer buying behaviour. The study is based on primary data collected from one hundred households and university students from the area of Rawalpindi and Islamabad cities of Pakistan. The data is analyzed using the techniques of frequency distribution and ranking. The result reveals that consumers tend to rely on word of mouth for the purchase of everyday items as well as long-term goods. The people that seem to have an influence on the decision of the consumers the most are closed family, friends and acquaintances. Results further show that a bitter experience of a product/place can create problems for the company as it is a major factor of negative word of mouth. Viral Marketing is gaining rapid popularity among consumers as it’s depicts in the results. Finally, a negative word of mouth travels faster than positive comments.

Keywords: Consumer buying behaviour, Products, Viral marketing, Externalities, Pakistan.

1. Introduction

Consumer behavior is a young discipline; the earlier books were written in 1960’s however, its intellectual forefathers are much older. Understanding of consumers is the consumption process provides a number of benefits. These benefits include assisting the manager in decision making and providing the marketing research with a theoretical base from which to analyses consumers in making better purchase decision. The study of consumer can help to understand more about psychological, sociological and economics factors that influence human behavior. A general knowledge of consumer behaviors also has personal value. It can help people to become better consumers by informing them of the way in which they and others go about their consumption activities. In addition it can assist consumers in the buying process by informing them about some of the strategies used by companies to market their products (Foxall & Goldsmith, 1994).
The field of consumer behavior explores why people make certain purchasing decisions, what products and services they buy, where they buy them, how they use them, the frequency with which they purchase them, and the consumer decision process in action. In this context, consumer behavior has been defined as the activities of people engaged in actual or potential use of market items—whether products, services, retail environment, or ideas (Berkman & Gilson, 1978).

One of the important means of dissemination for information is word of mouth. Word of mouth both negative and positive can have a profound impact on consumer behavior. If utilized correctly, it can go a long way to promote products or service and build a perception created through this method can persist for a long time and adversely effect to the marketing. Therefore the effect of word of mouth can be harsh as well as beneficial (Solomon, 1996). Word-of-Mouth Marketing progress align advertising campaign messaging and product releases with local market influencers, Trendsetters, and Tastemakers to craft mass opinion and purchase behavior.

Effective word of mouth marketing campaign connects with Influencers and Trendsetters who initiate consumer trends (e.g. Fashion trend, automobile purchase trends, consumer product trends, entertainment trends, and beverage consumption trends) that are followed by mainstream consumers. Consumers value word-of-mouth twice as much as they value advertising. In a world in which we all are bombarded with advertising all day (and all night), what is the first thing we usually do to learn more about a business, a restaurant for example? We try to find someone we know who has been there, or someone who knows someone who’s been there. It’s true. Word of mouth does have more credibility than advertisers can even imagine, much less conjure up. And yet word of mouth suffers from the same virtue that makes it so strong. It is personal and therefore, limited in its reach (Pusateri, 1999).

In this paper an analysis has been carried out to find the impact of word of mouth on consumer buying behavior in Pakistan using primary data of one hundred households and universities students in the periphery of Rawalpindi and Islamabad. This paper does not include all dimensions and factors of the consumer buying behavior but limited to the following key terms:

- **Consumer Behavior**: According to Loudon and Bitta (1994); the decision process and psychosocial activity individuals engage in, when evaluating, acquiring, using or disposing off goods and services. With growing numbers of consumers suffering from ‘confusion by over-choice’ and distrusting product claims, cutting through advertising “clutter” with a credible message has never been more important.

- **Word of Mouth**: It is not Street teaming, where people hand out freebies or flyers to you while you’re walking down the street. Word of mouth is not Shill marketing, where companies hire actors to create staged conversation with consumers, without telling consumers they’re staged (also known as “reaching marketing”). Word of mouth is not fake online marketing, where people send e-mails to individuals who don’t want them, or companies post fake opinions online in chat rooms, or review sites like Amazon. Word of mouth is honest, real and powerful. Its something we all do everyday – it’s the way we communicate. It’s part of our social fabric. Word of mouth is shared opinion about a product or services between two or more people. Share your honest opinion, and you’re creating word of mouth (Balter, 2004).

- **Viral Marketing**: It is the most effective when promoting experiential, complex, premium, quirky and cool products. Given that most packaged goods products do not meet these criteria, marketers will benefit from devising campaigns that enhance consumers’ involvement in general product purchases and their emotional attachment to brands.

This study investigates the influence and effect that word of mouth marketing can have on consumers and their buying decisions. Further, how positive and negative word of mouth can manipulate the behavior of consumers? The more specific objectives are:

i. To study the influence of word of mouth marketing on the buying decision and individuals.

ii. To gather first hand knowledge about the influence of other’s opinions, this at times can be more powerful than one’s own perception.

iii. To study the relationship between influencer and the consumer.

iv. To see whether consumers are likely to pay more attention to negative word of mouth rather than positive comments.

v. To understand which situations are more likely to be influenced by word of mouth?

Based on the above objectives, the present study seeks to test the following hypothesis:

**H1**: A previous bad experience of a particular product/service leads to negative word-of-
H2: International word-of-mouth campaigns started by marketers can be beneficial for them.
H3: Word-of-mouth regarding a particular product/service provided by a reliable source carries greater credibility.
H4: People learn from others’ experience and forward that information through word-of-mouth and
H5: Viral marketing leads to word-of-mouth both online as well as offline.

This paper is organized as follows: after introduction in section 1, literature review is carried out in section 2. Research framework and methodology is mentioned in section 3. Result and discussion is provided in section 4. Final section concludes the study.

2. Literature Review

A growing number of literatures are citing word of mouth as the most important factor influencing their interest in products. Word-of-mouth communication exposes three fundamental concerns of researchers who currently investigate this phenomenon: i) The frequency and types of word-of-mouth behavior, ii) The effect of word-of-mouth behavior on product evaluation and iii) The impact of word-of-mouth information on social relationships. All of the articles reviewed link word-of-mouth communication to company product assessments by consumers. With the latest Euro-barometer survey showing that 58% of Europeans do not trust corporate, relaying on relatives credibility, honesty and impartially of word of mouth will continue to grow (Harris, 2004). The idea of understanding consumer behavior as a sequential decision-making process is one that is common in marketing (Engel et al., 1993; Wilkie, 1994; Solomon, 1993; Assael, 1992; Loudon and Bitta, 1993; Kotler, 1997). The decision-making process itself is presented as a logical flow of activities, working from problem recognition to purchase to post-purchase evaluation. This decision-making process is affected by a number of other more complex influences. Some of these influences relate to the wider environment in which the decision is being made while others relate to the individual who makes the decision.

Study conducted by Feick and Price (1987) investigate the frequency with which companies furnish information that is significant to customers’ judgments for retailer as expressed to other customers. They conducted telephone interviews with one hundred fifty residents of Metropolitan County in the northeast area of the United States. The results indicated that there are certain characteristics of retailers including product availability that are more likely to be circulated by customers. The study also reports that, contrary to previous findings, there is not a variance of discussion of the types of retails. Feick et al (1987) further founds that the class of customers described as “Market mavens” (individuals who have information about numerous products and locations and that motivate dialogue with other customers) voluntarily divulge more information about retailers than do other customers. They pose methods for retailers to propagate information to “market mavens” (like sending free samples of products).

Giese and Spangenberg (1997) are less interested in the frequency and types of word-of-mouth communication and, instead, concentrate on the effects of word-of-mouth behavior on product evaluation. They conducted an experiment using undergraduate students attending an introductory marketing course at a large Midwestern University. The students were asked to view a video and decide if the person making recommendations of a product on the video was credible. They found the most fascinating aspect of the study to be the occurrence of negative word-of-mouth information is apparently more influential on customers who are already familiar and involved with a product. Conversely, they found that positive information does not enhance familiarity with a product. There have been many attempts to create models of consumer decision-making such as those proposed by Howard and Sheth (1969), Nicosa (1966) and Engel et al. (1968). Since a review of these models would be beyond the scope of this study, however, a simplified approach has been adopted to guide the discussion. A diagram of this approach is presented in figure 1.
Figure 1. Consumer decision-making framework [adapted from: Dibb et al., 1997]

Reference to figure 1 reveals that it is made up of three major sections: (1) the consumer’s decision-making process, (2) individual determinants of behaviour, and (3) environmental variables influencing behaviour. Herr et al (1991) seem to find similar results related to word-of-mouth information and product evaluation. Among other things, they found that negative word-of-mouth information does indeed decrease familiarity with the product. Their research concentrates on the method in which the message is delivered (vividly and pallidly) and the type of information that is given (by anecdotal and Attribute information). They present three hypotheses that extend over two experiments. In the first experiment, 84 college undergraduates used to determine if word-of-mouth information is more potent than pallid printed information. Information about a particular item (in this case a computer) was presented to the undergraduates through word-of-mouth and print. The results indicated that word-of-mouth communication is more potent and more important in consumer judgment of a product than vivid printed information. CBC (2010) model is based on four primary layers of word of mouth that take people from being unaware completely through to brand engagement and referrals:

* Buzz Campaigns — Cut through the clutter to create awareness among people who did not previously know about your bank or credit union.
* WOM Programs — Transition mere awareness into interest and consideration.
* WOM Initiatives — Convert interested people into customers/members by creating sincere brand engagement.
* Customer WOM — Turn existing customers/members into referral sources.

Figure 2. Word-of-Mouth Marketing Strategy (CBC-2010)
Brown and Reingen (1987) believe that previous research on word-of-mouth communication did not effectively look at the impact on dyads and groups. Previous research failed to determine how word-of-mouth starts with the individual and ends up aggregating to large groups. The researchers study the role of word-of-mouth communication in interpersonal process and discover how this is intertwined in the macro and micro word-of-mouth process. By examining and interviewing a population of sixty-seven students of piano teachers, the researchers tried to find all referral sources for the students’ piano teachers. By finding this information, the researchers could then find data to support their hypotheses. At the end of the study they found that ties between consumers (piano students) are important in explaining how dyadic communication forms large scale aggregates. Strong ties between consumers were found to play an important role in consumer attitudes. VM (2007) refers to Internet-based stealth automatic marketing campaigns, including the use of blogs, seemingly amateur sites, and other forms of astroturfing, designed to create massive word of mouth for a new product or service. The goal of viral marketing campaigns is to create media coverage via "offbeat" stories value many times more than the campaigning company's advertising budget.

Ellison and Fudenburg (1995) study how word-of-mouth communication summarizes information for individuals. The two researchers focus on how word-of-mouth creates “conformity and diversity.” They divide consumers into two groups- “conformity” and “diversity.” They test whether word-of-mouth communication support their positioning. They found that consumers receive more detailed word-of-mouth information they display more diversity than when they receive limited and/ or general information. The researchers used textural analysis to support their hypotheses. In summary, word-of-mouth not only plays an important role in the evaluation of products but also plays an important role in society as well.

3. Data Source and Methodological Framework

The respondents of this study are randomly selected consumers within the area of Islamabad and Rawalpindi. Questionnaires were distributed at various households and universities so as to understand the point of view of young youth and the old. The practice of using student samples has been questioned with regard to its external validity; however in certain cases a student sample may be appropriate if the context is taken into consideration. Students are an attractive and viable market and are market innovators for many products. They have the advantage of reaching a sufficiently large number of consumers in a short period.

The sample size selected was 100 respondents. The choice of the data methods and sample size was in accordance with the accuracy required and the facilities available. The final survey was administered to household during randomly selected hours and students during college hours at randomly selected classes from the universities and other institutions with in the reachable areas of Rawalpindi and Islamabad. Each respondent was presented with the questionnaire.

Data sources are classified as being secondary and primary. Secondary data is developed to help for
some purpose other than helping to solve the problem at hand while primary data is collected to help solve a problem by taking first hand information. In this research data was collected from both sources. Primary data was collected by distributing first hand questionnaires. Secondary data source was internet, journals, past trends, past researches, etc. the data was analyzed and interpreted once the survey had been carried out. Each questionnaire was studied individually to analyze the answers of the respondents.

3.1. Instruments and Measures

The research instruments used in this study is personally administered questionnaires. The main advantage of this is that the researcher can collect all completed response within a short period of time. And any doubts that the respondents might have regarding any question could be clarified on the spot. A questionnaire is a pre-formulated set of question to which respondents recode their answers, usually within rather closely defined alternatives. Questionnaires are an efficient data collection mechanism when the researcher knows exactly what is required and how to measure the variables on interests. A questionnaire is appropriate for collecting precise and specific information in data collecting method. The final questionnaire was combination of open ended and close-ended questions in which the respondents were asked about the questions related to the relationship between word of mouth marketing and its influence on their buying decisions. Thus the questionnaire is designed keeping in mind the objectives of the study. The questionnaire in the last three items gathered identification data of the selected sample. They were asked to state their name, age, gender and marital status.

3.2. Sampling Procedure

The sampling procedure used in this study is simple random sampling. Respondents were selected randomly at both places. In simple random sampling every element in the population has a known and equal chance of being selected as a subject. Simple random sampling has the least bias and offers the most generalizability. However, this sampling process could sometimes become cumbersome and expensive. A structure questionnaire was developed. The respondents were asked to respond to the questionnaire that was a combination of open-ended and close-ended questions. The frequency distribution is used in order to give clear and reliable analysis and interpretation of the data.

4. Results & Discussion

The questionnaires were distributed among a sample of 100 respondents belonging to various walks of life. Following are the findings of these questionnaires:

Table 1. Frequency Distribution with respect to Gender

<table>
<thead>
<tr>
<th>Gender</th>
<th>Frequency (F)</th>
<th>Percentage (%)</th>
<th>Rank</th>
</tr>
</thead>
<tbody>
<tr>
<td>Male</td>
<td>55</td>
<td>55 %</td>
<td>1</td>
</tr>
<tr>
<td>Female</td>
<td>45</td>
<td>45 %</td>
<td>2</td>
</tr>
<tr>
<td>Total</td>
<td>100</td>
<td>100 %</td>
<td></td>
</tr>
</tbody>
</table>

The percentage of female respondents was 45% whereas, the number of male respondents were 55%. Both female and male respondents were selected to have an idea of the point of view of both the genders.

Table 2. Frequency Distribution with respect to Age (N=100)

<table>
<thead>
<tr>
<th>Age</th>
<th>Frequency (F)</th>
<th>Percentage (%)</th>
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<tbody>
<tr>
<td>15 – 25</td>
<td>65</td>
<td>65 %</td>
<td>1</td>
</tr>
<tr>
<td>26 – 35</td>
<td>16</td>
<td>16 %</td>
<td>2</td>
</tr>
<tr>
<td>36 – 50</td>
<td>8</td>
<td>8 %</td>
<td>4</td>
</tr>
<tr>
<td>Above 50</td>
<td>11</td>
<td>11 %</td>
<td>3</td>
</tr>
<tr>
<td>Total</td>
<td>100</td>
<td>100 %</td>
<td></td>
</tr>
</tbody>
</table>
The age group that majority of the respondents belonged to was 15-35. 65% percentage of the people aged between “15-25”, 16% were of aged “26-35”. 11% were “above 50” and only 8% of the respondents were between “36-50”. The aim was to get an opinion of people belonging to all the different age groups. This provides a better understanding of the subject under study.

Table 3. Frequency Distribution with respect to Marital status (N=100)

<table>
<thead>
<tr>
<th>Marital Status</th>
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<th>Percentage (%)</th>
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<tbody>
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<td>34</td>
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<td>2</td>
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<tr>
<td>Unmarried</td>
<td>66</td>
<td>66%</td>
<td>1</td>
</tr>
<tr>
<td>Total</td>
<td>100</td>
<td>100%</td>
<td></td>
</tr>
</tbody>
</table>

As word of mouth is the most important source of information for certain household items, and many consumers also feel that family and friends have a major influence on their decisions regarding specific brands, Therefore the respondents selected belonged to all walks of life and different age groups. They were both married as well as unmarried but number of students was relatively more, therefore the percentage of “married” respondents was only 34% and “unmarried” was 66%.

Table 4. Frequency Distribution with respect to Consumer Buying Behavior

<table>
<thead>
<tr>
<th>Answers</th>
<th>Frequency (F)</th>
<th>Percentage (%)</th>
<th>Rank</th>
</tr>
</thead>
<tbody>
<tr>
<td>Advertising</td>
<td>48</td>
<td>48%</td>
<td>1</td>
</tr>
<tr>
<td>Word of Mouth</td>
<td>31</td>
<td>31%</td>
<td>2</td>
</tr>
<tr>
<td>Opinion Leaders</td>
<td>21</td>
<td>21%</td>
<td>3</td>
</tr>
<tr>
<td>Total</td>
<td>100</td>
<td>100%</td>
<td></td>
</tr>
</tbody>
</table>

When people were asked that what influences their buying behavior the most 48% preferred “advertising”, 31% opted for “word of mouth” and 21% selected “opinion leaders”. This shows that most of the people agreed upon advertising, which they think is the most influential factor affecting their buying behavior. With the growing fragmentation of conventional media, and with consumers getting increasingly networked, word of mouth, or ‘buzz’, will become a more important tool for firms and markers as compared to advertising.

Table 5. Frequency Distribution with respect to previous Bad Experience-1

<table>
<thead>
<tr>
<th>Answers</th>
<th>Frequency (F)</th>
<th>Percentage (%)</th>
<th>Rank</th>
</tr>
</thead>
<tbody>
<tr>
<td>Yes</td>
<td>40</td>
<td>40%</td>
<td>2</td>
</tr>
<tr>
<td>No</td>
<td>60</td>
<td>60%</td>
<td>1</td>
</tr>
<tr>
<td>Total</td>
<td>100</td>
<td>100%</td>
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</tbody>
</table>

The analysis shows that 60% People said “No” and 40% people said “Yes”, when asked whether they would try a place or product about which they had heard something bad. The first thing that people usually do to learn more about a business or a product is that they try to find someone they know who has been there, or has used to go through the same, Certainly, Word of Mouth carries greater credibility, and therefore, has greater potential impact than any other communication channel. Although in the first question it was determined that people rely on advertising more than word of mouth, but in this case not many people were inclined to tryout a product/place after hearing negative comments about it.

Table 5.1. Frequency Distribution with respect to Previous Bad Experience-11

<table>
<thead>
<tr>
<th>Answers</th>
<th>Frequency (F)</th>
<th>Percentage (%)</th>
<th>Rank</th>
</tr>
</thead>
<tbody>
<tr>
<td>Always</td>
<td>27</td>
<td>27%</td>
<td>2</td>
</tr>
<tr>
<td>Most of times</td>
<td>48</td>
<td>48%</td>
<td>1</td>
</tr>
<tr>
<td>Sometimes</td>
<td>21</td>
<td>21%</td>
<td>3</td>
</tr>
<tr>
<td>Rarely</td>
<td>4</td>
<td>4%</td>
<td>4</td>
</tr>
</tbody>
</table>
When asked, that whenever they have a bad experience do they also try to inform others about it? 48% said “most of the times”, 27% said “always”, 21% said “sometimes” and only 4% said “rarely”. Marketers believe that is related to the buzz it generates, and that it directly as a leading indicator of success. This is because simple word of mouth has more credibility. It is common that whenever one experiences a bad product/service or place we usually make it a point to tell others about it so that they stay aware of it.

Table 6. Frequency Distribution with respect to Word of mouth by marketers

<table>
<thead>
<tr>
<th>Answers</th>
<th>Frequency (F)</th>
<th>Percentage (%)</th>
<th>Rank</th>
</tr>
</thead>
<tbody>
<tr>
<td>Always</td>
<td>19</td>
<td>19%</td>
<td>3</td>
</tr>
<tr>
<td>Most of times</td>
<td>43</td>
<td>43%</td>
<td>1</td>
</tr>
<tr>
<td>Sometimes</td>
<td>33</td>
<td>33%</td>
<td>2</td>
</tr>
<tr>
<td>Rarely</td>
<td>5</td>
<td>5%</td>
<td>4</td>
</tr>
<tr>
<td>Total</td>
<td>100</td>
<td>100%</td>
<td></td>
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</tbody>
</table>

Regarding this question, 43% people agreed that intentional word of mouth campaigns started by marketers could help in promoting a particular product/service. Most word of mouth campaigns happen created a “buzz”. There is an issue of ethics can firms take advantage of the most credible form of information for consumers? But apart from that over the years word of mouth has tremendously helped marketers to create the required hype, so that people are very much aware of the existence of the product/service.

Table 7. Frequency Distribution with respect to Word of mouth by relatives

<table>
<thead>
<tr>
<th>Answers</th>
<th>Frequency (F)</th>
<th>Percentage (%)</th>
<th>Rank</th>
</tr>
</thead>
<tbody>
<tr>
<td>Yes</td>
<td>84</td>
<td>84%</td>
<td>1</td>
</tr>
<tr>
<td>No</td>
<td>16</td>
<td>16%</td>
<td>2</td>
</tr>
<tr>
<td>Total</td>
<td>100</td>
<td>100%</td>
<td></td>
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</table>

They analysis of this question shows that the buying decisions of people are better made when they talk to their family, friends or acquaintances regarding a purchase item. 84% of the respondents answered "Yes" and only 16% said "No". When some close says good things about a particular product or business, it serves as a real-life testimonial, which is much more believable than any other means of information. Consumers today place more weight on the recommendations of their more influential neighbors.

Table 8. Frequency Distribution with respect to Word Of Mouth on everyday use item

<table>
<thead>
<tr>
<th>Answers</th>
<th>Frequency (F)</th>
<th>Percentage (%)</th>
<th>Rank</th>
</tr>
</thead>
<tbody>
<tr>
<td>Always</td>
<td>10</td>
<td>10%</td>
<td>4</td>
</tr>
<tr>
<td>Most of times</td>
<td>29</td>
<td>29%</td>
<td>2</td>
</tr>
<tr>
<td>Sometimes</td>
<td>46</td>
<td>46%</td>
<td>1</td>
</tr>
<tr>
<td>Rarely</td>
<td>15</td>
<td>15%</td>
<td>3</td>
</tr>
<tr>
<td>Total</td>
<td>100</td>
<td>100%</td>
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</tbody>
</table>

When the respondents were asked that would they rely on word of mouth regarding items of everyday use, 46% said "sometimes", 29% said “mostly”,15% said “hardly”, and the response to “Always” is 10%. When people are about to buy a new item they prefer word of mouth because the items of day-to-day use are not very expensive. Thus, they can rely on word of mouth while making a purchase decision of this nature.

Table 9. Frequency Distribution with respect to Expensive items

<table>
<thead>
<tr>
<th>Answers</th>
<th>Frequency (F)</th>
<th>Percentage (%)</th>
<th>Rank</th>
</tr>
</thead>
<tbody>
<tr>
<td>Yes</td>
<td>44</td>
<td>44%</td>
<td>2</td>
</tr>
<tr>
<td>No</td>
<td>56</td>
<td>56%</td>
<td>1</td>
</tr>
<tr>
<td>Total</td>
<td>100</td>
<td>100%</td>
<td></td>
</tr>
</tbody>
</table>

Respondents were asked to give their opinion whether they would rely on word of mouth while
purchasing expensive items such as cars, jewelry, furniture, etc. In response 46% of them said "Yes" whereas 56% said "No". This shows that word of mouth has its impact, but while spending a larger amount of money people do not completely rely on it. They were also asked to provide a reason for their answers which are as follows.

4.1. Discussion

The respondents provided many reasons as to why they would rely on word of mouth while purchasing expensive items. The one reason that seemed to be influencing most of the people was that, while making such decisions a lot of money is involved and the stakes are very high thus they would like gain as much information as possible about the product/service. Such expensive items are long term items therefore they want to make the best choice of all. Some people simply answered that they get opinionated easily so they don't mind the information. Also, because those who have already experienced the product/service have authentic knowledge about it, therefore one should make use of others experience. The respondents feel that close relatives, friends, family and acquaintances always provide an honest opinion which is completely reliable and helps make the decision easier, they feel that intuitive decision making can be very risky therefore for a rational decision they consult knowledgeable people around them. Another reason that they provided was that first-hand experience of others can be very helpful because it has some truth to it and can be easily trusted, Some people just simply consider a second opinion because it helps them make a decision about a product they don't know much about, Word of mouth from credible sources provides them satisfaction that whether the item they are about to purchase is worth it or not. Last but not the least, another reason for relying on word of mouth is that they want to be cautious as well as careful in order to get better results.

Similarly, the respondents also provided reason for not relying on word of mouth for the purchase of expensive items, The main reason why people did not opt for word of mouth was because while purchasing expensive items, they are investing a large amount of money that is a lump sum is going out of their pocket, for that matter they prefer information coming for proper sources. Because it involves a lot of investment it requires much more consideration thus people want to be sure of what they are about to buy. Another major reason that a larger number of respondents provided was that they have strong likes and dislikes, and they like to go to the market and check for themselves rather than relying on what they have heard from others. Whereas, a few people responded that word of mouth has no affect on them and they trust their decision because information from other sources is usually unreliable. They feel that such items are long term and durable thus they don't require any information coming from word of mouth. On the other hand a lot of them said that they prefer to carry out a proper research or survey to be sure what they will be getting in return for all that money they are paying. They also said that they want to try out the purchase item themselves because they believe that experience teaches you and on should believe in their own judgment, the respondents believe that they have their own choice and prefer making their decisions on their own because it provides themselves satisfaction. Some of them responded that once they like a purchase item they just simply buy it rather than listening to what others have to say about it.

Table 10. Frequency Distribution with respect to Viral Marketing

<table>
<thead>
<tr>
<th>Answers</th>
<th>Frequency (F)</th>
<th>Percentage (%)</th>
<th>Rank</th>
</tr>
</thead>
<tbody>
<tr>
<td>Yes</td>
<td>71</td>
<td>71 %</td>
<td>1</td>
</tr>
<tr>
<td>No</td>
<td>29</td>
<td>29 %</td>
<td>2</td>
</tr>
<tr>
<td>Total</td>
<td>100</td>
<td>100%</td>
<td></td>
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</tbody>
</table>

When respondents were asked, whether Viral Marketing could be efficient enough for marketers to create hype for their product, 71% said Yes and only 29% said No. Buzz spreads more quickly when it begins in different places or among people with different interests. Online conversations are the easiest and most cost-effective way to measure word of mouth, which is also called 'viral marketing' in its online form. Though there are multiple methods that enable communities to be 'virtual' the most common form of communication is good old - fashioned email. And email is fast, very fast, particularly when it involves transmitting "word - of - mouth", good or bad, about a company, product, or industry. As the use of computers and internet is growing by the day and it's the most upcoming medium for gaining information, viral marketing is bound to become a much more powerful source than any other form of advertising.

The response for this question, that whether viral marketing can lead people to talk about purchase...
items/services or not, both on-line as well as off-line was the same as in the previous question. 71% of the responded negatively, Word-of-mouth has always been one of the best forms of marketing and that's true in the e-business world as well. Consumers -even low involved consumers commonly discuss the purchase, use, and disposition of products in the marketplace. In generic-product-category virtual communities, this type of discussion is the norm. As such, they talk a lot about the product/service, And they tell others, too both on-line and offline ,This shows that Viral Marketing has certainly evolved since the day it was first introduced and since then has continued to influence people a great deal.

Table 11. Frequency Distribution with respect to Negative & Positive word of mouth

<table>
<thead>
<tr>
<th>Answers</th>
<th>Frequency (F)</th>
<th>Percentage (%)</th>
<th>Rank</th>
</tr>
</thead>
<tbody>
<tr>
<td>Yes</td>
<td>94</td>
<td>94%</td>
<td>1</td>
</tr>
<tr>
<td>No</td>
<td>6</td>
<td>6%</td>
<td>2</td>
</tr>
<tr>
<td>Total</td>
<td>100</td>
<td>100%</td>
<td></td>
</tr>
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</table>

In Response to this question 94% people agreed that negative word of mouth definitely travels much faster positive comments and only 6% of the people disagreed, If it’s not controlled word of mouth can very easily get out of hand and become a game of Chinese Whispers. There’s an old saying that if you have a good experience, you’ll tell two friends, but if you have a bad one, you will not tell them, That incentive enough for marketers to ensure that they design experiential programs that inspire their customers to talk positively about their products and brand -not just talk. Therefore, as we conclude from the answers of question number 2 and 3 that people tend to be more sensitive about harmful or risky products/services as compared to the positive ones.

5. Conclusion

The purpose of this study is to examine what positive and negative effects word of mouth has on the consumer buying behavior. The results reveal that people of all ages, marital status and genders do rely heavily on word of mouth to arrive at a decision to purchase any item. Although it has been identified through the first question of the questionnaire that people prefer advertising over word of mouth but as the Questionnaire continues and detailed questions have been asked, it can be safely concluded that word of mouth certainly has as enormous impact on the buying decision of individuals. This is the fact that one time bad experience can create a permanent bad impression of the product/service and thus leads to negative word of mouth. This clearly proves that negative word of mouth can have extremely undesirable effects but at the same time positive word of mouth can have magical effect on the sales of products/service.

A great deal of reliance on the guidance and advice of close friends, relatives and acquaintances has been observed. This is because of the degree of accuracy and sincerity assigned to their point of views. In situations where a small amount of money is involved people mostly don’t have to urge to carry out a survey before spending. But whenever the stakes are high it’s just about the opposite. However, the basic urge to have first-hand knowledge or experience is also reflected in some of the respondents, who would not like to learn through other peoples’ experience. Another piece of information that the results have revealed is that if utilized correctly word of mouth can be tremendous helpful for marketers to create the required hype for their product/service, so that people are very much aware of its existence.

Viral Marketing is a topic which people are still not familiar with. Internet and e-mail has given new immediacy and new term. Good viral marketing makes every customer a salesperson. As it is clear from the results, that it can be more powerful than many other marketing techniques because it is accurate, fast, cheap and allows retailed information. It is not only beneficial for people who can access the net, but also others because it generates online as well as off-line discussions. Another fact that has come to light from results is that negative word of mouth always spreads wildfire and has the potential of completely wiping off any business. There in an absolute unanimity about efficient use if word of mouth being a contributing factor in sale/promotion of products and services. It has been brought out through the survey that ‘word of mouth’ is a potent means of promoting a product as well as formulating favorable decision regarding purchase of personal items.
5.1. Recommendations

There are numbers of suggestions i.e.,

(i) Marketers should not solely rely on the word of mouth campaigns. They should also use formal means of communication such as newspapers, magazines, television and internet.

(ii) Consumers should also carry out proper survey apart from Word-of-mouth before buying expensive items.

(iii) Bad experience should always be shared so that others can also benefit from it.

(iv) Consumers must always provide as honest opinion regarding product/services.

(v) Viral Marketing is an effective tool but should not be used in a negative way.

References


The Legacy of Sir Syed Ahmad Khan in the Field of Education

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Abstract It is beyond any doubt that education has been the dire need of any society. Education is a life-long process. It continues from the cradle to the grave. It equips people with knowledge and skills to enable them to live a prosperous and happy life. Education serves as the supra structure of a country. The development of country depends upon the standard and quality of education in the country. Education is a means through which a man knows himself and his position and duties in this world. It helps individual in self-realization and is a process of exploring individual’s potentiality and tries to enable the individual using his power in positive manner (Khalid, 1998). The arrival of Syed Ahmad Khan on the India educational scene is perhaps the most outstanding event in the 19th century in the history of Muslim education. This paper will analyze the views, educational philosophy and contribution of Sir Syed in the field of education and the output of Aligarh Movement initiated by Sir Syed Ahmad Khan.

Key Words: Aligarh, Muhammadan, Anglo, Oriental, Muslims.

1. Introduction

“There are people who hold the opinion that our national cause will be promoted (in the best way) by discussing political affairs. I do not agree with that, but regard the spread of education to be the only means for the promotion of the national cause. In these days our nation should not strive for anything other than the spread of education. If our in our country education will be sufficiently spread, then we shall have sufficient means to arise from our backward position.” This statement clearly shows to us the ideas of Sir Syed in its brief sense. He lived in an era of prejudiced against the muslims especially after the 1857 riots which in the aftermath the muslims were the enemies and thus suffered the worst consequences from the British. He was affected directly by the events as his family was in Delhi at the time. His uncle and cousin were slain by pro British Sikh soldiers and his mother died later of dehydration after he took her from Delhi to Meerut.

“I said to myself that there was no one more wretched than myself. Our nation suffered like this, and I at their expense should become a talukdar! I declined this offer and said to Shakespeare that I no
longer desired to live in India. Believe me, this grief aged me prematurely and my hair turned grey.”

(Baljon, 1949).

The British had held the Muslims responsible for the war of Independence 1857 and, therefore, adopted a cruel policy to punish them for their role in the war. The Hindus and other nations, who were equally responsible for the war, were let off and no revengeful action was taken against them. The Muslims because of the British policy fell from their past position of eminence and their social, economic and political conditions deteriorated. They lost their previous power, glory and distinction as a nation. Their properties were confiscated and their jobs withdrawn. The Muslims were not prepared to learn English as they thought it detrimental to their religion. On the other hand the Hindus quickly adopted English and Western way of life. (Malik, 1963). Sir Syed urged the Muslims to learn English not only because it was in their worldly interests to do so but also because it was the best way of defending their religion against Western attacks. He pointed out the Jews and Christians had ably and adroitly defended their sacred writting against the apparent discrepancies that had arisen between their religious doctrines and principles of science. For him the real value of modern education lay in the fact that it was designed to improve character and social morals and make its recipients better citizens equipped with education, Muslims would thus be able to discharge their social obligation and work for the progress and welfare of their community (Sayeed, 1968). He thought that the cure of all this ignorance is education; such education which has both the modern and religious one and such education will greatly benefit the Muslim Nation in the long run (Naushahi, 1992). He had long ago come to the conclusion that the Muslims must change their outlook being keeping with the changed times, and above everything else, they must give up their negative attitude, and take assiduously to the pursuit of modern education. He saw clearly that so long as they did not do this, they would be left behind the race for material prosperity by the Hindus (Savarkar, 1909).

He is seen mainly as a figure which in pursuit of education for his people have hurriedly adopted western education in its totality. His views on his community and their malaise can be seen in many of his speeches and circular. One particular circular which is from the Mahammedan Anglo-Oriental College Fund Committee, Benares, 1869 is quoted below:

“Ever since the fall of the Mughal Empire in India, the Muslims have steadily been losing ground, not only in wealth and influence, but also in education. For some years after the advent of the English rule, they continued to study Oriental Sciences and literature – chiefly Arabic and Persian – and often held the highest offices open to the natives of India under the rule of the late East India Company. However, the English language having become an indispensable requirement for any office under the English Government, the Muslims have most remarkably fallen off from the list of the Government appointments. In some provinces, the number of Muslims officials, as compared to with the Hindus, is actually so low as three percent – a circumstance regarded as a great political and social evil for India. Poverty and crime – the inevitable results of the want for education – have also most deplorably increased among the Mahommmedans, and it is supposed that nothing but education can remedy the evils from which they are now suffering”.

He published one of the most interesting; book was the Kalimatul–Haqq, an attempt to eliminate what were deemed to be abuses of Sufism. Sir Syed also translated parts of al-Ghazali’s Kimiya’us-Saadah. During his stay at Delhi from 1846-1854, as Chief Judge, he wrote his famous book Asar us Snadid (Antiquities of Delhi) in 1847. In this work Sir syed gave an account of the famous buildings in and around Delhi with biographical notices of the ‘ulema’ and literary figures associated with them. In 1855 Sir Syed was transferred to Bijnor where he completed the Silsila-ut-ul-Malik, a chronological history of the Muslim rulers in India. He wrote a detailed account of the activities of rebellions in Bijnor after the outbreak of fight for independence, Tarikh-i-Sarkash-i-Bijnor. To minimize hostilities between Islam and Christianity he wrote Akham-i-ragham fi Ahlul Kitab. In this book he tried to prove that a Muslim and a Christian can eat food together if there are no vine, gold utensils and pork on the same table. Sir Syed translated Ain-i-Akbari by Abu-al-Fazal. He edited Zia-u’-din Barani’s Tarikh-i-Firoz Shahi,and Tuzuk-i-Jahangiri. He also wrote the History of Bijnaur in 1855. His historical writing earned him an honorary Fellowship of the Royal Asiatic Society of London in 1864 (Barbara Daly, 1982).

He wrote essays on the life of Muhammad, in response of William Muir’s Life of Muhammad; in the later some objectionable remarks had been done against the Prophet Muhammad and basic tenants of Islam.

When The Great Rebellion broke out in 1857 Sir Syed was still at Bijnor working under Shakespeare the collector, a large force under Nawab Muhammad Khan threatened the lives of the local Europeans who had assembled in the collector Bungalow. With great presence of mind Sir Syed
negotiated with the Nawab and convinced him that it would be wise for him to let Europeans depart in peace. Here Sir Syed intervention was the decisive factor in saving the life of the beleaguered Europeans was after wards acknowledged by Shakespeare. He was offered an estate for his services which he rendered to the British, but he refused to accept.

The horrible massacres during the Great Rebellion and its immediate aftermath, during which the Muslims were, singled out by the British as the main culprits, awakened in Sir Syed the qualities of statesmanship, political foresight and public service. He saw Muslim families ruined, their lands confiscated, the king disgraced, Delhi which he so loved, was occupied; large areas razed; his favorite buildings destroyed. The overwhelming psychological turmoil compelled Sir Syed to leave India, as had some of his teachers in Delhi, convinced him that British rule was long to stay and despite their barbarities and arrogance, were admirable (Barbra, 1982).

First of his effort was an attempt to propagate two related positions: one that the Muslims despite the accusations made by many government officials were largely loyal during the uprising. He published Loyal Muhammedans of India in which he gave the names and some account of such Muslims as had been loyal to the British government and that there was no justification for a policy of indiscriminate hostility towards the Muslim community. Second to show that Muslim and Christian had a unique bond in their common Semitic faith. For this purpose he translated the Bible into Urdu with name Tabain-ul-kalam. His immediate task was to save his fellow Muslims from the wrath of the British government to this end he wrote a pamphlet entitled The Causes of the Indian Revolt. This remarkable essay boldly places on the shoulders of the British government its share of the blame for the Rebellion and shows clearly that the author was not given to mining words the main cause of disaffection, he argued, was the ignorance of the government of the feelings of their subjects. This was because the people were not allowed a share in the deliberations of the Legislative Council. He also criticized the government for the resumption of revenue-free lands and for its encouragement to the spread of the Christian faith. Sir Syed's criticism of the policies of the government so offended the Foreign Secretary in the Viceroy's council that he labeled the pamphlet as 'highly seditious' and called for the punishment of the author. But no action was taken because the Viceroy and others regarded the author as basically a well wisher of the British government. (Burke, 2006)

2. The Aligarh Educational Movement

Sir Syed always felt aggrieved over the deplorable social and economic condition of the Muslims was mostly because of their own extremist and conservative attitude. The Indian Muslims had always considered the British as their enemies and avoided social interaction with them, which had created a great deal of misunderstanding among the British about the Muslims. Sir Syed believed that the pitiable condition of the Muslims shall not be improved unless the Muslims changed their behavior toward the British. He was of the opinion that since the British were likely to stay in India as rulers, the Muslims should adopt a more lenient attitude towards them and extend the necessary loyalties to rulers of the country. He also believed that the Hindus would get an opportunity of getting closer to the British if the Muslims continued with their policy of hatred for the British rulers. He advised the Muslims to change their policy of keeping away form the British and come closer to them. He believed that only in this way the Muslims would be able to counter the Hindu and Congress propaganda to win back their position in society. At this time the education condition of the Muslims can be guessed from the fact that in 1872 in Hoogli College numbers of the Muslim students were just three out of three hundred (Kareem, 1972).

Sir Syed also realized that Muslims were lagging behind in the education because of their conservative approach toward the Western education. He felt that the present condition of the Muslims shall not improve unless they received English education to compete with the Hindus. Sir Syed began his movement by diluting suspicion and misunderstanding between the Muslims and the British.

3. The Alligarh Movement and its Contributions in the Field of Education

“Often in civilized history a University has supplied the springboard for a nation’s intellectuals and intellectual renascence. In our time has been said that the American Robert Missionary College in Constantinople led to the re-emergence of Bulgaria as a independent, sovereign nation. Who can assess the effect of Arab nationalism of the existence of the American University of Beirut? Aligarh is no exception to this rule. But we may claim with pride that Aligarh was the product of our own efforts and of on outside benevolence, and surely it may also be claimed that the independent sovereign nation of
Pakistan was born in the Muslim University of Aligarh” (Lanna, 1954).

Sir Syed took practical steps for implementing his plans of education uplift of the Muslims of the India. In 1859 he set up a school at Muradabad where Persian and English were taught. In 1863 he established another school at Ghazipur. He set up a Scientific Society at Ghazipur in 1864 which translated the modern works form English to Urdu and Persian to make them easier for the people to understand. The scientific society published a journal in 1866 known as “Aligarh Institute Gazette”. This journal was published both in English and Urdu languages. The main objective of this journal was to arouse the sentiments of goodwill and friendship among the British for the Muslims.

Sir Syed went England in 1869 with his son Syed Mehmud who was given a scholarship for higher studies in England. During his two years stay in England, Sir Syed closely watched the educational system of Britain. He was extremely impressed by the educational system of the Cambridge and Oxford Universities of England. He made up his mind to set up an educational institution on the pattern of Oxford and Cambridge Universities when he returned back to India.

Sir Syed returned from England in 1870 and set up a society called “A Society for the Educational Progress of Indian Muslims”. It was this society which later on became the founder of the Muhammadan Anglo-Oriental College at Aligarh. Sir Syed most concrete service to his community was the foundation of Aligarh of the Muhammadan Anglo Oriental College. The college started in 1875, in the following year he retired from the government service and settled down in Aligarh to tend the infant institution. Lord Lytton the Viceroy formally laid the foundation stone of the college in 1877. Sir Syed had the college managed by carefully selected English men, who ensured that education of the pupils was not confined to the classrooms but included those extra curricular activities which go to make up an alround gentlemen. In their address of welcome to Lord Lytton the college committee stated that the objective of the college was to “to dispel those illusory tradition of the past which have hindered or progress; to remove those prejudices which have hitherto exercised a baneful influence on our race; to reconcile oriental learning with western literature and science; to inspire in the dreamy minds of the people of the east the practical energy which belong to those of the west; to make the Muslims of India worthy and useful subject of the British Crown. Loyalty to the British government was an important plank of Sir Syed programme because he realized that British goodwill was essential for the Muslims to save them from being overwhelmed by numerically and educationally superior Hindus.

In a few years the M.A.O College, Aligarh, developed into a fine residential institution in which special attention was paid to character building. The principal and the professors resided within the precincts of the College and maintained constant contact with their pupils. The students were asked to wear a special uniform consisting of a black Turkish coat, white trousers and a fez. Religious education was made compulsory for Muslim students and all the Muslim boarders were required to pray five times a day and, for a reasonable excuse to fast in the month of Ramazan.

With the establishment of the M.A.O College. Aligarh became the centre of the Muslim social, cultural and educational activity. Here Muslim students not only got instruction in modern arts and sciences but also developed a feeling of oneness on account of their cultural unity and religious identity (Qureshi, 1967). The educational policy which Sir Syed followed was based on four important factors (1) advancement of modern knowledge, (2) maintenance of Islamic principles, (3) an effort to carry the Muslim public opinion with him (4) cooperation with all other communities of India, particularly the Hindus. “My heart, observed Sir Syed, is filled with the zeal and the desire that my community which is fast losing its prestige and wealth and its ancient glories and achieve the lost splendor once again. I only do my best to help that process. The M.A.O College is a mean to national progress (Copra, P.N,1988)”.

He persisted to it even in the face of extreme opposition from the conservative elements. Hindus progressed because they were well advanced in education. Sir Syed removed the misunderstanding of the people, created by the orthodox and conservative Ulema, and declared that is was not against the teachings of Islam to acquire English education (Kareem 1972). The M.O.A college graduates played an effective role in the regeneration of the Muslims of India. In 1920 the college attained the university status.

3.1 Muhammadan Educational Conference

For great spread of education, Sir Syed in 1886 founded the Mahammadan Education Conference which met at different places in the country.
3.2 Aims of the Muhammadan Educational Conference

- European science and literature to be taught at a high level.
- To research old work of Muslim antiquity and translate them into English.
- To translate the works and writings of historical Muslim Authors.
- To research on the modern worldly works.
- To offer fresh interpretation of ancient works in a modern light.
- To safeguard Islamic values and their propagation.

This body besides stress lying on education became an important literary forum where Muslims writers and poets could express themselves and stimulate the audience intellectually and politically. It continues to flourish after it founder had passed away. Its 28th session was held at the end of December 1906 at Dakha. After conducting their normal business, the delegates reconvened as an independent assembly and decided to found the All India Muslim League.

3.3 Achievements

3.3.1 Aligarh Muslim University

"Often in civilized history a University has supplied the springboard for a nation's intellectuals and intellectual renaissance. In our time has been said that the American Robert Missionary College in Constantinople led to the re-emergence of Bulgaria as a independent, sovereign nation. Who can assess the effect of Arab nationalism of the existence of the American University of Beirut? Aligarh is no exception to this rule. But we may claim with pride that Aligarh was the product of our own efforts and of an outside benevolence, and surely it may also be claimed that the independent sovereign nation of Pakistan was born in the Muslim University of Aligarh" (Lanna, 1954).

Aligarh Muslim University (AMU) occupies an exalted position among Indian Universities and its contribution to nation building is in no way inferior to the best among the lot. AMU is perhaps the only University in the country, which has high schools in its domain. It has as many as five high schools including one for the visually handicapped, and two senior secondary schools for boys and girls. With more than 30000, students, about 1400 teachers and some 6000 non-teaching staff on its rolls, it has 12 faculties comprising a wide spectrum of academic disciplines (95 departments, 5 institution and 13 centers) and 18 halls of residence with 73 hostels. The University offers 325 courses. (Syed Sami Ahmad, 2002).

3.4 Women College

After establishing the MAO College, Sir Syed Ahmad Khan and his associates in Aligarh Movement started to realize the need of women's education. In 1896, the annual executive session of Muslim Educational Conference was held in Aligarh and a proposal to start a women education section in Muslim Educational Conference was accepted and Justice Karamat Hussain was appointed as its Founding Secretary. Nawab Mohsinul Mulk, Sahabzada Aftab Ahmad Khan, Janab Sultan Ahmad and Haji Ismail Khan were asked to assist Justice Karamat Hussain. Justice Amir Ali presided over the annual session of MEC in 1899 at Calcutta and the idea to start girls schools in all of the state capital was accepted. It was also agreed that the Ulema will be consulted to develop the curriculum of the schools and the modern subjects of Science and Social Science will also be included in the syllabus.

Shaikh Abdullah's leadership shaped the women's educational movement and played a very important role for the future of women's education in India. He faced a strong and stiff resistance from the community, but his commitment paid and finally he managed to start a girl's school with 5 students and one teacher at a rented facility in Aligarh town on 19th October, 1906. On 7th November, 1911, foundation stone for the school building was laid down by H.H. Lady Porter, wife of Lt. Governor of United Province.

At present a total of around 2699 students are enrolled in women's college. There are around 95 faculty members in the college. From the very beginning, the women's college alumni were at par with their fellow University alumni in all walks of field of education, sports and live traditions of Aligarh Muslim University. There is a long list of prominent alumni who graduated from Women's College and made a reputation in their relevant walk of life. Begum Khatun Jahan, Mrs. Mumtaz Jahan Haider,
Khursheed Jahan and Birjis Jahan (daughters of Shaikh Abdullah, Papa Mian) were among the early alumni of this college. Later the ranks were joined by literary giants like Ismat Chughtai and Dr. Salma Siddiqi, a prolific fiction writer, biographical sketcher and daughter of Prof. Rasheed Ahmad Siddiqi, famous painting artist based in United States of America, Zarina Hashim, Nayyar Sultan, a well known actress of Pakistan and well known Hindi and Sanskrit writer, Mrs. Kulsum Ansari. Begum Abida Ahmad, wife of ex-president of India, Mrs. Fakhruddin Ali Ahmad, Mrs. Salma Ansari, wife of ex-present Vice-president of India, Mr. Hamid Ansari also belongs to the same fraternity. Dr. Qudsia Tahseen, first female of Aligarh Muslim University to become a Fellow of Indian Academy of Sciences, Bangalore is a proud alumini of Women’s College of Aligarh Muslim University.

3.5 Anjuman-i-Himayat-i-Islam

Not all the aims pursued by Sir Syed and his followers were achieved but the impact of the Aligarh Movement should not be overlooked. All over the subcontinent Muslim educational associations and institutions established colleges for the Western Education of Muslim youth. The Muslims of Punjab were in particularly receptive frame of mind for his program of reformation and modernization. The Muslims of Punjab welcomed Sir Syed as genuine for his policies toward the British. They followed his recommendations to established colleges for western education and they sent more students to Aligarh College than any other Indian province. Under the influence of the Muhammadan Educational Conference. Anjuman-i-Himayat-i-Islam, powerful and influential Muslim organization was established in Lahore. It not only established a boys college for western education but subsequently expanded its activities to women’s education. It also established a medical college (Hafeez,1980).

The annual meeting of the Anjuman-i-Himayat-i-Islam used to attract the leading figures of the Aligarh Movement. The annual sessions of the Muhammadan Educational Conference and Anjuman-i-Himayat-i-Islam became national festivals. Muslims Participated from every corner of the India and the parents brought their children to these national fairs so that may learn the views of the national leaders in their formative years. the Anjuman ran an orphanage (Yateem Khana, established in 1884) as well as Dar-ul-Shafqat (Male), Dar-ul-Shafqat (Female), Dar-ul-Aman (Female), Dar-ul-Uloom Dinia (Male) & (Female), Public School (Co-Ed), Hamayat-e-Islam Degree College (Female) Hamayat-e-Islam High School (Boys), Hamayat-e-Islam Pasha Girls High School Hamayat-e-Islam Law College, Hamayat-e-Islam Tibya College, Hamayat-e-Islam Raigarh School, Hamayat-e-Islam, Younani Shafa Khana, Hamayat-e-Islam Library.

3.6 Osmania University Hyderabad

Just after Aligarh College came into existence, Osmania University was founded in 1918 by the Seventh Nizam of Hyderabad state, Nawab Mir Osman Ali Khan and all the best scholars of the sub-continent were inducted. A torch was thus kindled by the spirit of Aligarh at Hyderabad. Osmania also produced great stalwarts in learning and science. It started its medical and engineering colleges earlier and on a very high scale. Aligarh was somehow late in founding its Medical College. Members of Sir Syed’s talent pool were constantly moving from north to South. Hyderabad and Bombay being the farthest nooks on one side and Benaras and Patna to outposts of learning came up at Lahore and Peshawar by the identical names, Islamia College Lahore, Islamia Collage Peshawar and M.A.O College Amritsar which later, upon partition of the Sub-Continent, shifted to Lahore. The educational endeavours of Hyderabad continued to be encouraged, channelized and guided with the help of leaders like Sir Syed. His grandson Sir Ross Masood worked as the director of education at Hyderabad and reorganized the education system to meet the urgent needs of the times, later he moved to Aligarh and became vice chancellor to arrange a feedback from Aligarh to Hyderabad.

3.7 Islamia College Peshawar

Another product of Aligarh Movement in the province of Khyber Pakhtunkhwa known for its rigid and orthodox outlook, is the establishment of Islamia College, Peshawar, by the illustrious personality of Shaibzada Abdul Qayyum Khan. He is rightly named the Sir Syed of Khyber Pakhtunkhwa A true Muslim with profound love for the people and their uplift and untiring energy to serve them, he was elected as president in 1926 of the famous All India Muhammadan Educational Conference. The Shaibzada was very keen to give to the people of N.W.F.P an institution which could set them on a road
to higher learning (Zainuddin, M. 1985).

The idea of a Dar–Ul-Ulum (home of learning) for the Frontier Muslims was conceived by Shaibzad Abdul Qayyum Khan and his English friend Sir George Olaf Roos-Keppel between 1904 and 1906, at Landi Kotol on the summit of the Khyber. A few months later, in the middle of 1909, Roos Keppel, while formal visit to the Islamia High School, Peshawar, was received by a gathering of many leading Muslims. They stressed the need of high education in this backward area of Pathans. He himself assured that he will pay visit to Muahammadan College at Aligarh. He along with Abdul Qayyum Khan went to Aligarh where he inspected that great seat of learning and met with few Pathan students, who were studying there.

To clothe his dream he founded the college in 1913 at Peshawar which blossomed into a university, as exactly as he planned, after Pakistan came into being. Mr. L. Tipping, a professor of Aligarh, was brought and appointed as its first principal to give it the college all that Aligarh had gleaned from far and near to uplift the Muslims. Allama Inayatullah Mashriqi was chosen as its vice principal. In the beginning of Islamia College, in the fashion it was done by a great benefactor like Shaibzada Abdul Qayyum Khan could soon instill the spirit for both education and freedom in an area known for its potentials. Maulana Mohammad Ali Jauhar had welcomed the creation of an institution like that in his paper “comrade” in the most impressive Language. Islamia College Peshawar and Osmania University had all in common in their goals with Aligarh. The former two institutions appeared exact replicas of Aligarh in uniforms, customs, hostel life and other traits. They benefitted from each other’s experience through the appointments of such professors and vice chancellors like Sir Ross Masood, Mr.L. Tipping and Maulana Shibli and Dr.Ziauddin Ahmed who had earlier served at Osmania or Aligarh. In the first quarter of 20th century the educationally effort at Peshawar, Hyderabad and Aligarh assumed a triangular character to meet the requirements of the sub-continent especially its Muslim segments. Seen in the background, the effect that was brought about is simply laudable (Baha, 1978).

3.8 Jamia Millia Islamia

Jamia Millia Islamia, an institution originally established at Aligarh in 1920 by the efforts of Maulana Mehmud Hasan, Maulana Mohamed Ali, Hakim Ajmal Khan, Dr. Mukhtar Ahmad Ansari, and Abdul Majid Khwaja. The known Muslim theologian, Maulana Mehmud Hasan, laid the foundation stone of Jamia Millia Islamia at Aligarh on Friday, 29 October 1920. Later the top leaders including Hakim Ajmal Khan, Dr. Mukhtar Ahmed Ansari and Abdul Majeeed Khwaja—the first trio—supported by Gandhiji shifted Jamia from Aligarh to Karol Bagh, in New Delhi in 1925. The story of its growth from a small institution in the pre-independence India to a central university located in New Delhi—offering incorporated education from nursery to research in particular areas—is a saga of enthusiasm, confidence and revelation of a people who worked against all odds and saw it growing step by step (official web) (http://jmi.ac.in/HistoryofJamia.htm).

3.9 Relevance of Aligarh to the Times

Few educational institutions have had such an importance even catalyst in the social and political life of a country or people as the Mohammad an Anglo-Oriental College which became the Aligarh Muslim University in 1920.

For a proper understanding of the nature of the institution its role in our social and political development and its relevance in the new exacting but exciting era of post-independence civilization and culture informed by socialism, secularism and democracy.

It is the need of the hour to point out the very significant and positive part played in the national struggle by the distinguished products of Aligarh. A number of distinguished students of, M.A.O. College guided the national struggle as national leaders and made tremendous sacrifices. Aligarh has produced all types of political figures, Rightists, Leftists, Radicals, Nationalists, Communists, Congressites, Communalists, Leaguers, etc. some of the prominent personalities produced ever by Aligarh are discussed here.

**Syed Mahmud:** He was the second son of Sir Syed Ahmad, the first being Syed Hamid. Justice Syed Mahmud, among the first Indians to study at Cambridge University, a British barrister and High Court Judge in India, played a major role in the formulation of "Anglo-Muhammadan Law," the synthesis of Islamic and British jurisprudence that remains influential in much of the Muslim world.

**Syed Ross Masood:** He was the grandson of Sir Syed Ahmad Khan. He had his early education at the MAO Collegiate School Aligarh. After obtaining M.A Degree in English Literature of the University
of Cambridge (Christ College) he secured an appointment in the prestigious Indian Education Service in 1913. He held the positions of Headmaster Peshawar Collegiate School, Cuttack and then Professor of the Patna College. In 1916 he joined the Government of the Nizam as the Director of Public Instruction in Hyderabad and was later promoted as Secretary Education Department of the same government, a position that he retained till 1928 when he took over as Vice Chancellor of the Aligarh Muslim University.

Mohamed Ali: This is the greatest contribution of M.A.O College that it produced such a brilliant leader as Mohamed Ali who combined in him the rare combination of a great intellectual, a great writer, a forceful speaker and a leader of the masses. Through his English weekly Comrade. He was dedicated to the ideal of complete independence and at the first session of the R.T.C. London, in his historic speech, he declared that he would not go back to his country unless he got the promise of complete independence from the British rules. He kept his words and died soon after this speech on January 4, 1934.

Shaukat Ali: He was the elder brother of Mohamed Ali and was famous for his organizing skill. He had been the secretary of old Boy’s Association and had undertaken the all-India tour with the Aga Khan in 1911 to raise the funds for the Muslim University.

Khan Abdul Ghaffar Khan: He had very successfully organized the Khuda iKhidmadgars “Servants of God” commonly known as the "Red Shirts" (Surkh Posh), during the 1920s. A lifelong pacifist, a devout Muslim, and a close friend of Mohandas Gandhi.

Dr. Zakir Hussain: He was another very distinguished product of the M.A.O College. He made a great contribution to the cause of education by sponsoring the basic Education Scheme. In May 19667, he had been elected as the President of the Indian Union and thus held the highest office of the land.

Rafi Ahmad Kidwai: He was another most distinguished product of the M.A.O College. He was very close to Jawaharlal Nehru and enjoyed the full confidence of Motilal Nehru.

Dr. Syed Mahmud: He was noted for his anti-British and radical views during his student days in the M.A.O. College, was called as Mahmud Qayyum for taking a keen interest in politics.

Hasrat Mohani: He was a distinguished old boy of the M.A.O College and had the distinction of being the first prominent educated north Indian Muslim lieutenant of B.G.Tilak-the leader of the extremists of the Congress in the first decade of the twentieth century. He died in 1951. He was one of the most renowned Urdu poets.

Abdul Majeed Khuwaja: He took a prominent part in the famous Congress-League pact of 1916 and he was among those young Muslim leaders who responded to the non-cooperation movement and he liberally donated to this movement. He was prominently associated with the Jamia Millia Islamia.

Zafar Ali Khan: He had graduate from the M.A.O. College in 1898 and through his Urdu daily Zamindar, he was instrumental in bringing about a change in Muslim politics.

Dr. Saifud Din Kitchlew: He was the hero of Jallianwala Bagh 1919. He had been one of the topmost leaders of the Khilafat Movement 1919 as well as the Muslim League.

Chudhri Khaliq uz zaman: He had gone to Turkey as a member of the Ansari Medical Mission. He has taken a prominent part in the Non-Cooperation Movement and remained a prominent figure in the Congress till the early thirties. From 1937, till he left India in October 1947, he was one of the front ranking leaders of the Muslim League.

Hafiz Muhammad Ibrahim: He was a leading member of the Swaraj Party in the U.P. Council in 1926 and was noted for his nationalistic views. He had a record of about 40 years’ experience of a parliamentarian and legislator.

Vilayat Ali Bombooq: A distinguished product of the M.A.O. College and a close associate of Maulana Muhammed Al. He regularly contributed to the “Comrade” under the pen name of Bombooq.

Shaikh Muhammad Abdullah: He first founded the Muslim Conference to work for the educational, social and general welfare of the poor Kashmiri Muslims.

Seth Yaqub Hasan: He graduated from M.A.O. College in the last decade of the nineteenth century and was a member of one the Khilafas delegation which had proceeded to London in 1919.

Shoaib Quraishi: A prominent product of the M.A.O. College had been member of the Ansari Medical Mission and had edited Gandhi’s weekly Young India. He had served as one of the General Secretaries of the Indian National Congress.

T.A.K.Sherwani: He belonged to the same student of nationalist student of M.A.O. College. To him goes the distinction of being the first political leader in north India to be convicted during the Non-
Cooperation Movement.

Dr. K.M. Ashraf: He left the M.A.O.College during the Non Cooperation Movement and joined the Jamia Millia Islamia. He was a profound scholar and an eminent historian.

Shafiqur Rahman Kidwan: He left the M.A.O. College to join the Jamia Millia 1920 and courted imprisonment during the Non Cooperation and Civil Disobedience Movements. He was an eminent educationist.

Hasan Mohammad Hayat: He was a close associate of Maulana Mohamed Ali and had served as the secretary of the famous Khilafat delegation to London headed by Mohamed Ali.

Rauf Shah: He belonged to the former C.P. province and had left M.A.O. College to join the Jamia Millia during the Non-Cooperation Movement. He joined the Muslim League and was one of its all India leaders.

Yunus Khan: He is closely related to Khan Abdul Ghaffar Khan and was prominently associated with the Congress since his youth. He had served as the secretary of the N.W.F.P Provincial Congress Committee and courted imprisonment several times.

Mumtaz Jahan Haider: She was the daughter of (Shaikh Mohammed Abdullah) who held reins as Principal of Women's College for well over thirty years. She was a staunch pillar of Aligarh Movement who gave a shape to the Woman's College of Aligarh Muslim University.

Irfan Habib: He studied at the Aligarh Muslim University School and then completed his B.A. and M.A. from Aligarh Muslim University (AMU), where he stood first in history class. Presently appointed as Professor Emeritus at the Department of History, Aligarh Muslim University.

Dr. Nazir Ahmad: He served as Assistant Director of Aligarh-Taareekh-e-Urdu Adab in Aligarh Muslim University and later in August 1958 he was appointed as Reader in department of Persian in Aligarh Muslim University. Professor Nazir Ahmad was highly respected Persian scholar of his time in India.

Dr. Abidullah Ghazi: His early education was in Deoband. After High school; he joined AMU and completed his B. A. and M. A. (Political Science) in 1959, M.S. from London School of Economics (1967), and Ph.D. from Harvard University in Comparative Religion in 1973.

Dr. Syed Zahoor Qasim: He completed his early education in Allahabad and joined Aligarh Muslim University, Aligarh in 1947. Dr. Qasim played a key role to establish Dr. D. Swaminadhan Research Foundation (DSRF) with the help of his colleagues Prof. Dr. D. Swaminadhan and Dr. Jayant Patil. Dr. D. Swaminadhan Research Foundation (DSRF) is a non-profit and non-governmental forum established in 1995 with the laudable objective of contributing towards development based on eco-friendly, pro-poor and gender equity parameters.

Mr. Iqbal A Ansari: Born in 1935, served as a teacher of English. He was a prolific writer and his writing was used to appear in most of national English dailies. He served Aligarh Muslim University, Aligarh (AMU) for 33 years and retired as professor of English in 1995.

Naseer ud din Shah: He was born in Hyderabad, Andhra Pardesh on 20th July 1950. He joined Aligarh Muslim University for his graduation in Arts. After a great success in AMU Drama Club, Naseer joined National School of Drama in Delhi and decided to make acting as his career.

4. Conclusions

Thus it is proved from the above discussion and facts that Sir Syed rendered unforgettable services in the field of education for the Muslims. He tried to instill western knowledge in the students as well as reminding them of their heritage and Islamic culture. C.F. Andreves, a disciple of Ghandi has endorsed the estimate of long friend of Sir Syed; other men have written books and founded colleges; but to arrest, as with a wall, the degeneration of a whole people - that is the work of a prophet.

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Appendix A

Muslims students at school during 1871-72

<table>
<thead>
<tr>
<th>Province</th>
<th>Total Population</th>
<th>Muslims</th>
<th>%</th>
<th>At School</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>Total</td>
<td>Muslim</td>
</tr>
<tr>
<td>Madras</td>
<td>31,281,177</td>
<td>1,872,214</td>
<td>6</td>
<td>123,689</td>
<td>5,531</td>
</tr>
<tr>
<td>Bombay</td>
<td>16,349,206</td>
<td>2,528,344</td>
<td>15.4</td>
<td>190,153</td>
<td>15.689</td>
</tr>
<tr>
<td>Bengal &amp; Assam</td>
<td>60,647,724</td>
<td>19,553,420</td>
<td>32.3</td>
<td>196,086</td>
<td>28.411</td>
</tr>
<tr>
<td>North Western</td>
<td>NA</td>
<td>NA</td>
<td>NA</td>
<td>NA</td>
<td>NA</td>
</tr>
<tr>
<td>Province</td>
<td>30,781,204</td>
<td>4,188,751</td>
<td>13.5</td>
<td>162,169</td>
<td>28.990</td>
</tr>
<tr>
<td>Oudh</td>
<td>11,220,232</td>
<td>1,111,290</td>
<td>9.9</td>
<td>48,926</td>
<td>12.417</td>
</tr>
<tr>
<td>Punjab</td>
<td>17,611,498</td>
<td>9,102,488</td>
<td>51.6</td>
<td>68,144</td>
<td>23.783</td>
</tr>
<tr>
<td>Sindh</td>
<td>167,711,041</td>
<td>167,711,041</td>
<td>22.8</td>
<td>789,617</td>
<td>114.816</td>
</tr>
</tbody>
</table>

Source: (Annual Reports of Public instructions quoted by Fazale Kareem, 1972)
Appendix B

Number of Muslims graduates during the period 1857-1871

<table>
<thead>
<tr>
<th>University Degree</th>
<th>Total Number of graduates</th>
<th>Number of Muslim graduates</th>
</tr>
</thead>
<tbody>
<tr>
<td>Doctor in Law</td>
<td>6</td>
<td>None</td>
</tr>
<tr>
<td>Honours in Law</td>
<td>4</td>
<td>None</td>
</tr>
<tr>
<td>Bachelor in Law</td>
<td>705</td>
<td>8</td>
</tr>
<tr>
<td>Licentiate in Law</td>
<td>235</td>
<td>5</td>
</tr>
<tr>
<td>Bachelor in Civil Engineering</td>
<td>36</td>
<td>None</td>
</tr>
<tr>
<td>Licentiate in Civil Engineering</td>
<td>51</td>
<td>9</td>
</tr>
<tr>
<td>Master of Arts</td>
<td>326</td>
<td>5</td>
</tr>
<tr>
<td>Bachelor of Arts</td>
<td>1,343</td>
<td>30</td>
</tr>
<tr>
<td>Doctor in Medicine</td>
<td>4</td>
<td>None</td>
</tr>
<tr>
<td>Honours in Medicine</td>
<td>2</td>
<td>None</td>
</tr>
<tr>
<td>Bachelor in Medicine</td>
<td>58</td>
<td>1</td>
</tr>
<tr>
<td>Licentiate in Medicine and Surgery</td>
<td>385</td>
<td>8</td>
</tr>
<tr>
<td>TOTAL</td>
<td>3,155</td>
<td>57</td>
</tr>
</tbody>
</table>

*Source: (Annual Reports of Public instructions quoted by Fazale Kareem, 1972)*
Integrating Cooperative Learning into Organizational Behavior Lessons

Luu Trong Tuan

International University – National University of Ho Chi Minh City

Abstract: This study sought to investigate student diversities in terms of learning styles and academic competence, and the extent to which students change as regards participation, interaction and achievement through Cooperative Learning activities embracing their diversities. 77 first-year students from the two Organizational Behavior (OB) classes, one treated as the experimental group (EG) and the other as the control group (CG), at the School of Business Administration of the International University (IU), a member university of Vietnam National University of Ho Chi Minh City (V’NU-HCMC) were invited to participate in the study. The findings substantiated that Vietnamese learners are open to change and teachers should create effective activities for learners to immerse themselves in talking cooperatively instead of talking individualistically in the classrooms.

Keywords: cooperative learning; learning styles; organizational behavior (OB); interaction; achievement

1. Introduction

Learners not only bring their age, gender and culture, but also their own individual approach, talents and interests to the classroom. Laird (2005) refers to learner diversity as an asset to be capitalized on to promote profound, meaningful learning. Sarasin (1999) acknowledges the values of learner diversity: “We improve our courses because our classes benefit from the diversity of our students, […]” whereas most Asian teachers ‘ignore’ learners’ ways (Renandya et al., 2001). Instead of embracing diversity, most teachers are attending to their learners’ diversities by using classroom activities pleasing most of the learners, leaving a few learners feel left out. Thus, whether they are working alone or in a group, learners are learning individually and even competitively with other learners. Johnson and Johnson (1999) find classroom practice is still dominated by an individualistic structure, which places the emphasis on each learner working alone toward the goal independently of other learners, and by a competitive structure, which matches learners against each other in win-lose situations to find out who is “best”. In numerous business administration (BA) classrooms, teachers are changing seating arrangement to cluster learners, but not changing the way learners interact with each other as they learn. Therefore, the steady hum of voices teachers encourage in learners does not assume a synergic effect. Cooperative Learning (CL), one of the buzz words in new paradigm of teaching, can produce this sort of effect through cross-ability grouping which maximizes complementary learner strengths (Bell, 1991).

Cooperative Learning allows learners the opportunities to process externally, to work with their peers, and to share responsibility for a task. However, high-ability learners complain about being held back by their slower teammates; low-ability learners complain about being discounted or ignored in group sessions; and resentments emerge when some team members fail to pull their weight. The teachers who used to experiment with Cooperative Learning in their classrooms became discouraged and reverted to the traditional teacher-centered teaching paradigm. Teachers also express three other frequent responses to the Cooperative Learning approach. One is uneasiness about “giving up control” of their classrooms. The second is that Cooperative Learning may sacrifice the amount of material that can be “covered” in a course if class time is turned over to learner work. The third is a feeling that they are not fully doing their job unless they are giving a polished lecture (Monk, 1983).

Learner avoidance to cooperate in learning comes from traditional beliefs in teacher-learner
relationship, learner’s reluctance, and learner’s assessment methods. Although Confucianism has not survived as an organized contemporary philosophy, its values continue to wield influence on the daily lives (Bannai, 1980: 153); especially in education, it continues to sustain a high profile in teachers’ function as the norm of knowledge, wisdom, and behavior (Medgyes, 1986). Learners assume that learning only comes from the teacher, not from the group; as a result, they are reluctant to accept group members as their collaborators let alone tutors. They do not appreciate peer error correction and peer rating, which are essential aspects of interdependence in Cooperative Learning.

Learners’ reluctance to interact may come from their academic deficiency, which makes them concerned about making errors and appearing foolish in front of peers (Phillips, 1999: 126). It may also stem from the fact that a fair degree of harmony is often more admired and desirable in some Asian societies, as O’Sullivan (1997: 51) notes:

It is hard to maintain a discussion, and a confrontational exchange of ideas, such as a debate, is very difficult to arrange in the Asian classroom. Asians prefer to try to find a general compromise solution to which the whole group can agree, rather than voice an individual opinion which they would consider to be unnecessarily decisive.

Vietnamese learners are concerned with the consequence of their speech and how it may be accepted, which also derives from Confucian philosophy stressing the importance of care in words (Scollon, 1999: 18), in attempts to represent themselves well in accordance with the “maxims of modesty” (Littlewood, Liu and Yu, 1996: 81) and to avoid group conflict, honored by Cooperative Learning, which helps learners develop conflict management skills in group interaction.

Assessment approach in school as well as state exams in Vietnam formed certain degrees of individualism and competition in learners’ way of learning. Even though authentic forms of assessment, such as portfolios, journals, and self/peer-assessment have become increasingly common in the classrooms (Penaflorida, 1998), Vietnam traditional assessment forms, rate learners by their test results, the final products, rather than the entire learning process. Consequently, learners, particularly high-ability ones, tend to retain knowledge for themselves and quietly compete with others during their study for high achievement in exams.

The impediments above had taken away practically all my intention to apply Cooperative Learning in the Organizational Behavior (OB) classrooms when I happened to see an exciting Cooperative Learning lesson at the University of Health Sciences, Ho Chi Minh City. My inspiration returned at the sight of the teacher demonstrating the value of ‘face-to-face interaction’, one of the crucial elements of Cooperative Learning, to medical students by seating pairs of students in different positions, back-to-back, side-by-side, and face-to-face, and letting them judge the interactive effect of each position.

“I feel most motivated to talk to a partner sitting in front of me since I can see him or her listening to me, agreeing or disagreeing with me,” said a male student.

“A bit shy at first in front of a male partner,” a female student said, “but I felt closer to him along the conversation. He encouraged and even helped me as I was stuck for an idea. We can not have the similar encouragement in the ‘talking on the phone’ fashion.”

Vietnamese culture characterized by such low individualism that individual self-direction can be perceived as anti-social (Tudor, 1996: 151-154) remains in Vietnamese learners and can disrupt the Cooperative Learning process if the reasons behind its learning strategies are not explained to and accepted by learners (Gibson & Chandler, 1988: 406). The teacher at the University of Health Sciences, Ho Chi Minh City managed to do this in her classroom. This action research, inspired by her Cooperative Learning practice, is intended to harmonize the diversities of my first-year students at the International University (IU), as Tudor (1996: 158-159), in a discussion about Vietnamese and Moroccan learners, points out that respect for learner identity is as essential in teaching as accommodation of individual variability. The study sought to answer the subsequent questions:

1. What are student diversities in terms of learning styles and academic competence?
2. Through Cooperative Learning activities embracing their diversities, how do students change as regards participation, interaction and achievement?
The response to question 1 would enable us to do student grouping for Cooperative Learning activities, and the response to question 2 would tell us about the success degree of the experiment.

2. Literature Review

2.1 What is Cooperative Learning?

Cooperative learning is defined as a set of instructional strategies “which employ[s] small teams of pupils to promote peer interaction and cooperation for studying academic subjects” (Sharan, 1980: 242). In Slavin’s (1980) view, “the term refers to classroom techniques in which students work on learning activities in small groups and receive rewards or recognition based on their group’s performance” (p. 315). Cooper and Mueck (1990) regard Cooperative Learning as a structured and systematic instructional design in which small groups work together to reach a common goal. Johnson & Johnson (1999) contend that Cooperative Learning is “the instructional use of small groups so that students work together to maximize their own and each other’s learning”. Therefore, Cooperative Learning conspicuously is not simply putting students together in groups and giving them tasks to do, but an environment in which teachers have to guarantee that the subsequent four elements transpire.

The first element is positive interdependence which generates the sense that “we sink or swim together” (Johnson et al., 1998). It is the sense of working together for a common goal and caring about each other’s leaning (Sharan, 1980). When positive interdependence is established, each member's endeavour in the group is always required and she or he takes different role and responsibility for a part of the given task. The group’s successfulness is the contributions from every member in the group. Without positive interdependence, learners occasionally fall into the trap of “hitchhiking” where they let one learner do all the work for them, or of being “off task” (Cohen, 1994).

The second one is individual accountability. This element emerges when each learner believes that learning her/his material is essential. Each team member has to be responsible for their own as well as their teammates’ learning and makes an active contribution to the group. Thus there was no “hitchhiking” or “freeloading” for anyone in a team (Kagan, 1989).

The third is quality of group interaction process. In this process, learners are provided with abundant verbal and face-to-face interaction, where they can explain, argue, elaborate and link current material with what they have learned previously. Thus, it is crucial to let students sit in comfortable places where they can interact face to face easily. Johnson and Johnson (1989) suggests that groups should be small when learners are just beginning to work together and develop their skills.

The fourth is teaching social skills. Sufficient social skills entail an explicit instruction on appropriate communication, leadership, trust and conflict resolution skills so that the team can function effectively. Social skills refer to group-related skilled and task-related social skills. The former refers to the way students interact as teammates, such as mediating disagreements, encouraging, and praising. The latter refers to the way students interact with one another to achieve task objectives, such as asking, paraphrasing, explaining and summarizing. Cooperative Learning does not assume that students have already had the required social skills; hence, as Cooperative Learning techniques are implemented, cooperative skills are often taught.

Johnson, Johnson, Holubec and Roy (1984) and Putnam (1997) distinctly compare cooperative learning groups and traditional learning groups (see Table 1). Table 1 indicates that grouping in Cooperative Learning is not stop with just putting the learners in a group (Johnson, Johnson, and Holubec, 1991), but integrating learner attributes to enhance a group’s success. Teacher selects the groups to reflect a diversity of abilities, learning styles, viewpoints, gender, race, and even consistency of attendance, which will be particularly relevant for groups working on a project over time. Heterogeneous groups produce the greatest opportunities for peer tutoring and support as well as improving cross-race and cross-sex relations and integration. Occasionally, random or special interest teams could be formed to maximize student talents or meet a specific student need (Kagan, 1994). Letting the students choose their own groups can result in a homogeneity which reduces the acquisition of social skills and increases the possibility of a lack of focus on the learning task (Cooper, 1990).
Table 1. Cooperative vs. Traditional Groups

<table>
<thead>
<tr>
<th>Cooperative</th>
<th>Traditional</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Positive interdependence</td>
<td>• No positive interdependence</td>
</tr>
<tr>
<td>• Individual accountability</td>
<td>• No individual accountability</td>
</tr>
<tr>
<td>• Heterogeneous</td>
<td>• Homogeneous</td>
</tr>
<tr>
<td>• Teacher selected groups</td>
<td>• Student selected groups</td>
</tr>
<tr>
<td>• Cooperative skill instruction</td>
<td>• No cooperative skill instruction</td>
</tr>
<tr>
<td>• Concern for peer learning</td>
<td>• Little concern for peer learning</td>
</tr>
<tr>
<td>• Shared leadership</td>
<td>• One appointed leader</td>
</tr>
<tr>
<td>• Task and maintenance emphasized</td>
<td>• Only task emphasized</td>
</tr>
<tr>
<td>• Student reflection and goal setting</td>
<td>• No student reflection and goal setting</td>
</tr>
<tr>
<td>• Teacher observation and feedback</td>
<td>• No teacher observation and feedback</td>
</tr>
<tr>
<td>• Group problem-solving interactor</td>
<td>• Group problem-solving intervener</td>
</tr>
<tr>
<td>• Group processes their effectiveness</td>
<td>• No group processing</td>
</tr>
<tr>
<td>• Equal opportunity for success</td>
<td>• Uniform standard for success</td>
</tr>
</tbody>
</table>

2.2 Benefits of Cooperative Learning

2.2.1 Enhancing Learners’ Cognitive Growth

Cooperative learning is constructed on the three cognitive theories: Piagetian, Vygotskian and Social Learning theories which center largely on the development of human’s cognition; thus, one of the crucial aims of Cooperative Learning is strengthening the learners’ cognitive process. Piagetian theory deems learners to be active participants in their own learning rather than recipients of information and knowledge. Hence, Cooperative Learning suggests that learning would be more meaningful if learners should experiment on their own learning instead of listening to the teacher’s lectures. Furthermore, conflicts resolution will help promote students’ cognitive growth (Murray, 1994). Vygotskian theory highlights that learners’ cognition is reinforced when they are in the action of interacting with people in their environment and in cooperation with her/his peers. Therefore, in learning it is indispensable to create an authentic and communicative environment in which learners can make myriad interactions with different people (Vygotsky, 1978). Eventually, Bandura’s (1971) Social Learning theory stresses the importance of modeling and observing the attitudes, behaviors, and emotional reactions of others. Social learning theory explicates human behaviors in term of continuous interaction between behavioral, cognitive, and environmental impacts. Working in teams, consequently, provides learners with a variety of opportunities to learn from each other and to attain a higher cognition.

2.2.2 Enhancing Learners’ Motivation

To motivate learners, it is vital to increase learners’ self-confidence, satisfy their needs and interests (Nunan and Lamb, 1996) and create a pleasant, relaxing atmosphere in the classroom (Dornyci and Csizer, 1998). In the Cooperative Learning classroom, a relaxing and comfortable atmosphere is formed and the self-esteem is strengthened since Cooperative Learning creates a strong social support system in which learners feel respected and connected to one another (Cohen and Willis, 1985). Teachers function as facilitators and interact with learners while circulating through the class and observing learners’ interaction (Cooper et al, 1985). Anxiety, moreover, is diminished and self-confidence is enhanced since the class attention is not focused on an individual but on a whole group and when an error is made, it becomes a teaching tool rather than a public criticism (Slavin and Kaweit, 1981). Thus, learners feel free to expose their ideas without hesitation.

2.2.3 Enhancing Learners’ Interaction

There are numerous factors influencing interactive process such as motivation, self-esteem, empathy and anxiety (Brown, 2000). Teaching activities, moreover, impact the process. In a Cooperative Learning classroom, learners have chance to learn various socials skills, several structures or activities to work together which can maximize the learners’ interactions.
2.2.4 Enhancing Learners’ Achievement

Research has found out that cooperative learning strategies enhance students’ academic achievement. In 67 studies of the achievement impacts of cooperative learning, 61% found greater achievement in cooperative than in traditionally taught control groups. Positive impacts were encountered in all major subjects, in all grade levels, for a range of age groups from elementary school to adult, and for high, average, and low achievers (Slavin, 1991). In a meta-analysis of 158 studies of eight methods of cooperative learning: Learning Together and Alone, Constructive Controversy, Jigsaw Procedure, Student teams Achievement Divisions (STAD), Team Accelerated Instruction (TAI), Cooperative Integrated Reading & Composition (CIRC), Teams-Games-Tournaments (TGT), and Group Investigation, Johnson and Johnson (1999) report that the current research findings present proof that the achievement levels were significantly higher when cooperative learning methods were applied as compared to individualistic or competitive methods of learning where students work individually to compete against their peers for praise or other forms of rewards and reinforcements. Cooperative learning also has some forms of competition among group members, but these forms of competition are intended to promote cohesiveness among group members reflecting group goals and individual accountability. Group goals and individual accountability are factors contributing to achievement effects of cooperative learning. Providing students with an incentive to help each other and encourage each other to put forth maximum efforts increases the likelihood that all group members will learn. As well as individual grades and evaluations there is strong proof that group grades and team rewards are most successful for motivation (Slavin, 1995).

3. Research Methodology

3.1 Participants

The participants in this study were 77 first-year students (from among a population of 233 first-year students) from the School of Business Administration of the International University (IU), 54 females and 23 males, ranging between 18–26 years of age, who were attending a 14-week Organizational Behavior (OB) course.

The selection of these classes, class D and class E which were treated as the control group (CG) and the experimental group (EG) respectively, out of the six first-year classes (see Table 2) was predicated on their near analogy in terms of student interaction and academic proficiency level investigated through the repeated informal observations of the six classes during Human Resource Management (HRM) course and the results of HRM course final test with the permission of their teachers, two of whom, were my close colleagues, who helped connect me with the others by the snowball sampling method (Robson, 1993). The colleagues, who helped connect me with the others by the snowball sampling method (Robson, 1993). The students in the experimental group were exposed to Cooperative Learning activities whereas the students in the control group were still immersed in lecture approach alternating with group work. These classes were selected since it did not contain the misleading elements for the experimentation of Cooperative Learning such as self-selected groupwork and high classroom interaction level found in classes B, C, and F, which might lead to the confusion in determining whether students’ involvement had been built up from the previous course or was enhanced by Cooperative Learning approach in this course. Classes D and E, on the contrary, carried to this course, a reticence and individualism from years of high school and again from the first course at university. Moreover, the findings from an independent samples t-test demonstrated that Class E (EG) mean score (M = 7.2073) and Class D (CG) mean score (M = 7.2683) of the results of HRM course final test did not significantly differ (sig. 2-tailed value p = .846), so the academic competence of the students of these two classes were practically analogous. Class A was not considered a good sample for the study as its students, mainly average and low achievers, could not form effective heterogenous groups of abilities, an essential element of Cooperative Learning.

Table 2. Class description

<table>
<thead>
<tr>
<th>Class</th>
<th>Class size</th>
<th>Teachers’s teaching approach</th>
<th>Student interaction level</th>
<th>Results of HRM final test</th>
</tr>
</thead>
<tbody>
<tr>
<td>Class A</td>
<td>42 students</td>
<td>Lecture approach</td>
<td>Low interaction level (about 20%)</td>
<td>Excellent: 0.00% Good: 9.52%</td>
</tr>
<tr>
<td>Class</td>
<td>Students</td>
<td>Approach</td>
<td>Interaction Level</td>
<td>Score</td>
</tr>
<tr>
<td>--------</td>
<td>----------</td>
<td>----------</td>
<td>-------------------</td>
<td>-------</td>
</tr>
<tr>
<td>Class B</td>
<td>39</td>
<td>Lecture approach alternating with self-selected group work</td>
<td>Average (60%)</td>
<td>Pass: 59.52% Fail: 30.95% Average score: 4.7</td>
</tr>
<tr>
<td>Class C</td>
<td>37</td>
<td>Lecture approach with alternative self-selected group work</td>
<td>High (70%)</td>
<td>Excellent: 5.13% Good: 7.69% Pass: 82.05% Fail: 5.13% Average score: 6.13</td>
</tr>
<tr>
<td>1) Class D</td>
<td>37</td>
<td>Lecture approach alternating with group work</td>
<td>Low (35%)</td>
<td>Excellent: 2.70% Good: 10.81% Pass: 70.27% Fail: 16.22% Average score: 5.37</td>
</tr>
<tr>
<td>2) Class E</td>
<td>40</td>
<td>Lecture approach alternating with group work</td>
<td>Low (30%)</td>
<td>Excellent: 2.50% Good: 10.00% Pass: 67.50% Fail: 20.00% Average score: 5.33</td>
</tr>
<tr>
<td>Class F</td>
<td>38</td>
<td>Lecture approach with alternative self-selected group work</td>
<td>Average (55%)</td>
<td>Excellent: 5.26% Good: 7.89% Pass: 78.95% Fail: 7.89% Average score: 6.34</td>
</tr>
</tbody>
</table>

Notes: Excellent: 8-10 points on the 10-point grading scale
Good: 7-<8 points on the 10-point grading scale
Pass: 5-<7 points on the 10-point grading scale
Fail: under 5 points on the 10-point grading scale

3.2 Instrumentation and procedure

The study had two phases.

1) Phase 1: Collecting data on students’ interaction level, achievement level, and learning styles

In this phase, class observations recorded through field-notes and collection of the results of the final test of Human Resource Management (HRM) course were conducted in six first-year classes to select the student sample for this study. Then, a questionnaire survey was employed to explore the distribution of learning styles among the students of Class E (experimental group). Two questionnaires, Index of Learning Styles (ILS) suggested by Solomon and Felder (1999), and Grasha-Reichmann Student Learning Style Scales (GRSLSS) by Grasha and Reichmann (1996), were reproduced in Vietnamese and delivered to the students. These questionnaires sought to explore the students’ information processing modes and social interaction modes respectively, which influenced learner-to-learner interaction patterns. The data on student academic abilities and learning styles helped the grouping process in the experimental phase.

2) Phase 2: Experimenting Cooperative Learning activities

The following experimental events transpired in the experimental group (Class E).

- Incorporating Cooperative Learning activities into the lessons from Organizational Behavior by McShane and Von Glinow (2008, 4th ed.).
- Observing the lessons to measure the enhancement of student interaction level.
- Discussing with the students during break time or after class to gather their feedback on Cooperative Learning activities.
Conducting mid-term and final tests to assess student’s achievement.

The first lesson was designed to familiarize students with basic elements of Cooperative Learning, grouping process, and jigsaw activity in the subsequent steps:

- Video film ‘We classrooms, not I classrooms’ to show basic elements of Cooperative Learning
- Case study ‘Wal-Mart reaches for the white hat’: Jigsaw activity.

In expert groups: analyse the case to assess Wal-Mart’s corporate social responsibility initiatives in the context of the triple bottom line.

In original groups: tutor group members what each member has discussed in expert groups, and collect more ideas from them.

- Out-of-class activity: each group is asked to find a local case of corporate social responsibility initiatives and write a report on it with the illustrations of powerpoint slides and video clips.

The second lesson was structured to remind students about basic elements of Cooperative Learning and involve them in more Cooperative Learning activities in the following steps:

- Report group’s analysis of the local case: Numbered heads activity is used to exclude hitch-hiking and remind students about individual accountability
- Case study “Cleaning up Boeing”: Jigsaw activity
- Write a report on a local case of unethical behaviors

The subsequent lessons: When a few high achievers were frequently absent, ‘Circle the sage’ activity was incorporated to give up the stage to them, which helped increase their self-esteem and interest in being with group and class. It was time to change our role ‘from sage on the stage to guide on the side’ as King (1993) says.

4. Findings and Discussion

Phase 1: Collecting data on students’ interaction level, achievement level, and learning styles

The distribution of student learning styles was surveyed and recorded in Table 3 and Table 4 using two types of instruments, social interaction instruments and instruments using multiple models.

Table 3. Social Interaction Instruments
Grasho-Reichmann Student Learning Style Scales (GRSLS)

<table>
<thead>
<tr>
<th>Learning style dimensions</th>
<th>N</th>
<th>%</th>
</tr>
</thead>
<tbody>
<tr>
<td>Avoidant/Participative</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Avoidant</td>
<td>23</td>
<td>57.50</td>
</tr>
<tr>
<td>Participative</td>
<td>17</td>
<td>42.50</td>
</tr>
<tr>
<td>Competitive/Collaborative</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Competitive</td>
<td>26</td>
<td>65.00</td>
</tr>
<tr>
<td>Collaborative</td>
<td>14</td>
<td>35.00</td>
</tr>
<tr>
<td>Dependent/Independent</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Dependent</td>
<td>31</td>
<td>77.50</td>
</tr>
<tr>
<td>Independent</td>
<td>9</td>
<td>22.50</td>
</tr>
</tbody>
</table>

Table 4. Instruments using multiple models
Index of Learning Styles (ILS)

<table>
<thead>
<tr>
<th>Learning style dimensions</th>
<th>N</th>
<th>%</th>
</tr>
</thead>
<tbody>
<tr>
<td>Perception</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Sensing</td>
<td>17</td>
<td>42.50</td>
</tr>
<tr>
<td>Intuitive</td>
<td>23</td>
<td>57.50</td>
</tr>
</tbody>
</table>
Visual prefer to learn through pictures, diagrams, demonstrations, etc. 31 77.50
Verbal prefer to learn through written and spoken words 9 22.50
Active prefer to do something active with information, such as discuss, apply, or explain 21 52.50
Reflective prefer to think about it 19 47.50
Sequential prefer to learn in linear steps 34 85.00
Global absorb material almost randomly, put things together in novel ways 6 15.00

Phase 2: Experimenting Cooperative Learning activities

In the first lesson, instantly after video show, cooperative behaviors were modeled to provide students the opportunity to identify and practice them. The observations of this class during Human Resource Management (HRM) course showed that high achievers and low achievers tended to be loners in the groups, the cards with the icon ‘red band’ like that of the captain in the football team, the ‘leader cards’, had been allocated to high achievers, and were then pointed out by the researcher. Simultaneously, ‘red bands’ were distributed to these ‘group leaders’ to inspire them to lead loners to the group noise. At once, two problems emerged. One captain decided to return the red band, and the other was not welcomed by his group, who preferred to hand-pick another member of the group. However, it is the right time to discuss with students the advantages that they can derive from rotating roles assignment when problems take place. After the discussion on role rotation, the captain who returned the red bank accepted the role. The researcher was going to allow the group who refused our selected leader to choose the leader they preferred when the latter volunteered to act as the assistant to the former. This voluntary assistant instantly got a star as a point in cooperative skill achievement for both himself and his group, which functions as a reminder of positive interdependence and individual accountability. According to Johnson, Johnson and Holubec (1990), this is extrinsic reward interdependence; here rewards are grades and recognition from the teacher and peers. Fredric Jones also advocates “using incentive systems to motivate responsibility, good behavior, and productive work” (qtd. in Charles, 1999).

The extent to which students interacted, while they were working in expert or original groups, varied from group to group. When high achievers were observed to be dominating group discussions, numbered heads activity was launched and it was found out that 36% of the students whose numbers were randomly called were hitchhikers.

The second lesson plan was upset by absentees, bringing the population of three groups down to four, one group down to three, and one group down to two. This absence can be construed either as students’ quiet resistance due to the lack of encouragement to challenge their authorities or seniors (O’Sullivan, 1997: 51) or as students’ apprehension resulting from their academic deficiencies or teachers’ intolerance of students’ slow movement toward new approach. Students were not provided with the sufficient amount of time to learn abilities to the extent expected. Cooperative Learning is likely to be quite a departure from what students are traditionally used to in the college classroom, so without students’ spending sufficient time learning, the academic benefits of Cooperative Learning will be limited (Stahl, 1992). Thus, the reason above rather than hitchhiking should be the appropriate explanation for the poor demonstration of few students in numbered heads activity.

Kloss (1994) points out that the resistance from certain students is a natural part of their journey from dependence to intellectual autonomy on which they need our company. The researcher started to slow down from this moment and invited students’ inner thoughts on the new approach in spoken or written form during breaktime or at the end of the lesson. As to the first lesson, several students showed their preference for quiz show in which groups analyse each other’s self-selected cases rather than our assigned ones. Group games may encourage students to look forward to other group learning activities, and success here will build confidence in the ability to work in groups. A number of students expressed a need for certain amount of teacher lecture explaining complex concepts or models. According to Smith and Waller (1995), Cooperative Learning Lecture (see Figure 1) should be used as a transitional phase from lecturing to Cooperative Learning.
Figure 1. Segmentation of the cooperative learning lecture to promote active involvement on the part of the students in a one-hour class period

<table>
<thead>
<tr>
<th>Time</th>
<th>Activity</th>
<th>Time</th>
<th>Activity</th>
<th>Time</th>
<th>Activity</th>
</tr>
</thead>
<tbody>
<tr>
<td>2-3 MINUTES</td>
<td>ORGANZTN</td>
<td>6-8 MINUTES</td>
<td>GROUP DEVELMT</td>
<td>10-12 MINUTES</td>
<td>LECTURE</td>
</tr>
<tr>
<td>10-12 MINUTES</td>
<td>LECTURE</td>
<td>6-8 MINUTES</td>
<td>GROUP DEVELMT</td>
<td>10-12 MINUTES</td>
<td>LECTURE</td>
</tr>
<tr>
<td>5-6 MINUTES</td>
<td>SUMMARY</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Phone calls and e-mail messages together with handouts to update missing students on in-class lessons and their group assignments were delivered to them in order to make them not feel ignored. Their group members were also asked to encourage them to come back to class giving them a feeling of belonging and a motivation to come to school that they might not have had before.

First seven weeks. Group activities frequently varied so that students did not know what was coming from one class to the next; and thus did not feel bored. Once their inborn curiosity about the lesson was sustained, students were still motivated to come to class. Dev (1997) states that “an assigned task with zero interest value is less likely to motivate the student than is a task that arouses interest and curiosity” (p. 13).

The variety of Cooperative Learning activities came in useful for exposing students to diverse cognitive strategies, ranging from simple ones such as self-questioning, to more comprehensive ones such as summarizing and framework/model building (Janzen, 1996). Strategy training comes from the assumption that success in learning primarily depends on appropriate strategy use and that unsuccessful learners can improve their learning by being trained to use effective strategies (Dansereau, 1985). Sequential learners, who took up 85% of the students, initially had difficulty absorbing these holistic strategies; however, group heterogeneity really worked when global learners of the groups accompanied their sequential partners through the strategies.

As shown in Table 5, at the end of first seven weeks, the extent of student interaction increased over 40% compared with the first day, and absence rate reduced to 11%. The improvement in midterm test result demonstrated student capability to use cognitive strategies, and above all, their cooperativeness, the ‘neglected heart’, returned to them. However, the presentation of group projects in which each student was randomly asked to present a particular portion of their group project revealed 22% poor performers.

Table 5. Student change after 7 weeks

<table>
<thead>
<tr>
<th>Class</th>
<th>3) Participation level</th>
<th>Interaction level</th>
<th>Midterm test</th>
<th>Group project</th>
</tr>
</thead>
<tbody>
<tr>
<td>Class D (CG)</td>
<td>82%</td>
<td>&gt; 40%</td>
<td>Excellent: 5.41%</td>
<td>34% poor presenters</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Good: 16.22%</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Pass: 70.27%</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Fail: 8.11%</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Average score:6.02</td>
<td></td>
</tr>
<tr>
<td>Class E (EG)</td>
<td>89%</td>
<td>&gt; 45%</td>
<td>Excellent: 5.00%</td>
<td>22% poor presenters</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Good: 22.50%</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Pass: 62.50%</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Fail: 10.00%</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Average score:6.16</td>
<td></td>
</tr>
</tbody>
</table>

Some groups, after exploring empowerment practices, even wrote and acted out the plays predicated on the case “The Regency Grand Hotel”. It was interesting to see the captain bands circulating among group members smoothly through Cooperative Learning activities.
End of the course. In the midterm test result, the grade distribution in the experimental group was reasonably bell-shaped, with more students earning ‘Pass’ than any other grades; however, the final grade distribution was markedly skewed toward higher grades as displayed in Table 6. As regards the results of Organizational Behavior (OB) final test, the findings from an independent samples t-test demonstrated that Class E (EG) mean score ($M = 8.5366$) was significantly higher (sig. 2-tailed value $p = .004$) than Class D (CG) mean score ($M = 7.2073$), implying the academic competence of the students of the EG improved at a higher level than that of the students of the CG. In the final group project, students of the EG made a remarkable progress with the number of poor project presenters reduced to 5%.

Table 6. Student change in the remaining half of the course

<table>
<thead>
<tr>
<th>Class</th>
<th>Participation level</th>
<th>Interaction level</th>
<th>Final test</th>
<th>Group project</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>4) Participation</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>level</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Class D (CG)</td>
<td>78%</td>
<td>&gt; 50%</td>
<td>Excellent: 8.11%</td>
<td>28% poor presenters</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Good: 24.32%</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Pass: 59.46%</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Fail: 8.11%</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Average score: 6.45</td>
<td></td>
</tr>
<tr>
<td>Class E (EG)</td>
<td>96%</td>
<td>&gt; 70%</td>
<td>Excellent: 17.50%</td>
<td>5% poor presenters</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Good: 47.50%</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Pass: 32.50%</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Fail: 2.50%</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Average score: 7.19</td>
<td></td>
</tr>
</tbody>
</table>

The course evaluations were positive and most students (89.19%) in the experimental group made strong statements about how much Cooperative Learning improved their understanding of the course material. The course was closed by a Farewell activity in each group in which groupmates thank each other for their help, sum up what has been learned about working in groups, write “letters of reference” to be given to members of the person’s new group in the next course, and take group pictures. One student commented, “This class is different from any I’ve been in before. Usually you just end up knowing a couple of classmates – here I know everyone in the class. Working in Cooperative Learning groups does this.”

5. Concluding Remarks

Dewey (1938) contends that one of the philosophies of education is not to merely acquire information but rather to bring that learning to bear on our everyday actions and behaviors. Consistent with this goal, Cooperative Learning prepares learners to be effective participants not only in their classrooms today but also in their workplaces tomorrow. Nonetheless, it is quite a great change from teacher dependence to learner interdependence, from teacher tutoring to peer tutoring, and from learning by collecting to learning by sharing; thus, learners and teachers need to be patient and persistent as they explore ways to use the power of cooperation (Baloche, 1998). Learner resistance in the first few weeks of the study displays teachers’ rush in incorporating Cooperative Learning activities, which, according to Johnson et al. in Circles of Learning (1993), should be structured layer after layer, much like peeling an onion, until the heart is reached. However, learner gains in the rest of the study demonstrate that Vietnamese learners are open to change and teachers should create effective activities for learners to immerse themselves in talking cooperatively instead of talking individualistically in the classrooms.

References


Socio-Economic Factors as a Cause of Children Dropout at Primary Level

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Abstract Pakistan’s commitment to universal primary education by 2015 under EFA Framework appears elusive on current performance, as participation is low and drop-out rates continue to be high (Govt. of Pakistan, 2009). From the review of literature, social and economic factors were found as two main causes of children dropout; problem under study was to know about socio-economic factors as a cause of children dropout at primary level. For the purpose, forty dropout children and their parents were interviewed using structured interview sheet of ten statements; five for social factors and five for economic factors. The collected data was tabulated, analyzed and interpreted in the light of the objectives of the study. Percentage was used to analyze the data as a statistical tool. Parents and children frequency of responses with percentage on selected socio-economic factors was presented in tabular form. It was concluded that the parents’ illiteracy and their consideration of education unfruitful for their children, their engagement in earnings, financial problems of the children, considering education as economic burden, engaging children in earning, and parents’ poor economic condition were the major areas which caused of their children dropout, and these areas provided sufficient basis for the recommendations of this study accordingly.

Key words: Dropout, Primary, Education, Children, Socio- Economic

1. Introduction

At the time of independence the situation of educational institutions was deteriorated. Iqbal (1977) presented a vivid picture of the condition of education. At that time the citizen of the new country was about 90 % illiterate and there were only a handful of education institutions which were grossly inadequate for the need of the new country. Pakistan received only two of the twenty one universities of undivided India, one located in each wing. But that was the only equal divisions of education resources. In East Pakistan there were twenty nine thousand schools out of the total thirty nine thousand. The ratio was reversed at the secondary level the west wing has 55 hundred out of 9 thousand schools. Provinces Khyber Pakhtunkhwa and Baluchistan have little more than 100 primary schools each. There were a few
schools and only one intermediate college. The country as a whole came away with 83 colleges. Three Engineering Colleges 108 teachers’ training schools and 71 associated technical industrial and agricultural institutions. So in spite of other crucial problems faced by the new state, education was given the priority. An all Pakistan education conference was held in November 1947 to consider the educational needs of the ideological state. The conference under the presidency of Mr. Fazal–ur-Rehman recommended as follows:

a. The education should be inspired by the ideology emphasizing among many of its characteristics those of universal brotherhood, tolerance and justice.

b. Free and compulsory education should be introduced for a period of 5 years, which should be gradually raised to 8-9 years.

c. Primary schools could be coeducational or otherwise according to local needs.

d. A comprehensive scheme should be prepared for the reorganization of technical education suited to the economic needs of the country and the peculiar genius of our people.

In 1959, president Ayoub Khan appointed a commission to suggest recommendations for the reorganization and re-orientation of the existing educational system. The commission paid special attention to primary education with following recommendations.

a. Compulsory education at the elementary level is indispensable for skilled manpower and intelligent citizenship. For this at least 8 years schooling is required.

b. The target should be to achieve 5 years compulsory schooling with in a period of 15 years.

c. (a) Funds required that for compulsory primary education would be raised 50% by a special tax on the district bases in West Pakistan and sub-divisional bases in East Pakistan.

(b) 50% funds from general revenues, of the provincial governments.

d. The administration of primary education should not be entrusted local bodies. It should be organized at district bases.

In 1969, new education policy was proposed. Although the policy could not be implemented, it discussed at length the ills of the primary education system and put forward the following recommendations regarding the primary education.

a. The child should have the opportunity of receiving elementary education after the age of 13 years. Comprising 5 years of primary school education from class 1 to 5 (from the age of 5 to 10 years) and three years of school education.

b. That in the primary schools there should be emphasis on the teaching of 4 i.e reading writing, arithmetic and religion. The medium of instructions should be the mother tongue of the child. Every primary school should has interesting models. Charts and other visual aids to make education interesting and exciting.

c. There should be no examination in the first two classes. Promotion up to class two should be automatic. There should however be an objective test or examination at the end of class three but no child should be failed, the final examination should be the terminal stage of the primary schools at class 5.

In 1972-80 education policy was a target orientated policy with the following strategy to promote primary education:

a. Additional classrooms for primary classes will be constructed to provide schools with in easy walking distance from the children home. The universalization of elementary education will require about 225 lac additional teachers. The existing teacher training institutions will turn about 75 thousand teachers during the 8 years period ending in 1980. 75 thousand teachers will be available from the general stream of education. 75 thousand teachers will be provided by establishment of national literacy corps drawn from:

a) Local available unemployed persons retired civil servant and ex-service men etc.

b) University and college students are proposed for national servant corps.

c) Textbooks and writing materials will be provided free to primary schools children according to a phased programme.

d) Dignity of labour will be emphasized in school study will be made relevant to individuals and social needs.

The military regime of General Zia-Ul-Hjaq formulated a new education policy in 1978. The policy provided that dropout means wastage in education. Dropout is a student, who leaves the school for any reason before the completion of the educational programme and without being transferred to any other
A dropout is a child who leaves the school before completing the educational stages in which he was enrolled (Attaullah, 2000).

Attaullah (2000) presented the following factors responsible for high dropout, health problems, and sickness in family (family disease) work at home, poverty inelement whether, parental indifference, travel (transportation) and irregular attendance. These problems affect the efficiency of the students, which ultimately leads to dropout. He further puts the following reasons responsible for high dropout rate: Lack of education programme to meet the individual’s vocational and intellectual needs of the students, Economic pressure that forces a student to assist his family to increase the income, Disinterest on the part of youngsters cause of social pressure for getting a job to provide them money and independence from their families, Unhappy and unsuccessful school experience also causes dropout, The emotional difficulties cause school learning problems, heterogeneous group problem, non adjustment at the school, broader educational disability rather than specific learning problems, The existing outdated method of examination is also one of the root causes of dropout and the poor quality of education is also responsible for the dropout in the country.

Setharam Usha Devy (1989) pointed out: parental poverty and consequent drive of the parents to employ their own children, firm or non firm worked of the house to save on labour or alternative to send their children for paid labour is vital factor for dropout. The writer further describes that family background also plays a major role in holding the children within the school. Education, occupation and income of parents, the educational statistic as a whole, family size and health status of parents etc. are the external factors which influence the retention of children or their defection from school.

In the light of the various education policies of Pakistan and teachers’ views following two were the major causes of dropout at primary level:

a. Economic factors: Low level economy of the country, low per-capita income of the people, inadequate provision of physical facilities in school. Shortage of funds, poor standard of health and nutrition, costly textbooks / exercise books, inadequacy of audio visual aids, poor condition of school buildings and poor motivational level of parents to send their children to the schools are factors effecting educational wastage and cause of dropout.

b. Social/cultural factors: Social cultural inhibitions towards education of the female, rivalry among families specially in Baluchistan, tribal areas, establishment of schools, in the house of Zamindars and tribal chiefs, in difference of communities and parents to education in general and that of girls in particular, and custom of early marriages are some factors causes dropout.

The primary education is a foundation stone in the educational system of a nation. Its importance cannot be underrated as it forms the foundation of all subsequent education. The education policy 1998-2010 recognizes this fact by recording “Elementary education is the fundamental right of all peoples, men and women of all types of areas and places, irrespective of gender, sect, religion or any other denomination”. Everyone has “the right of education” states the universal declaration of human rights 1948. In the convention in the right of the child 1989 stressed that the child has a right of education and the state’s duty is to ensure that primary education is free and compulsory.

The number of primary schools including mosque school in Pakistan stands at about 124 thousand with enrolment of about 11.5 million. By the year 2002 the population of 5-9 age group will raise approximately to 22 million. To achieve universal primary education additional places will be needed for 10.5 million students. This will require 107 thousand new primary and mosque schools.

The National Educational Policy (1998-2010) has pointed out that the limitations that have obstructed universalization include:

a) Rapid increase in the population of 5-9 age group
b) Dropout rate is up to 50 %
c) Lack of access to primary schools
d) Resources availability
e) School hours
f) Opportunity cost
g) Low female participation

Dropout has been the main source of wastage in education in Pakistan; Primary education consists of class from one to five. The greatest numbers of any country population’s attend the primary stage. It plays fundamental role in promoting the literacy rate but unfortunately Pakistan has badly failed in universalizing the primary education.

According to a survey only 51 % children of the school going age get chanced of enrolment in a primary school and half of them are dropouts. Similarly, in a 1995 comprehensive survey, mere 20.7
percent of total students were competent at a level that is considered basic. The North West Frontier Province had the lowest achievement level at only 9.11 percent. Urban competencies were double those of rural areas 29.2 percent of girls could read with comprehension. Parents want their children to be trained in some professional skills in a very young age instead of wasting their time in schools.

2. Identification of the Problem

The education is a basic human right, and it is the responsibility of the government to provide free education to all citizens. The system has not with standing optimistic proposals by various governments. Even still we have not yet succeeded in universalizing basic education. Statistical surveys show that in Khyber Pakhtunkhwa the total population of 5-9 age group is 3.25 million while the gross enrolment ratios in boys is 75 % and girls 50 % but the net enrolment ratio is 59 % and 37 % accordingly. Khyber Pakhtunkhwa, which has 957 union councils and 24 district governments, has total 17.74 million populations; with the growth rate of 2.8 % have 35.2 % literacy rate. While the population 5-9 age group 3.26 million in which the enrolled are 2.04 million with the 18% dropout ratio approximately.

According to the National Education Policy (1998-2010) poverty, attitude of parents, illness, ignorance of parents, unattractive schools, poor quality of teachers and irrelevance of curriculum etc. are the factors causing dropout. From the review of literature, considering social and economic factors as two main causes of dropout; the problem under study was to know about socio-economic factors as a cause of children dropout at primary level in district Bannu, Khyber Pakhtunkhwa, Pakistan.

2.1 Objectives of the Study

The following were the objectives of this study:
1. To explore different social factors which make the students to leave the school;
2. To point out different economic factors which cause the dropout at primary level; and
3. To give recommendations to eliminate the socio-economic causes of dropout among students at primary Level.

2.1.1 Delimitations of the Study

This study was delimited to the views of dropped out children at primary level and their parents in district Bannu of Khyber Pakhtunkhwa, Pakistan.

3. Research Methodology

3.1 Population and Sampling

Dropout children at primary level from the primary schools of district Bannu and their parents constituted the population of this study. Forty dropout children and their parents were taken as a sample using convenient sampling technique.

3.1.1 Instrumentation

A structured interview sheet of ten statements; five for social factors and five for economic factors, was constructed. It was translated into Pashto (local language). Using volunteer services of one of the students of principal researcher, children and their parents were interviewed in Pashto.

3.1.2 Analysis of Data

The collected data was tabulated, analyzed and interpreted in the light of the objectives of the study. Percentage was used to analyze the data as a statistical tool. Parents and children frequency of responses with percentage on selected socio-economic factors was presented in tabular form.
Table 1: Parents and Children Frequency of Responses on Socio-Economic Factors

<table>
<thead>
<tr>
<th>S. No</th>
<th>Factors</th>
<th>Parents</th>
<th></th>
<th></th>
<th>Children</th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>Yes</td>
<td>%</td>
<td>No</td>
<td></td>
<td>Yes</td>
<td>%</td>
</tr>
<tr>
<td></td>
<td></td>
<td>f</td>
<td>%</td>
<td>f</td>
<td></td>
<td>f               %</td>
<td>f</td>
</tr>
<tr>
<td>1</td>
<td>Tense environment at home.</td>
<td>19</td>
<td>47.5</td>
<td>21</td>
<td>52.5</td>
<td>15</td>
<td>37.5</td>
</tr>
<tr>
<td>2</td>
<td>Illiteracy of the parents.</td>
<td>38</td>
<td>95</td>
<td>2</td>
<td>5</td>
<td>40</td>
<td>100</td>
</tr>
<tr>
<td>3</td>
<td>Family enmity of the parents.</td>
<td>11</td>
<td>27.5</td>
<td>29</td>
<td>72.5</td>
<td>6</td>
<td>15</td>
</tr>
<tr>
<td>4</td>
<td>Lack of spouses’ understanding.</td>
<td>9</td>
<td>22.5</td>
<td>31</td>
<td>77.5</td>
<td>11</td>
<td>27.5</td>
</tr>
<tr>
<td>5</td>
<td>Considering education unfruitful.</td>
<td>30</td>
<td>75</td>
<td>10</td>
<td>25</td>
<td>38</td>
<td>95</td>
</tr>
<tr>
<td>6</td>
<td>Parents’ engagement in earnings.</td>
<td>36</td>
<td>90</td>
<td>4</td>
<td>10</td>
<td>38</td>
<td>95</td>
</tr>
<tr>
<td>7</td>
<td>Financial problems of the children.</td>
<td>40</td>
<td>100</td>
<td>0</td>
<td>0</td>
<td>40</td>
<td>100</td>
</tr>
<tr>
<td>8</td>
<td>Education as economic burden.</td>
<td>33</td>
<td>82.5</td>
<td>7</td>
<td>17.5</td>
<td>17</td>
<td>42.5</td>
</tr>
<tr>
<td>9</td>
<td>Engaging children in earning.</td>
<td>35</td>
<td>87.5</td>
<td>5</td>
<td>12.5</td>
<td>34</td>
<td>85</td>
</tr>
<tr>
<td>10</td>
<td>Parents’ poor economic condition.</td>
<td>35</td>
<td>87.5</td>
<td>5</td>
<td>12.5</td>
<td>38</td>
<td>95</td>
</tr>
</tbody>
</table>

Above table shows that 52.5% parents and 62.5% children do not support that tense environment at home was a cause of dropout. 95% parents and 100% children are in favour that illiteracy of parents was a cause of dropout. 72.5% parents and 85% children do not favour that family enmity of parents was a cause of their children dropout. 77.5% parents and 72.5% children do not support that lack of spouses’ understanding was a cause of dropout. 75% parents and 95% children are in favour that they considered the education unfruitful that cause dropout. 90% parents and 95% children are in support that parents’ engagement in earnings was a cause of dropout. 100% parents and children are in favour that children left schools due to their financial problem. 82.5% parents considered education as economic burden while 57.5% children do not think so. 87.5% parents and 85% children agreed that engaging children in earning was a cause of dropout. 87.5 parents and 95% children are in favour that parents’ poor economic condition was the cause of children dropout at primary level in district Bannu of Khyber Pakhtunkhwa, Pakistan.

4. Conclusions

1. Tense environment at home, family enmity of the parents, and lack of spouses’ understanding were not the major causes of children dropout.
2. Two social factors, parents’ illiteracy and their consideration regarding education of being unfruitful for their children secured future were found the major causes of children dropout.
3. Parents’ engagement in earnings, financial problems of the children, considering education as economic burden, engaging children in earning, and parents’ poor economic condition were the major economical areas of the family which caused of children dropout.

4. Recommendations

1. Adults’ literacy programs with incentives should be introduced at lower level.
2. Media may play a vital role to aware the society regarding the importance of education and the government should produce more and more chances of employment for educated persons.
3. Parents should take keen interest in the solution of educational problems of their children. Especially focusing on their financial problems as a priority other than daily life problems.
4. Parents should be given helping hands regarding their children education. Government may allocate budget for the purpose to improve economic condition of parents.
5. Rules of child labour must be strictly observed by the government.
6. As majority of the parents cannot afford educational expenses of their children, therefore, students may be awarded scholarships.
7. Education budget may be increased up to 5% of GNP to overcome the financial matter regarding children education.
8. There is need of serious implementation of universal primary education rules.

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Develop the Enabling Environment for Innovative Entrepreneurship

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Abstract E-Learning is gaining significant interest in distance education, including university and other. It also get a special importance in terms of exchanges of experiences between different institutions within and outside the country. Despite the distance people already have the opportunity to learn from others, or used in any other time and place that they are. These advantages are powered by technological developments, developments that require a generation as qualified to be adopted in time with the rapid technological evolutions. The advantages of using e-learning are related to the degree of qualification of the generation which live in an era of rapid technological change. Despite the rapid technological development in many countries there are benefits from the use of e-learning or there are benefits that are not at levels as it's required: E-learning will be consider as one of the new business that requires the implementation of a modern infrastructure for the needs of customers. In determination of the needs customers there is always a question, which is necessary by enterprises in the e-learning to identify the application, create and determine its size.

Keywords: e-learning, entrepreneurship, organizational innovation

1. Introduction

The call to pay more attention to factors/capabilities that develop organizational innovation (OI)/organizational learning (OL) to promote entrepreneurship joins calls for empirical exploration of the effect of OI/OL on performance. It must to be considered both OI and OL jointly to promote organizational entrepreneurship and to increase competitive advantages. This empirically reflects the need to strengthen different strategic capabilities to achieve an adequate level on the organizational issues, improve performance and encourage entrepreneurship. Thus, the entrepreneurship builds and nurtures OL, which enables the formulation of OI strategies that lead to greater performance. Entrepreneurship creates wealth by concentrating on OI/OL. The organization that promotes entrepreneurship is an organization capable of creating, learning and influencing the environment.

Although the field of entrepreneurship is recognized as being of fundamental importance for our economy, and many researchers throughout the world have turned their attention to it, there’s, as yet, no agreement as to the research object in this scientific field. Today, two basic trends exist and stand in opposition to one-another in the scientific community of entrepreneurship. The field of entrepreneurship would therefore be concerned with the market sector, that’s primarily the private sector and, by extension, non-profit organizations and cooperatives active in the private sector, together with the portion of public sector whose activities are concerned mainly with the sale of products or services on a market. The main issues handled out in this presentation are: the field of entrepreneurship; pro-activity and environment among the factors most frequently analyzed in the relevant OI/OL literature influencing the
innovative entrepreneurship; as well as the frame conditions for innovations and institutional system of innovation.

Entrepreneurship is concerned first and foremost with a process of change, emergence and creation: creation of new value, but also, and at the same time, change and creation for the individual.

2. Objectives

The overall objective of this research is to develop the enabling environment for innovative entrepreneurship. There are three specific objectives:

The comprehension of the importance of entrepreneurship. The field of entrepreneurship is recognized as being of fundamental importance for our economy. In this framework, it’s very important understanding or forecasting the entrepreneurial act and its success or failure, and defining more accurately the environmental conditions favorable to that act. A key element in the field of entrepreneurship is the dialogic between individual and new value creation, within an ongoing process and within an environment that has specific characteristics. This definition emphasizes the fact that we will always not understand the phenomenon of entrepreneurship if we do not consider the individual (the entrepreneur), the project/devoir, the environment and also the links between them over time. The implementation of the strategy involves all the working groups in planning, designing, conducting product or service, development, evaluation and marketing. The implementation of the strategy is the process where you include all groups working in the management supervisory in the accomplishment of its mission. If during the process of implementing the strategy, the strategy chosen are not able to overcome the difficulties arising from the external or internal shortcomings in the company then the company can change the strategy, choosing one of the alternative scenarios defined in a strategic SWOT analysis carried out above to overcome difficulties and facilitate the work of all groups to achieve their goals in fulfilling the mission.

1- While e-learning is becoming all present, should be seen as it is in fact an opportunity to expand and improve training. In the meantime, organizations should be aware of the needs and special considerations associated with implementation and reliability of e-learning. The organizations will be more effective to integrate e-learning into their training strategies, if they learn from mistakes and constantly juggling technology communicate with effective training possible. Today, the field of entrepreneurship is, to a large extent, formed. Entrepreneurship increases quickly in some regions of the world and takes time to emerge in others. Entrepreneurship emerges strongly at certain times and much less so at other times. Nowadays, two basic trends exist and stand in opposition to one another in the scientific community of entrepreneurship. The first of these, considered the entrepreneur to be the person who creates and develops new business of any kind. The second one is that the entrepreneur is an innovator, and therefore a relatively exceptional person who changes the economy in some way or another.

Recognition of the individual is an important or even vital element in the creation of new value. Entrepreneurs are some of those who create new value for society through venture creation, in the legal sense of the term, or through innovations of different kinds. They create a large percentage of new value, which researchers in the field consider to be necessary for the proper operation of our economic system. The main aspects of this phenomenon are the individual, the object created (an organization and/or an innovation), the environment and the process. The individual and the object created are considered to be a dialogic, and become the core element. Sometimes, value creation originates from a team, not from a single individual. When the team has a recognized and capable leader, without whom nothing would have been possible, then this individual would incontestably be the “entrepreneur” and the other members of the team, while participating in the entrepreneurial adventure, would not be considered as entrepreneurs. But, about the value creation initiated and performed by a team of some individuals, this team, too, must be considered as part of the field of entrepreneurship.

To understand an entrepreneurial event, we must first understand the individual and the project/devoir, and then the links between them throughout the start-up, survival and/or development process, and finally the influence of the environment, and hence of other entrepreneurs and the various resources provided by the environment.

2- Identifying the factors most frequently analyzed in the relevant organizational innovation (OI) / organizational learning (OL) literature influencing the innovative entrepreneurship. Personal mastery, transformational leadership, shared vision and environment are therefore among the factors most frequently
analyzed in the relevant OI/OL literature. Organizations’ managers must encourage the organization's members to achieve high levels of personal mastery. This environment can be provided by continually encouraging personal vision. The style of management must be more transformational. They must foster shared vision. The leader must prepare the organization and shape the mental models. Specific actions must be taken to overcome the internal and external obstacles to shared vision. The leader will play an important role in linking the organization and the environment.

To analyze a series of strategic capabilities/factors that affects organizational innovation (OI) and organizational learning (OL) (personal mastery, transformational leadership, shared vision, proactivity and environment) and demonstrates that OL and innovation are positively related to organizational performance. The more valuable, imperfectly imitable and rare OI are the higher performance will be. Those organizations with greater innovation will achieve a better response from the environment, obtaining more easily the capabilities needed to increase organizational performance and consolidate a sustainable competitive advantage. Not promoting innovative projects and activities will have a negative effect on organizational performance. There is established a direct relationship between different aspects of innovation (innovation speed-design, innovation-flexibility) and performance rather than between innovation and performance. Organizational learning (OL) is important for a company’s survival and effective performance. Thus firms that show a greater breadth, depth and speed of organizational learning (OL) have greater performance levels. Further, organizations that learn and learn quickly gain a greater strategic capability that enables them to hold on to a position of competitive advantage and improve long-term performance.

There are two dynamic capabilities necessary to promote organizational entrepreneurship. The first is personal mastery. Personal mastery is the discipline of personal growth and learning. People with high levels of personal mastery are continually expanding their competences and abilities. From their quest for continual learning comes the spirit of organizational learning (OL) / organizational innovation (OI). The manager’s perception of personal mastery is fundamental, since he will use his own personal development to guide others on their professional road and will support them in their organizational growth, acting as a mentor/master. The second is encouraging a transformational leadership style that supports the organization’s members is necessary to promote learning and innovation. It enables the leader to commit himself openly to learning and innovation, stimulating them and doing everything in his power to overcome the internal skepticism and external difficulties that prevent learning and innovation from being implemented in the organization.

3. Methodology

The methodology of this research is creating the frame conditions for innovations and institutional system of innovation. The proposed definition of the field of entrepreneurship is complex, as is the phenomenon itself. It’s of interest only if it allows researchers to reach a minimum level of consensus on what the field is and is not. Innovation in strategic management is very close to the field of entrepreneurship. An individual and an organization are not the same thing, especially when the organization is no longer led by a single person who holds all the power. Since we know that innovation is an essentially collective phenomenon, then similarly the individual is not the same thing as an innovative community.

The emphasis on national innovation frame conditions stems from the institutional approach to technological innovation. Any successful and rational innovation policy should be based on country specific frame conditions. It is a relatively recent phenomenon to emphasize the importance of the institutional frame conditions surrounding science, technology, and innovation activities. The proportions of entrepreneurial types differ significantly in each environment. Government intervention in stimulating the diffusion of entrepreneurship is legitimized by the role new companies play in job and wealth creation and the diffusion of innovation within a territory.

There are three categories about the functions of institutions in the process of innovation:
- to reduce uncertainties by providing information;
- to manage conflicts and cooperation;
- to provide pecuniary and non-pecuniary incentives.
The concept of national innovation system is very helpful to analyze them, because it is based on the multiple interactions among innovation actor groups; we can identify their relative importance in a national innovation system. Innovation policy is crucial in formulating a new national innovation system and improving its innovation performance.

In general, the government plays a more important role in emerging or developing national innovation systems than in existing ones. Innovation policy is crucial in formulating a new national innovation system. Three basic functions have to be fulfilled by innovation systems: reduction of uncertainties by providing information, the management of conflicts and cooperation, and the provision of incentives. We can define a national innovation system as a complex of institutions, i.e. actors, in a nation, which are directly related with the generation, diffusion, and appropriation of technological innovation. Under this definition we can identify four groups of actors in a national innovation system, i.e. business firms, public research institutes, universities and government. The first three categories are actual research producers who carry out Research and Development (R&D) activities while government can play the role of coordinator between the research producers in terms of its policy instruments, visions and perspectives for the future. The relative importance of these four groups in a national innovation system differs according to the history and country-specific frame conditions of the national innovation system.

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Albania is the fifth country of the group of EU candidate and potential candidate countries to join an important part of the EU's Competitiveness and Innovation Programme (CIP). Albania currently offers a great deal of opportunity for entrepreneurship. In recent years, Albania has been trying to promote entrepreneurship among the youth. The promotion of YES (Youth Entrepreneur Seminars) seminars has had a positive impact on the young prospective entrepreneurs. An institutional framework plays an important role for interactive learning which leads to innovation. Now, the national institutional conditions for technological innovation are referred to as a national innovation system. Three basic functions have to be fulfilled by innovation systems: reduction of uncertainties by providing information, the management of conflicts and cooperation, and the provision of incentives. We can define a national innovation system as a complex of institutions, i.e. actors, in a nation, which are directly related with the generation, diffusion, and appropriation of technological innovation. Under this definition we can identify four groups of actors in a national innovation system, i.e. business firms, public research institutes, universities and government. The first three categories are actual research producers who carry out Research and Development (R&D) activities while government can play the role of coordinator between the research producers in terms of its policy instruments, visions and perspectives for the future. The relative importance of these four groups in a national innovation system differs according to the history and country-specific frame conditions of the national innovation system.
institutional theory, which emphasizes the possibility of institutional learning. Based on the careful analysis on these actors and institutions, we can identify some important characteristics of a national innovation system.

Growing international competition and integration strengthens the importance of the regional dimension because there is a well-defined set of external economies that are realized at that level. From a theoretical perspective the rationale for focusing on regional innovation systems lies in the fact that the factors that the national innovation systems theory identifies as important, such as the institutional framework, the nature inter-firm relationships, learning capability, R&D intensity and innovation activity all differ significantly across regions. Regional innovation systems can be seen as ‘essentially social systems, composed of interacting sub-systems - the interactions within and between organizations and sub-systems generate the knowledge flows that drive the evolution of the regional innovation systems’. Regional systems also have the capability to exploit a range of external economies. These include agglomeration economies, spillovers of knowledge, pools of skilled labor and collective external economies. The realization of collective external economies requires the active (rather than passive) involvement of firms/organizations in the form of joint commitment of resources, which in turn requires communication and trust.

The regional innovation systems suggest the need for a policy approach that: (i) integrates innovation policy and industrial policy, and (ii) works on the innovation system to increase the absorptive capacity of lagging regions. In Europe, the European Commission has introduced a range of policy programs that are designed along these lines. These include the Regional Technology Plan initiative, which evolved into the Regional Innovation Strategy (RS) program, and the Regional Innovation and Technology Transfer Strategy Initiative (RITTS). Accordingly, policy strategies could be oriented towards the promotion of accessibility in the development of a regional innovation system and the development of local comparative advantages linked to specific local resources.

The building of a supranational system of innovation through the European Union is more stable and has more a sense of direction in its development. The concept of regional innovation systems has no commonly accepted definitions, but usually is understood as a set of interacting private and public interests, formal institutions and other organizations that function according to organizational and institutional arrangements and relationships conducive to the generation, use and dissemination of knowledge.

4. Expected Results

The expected results of this research consist on realizing the following conclusions.

- The importance of innovation as such for the future of the sector was strongly emphasised by policy makers responsible for forestry in all Central European countries. Current innovation support is piecemeal, fractioned and often not co-ordinated. This issue-by-issue approach foregoes the benefits of a more coherent and comprehensive approach; there is support for new approaches and ideas. It would considerably strengthen the development of an innovation and entrepreneurial oriented climate.

- For the purpose of strengthening innovation and entrepreneurship in the different sectors it is therefore recommended to develop an explicit innovation policy, strategy or programme. When developing innovation policies, strategies or programmes, it is important to consider each of the three main functions of an innovation system separately and as a comprehensive whole. The most important areas to cover and the main areas for improvement are the following:
  - Provide Information on New Markets and Improve Information Flows;
  - Include a Cross- Dimension in the Management of Conflict and Coordination;
  - Provide Incentives that Systematically Innovation in the field.

- In the field of entrepreneurship, the classical positivist paradigm and constructivism can exist side by side, as they do in the field of strategic management. However, the classical positivist paradigm will only be useful for the portion of the field concerned with small changes. Issues of complexity raise significant methodological problems, in particular because they necessarily require that the dynamic of the systems studies (individual, new value creation, environment) be taken into consideration.

- The field of entrepreneurship, and in particular the study of its archetype (the entrepreneurial venture), is undoubtedly one of the most complex in the social sciences.
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