REVISTIA

24th International Conference on Multidisciplinary Studies

11-12 December 2020

Virtual Meeting with Realtime Presentations

Brussels

Weiveldaan 41, D Block. 1930, Brussels, Zaventem, Belgium

Editors

Valentina Chkoniya

Francesca Somenzari

Luis Fernando Muñoz González

Lucas Gabriel

BOOK OF PROCEEDINGS

Sassi Boudemagh Souad, PhD - Université Constantine 3 Salah Boubnider, Algérie

Lulzim Murtezani, PhD - State University of Tetovo, FYROM

Ebrahim Roumina, PhD - Tarbiat Modares University, Iran

Gazment Koduzi, PhD - University "Aleksander Xhuvani", Elbasan, Albania

Sindorela Doli-Kryeziu - University of Gjakova "Fehmi Agani",   Kosovo

Nicos Rodosthenous, PhD - Aristotle University of Thessaloniki, Greece

Irene Salmaso, PhD - University of Florence, Italy

Non Naprathansuk, PhD - Maejo University, Chiang Mai, Thailand

TABLE OF CONTENTS

Challenges in Decoding Consumer Behavior with Data Science

Valentina Chkoniya

GOVCOPP, ISCA-UA, University of Aveiro, Portugal

Abstract

Decoding the ever-evolving consumer behavior is one of the biggest challenges faced by marketers around the world. The future of consumer behavior research is put into question by the advances in data science. Today, when consumers are all the time exposed to new technologies, trends such as facial recognition, artificial intelligence, and voice technology did not advance as rapidly as predicted, marketing intelligence gained a significant share of the spotlight. This paper gives an overview of possible ways to anticipate consumer data intelligence development from the perspectives of a robust data set and deep artificial intelligence expertise for better understanding, modeling, and predicting consumer behavior. Showing that marketing cannot happen in isolation in the era of digital overexposure, it requires a deeper understanding of consumer behavior. Data scientists, analysts, and marketers around the world have to work together to increase consumer loyalty, grow revenue, and improve the predictiveness of their models and effectiveness of their marketing spend. Efficiently integrating consumer behavior data into marketing strategies can help companies improve their approach towards attracting and winning the diverse and dynamic consumer segments and retaining them. This synthesis of current research will be helpful to both researchers and practitioners that work on the use of data science to understand and predict consumer behavior, as well as those making long-range planning marketing decisions.

Keywords: Data Science, Consumer Behaviour, Marketing Intelligence, Marketing Strategy, Consumer Data Intelligence

Introduction

Consumption continues to change with technological advancements and shifts in consumers' values and goals (Malter et al., 2020). The consumer is ultimately the key determinant of the success of an organization. The need for an in-depth and objective understanding of the consumers, therefore, in terms of what runs in their minds and hearts for the way they behave and act when they go about making complex purchase decisions cannot be over-emphasized (Moses & Clark., 2020; Sankaran, 2019). Increasing global digitalization brings huge and ever-growing amounts of data (Skiera, 2016). Decoding the ever-evolving consumer behavior is one of the biggest challenges faced by marketers around the world. The adoption of contemporary methods in consumer data analytics is slow and many businesses fail to understand their consumers as well as they want. The future of consumer behavior research is put into question by the advances in data science. This paper gives an overview of possible ways to anticipate consumer data intelligence development from the perspectives of a robust data set and deep

artificial intelligence expertise for better understanding, modeling, and predicting consumer behavior.

Background

In this section, an overview of Consumer Behavior Research and Data Science is given and definitions used for the analysis in this review are introduced.

Consumer Behavior Research (CBR)

In recent years, technological changes have significantly influenced the nature of consumption as the customer journey has transitioned to include more interaction on digital platforms that complements interaction in physical stores. Besides, this shift allows us to collect more data at different stages of the customer journey, which further allows us to analyze behavior in ways that were not previously available (Malter et al., 2020; Tong et al., 2020). Not only have technological advancements changed the nature of consumption but they have also significantly influenced the methods used in consumer research by adding both new sources of data and improved analytical tools (Ding et al., 2020; Ohme et al., 2020). The adoption of contemporary methods in consumer data analytics is slow and many businesses fail to understand their consumers as well as they want. The future of CBR is put into question by the advances in data science.

Data science

Data science (DS) combines multiple fields including statistics, scientific methods, and data analysis to extract value from data, being is an umbrella term used for multiple industries, such as data analytics, big data, marketing intelligence, data mining, machine learning and artificial intelligence, and predictive analytics, and is being increasingly adopted to analyze and predict consumer behavior (Cognetik, 2020; Sankaran, 2019).

Where:

Big Data. Big data is a collection of unstructured data that has very large volume, comes from variety of sources like web, business organizations etc. in different formats and comes to us with a great velocity which makes processing complex and tedious using traditional database management tools. The major demanding issues in big data processing include storage, search, distribution, transfer, analysis and visualization (Khade, 2016). In consumer behavior marketing, big data is used to analyze data points of a customer's journey from exploration to sale, powering marketers with tools and knowledge to make more informed decisions (Margalit, 2020; Saheb & Saheb, 2020).

Data Mining. Data mining and analytics have played an important role in knowledge discovery and decision making/supports in the process industry over the past several decades (Ge et al., 2017). Data mining is defined as a process used to extract usable data from a larger set of any raw data. It implies analyzing data patterns in large batches of data using one or more software.

Predictive Analytics (PA). The most widely used data set in consumer behavior, and the one we'll be referring mostly to in this article, is PA. Predictive behavior modeling can reveal many insights to support marketing strategy.

Machine Learning (ML). ML is used in DS to make predictions and also to discover patterns in the data, in situations where necessary the machine to learn from the big amounts of data, and then apply that knowledge to new pieces of data that streams into the system (Liu et al., 2018; Zolghadri & Couffin, 2018).

Artificial Intelligence (AI). Some researchers propose that AI is the field of study that describes the capability of ML just like humans and the ability and refers to programs, algorithms, systems and machines that demonstrate intelligence (Khanna et al., 2020; Shankar, 2018). This paper follows another way to describe AI, that depends not on its underlying technology but rather its marketing and business applications, such as automating business processes, gaining insights from data, or engaging consumers and employees (Davenport et al., 2020).

Marketing Intelligence. The term marketing intelligence refers to developing insights obtained from data for use in marketing decision-making (Eggert & Alberts, 2020). Data mining techniques can help to accomplish such a goal by extracting or detecting patterns or forecasting consumer behavior from large databases. Marketing intelligence has long been an implicit office standard, irrespective of specific big data solutions, systems or projects (Hu et al., 2019). It is already an implicit standard, because the term intelligence is often not even mentioned in science and practice, but impacts marketing practice as social engineering (Fan et al., 2015; Lies, 2019).

Methodology

To better understand challenges in decoding consumer behavior with DS, this paper presents a systematic literature review around the concepts, tools and techniques behind the increasing field of DS applied to CBR.

One way to achieve greater rigor and better levels of reliability in a literature review is to adopt a systematic approach, which allows the researcher to make a rigorous and reliable assessment of the research carried out within a specific topic (Brereton et al., 2007; Levy & Ellis, 2006). The result must be the "state of the art" and demonstrate that the research in question contributes something new to the existing body of knowledge, the methodological approach is mainly supported in three phases: input; processing, and output (Sampaio, 2007). The input phase begins with the definition and presentation of the main goal of this research: "Determine the most recent applications of DS techniques in CBR context".

After that, continues with the process of data source identification requiring the definition of rigorous string that suits the different bibliographic databases selected. Scientific articles (ar) or conference proceedings (cp) related to CBR and DS from six main academic databases were searched. These academic databases include Springer Link, Web of Science, Scopus, IEEE Explore, Google Scholar, and Science Direct. Concerning the goal of identify the publications related to research works around the application of DS in CBR, in the first, it is used the string: TITLE-ABS-KEY ("DS") AND TITLE-ABS-KEY ("CBR") AND (LIMIT-TO (DOCTYPE, "cp") OR LIMIT-TO (DOCTYPE, "ar")). So, applying exclusion and inclusion criteria cited, the total document results are 1029. In this case, as all results are about recent articles, published between 2016 and 2020, in the English language.

All the publications titles and abstracts were read manually for relevance checking. This process resulted in 968 publications being excluded. Lastly, 61 eligible publications were

selected and added 3 more from the snowballing process. The analyzed publications were investigated based on the relevance to the research domain and availability.

Findings and Discussion

A business may experience thousands of digital interactions with a single user across display, search, social, and on the site or app (He et al., 2018). These interactions take place on multiple devices, such as mobile, desktop, tablet, or wearable devices. Companies can use diverse consumer-related data (Batistič & der Laken, 2019). However, with the rise of AI and ML algorithms, analyzing data points from multiple data sources to create a holistic view of users is now realistic and attainable (Bąska et al., 2019; Sá et al., 2018).

Impact of DS.

The impact of DS has been felt across a range of activities, by providing solutions for many industries that have been struggling for a long time. The most active data generators and consumers are the public sector, healthcare, manufacturing, and retail (Novikov, 2020).

Specifically, the big data and business analytics market was valued at USD 138.9 billion in 2020 and is forecasted to grow up to USD 229.4 billion by 2025, at a Compound Annual Growth Rate of 10.6% during the forecast period (Market Reports World, 2020).

The paths to transform digital information into value and to allow companies to become data-driven can be schematized into four major components, presented in Table 1 (Mikalef et al., 2018; Piccialli et al., 2020).

Table 1. Four major components.

N	Component	Scope
1	Descriptive Analytics	concern most of the companies that use analytics tools aimed at describing the current/past situation of business processes and/or functional areas
2	PA	made up of advanced tools for data analysis and predictive models, going further than analyzing the historical data, helps to make the most educated guesses on what will happen in the future
3	Prescriptive Analytics	made up of advanced tools that allow decision-makers to have operational and strategic solutions based on analyses.
4	Automated Analytics	tools that allow you to implement the actions that are the result of analysis activities with forms of automation.

Recent strides in computing capabilities, increases in data transparency and open data sources, growth in the Internet of Things, and smartphone device usage are some of the drivers helping bridge the worlds of data, people, and things (Gupta et al., 2018). For many industries, DS has emerged as a leverage to predict trends and make informed decisions (Tkaczynski et al., 2018).

The Connection Between DS and CBR

Understanding how consumers think, feel, and respond to a company's offerings has always been a tricky business (Hsu, 2017). Marketing research relies on individual-level estimates to understand the rich heterogeneity of consumers, firms, and products (Dew et al., 2020).

Accessibility to large datasets enables the application of complex DS algorithms and tools to process huge amounts of bytes of unstructured information, allowing relevant feature extraction and recognizing high-level abstractions with increasing generalizability. In this

sense, DS tools, such as ML, have the potential to support several fields of research, including CBR, by the automation or resolution of complex tasks in time series prediction, classification, regression, diagnostics, monitoring, and so on (Exenberger & Bucko, 2020; Górriz et al., 2020).

Data is the new currency for the future and there are four main consumer data types (Table 2) to find out how companies in different industries can use them (Dew et al., 2020; Kolsarici et al., 2020; McKenny et al., 2018; Moulik, 2020; Raza et a., 2020; Skiera, 2016; Tong et al., 2020; Torrens, 2018; Wang et al., 2018).

Table 2. Four main consumer data types.

N	Data Type	Scope	Application
1	Transactional data	Transactional data relates to the transactions of the organization and includes data that is captured	In retail, purchase deepens a company's understanding of its customers' journeys
2	Data about service/product use	Service/product usage data tells you about the end-user, what they are doing while interacting with a product, when they use it, and for how long	Manufacturers can examine the data about product use to create a better customer experience, identify trends, gauge feature popularity, create product training tools, innovate etc.
3	Web behavior data	A company can analyze every move that their website visitors make: where they come from, which pages they open, how deep visitors' engagement is, etc.	Online stores apply this logic to track consumer behavior, identify consumer preferences, and make product recommendations with the help of PA
4	Data from consumer-created texts	Data generated by consumers in the form of text messages, reviews, tweets, emails, posts, and. blogs	Brands can study this content to better understand what their consumers think about their product or service by identifying trends, recognizing a positive or negative emotional tone of each piece of text, revealing complaints and problems to solve

The ability of DS to visualize consumer behavior has enabled to predict consumer likes and dislikes and has taken the capabilities beyond mere data collection and analysis. By incorporating the right tools and processes, businesses can now efficiently utilize the insights to influence the decisions of consumers through robust communication (Finoti et al., 2019).

3. Taking Consumer Behavior to the Next Level with DS

Behavioral research in information systems employing quantitative methods has traditionally relied on mainly survey-based approaches to gather subjective user data. With new advances in technology such as mobile computing, wearable devices, and social media, along with computational capabilities, organizations are in a position to leverage objective data in addressing IT issues typically addressed in behavioral research (Ducange et al., 2018; Motiwalla et al., 2019). DS takes data analysis to the next level, allowing businesses to predict what users might do (Khade, 2016).

Consumer analytics play an essential role in organizations since businesses have access to vast consumer interaction data from multiple channels, including mobile, social media, stores, and e-commerce sites (Chung & Park, 2018). Intended to provide the answers to diverse consumer-related questions, consumer analytics can embrace different types of business analytics. Relying on DS and ML, these two types can provide forecasts and recommend actions that a business can take (Auder et al., 2018).

Key concepts (Table 3) of Consumer analytics (Ahmad et al., 2019; Dew et al., 2020; Immonen et al., 2018; Khade, 2016; Khatri & Samuel, 2019; Kulczycki & Franus, 2020) :

Table 3. Key concepts of Consumer analytics

N	Concept	Scope	Application
1	Venn Diagram	Discover Hidden Relationships. Combine multiple segments to discover connections, relationships, or differences	Explore consumers that have bought different categories of products and easily identify cross-selling opportunities
2	Data Profiling	Identify Consumer Attributes Select records from the data tree and generate consumer profiles that indicate common features and behaviors	Use consumer profiles to inform effective sales and marketing strategies
3	Time Series Analysis	Forecasting	Forecasting enables us to adapt to changes, trends, and seasonal patterns.
4	Mapping	Identify Geographical Zones Mapping uses color-coding to indicate consumer behavior as it changes across geographic regions	A map divided into polygons that represent geographic regions shows where potential churners are or where specific products better sell
5	Association Rules	Cause/ Effect Basket Analysis	This technique detects relationship or affinity patterns across data and generates a set of rules that are most useful to business insights
6	Decision Tree	Classify and Predict Behavior Decision trees are one of the most popular methods for classification in various data mining applications and assist the process of decision making	Classification helps you do things like select the right products to recommend to particular consumers and predict potential churn

Consumer Behavior Analysis makes it possible to provide business decision-making information that contributes to the achievement of business goals, with the primary benefit being profit (Exenberger & Bucko, 2020).

Table 4 shows four strategic focus areas where PA can help increase profit (Alvi et al., 2019; Canakoglu et al., 2018; Chagas et al., 2020; Chkoniya & Mateus, 2019; Davenport et al., 2020; Ernst & Dolnicar, 2018; Fainshtein & Serova, 2020; Gallino & Rooderkerk, 2020; Khanna et al., 2020; Kuehn, 2020; Le & Liaw, 2017; Luu & Lim, 2018; Schmidt et al., 2020; Swain & Cao, 2019; Tarnowska & Ras, 2019; Voicu, 2020).

Table 4. Four strategic focus areas

N	Focus Area	Scope	Application
1	Personalized Marketing	By segmenting the market into specific subgroups based on similarities in behaviors, geographic location, or other demographics, marketers can better target groups	Generate customized recommendations based on a user's watch history, highlighting products consumer may be interested in
2	Demand Pricing	By evaluating the purchasing trends of consumers in each data set, marketers can better see what effect pricing decisions have on demand	More competitive pricing model over to surge pricing after noticeable changes in demand at various points throughout the year
3	Resource Allocation	With PA in place, a company can better forecast and segment where resources will need to be allocated to the most	Having properly allocated resources in place is vital to achieving your organization's objectives.
4	Forecasting	Arguably one of the most significant benefits of using data in consumer behavior analytics is forecasting	Creates intelligent and evidence-based estimates of sales goals based upon current and past sales performance reports.

Conclusion

In the future, AI is likely to substantially change both marketing strategies and consumer behaviors (Davenpor et al., 2020). The efficient implementation of DS will enable organizations to enhance the overall consumer experience by developing robust data analytics models (Fernández-Manzano & González-Vasco, 2018). In particular, marketers must incorporate analytics into their daily decisions around lead generation campaigns, advertising, events and the myriad other ways marketing investments are allocated to affect consumer satisfaction, brand awareness, trust, loyalty, consumer perceived value and consumer retention (Mosavi et al., 2018; Motiwalla et al., 2019).

This paper intended to give an overview of possible ways to anticipate consumer data intelligence development from the perspectives of a robust data set and deep AI expertise for better understanding, modeling, and predicting consumer behavior.

References

[1] Ahmad, S. R., Bakar, A. A., & Yaakub, M. R. (2019). A review of feature selection techniques in sentiment analysis. Intelligent Data Analysis, 23(1), 159–189. https://doi.org/10.3233/IDA-173763

[2] Alvi, A. K., Butt, U. U., & Zulqarnain, M. (2019). Mediating role of brand equity between the relationship of brand experience and brand preference. Gomal University Journal of Research, 35(2), 32–41.

[3] Auder, B., Cugliari, J., Goude, Y., & Poggi, J.-M. (2018). Scalable Clustering of Individual Electrical Curves for Profiling and Bottom-Up Forecasting. Energies (19961073), 11(7), 1893. https://doi.org/10.3390/en11071893

[4] Bąska, M., Pondel, M., & Dudycz, H. (2019). Identification of advanced data analysis in marketing: A systematic literature review. Journal of Economics & Management, 35(1), 18–39. https://doi.org/10.22367/jem.2019.35.02

[5] Batistič, S., & der Laken, P. (2019). History, Evolution and Future of Big Data and Analytics: A Bibliometric Analysis of Its Relationship to Performance in Organizations. British Journal of Management, 30(2), 229–251. https://doi.org/10.1111/1467-8551.12340

[6] Brereton, P., Kitchenham, B. A., Budgen, D., Turner, M., & Khalil, M. (2007). Lessons from applying the systematic literature review process within the software engineering domain. Journal of Systems and Software, 80(4), 571–583. https://doi.org/10.1016/j.jss.2006.07.009

[7] Canakoglu, E., Erzurumlu, S. S., & Erzurumlu, Y. O. (2018). How Data-Driven Entrepreneur Analyzes Imperfect Information for Business Opportunity Evaluation. IEEE Transactions on Engineering Management, 65(4), 604–617. https://doi.org/10.1109/TEM.2018.2826983

[8] Chagas, B. N. R., Viana, J., Reinhold, O., Lobato, F. M. F., Jacob Jr., A. F. L., & Alt, R. (2020). A literature review of the current applications of machine learning and their practical implications. Web Intelligence (2405-6456), 18(1), 69–83. https://doi.org/10.3233/WEB-200429

[9] Chkoniya, V. & Mateus, A. (2019). Digital Category Management: How Technology Can Enable the Supplier-Retailer Relationship. https://doi.org/10.4018/978-1-5225-5763-0.ch008

[10] Chung, C. J., & Park, H. W. (2018). Beyond data, innovation, social network, and convergence. Quality & Quantity, 52(2), 515–518. https://doi.org/10.1007/s11135-017-0669-2

[11] Cognetik, (2020). Leveraging Data Science to Understand User Behavior. Digital Marketing.

[12] Davenport, T., Guha, A., Grewal, D., & Bressgott, T. (2020). How artificial intelligence will change the future of marketing. Journal of the Academy of Marketing Science, 48(1), 24–42.

[13] Dew, R., Ansari, A., & Li, Y. (2020). Modeling Dynamic Heterogeneity Using Gaussian Processes. Journal of Marketing Research (JMR), 57(1), 55–77. https://doi.org/10.1177/0022243719874047

[14] Ding, Y., DeSarbo, W. S., Hanssens, D. M., Jedidi, K., Lynch, J. G., & Lehmann, D. R. (2020). The past, present, and future of measurement and methods in marketing analysis. Marketing Letters, 31(2), 175–186. https://doi.org/10.1007/s11002-020-09527-7

[15] Ducange, P., Pecori, R., & Mezzina, P. (2018). A glimpse on big data analytics in the framework of marketing strategies. Soft Computing - A Fusion of Foundations, Methodologies & Applications, 22(1), 325–342. https://doi.org/10.1007/s00500-017-2536-4

[16] Eggert, M., & Alberts, J. (2020). Frontiers of business intelligence and analytics 3.0: a taxonomy-based literature review and research agenda. Business Research, 13(2), 685–739. https://doi.org/10.1007/s40685-020-00108-y

[17] Ernst, D., & Dolnicar, S. (2018). How to Avoid Random Market Segmentation Solutions. Journal of Travel Research, 57(1), 69–82. https://doi.org/10.1177/0047287516684978

[18] Exenberger, E., & Bucko, J. (2020). Analysis of Online Consumer Behavior - Design of CRISP-DM Process Model. Agris On-Line Papers in Economics & Informatics, (3), 13–22. https://doi.org/10.7160/aol.2020.120302

[19] Fainshtein, E., & Serova, E. (2020). Value Proposition of Network Companies Providing Restaurant Services in Russia: Analysis and Evaluation (pp. 137–158). IGI Global. https://doi.org/http://doi:10.4018/978-1-7998-3115-0.ch008

[20] Fan, S., Lau, R. Y. K., & Zhao, J. L. (2015). Demystifying Big Data Analytics for Business Intelligence Through the Lens of Marketing Mix. Big Data Research, 2(1), 28–32. https://doi.org/10.1016/j.bdr.2015.02.006

[21] Fernández-Manzano, E.-P., & González-Vasco, M.-I. (2018). Analytic surveillance: big data business models in the time of privacy awarenesS. El Profesional de La Información, 27(2), 402–409. https://doi.org/10.3145/epi.2018.mar.19

[22] Finoti, L. L., Toaldo, A. M. M., Schwarzbach, L. C., & Marchetti, R. Z. (2019). Marketing Strategy Process: analyzing the sequential relationships among its strategic activities. Revista Brasileira de Gestão de Negócios, 21(5), 767–787. https://doi.org/10.7819/rbgn.v21i5.4031

[23] Gallino, S., & Rooderkerk, R. (2020). New Product Development in an Omnichannel World. California Management Review, 63(1), 81–98. https://doi.org/10.1177/0008125620951969

[24] Ge, Z., Song, Z., Ding, S. X., & Huang, B. (2017). Data Mining and Analytics in the Process Industry: The Role of Machine Learning. IEEE Access, 5, 20590–20616. https://doi.org/10.1109/ACCESS.2017.2756872

[25] Górriz, J. M., Ramírez, J., Ortíz, A., Martínez-Murcia, F. J., Segovia, F., Suckling, J., … Ferrández, J. M. (2020). Artificial intelligence within the interplay between natural and artificial computation: Advances in data science, trends and applications. Neurocomputing, 410, 237–270. https://doi.org/https://doi.org/10.1016/j.neucom.2020.05.078

[26] Gupta, A., Deokar, A., Iyer, L., Sharda, R., & Schrader, D. (2018). Big Data & Analytics for Societal Impact: Recent Research and Trends. Information Systems Frontiers, 20(2), 185–194. https://doi.org/10.1007/s10796-018-9846-7

[27] He, W., Tian, X., Hung, A., Akula, V., & Zhang, W. (2018). Measuring and comparing service quality metrics through social media analytics: a case study. Information Systems & E-Business Management, 16(3), 579–600. https://doi.org/10.1007/s10257-017-0360-0

[28] Hsu, M. (2017). Neuromarketing: inside the mind of the consumer. California Management Review, 59(4), 5–22.

[29] Hu, Y., Xu, A., Hong, Y., Gal, D., Sinha, V., & Akkiraju, R. (2019). Generating Business Intelligence Through Social Media Analytics: Measuring Brand Personality with Consumer-,

Employee-, and Firm-Generated Content. Journal of Management Information Systems, 36(3), 893–930. https://doi.org/10.1080/07421222.2019.1628908

[30] Immonen, A., Ovaska, E., & Paaso, T. (2018). Towards certified open data in digital service ecosystems. Software Quality Journal, 26(4), 1257–1297. https://doi.org/10.1007/s11219-017-9378-2

[31] Khade, A. A. (2016). Performing Customer Behavior Analysis using Big Data Analytics. Procedia Computer Science, 79, 986–992. https://doi.org/https://doi.org/10.1016/j.procs.2016.03.125

[32] Khanna, V., Ahuja, R., & Popli, H. (2020). Role of artificial intelligence in pharmaceutical marketing: a comprehensive review. Journal of Advanced Scientific Research, 11(3), 54–61.

[33] Khatri, V., & Samuel, B. M. (2019). Analytics for Managerial Work. Communications of the ACM. https://doi.org/10.1145/3274277

[34] Kolsarici, C., Vakratsas, D., & Naik, P. A. (2020). The Anatomy of the Advertising Budget Decision: How Analytics and Heuristics Drive Sales Performance. Journal of Marketing Research (JMR), 57(3), 468–488. https://doi.org/10.1177/0022243720907578

[35] Kuehn, K. S. (2020). Personalization 3.0: How Personality Can Predict Consumer Behavior (pp. 22–50). IGI Global. http://doi:10.4018/978-1-7998-3115-0.ch002

[36] Kulczycki, P., & Franus, K. (2020). Methodically Unified Procedures for a Conditional Approach to Outlier Detection, Clustering, and Classification. Information Sciences. https://doi.org/10.1016/j.ins.2020.08.122

[37] Le, T. M., & Liaw, S.-Y. (2017). Effects of Pros and Cons of Applying Big Data Analytics to Consumers' Responses in an E-Commerce Context. Sustainability, 9(5), 798. https://doi.org/10.3390/su9050798

[38] Levy, Y., & Ellis, T. (2006). A Systems Approach to Conduct an Effective Literature Review in Support of Information Systems Research. International Journal of an Emerging Transdiscipline, 9. https://doi.org/10.28945/479

[39] Lies, J. (2019). Marketing Intelligence and Big Data: Digital Marketing Techniques on their Way to Becoming Social Engineering Techniques in Marketing. International Journal of Interactive Multimedia and Artificial Intelligence, 5(5), 134–144. https://doi.org/10.9781/ijimai.2019.05.002

[40] Liu, Q., Feng, G., Wang, N., & Tayi, G. K. (2018). A multi-objective model for discovering high-quality knowledge based on data quality and prior knowledge. Information Systems Frontiers, 20(2), 401–416. https://doi.org/10.1007/s10796-016-9690-6

[41] Luu, M.-D., & Lim, E.-P. (2018). Do your friends make you buy this brand? Data Mining & Knowledge Discovery, 32(2), 287–319. https://doi.org/10.1007/s10618-017-0535-9

[42] Malter, M. S., Holbrook, M. B., Kahn, B. E., Parker, J. R., & Lehmann, D. R. (2020). The past, present, and future of consumer research. Marketing Letters, 31(2/3), 137–149. https://doi.org/10.1007/s11002-020-09526-8

[43] Margalit, L. (2020). If You Want to Trigger an Emotional Purchase, Don't Make Your Customers Think: Understanding Customer Decision Making (pp. 176–192). IGI Global. http://doi:10.4018/978-1-7998-3115-0.ch010

[44] Market Reports World. (2020). Big Data Market by Component, Deployment Mode, Organization Size, Business Function (Operations, Finance, and Marketing and Sales), Industry Vertical (BFSI, Manufacturing, and Healthcare and Life Sciences), and Region - Global Forecast to 2025.

[45] McKenny, A. F., Aguinis, H., Short, J. C., & Anglin, A. H. (2018). What Doesn't Get Measured Does Exist: Improving the Accuracy of Computer-Aided Text Analysis. Journal of Management, 44(7), 2909–2933. https://doi.org/10.1177/0149206316657594

[46] Mikalef, P., Pappas, I. O., Krogstie, J., & Giannakos, M. (2018). Big data analytics capabilities: a systematic literature review and research agenda. Information Systems & E-Business Management, 16(3), 547–578. https://doi.org/10.1007/s10257-017-0362-y

[47] Mosavi, S. M., Sangari, M. S., & Keramati, A. (2018). An integrative framework for customer switching behavior. Service Industries Journal, 38(15/16), 1067–1094. https://doi.org/10.1080/02642069.2018.1428955

[48] Moses, E., & Clark., K. R. (2020). The Neuromarketing Revolution: Bringing Science and Technology to Marketing Insight (pp. 449–464). Hershey, PA, USA: IGI Global. http://doi:10.4018/978-1-7998-3115-0.ch024

[49] Motiwalla, L., Deokar, A. V, Sarnikar, S., & Dimoka, A. (2019). Leveraging Data Analytics for Behavioral Research. Information Systems Frontiers, 21(4), 735–742. https://doi.org/10.1007/s10796-019-09928-8

[50] Moulik, S. (2020). Data as the New Currency-How Open Source Toolkits Have Made Labeled Data the Core Value in the AI Marketplace. Academic Radiology, 27(1), 140–142. https://doi.org/10.1016/j.acra.2019.09.016

[51] Novikov, S. V. (2020). Data Science and Big Data Technologies Role in the Digital Economy. TEM Journal, 9(2), 756–762. Retrieved from http://10.0.71.245/tem92-44

[52] Ohme, R., Matukin, M., & Wicher, P. (2020). Merging Explicit Declarations with Implicit Response Time to Better Predict Behavior (pp. 427–448). IGI Global. http://doi:10.4018/978-1-7998-3115-0.ch023

[53] Piccialli, F., Bessis, N., & Jung, J. J. (2020). Guest Editorial: Data Science Challenges in Industry 4.0. IEEE Transactions on Industrial Informatics, Industrial Informatics, IEEE Transactions on, IEEE Trans. Ind. Inf., 16(9), 5924–5928. https://doi.org/10.1109/TII.2020.2984061

[54] Raza, M., Abd Rani, S. H., & Md Isa, N. (2020). Determinants of brand authenticity of high quality appareL INDUSTRY IN DEVELOPING COUNTRY: A MODERATING EFFECT OF ENTREPRENEURIAL. International Journal for Quality Research, 14(3), 913–930. https://doi.org/10.24874/IJQR14.03-17

[55] Sá, C. R. de, Duivesteijn, W., Azevedo, P., Jorge, A. M., Soares, C., & Knobbe, A. (2018). Discovering a taste for the unusual: exceptional models for preference mining. Machine Learning, 107(11), 1775–1807. https://doi.org/10.1007/s10994-018-5743-z

[56] Saheb, T., & Saheb, T. (2020). Understanding the development trends of big data technologies: an analysis of patents and the cited scholarly works. Journal of Big Data, 7(1), 1–26. https://doi.org/10.1186/s40537-020-00287-9

[57] Sampaio, R. (2007). Estudos de revisão sistemática: um guia para síntese criteriosa da evidência científica. Revista Brasileira De Fisioterapia, 11. https://doi.org/10.1590/S1413-35552007000100013

[58] Sankaran, V. (2019). Empowering Consumer Research with Data Science. 2019 Amity International Conference on Artificial Intelligence (AICAI), Artificial Intelligence (AICAI), 2019 Amity International Conference On. https://doi.org/10.1109/AICAI.2019.8701356

[59] Schmidt, P. J., Church, K. S., & Riley, J. (2020). Clinging to Excel as a Security Blanket: Investigating Accountants' Resistance to Emerging Data Analytics Technology. Journal of Emerging Technologies in Accounting, 17(1), 33–39. https://doi.org/10.2308/jeta-52645

[60] Shankar, V. (2018). How Artificial Intelligence (AI) is Reshaping Retailing. Journal of Retailing, 94(4), vi–xi. https://doi.org/https://doi.org/10.1016/S0022-4359(18)30076-9

[61] Skiera, B. (2016). Data, Data and Even More Data: Harvesting Insights from the Data Jungle. GfK-Marketing Intelligence Review, 8(2) https://doi.org/10.1515/gfkmir-2016-0010

[62] Swain, A. K., & Cao, R. Q. (2019). Using sentiment analysis to improve supply chain intelligence. Information Systems Frontiers, 21(2), 469.

[63] Tarnowska, K. A., & Ras, Z. W. (2019). Sentiment analysis of customer data. Web Intelligence (2405-6456), 17(4), 343–363. https://doi.org/10.3233/WEB-190423

[64] Tkaczynski, A., Rundle-Thiele, S. R., & Prebensen, N. K. (2018). To segment or not? That is the question. Journal of Vacation Marketing, 24(1), 16–28. https://doi.org/10.1177/1356766716679482

[65] Tong, S., Luo, X., & Xu, B. (2020). Personalized mobile marketing strategies. Journal of the Academy of Marketing Science, 48(1), 64–78. Retrieved from http://10.0.3.239/s11747-019-00693-3

[66] Torrens, G. E. (2018). The order and priority of research and design method application within an assistive technology new product development process: a summative content analysis of 20 case studies. Disability & Rehabilitation: Assistive Technology, 13(1), 66–77. https://doi.org/10.1080/17483107.2017.1280547

[67] Voicu, M.-C. (2020). Research on the Impact of Social Media on Consumer Trust. Global Economic Observer, 8(1), 120–132.

[68] Wang, W. M., Li, Z., Liu, L., Tian, Z. G., & Tsui, E. (2018). Mining of affective responses and affective intentions of products from unstructured text. Journal of Engineering Design, 29(7), 404–429. https://doi.org/10.1080/09544828.2018.1448054

[69] Zolghadri, M., & Couffin, F. (2018). One-off or batch upgrading of complex products and systems: concepts, data model and analysis framework. Research in Engineering Design, 29(2), 263–284. https://doi.org/10.1007/s00163-017-0268-1

Social Distancing V. Physical Distancing – Why is the Term Social Distancing Globally Accepted in Times of the COVID-19 Pandemic?

Manuela Svoboda

PhD, Lecturer of Faculty of Humanities and Social Sciences,

University of Rijeka, Sveucilisna avenija 4

Abstract

Many measures are being taken during the worldwide COVID-19 pandemic in 2020. One of the primary concepts that appeared throughout the media was "social distancing". Over the months, this term rose to become an omnipresent catchword, used over and over in the news on TV, the radio, in newspapers and journals as well as in everyday communication. In this article the term "social distancing" will be examined in relation to the term "physical distancing". Is it "social distancing" or "physical distancing" that is preventing us from being infected with the virus? The term "social distancing" is analysed from a linguistic, socio-historical and psychological point of view and its use is questioned in the context of the dominant imperative. Furthermore, an attempt will be made to uncover when and in which context the term "social distance" was established and why it has been adopted worldwide during the COVID-19 pandemic, whereas the term "physical distancing", which the author considers to be more appropriate within the context of the recommended measures, was neglected, even though this is the term the WHO is using in their instructions and guidelines.

Keywords: COVID-19, social distancing, physical distancing, imperative, pandemic

Introduction

During the COVID-19 pandemic one term among an array of slogans such as *flatten the curve*, *wash your hands, be responsible/stay responsible*, *wear a mask, new normal* has gone viral globally: *social distancing*. It was one of the initial and imperative measures for preventing the spread of the virus issued by the health ministers and the Crisis Management Committees around the world.

Countries worldwide introduced this term and adopted it: *soziale Distanz* (German), *socijalna distanca* (Croatian/Serbian/Bosnian), *distance sociale* (French), *distanca soziale* (Italian), *distancia social* (Spanish), *distância social* (Potugese), *социальная дистанция* (Russian), *dystans społeczny* (Polish) and the list goes on. But why exactly is it termed *social* distance and is it possible to utilize a term such as this in all languages and cultures for the same purpose?

Nowadays, it is easy to spread the word through social media and media in general. A picture, slogan or even fake news goes viral within seconds and considering that the English language is used as a lingua franca, most of the things we see and read in social media, or the media in general, are precisely in this language. More often than not, certain terms are not even

translated. However, the rules seem to differ with regards to the term *social distancing*, as it was translated into plenty of languages all over the world. This was supposedly done to make sure that everyone, including the older population and those who do not speak English, understand it.

Yet, this raises the question of whether the term was transferred/translated correctly to the other languages. Does it really signify the same meaning if we speak of *social distancing*, *soziale Distanz* or *socijalna distanca*?

When consulting the web concerning the term *social distancing*, one will uncover plenty of definitions and explanations related to the COVID-19 pandemic. This is the result of the current hype regarding the pandemic additionally being pumped up by the media[1]:

"Social distancing, also called "physical distancing," means keeping a safe space between yourself and other people who are not from your household.

To practice social or physical distancing, stay at least 6 feet (about 2 arms' length) from other people who are not from your household in both indoor and outdoor spaces.

Social distancing should be practiced in combination with other everyday preventive actions to reduce the spread of COVID-19, including wearing masks, avoiding touching your face with unwashed hands, and frequently washing your hands with soap and water for at least 20 seconds."

(https://www.cdc.gov/coronavirus/2019-ncov/prevent-getting-sick/social-distancing.html)

The confusion with respect to this term began at the very moment it was spread all over the media. Thus, various authors and academics reacted to this immediately, one of which was the legal expert Wolfgang Mazal from the University in Vienna:

""Social distancing" ist eine Wendung der Fachsprache unter anderem der Epidemiologie, die in den letzten Tagen in die öffentliche Debatte Eingang gefunden hat; allerdings wäre da semantisch mehr Sorgfalt geboten, weil in der Fachsprache andere gedankliche Assoziationen ablaufen als in der Alltagssprache. Stimmt es wirklich, dass "social distancing" das Gebot der Stunde ist, um katastrophale Bilder, wie wir sie aus Italien und Spanien sehen, in Österreich nicht Realität werden. [...] Fest steht jedenfalls, dass vor dem Hintergrund des lateinischen Wortstamms "soc", der "Verbundenheit" signalisiert, eher das Gegenteil von sozialer Distanz zu beobachten ist: Familien, Freund*innen, Kolleg*innen, fühlen sich in den letzten Tagen stärker denn je für einander verantwortlich und rücken gedanklich immer näher zusammen. [...] Ich finde daher, wir sollten das Wording wechseln und ab nun eher von "physical distancing" sprechen. Diese Wendung trifft die tatsächlichen Gegebenheiten besser und ist auch zukunftsfester: Gerade in den auf uns zukommenden Monaten wäre es nämlich fatal, wenn sich die Denkfigur von der sozialen Distanz im Denken eingenistet hat, selbst wenn physische Nähe wieder möglich sein wird! (https://medienportal.univie.ac.at/uniview/wissenschaft-gesellschaft/detailansicht/artikel/soziale-distanz-das-falsche-wording)

---

[1] It was very interesting to see that it is completely impossible to find the term *social distance or social distancing* in any other context but in the COVID-19 context on Google. No matter what you type, how you try to find another context, it is just impossible, the results are always the same and always relating to the present pandemic. In order to find literature on social distancing in the socio-historical context other search engines but Google had to be consulted.

("Social distancing" is a technical term used in epidemiology, among other fields, which has entered the public debate in recent days. However, semantically it should be treated with more care, as the occurring associations in technical language are different from those in everyday language. Is it true that "social distancing" is the order of the day to prevent catastrophic images, such as in Italy and Spain, from becoming reality in Austria? [...] In any case, it is clear that given the fact that the Latin word stem "soc" signals "solidarity", the opposite of social distance can be observed: families, friends and colleagues feel responsible for each other more than ever before and are moving closer together in their thoughts. [...] I therefore think we should, from now on, change the wording and rather speak of "physical distancing". This term is better suited to the actual circumstances and is also more future-proof: Especially in the months ahead, it would be fatal if the mental figure of social distance became embedded in the thoughts, even if physical proximity will be possible again![1])

The term *social distancing* IS used as technical term in the medical field as can be found in the Merriam-Webster Dictionary:

"Social distancing, noun, definition of social distancing, medical: the practice of maintaining a greater than usual physical distance (such as six feet or more) from other people or of avoiding direct contact with people or objects in public places during the outbreak of a contagious disease in order to minimize exposure and reduce the transmission of infection: PHYSICAL DISTANCING." (https://www.merriam-webster.com/dictionary/social%20distancing#h1)

It also states that the first known use of the term in the sense described above was in 2004 during the swine flu pandemic and has obviously been transferred to the COVID-19 pandemic in 2020. The term *social distancing* was not used prior to this during other pandemics. According to Furedi, the sociologist Karl Mannheim was the first to use the aforementioned term in a similar context in the 1950s:

"Mannheim was probably the first sociologist to explore the relationship between social distance and what today is characterised as "safe space". Writing in the 1930s and preoccupied by the threat of totalitarian movements, Mannheim referred to safe space in his discussion of social distance, which he claimed could signify both "an external or spatial distance" or an "internal or mental distance". Mannheim believed that the impulse towards distancing was bound up with the need to regulate and control anxiety. [...] It was in the context of the fears that emerged in the inter-war era that Mannheim located the aspiration for a safe space." (Furedi 2020: 393)

Even Wikipedia attempts to indicate that differences exist between the terms *social distancing* and *social distance* or *social isolation* and seeks to clarify them:

"Not to be confused with Social distance or Social isolation.

In public health, social distancing, also called physical distancing,[2][3][4] is a set of non-pharmaceutical interventions or measures intended to prevent the spread of a contagious disease by maintaining a physical distance between people and reducing the number of times people come into close contact with each other.[2][5] It typically involves keeping a certain distance from others (the distance specified may differ from time to time and country to country) and avoiding gathering together in large groups." (https://en.wikipedia.org/wiki/Social_distancing)

---

[1] Free translation by the author.

But why then is it deemed *social* distancing and not *physical* distancing? It surely does not mean the same if you distance yourself socially or physically, yet the two terms are used synonymously all over the media. Moreover, the term *physical distancing* is used very seldomly or not at all.

On the other hand, when consulting the web pages of the World Health Organization they, interestingly enough, do NOT use the term *social distancing* but state the following:

"Maintain at least 1 metre (3 feet) distance between yourself and others. Why? When someone coughs, sneezes, or speaks they spray small liquid droplets from their nose or mouth which may contain virus. If you are too close, you can breathe in the droplets, including the COVID-19 virus if the person has the disease.

Avoid going to crowded places. Why? Where people come together in crowds, you are more likely to come into close contact with someone that has COVID-19 and it is more difficult to maintain physical distance of 1 metre (3 feet)."

(https://www.who.int/emergencies/diseases/novel-coronavirus-2019/advice-for-public)

The World Health Organization does, in fact, use the (proper) term *physical distance*, as opposed to that which is used by politicians and the mass media.

Methodology

This research is a qualitative research. The purpose of this research was to study the use of the term *social distancing* versus the term *physical distancing* in times of the Covid-19 pandemic in the English, German and Croatian language with regards to the historical, socio-economic and psychological implications it has. In addition, the attempt was made to explore when the term *social distancing* was introduced and why it was accepted in all three languages. Data was collected and analysis performed based on available material, i.e. research articles and newspaper articles as well as information available on government and institutional web pages.

Social distancing v. physical distancing – a definition of terms

Let us look at the term *social distancing* from a linguistic point of view. In the German language[1] especially, the word *sozial* has a deeper and more significant meaning than the English word *social*.

If we look up synonyms for the word *social* in English, the most relevant ones are: civil, communal, collective, common, community, cordial, familiar, general, group, nice, sociable, societal, amusing, communicative, companionable, convivial, diverting, entertaining, gracious, gregarious, hospitable, organized, pleasant, pleasurable, popular etc. (https://www.thesaurus.com/browse/social)

Hence, this term may work in the English-speaking world, as it can be used to express the avoidance of crowded places and close contact with other individuals, yet, the term *physical distancing* conveys, in a better sense, what is intended. When we look up the term *physical* in the same sources, the thesaurus gives us the following synonyms in English: *environmental,*

---

[1] The author will limit comments to the German and the Croatian language as these are her native languages.

natural, real, substantial, concrete, corporeal, gross, materialistic, objective, palpable, phenomenal, ponderable, sensible, solid, somatic, visible.

(https://www.thesaurus.com/browse/physical?s=t)

Therefore, this instead refers to spatial distance which is (or is not?) what is implied by the term *social distancing* in times of the pandemic.

If we search for the synonyms of the word *sozial* in German it is apparent that they differ somewhat from the English term: *uneigennützig, mitleidig, anteilnehmend, mitfühlend, sanftmütig, sanft, barmherzig, mildtätig, menschlich, gutherzig, menschenfreundlich, altruistisch etc.* (https://www.synonyme.de/sozial)

This connotation is intended to more or less signify a sense of *compassion* or *sympathy*, which does not highlight the intended meaning, but rather leads us in another direction: should people distance themselves from being humane and not empathize with others? Do health ministers and other politicians really want us to be compassionless and selfish amid the pandemic?

If we consider the term *physisch,* the corresponding synonyms are i.a.: *körperlich, leiblich, leibhaftig, greifbar, gegenständlich, natürlich, organisch, materiell, körperhaft, inhaltlich, körperhaft, wirklich, etc.* (https://www.synonyme.de/physisch/) Again, we can observe that the connotation for *physische Distanz* would be intended to suggest a sense of spatial and bodily distance, as opposed to the connotation *soziale Distanz,* which it originally has in German. As a matter of fact, in German the term *körperlich* exists which more precisely describes this *bodily* distance and yet it is not used.

Let us have a look at a third language, Croatian, in which the term *socijalna distanca* was also adopted. The synonyms we uncover, depending on context, are: *društveno, klasno, kulturalno, intelektualno, moralno, nacionalno, razvojno, ekonomsko, rodno, materijalno, životno, emocionalno, političko, jezično etc.* (https://www.kontekst.io/hrvatski/socijalno)

It is evident that the word *socijalno* has a very wide range of meanings in the Croatian language, ranging from political to emotional and economical, i.a. meaning *cultural, emotional, political national, economical* and even referring to *class affiliation*. Again, it does not bear the same meaning as the English word *social* considering that an array of areas can be covered by this term thus rendering it unclear to the average person. One cannot assume that everyone is familiar with technical medical terms used in epidemiology.

The term *fizičko* is synonymous with the following: *tjelesno, praktički, mentalno, očito, praktično, tehnički etc.* (https://www.kontekst.io/hrvatski/fizicki) In Croatian as well, the synonym of *fizičko* is *tjelesno,* referring to bodily distance, i.e. two bodies keeping distance between each other or in English *physical* distancing. Still, the Croats, as in all the other countries, adopted the term *socijalna distanca*.

The German author Regula Venske gets to the heart of it in a newspaper article:

„Während wir im Deutschen mit dem Wort "sozial" einen sehr aufgeladenen Begriff haben. Wenn wir an unsere Parteien denken, von der Sozialdemokratie bis zur Christlich-Sozialen Union, die Soziale Marktwirtschaft - da ist "sozial" immer assoziiert mit gesellschaftlicher Solidarität, mit Verantwortung, mit Fürsorge und Gemeinsinn. Wenn wir jetzt von "sozialer Distanz" sprechen, dann könnte das ein ganz falsches Signal geben. Es könnte Menschen, die sich sowieso schon an

der Einkommensgrenze befinden oder die sich abgehängt fühlen und jetzt große Ängste haben, in diesem Gefühl der Mutlosigkeit oder der Panik bestärken. Statt "sozialer Distanz" sollten wir eher "physische" oder "räumliche Distanz" sagen, oder "körperlicher Abstand". Es gibt schlichte deutsche Worte, die jetzt viel passender sind." (https://www.ndr.de/kultur/Corona-Die-Wirkung-von-Sprache-in-Krisenzeiten,venske118.html)

(In German, the word "social" is a very strong, emotionally charged term. When we think of our parties, from the Social Democrats to the Christian Social Union, or the social market economy - "social" is always associated with social solidarity, responsibility, care and public spirit. If we now speak of "social distance", this could send a completely wrong signal. It could encourage people who are already at the income limit or who feel abandoned and are in great fear, to feel discouraged or panicky. Instead of "social distance" we should rather say "physical" or "spatial distance". There are simple German words that are much more appropriate now[1].)

In conclusion, it can be said that the meaning of the English word *social* does not correspond to the meaning of the German word *sozial* or that of the Croatian word *socijalno*. Hence, it would have been more appropriate to use the term *physical distancing* rather than *social distancing* in, at least, the German and the Croatian language in order to avoid confusion. Of course, one can argue that this term is used as a technical term in epidemiology and other scientific fields, but is it appropriate to use it for the broader masses who are not familiar with these sciences? The term *social* is considered new in technical medical language as well, as it was not introduced prior to 2004 or during any other pandemic. In the author's opinion, the usage of this specific and ambiguous term leads to confusion, uncertainty and even greater panic among the population, which is counterproductive in the current scenario of a worldwide pandemic.

Social distancing –from the socio-historical point of view

If we look at the omnipresent term *social distancing* or *social distance* from a socio-historical perspective, one comes to the understanding that it was formerly used to define class distinction and was even used to address race as the term *social distancing* has a long history and, one might assert, has lived several lives:

"It and its precursor, 'social distance', had long been used in a variety of colloquial and academic contexts, both as prescriptions and descriptions, before being taken up by epidemiologists in this century. In the nineteenth century, "social distance" was a polite euphemism used by the British to talk about class and by Americans to talk about race." (Scherlis 2020:1)

Furthermore, in her article, Scherlis illustrates the socio-historical aspect as well as the connotations attached to the term *social distancing* in the 19th century Anglophone world which, back then, was used to refer to social class as well as to racism. It was usual practice to separate the noblesse from working people and the term *social distancing* or *social distance* had dual meanings:

"Social distance is both a prescription for interpersonal behavior and a way to figure mass inequality." (Scherlis 2020:3)

---

[1] Free translation by the author.

In addition, the term was used in the United States to express the continuing superiority of white people after the abolition of slavery:

"The term's softness glossed over the realities of slavery and later anti-black violence, as well as the challenges formerly enslaved people faced in making a livelihood." (ibid.)

A closer definition of *social distancing* in the sense of racism is to be found in Park and Burgess' book *Introduction to the Science of Sociology* from 1921:

"The simplest and most fundamental types of behavior of individuals and of groups are represented in these contrasting tendencies to approach an object or to withdraw from it. If instead of thinking of these two tendencies as unrelated, they are thought of as conflicting responses to the same situation, where the tendency to approach is modified and complicated by a tendency to withdraw, we get the phenomenon of social distance. There is the tendency to approach, but not too near. There is a feeling of interest and sympathy of A for B, but only when B remains at a certain distance. Thus, the Negro in the southern states is "all right in his place." The northern philanthropist is interested in the advancement of the Negro but wants him to remain in the South. At least he does not want him for a neighbor. The southern white man likes the Negro as an individual, but he is not willing to treat him as an equal. The northern white man is willing to treat the Negro as an equal but he does not want him too near. The wishes are in both cases essentially the same but the attitudes are different." (Park/Burgess 1921: 440)

Sadly, even today many people still tend to garner these beliefs. In the United States, coloured people might still be an issue to some whites and in Europe there are other races that are not regarded as equal, especially in reference to the ongoing migration wave throughout Europe.

Worth mentioning is a study done by Robert Park and his former student Emory S. Bogardus at the beginning of the 20th century which was performed due to a surge of non-Protestant, e.g. Asian, immigration to the United States. The scientist Bogardus established the so-called Social Distance Scale which made it possible to measure how distance is related to prejudices. Thus, they established degrees of intimacy and asked respondents to define how much intimacy/distance they would deem acceptable with regards to members of a certain group:

"The Social Distance Scale usually consists of five to seven statements that express progressively more or less intimacy toward the group considered. Typical scale anchors are "would have to live outside of my country (7)" and "would marry (1)" (Cover 1995:403). In this case, a respondent who accepts item "seven" would be more prejudiced than a respondent who marks item "one" or any other item on the scale. The cumulative aspect also means that a respondent who expresses a given degree of intimacy will endorse items expressing less intimacy. A respondent willing to accept a member of a group in their neighborhood will also accept that same group in their country. Conversely, those who refuse to accept a group in their country will also refuse to accept them in their neighborhood." (Wark/Galliher 2007:386)

This simple, unidimensional and cumulative scale makes it possible to measure the relations between specific social groups. It can also be transferred to other areas of social life, e.g. schools or hospitals in order to measure the dynamics between teachers and students or doctors and patients and was also used during the 1990s when the AIDS virus emerged in order to measure the hostility of people towards fellow infected citizens.

Initially, the AIDS virus was stigmatized as being transferred between gay men and not until much later was it acknowledged as a chronic disease:

"Indeed, the disease was initially termed GRID, the gay-related immunodeficiency disease, and those stricken who denied homosexual contacts were often assumed to be lying." (Fee/Krieger 1993: 1478)

This led to *social distancing* which was caused by fear and stigmatization of infected individuals. Hence, this can be compared to stigmatization and fear of people with the plague or leprosy in the Middle Ages, but unlike then, only a distinct group of people were initially subjected to this type of behaviour.

In 1995 Leiker et al. used the Social Distance Scale in order to measure the behaviour towards people infected with AIDS, which was characterised by antipathy and homophobia:

"First, we found that stigma increased as homophobia increased in all four PWA[1] conditions[2]. Second, stigma increased as AIDS knowledge decreased in the IV drug use and blood transfusion conditions. Third, women attached less stigma than men in all but the heterosexual condition. Fourth, in the blood transfusion condition, stigma decreased as religiosity increased." (Leiker et al. 1995:333)

People were so apprehensive of this disease that they did not want to find themselves anywhere near an individual with AIDS, even though the infection was transferred by way of bodily fluids such as blood or semen and not through airborne droplets.

When applying the Social Distancing Scale to the COVID-19 pandemic in 2020 it can be downscaled to the options: allowing a person into a radius of 2m with a mask or without one, as this virus, according to experts, is airborne and more infectious than other known SARS viruses.

Furthermore*, social distancing* was practised throughout history in many ways, as can be seen in this chapter, yet

"most of the scholars who studied social distance in the twentieth century hoped to reduce it. […] To participate in social distancing was to devalue a person; the study of social distance objectified these devaluations on a macro scale." (Scherlis 2020:7)

Now, in the 21st century, *social distancing* has once again made its grand re-entrance and nowadays is not to be perceived as a devaluation of a person but rather as a kind of *superpower* used to save the world, albeit the social and historical implications point to anything but this.

Social distancing –from the psychological point of view

One of the important, if not most important factors concerning *social distance* that we must consider is psychological. How do people respond to being socially or physically separated from other human beings?

It is well-known that humans are social beings and a basic need is for them to be in contact with others - to talk, hug, shake hands, kiss, etc. and it is precisely these basic needs that are banned during the Covid-19 pandemic. How does a grandmother feel if she is not allowed to hug or kiss her grandchild? How do work colleagues feel when they have to avoid any physical

---

[1] PWA = Persons with AIDS

[2] According to the authors the four behaviors for developing AIDS are the following: homosexual sex, IV drug use, heterosexual sex, or a blood transfusion

contact? But most of all, how do children cope with not being allowed to play with their friends, to hug or touch another person?

Communication is also an important element of the human being, it not only being based on words, but also on facial expressions and gestures. How do people perceive suddenly being surrounded by faceless mask wearers? How can one communicate if one cannot observe facial expressions or understand words all too well due to the mouth being covered? Hearing impaired individuals are faced with a tremendous challenge because they largely depend on lip-reading in everyday life, as not everyone is able to communicate with them in sign language.

On the one hand, social contact is prevented and yet on the other hand, primary family contacts have been strengthened during the lockdown. The "locking up" of the family in an apartment or house made it impossible to separate or to be alone, which is also a basic human need. For a time, children did not go to school and parents did not go to work. They all needed to complete their assignments at home. They had to educate themselves, follow online lessons, participate in business meetings, all this while being surrounded by the entire family.

More affluent families have the advantage of living in a larger house, each child having their own room, computer, laptop, tablet, their own garden etc. But what about socially weaker families who may live in a two-room apartment with four children? Those of whom do not have a balcony, let alone a garden? How long can people bear this togetherness? What does it do to them? Certainly, peoples' nerves in this situation are often on edge.

"This COVID-19 pandemic itself may lead to an increase in the number of cases of depressive disorders and anxiety disorders along with loneliness, social isolation, substance abuse, and a rise in domestic violence. They also warn that with the schools closed, there is a risk of a sharp rise in the number of cases of child abuse across the nations." (https://www.news-medical.net/news/20200412/What-are-the-side-effects-of-social-and-physical-distancing)

According to the newspapers, there has been an obvious rise in domestic violence and child abuse even though additional help phones and advice centres were set up. The true extent of this will most likely only become apparent after a considerable amount of time has passed. Considering that not everyone reports domestic violence or child abuse, the number of unreported cases is most certainly much higher. (cf. https://www.ndr.de/nachrichten/mecklenburg-vorpommern/Offenbar-mehr-haeusliche-Gewalt-in-Corona-Krise,coronavirus2562.html)

Regretfully, social distancing is being practiced in its most severe form during the Covid-19 pandemic, and includes but is not limited to:

"Standing apart from others at a 5-foot or higher distance, especially in public areas and while waiting in lines

Limiting the number of people allowed into a location at a time

Limiting the number of people allowed to travel per vehicle

Introducing remote options for work and education

Imposing curfews

Closing establishments and locations that typically contain a relatively high number of people, such as eateries or swimming pools

Banning gatherings of a certain amount of people or higher

Stopping all services apart from essential services

Enforcing movement restriction orders

Enforcing full lockdowns that prevent individuals from leaving their homes"

(https://www.powerofpositivity.com/social-distancing-affects-mental-health)

As a matter of fact, all personal freedoms which people took for granted have been limited or taken away from them. From one day to the next, people must stay at home, not allowed to do this, not allowed to do that. A feeling of being imprisoned has emerged. This is coupled with a fear for one's own life and for the lives of one's relatives, with whom one was not allowed to be close (socially/physically) just when that was what was needed the most. Apprehension coupled with the feeling of being trapped and not knowing how long this condition will last is most certainly not for individuals with weak nerves.

Suddenly people must change their habits, adjust to a completely new reality and wait to see what will happen. Certainly, there is nothing worse than sitting around, waiting and not being able to alter the situation or help oneself in any way:

"Waiting is one of the most unpleasant experiences people regularly endure: waiting for an exam grade, a medical diagnosis, results from a job interview or audition. There are myriad words in the English language for unpleasant feelings associated with waiting: "fear," "anxiety," "dread," "trepidation." Remarkably and, tellingly, there aren't many words in the English language for a pleasurable state of waiting, though "anticipation" may fall into that category. (https://www.marketwatch.com/story/people-find-waiting-incredibly-unpleasant-a-behavioral-economist-on-why-doing-nothing-during-the-coronavirus-pandemic-is-so-hard-and-how-to-make-it-easier-2020-04-01)

With regards to the lockdown, the concept of social distance can certainly be viewed in a more differentiated way. Following the lockdown, the focus is, to a greater extent, on physical distance, while during the lockdown it is possible to see social distance in its original form and definition mentioned in chapter 2. It can be said that physical distance is also guaranteed, but "only" outside of the immediate family or possibly roommates. In this context, the term can also be equated with social isolation, e.g. when it comes to single or elderly people who live in social isolation rather than physically distant isolation as would be the case in retirement or nursing homes. It is especially hard for elderly people as they already have fewer social contacts due to their age, are not employed, their children have families of their own and may not have enough time for them. Not only are they at an increased risk for more severe illness from the virus that this disease causes, due to being immunocompromised and often having underlying conditions, but also of social distancing and isolation:

Almost 25% of all elderly individuals aged 65 and over experience some degree of social isolation, typically meaning that they already have few interactions with other individuals. Among this group, 40% of those aged 60 or older say that they feel lonely, too. This means that the elderly are already suffering ill-effects from social isolation, and social distancing can make it much worse." (https://www.powerofpositivity.com/social-distancing-affects-mental-health)

Not only was the lockdown a challenge for elderly people but also, or maybe especially, for the young. In contrast to older individuals, the younger ones have active social contacts and interactions. They go to school, university, work, enjoy going out and meeting friends. Suddenly none of this was possible anymore. No work, school or university, no cafes, cinemas, shopping centres, no bars, clubs, fitness centres or sports clubs, no hairdressers, nail studios or massages, no swimming pools, amusement parks, concerts, no operas... Even food shopping and going out for a walk was questionable.

As consolation or countermeasure during the lockdown, people referred to social media again and again, because it was a medium by which to stay in touch intensively, to see each other, hear each other etc. Yet, can such virtual contact replace the usual social contact? The question certainly cannot be answered with a clear "yes". Over a certain, shorter period, it may well work, but in the long run it is quite unsatisfactory as people would be eager to see friends and family in person. It is only too human and natural to miss your loved ones and to long for them, to take them in your arms and to sit at a table with them, to see them live and in-person, touch them, smell them, sense them and entirely feel them.

Back to the elderly: how much do they know about technology in order to use social media to stay in touch with their family and friends? One thing is certain: it is without a doubt unhealthy for people to be alone or to be isolated:

"Over long periods of time, social isolation can increase the risk of a variety of health problems, including heart disease, depression, dementia, and even death. A 2015 meta-analysis of the scientific literature by Julianne Holt-Lunstad, a research psychologist at Brigham Young University, and colleagues determined that chronic social isolation increases the risk of mortality by 29%." (https://www.sciencemag.org/news/2020/03/we-are-social-species-how-will-social-distancing-affect-us)

Social distancing as practiced during the COVID-19 pandemic assuredly can lead to stress and anxiety, depression, lack of motivation and productivity, anger, turning to vices, loss of cognitive strength and even trauma. It is very difficult to think positively and to stay mentally healthy in such a predicament, let alone the fact that social isolation increases the rate of mortality as well as the suicide rate. (cf. https://www.powerofpositivity.com/social-distancing-affects-mental-health)

Discussion

Why of all things the term *social distancing* has become established in the media and globally accepted during the COVID-19 pandemic and an earlier pandemic, namely the swine flu (when it was used for the first time to refer to physical distance) could not be fully explained based on the available sources that were examined. As established throughout the research, the term *social distancing* might even work for the English-speaking countries, but *soziale Distanz* and *socijalna distanca* surely are not the proper terms in German and Croatian language.

In order to find a satisfactory answer to this question, it would be necessary perhaps to conduct additional research in the field of medical terminology and etymology and/or interview the people responsible for introducing the term during the Covid-19 pandemic in order to elicit from them their motivation for establishing this term in the broader public realm.

Another interesting research would surely be how this term works in other countries and languages, as (when you check on the internet) the term *social distancing* is used almost everywhere as mentioned at the beginning of the article.

Conclusion

Now that the concept of *social distance* has been examined from various perspectives, we can ascertain that the term can certainly be viewed critically in its socio-historical context and that it has only emerged in a medical context during the 21st century. This concept was used in other contexts in centuries prior, i.a. to refer to class and/or racial difference and did not have a positive connotation as described in chapter 3 of this article.

However, it does seem that over time various countries have reacted to the confusion surrounding the term *social distancing*, *soziale Distanz* or *socijalna distanca* and as a result there are a lot of articles on the internet explaining what is really implied by using the term(s) in connection with the COVID-19 pandemic*.*

Not only is the term clarified, but clearer instructions and signs were implemented which make understanding of such easier. By now, a new term has been introduced, indicating exactly by way of visualisation what people should do: *keep their distance, Abstand halten, držite razmak*:

Picture 1   Picture 2   Picture 3

Yet, it is interesting to see, that in some countries the optimal suggested distance is 1.5m while in others it is 2, possibly due to differences in measuring within the same country. There seems to be no uniform guideline for people to follow. Another explanation can be found in the fact that the distance guideline initially started with 1m at the beginning of the pandemic, then was raised to 1.5m and finally to 2m. Nevertheless, it seems signs are not used or adjusted accordingly. These signs and the statement *keep your distance, Abstand halten* or *držite razmak* do not lead to confusions unlike the term *social distancing*.

Yet, if we pay attention to politicians and the media, they still refer to *social distancing*, *soziale Distanz* and *socijalna distanca*. Most likely they wish to demonstrate that they are familiar with this technical medical term and enjoy sounding like experts in the field or they just want to confuse people on purpose to stay in control of the situation.

In summation, the author would agree with George Loewenstein, Professor of Economics and Psychology in the Social and Decision Sciences Department at Carnegie Mellon University and director of the Center for Behavioral Decision Research that it would be necessary to replace

the term *social distancing* with *physical distancing*, to be in compliance with the WHO, or as Loewenstein states:

"A more superficially, but potentially surprisingly efficacious action would be to replace the term "social distancing" with "spatial distancing." As we distance ourselves spatially, we have an even greater need for social contact, and for activities that bring ourselves together and give our lives meaning. Rather than waiting for the other shoe to drop, we need to gear up to support others."

(https://www.marketwatch.com/story/people-find-waiting-incredibly-unpleasant-a-behavioral-economist-on-why-doing-nothing-during-the-coronavirus-pandemic-is-so-hard-and-how-to-make-it-easier-2020-04-01)

While writing this article an interesting phenomenon was witnessed in the media, especially on TV, concerning the mask wearing imperative which led to the assumption that the term *social distancing* was not chosen accidentally or without intention:

There seems to be a (social) distinction between who must wear a mask and who must not. When we look at TV shows, the people in front of the camera, the hosts and guests do not wear masks, even though the distance between them at times is not the prescribed 1.5 or 2m, yet all the cameramen, make-up artists, assistants, dancers etc. DO wear masks, even when they are in focus of the camera. With that being said, there definitely IS social distancing happening right now, isn't there?

This is precisely what also happens when politicians come together. Most of them don`t wear masks when getting out of a car or entering a building (to be witnessed on TV every day), but the chauffeurs, doormen, cameramen, and journalists all must wear one. Who is being protected? Who is protecting whom? Does the obligation to wear a mask only apply to the lower strata of society, and do the one's better off escape this obligation? Is it not inconsiderable for *social distance* to be observed here in the historical sense? Isn't a clear distinction being made between the social classes as well? Or are our politicians allowed to play by their own rules regardless of what they require from their citizens? These questions may seem somewhat provocative, but the fact is that this can be seen in the media day in and day out. An average citizen may ask themselves where this all leads and whether the term *social distancing* is nevertheless connected to some of the linguistic, socio-historical, and psychological meanings mentioned in this article.

References

[1]   Fee, E., Krieger, N. (1993). Understanding AIDS: Historical Interpretations and the Limits of Biomedical Individualism, *American Journal of Public Health*, 83, pp. 1477- 1486

[2]   Furedi, F. (2020). Social Distancing, Safe Spaces and the Demand for Quarantine, *Society,* 57, pp. 392–397.

[3]   Gupta, S. (2020). *Social distancing comes with psychological fallout*. Retrieved from: https://www.sciencenews.org/article/coronavirus-covid-19-social-distancing- psychological-fallout

[4]   Leiker Jason J., Taub Diane E. & Gast, Julie (1995). The stigma of AIDS: Persons with AIDS and social distance, *Deviant Behavior*, 16:4, pp. 333-351

[5]   Lee, D. (2020). *The Psychological Effects of Social Distancing.* Retrieved from: https://www.ardenthospice.com/the-psychological-effects-of-social-distancing/

[6]   Loewenstein, G. (2020). '*Replace the term social distancing with spatial distancing.*' *A behavioral economist on the psychological toll of endless waiting during the coronavirus pandemic*. Retrieved from: https://www.marketwatch.com/story/people-find-waiting-incredibly-unpleasant-a-behavioral-economist-on-why-doing-nothing-during-the-coronavirus-pandemic-is-so-hard-and-how-to-make-it-easier-2020-04-01

[7]   Mandal, A. (2020). *What are the side effects of social and physical distancing?* Retrieved from: https://www.news-medical.net/news/20200412/What-are-the-side-effects-of-social-and-physical-distancing.aspx

[8]   Mazal, W. (2020). *Soziale Distanz – das falsche Wording!* Retrieved from: https://medienportal.univie.ac.at/uniview/wissenschaft-gesellschaft/detailansicht/artikel/soziale-distanz-das-falsche-wording

[9]   Miller, G. (2020). *Social distancing prevents infections, but it can have unintended consequences.* Retrieved from https://www.sciencemag.org/news/2020/03/we-are-social-species-how-will-social-distancing-affect-us

[10]   National Center for Immunization and Respiratory Diseases (NCIRD), Division of Viral Diseases (2020).

[11]   *"Social Distancing - Keep a Safe Distance to Slow the Spread", 2020*. Retrieved from https://www.cdc.gov/coronavirus/2019-ncov/prevent-getting-sick/social-distancing.html

[12]   NDR 1 Radio MV (2020). *Offenbar mehr häusliche Gewalt in Corona-Krise.* Retrieved from https://www.ndr.de/nachrichten/mecklenburg-vorpommern/Offenbar-mehr-haeusliche-Gewalt-in-Corona-Krise,coronavirus2562.html

[13]   Park, R. E., Burgess, E. W. (1921). *Introduction to the Science of Sociology*, Chicago: University of Chicago Press

[14]   *"Psychology Explains How Social Distancing Affects Your Mental Health (2020).* Retrieved from https://www.powerofpositivity.com/social-distancing-affects-mental-health/

[15]   Scherlis, L. (2020). *Distantiated Communities: A Social History of Social Distancing*. Retrieved from http://cabinetmagazine.org/kiosk/scherlis_lily_30_april_2020.php

[16]   Wark, C, Galliher, J. F. (2007). Emory Bogardus and the Origins of the Social Distance Scale, *The American Sociologist*, 38, p.p. 383–395

[17]   WHO (2020). *Coronavirus disease (COVID-19) advice for the public (2020)*. Retrieved from https://www.who.int/emergencies/diseases/novel-coronavirus-2019/advice-for-public

Online Resources

[18]   https://en.wikipedia.org/wiki/Social_distancing

[19]   https://www.augsburger-allgemeine.de/dillingen/Appell-von-OB-Frank-Kunz-Soziale-Kontakte-minimieren-id57100606.html

[20]   https://www.creativesafetysupply.com/keep-the-distance-social-distancing-with-icons-floor-sign

[21]   https://www.kontekst.io/hrvatski/socijalno

[22]   https://www.limes.hr/katalog/oznaka_molimo_drzati_razmak_2m_189415

[23]   https://www.synonyme.de/sozial

[24]   https://www.thesaurus.com/browse/social

Work of visual art

[1] Picture 1: Safety signs. Party Décor ™. (2020). Retrieved from https://www.amazon.co.uk/please-keep-your-distance-distancing/dp/B088Q1YYH5

[2] Picture 2: Hinweisschilder "Bitte Abstand halten 1,5 m". Seton. (2020). Retrieved from https://www.seton.de/hinweisschilder-bitte-abstand-halten-1-5-m.html

[3] Picture 3: Oznaka molimo držati razmak od 2m. Limes plus. (2020). Retrieved from https://www.limes.hr/katalog/oznaka_molimo_drzati_razmak_2m_189415

Systemic Obstacles Experienced by Teachers in Supporting Juveniles in Correctional Schools: A Wellness Perspective

Nkosi Cunthia Ntombi

University of South Africa

Magano Meahabo Dinah

University of South Africa

Abstract

This study seeks to explore the views of challenges encountered by teachers who provide education to incarcerated juveniles in correctional schools. The wellness and *ubuntu* theories were used as a lens to understand the systemic obstacles that teachers are faced with, that obstruct them from providing support to juvenile learners taking into cognisance the learners' wellness. The study is embedded in an interpretive paradigm and adopted the qualitative method. The researchers used the phenomenological approach to understand the academic wellness of the juvenile learners. The study was conducted at one of the Gauteng Province's correctional centres in South Africa. Purposive sampling was used and two correctional school teachers who teach juvenile learners participated voluntarily in the study. Ethical considerations were taken into account and data was collected using the semi-structured interviews. The findings revealed that the support is insufficient as teachers reported that they were overwhelmed by the context of the correctional system as a whole. Some of the juveniles displayed poor performance and academic failure and had dropped out of school. Transfer of juvenile learners was also indicated as obstacles for teachers to promote the academic wellness of the juvenile learners. The study concludes with recommendations to ensure that teachers find ways to address the obstacles and that in-service training is provided for teachers to enhance the academic wellness of the juveniles.

Keywords: Wellness, support, obstacles ubuntu, juvenile, correctional, incarcerated

Introduction

According to national statistics in the United States, approximately 2.2 million juveniles are arrested and more than 110 000 are incarcerated in juvenile correctional centres annually (Snyder & Sickmund, 2006). Two major outcomes strongly associated with juvenile incarceration are said to be unproductive and unhealthy behaviour (Vacca, 2004; Winters, 1997) and recidivism (Bullis, Yovanoff, Mueller, & Havel, 2002; Dryfoos, 1990). Worldwide, it is said that a very high numbers of youths are incarcerated annually (Houchins, Puckett-Pattersonn, Crosby, Shippen & Jolivette, 2009).

In South Africa, there have been numerous studies on the systemic obstacles faced by teachers in the Gauteng correctional centre schools. Teachers provide education to juveniles held in

correctional centres who have experienced academic failure in their previous schools (Baltodano, Harris & Rutherford, 2005; Foley, 2001; Wang, Blomberg, & Li, 2005). In general, incarcerated juvenile learners have a variety of unmet academic needs that lead to a learning breakdown from accessing learning in correctional school (Zajac, Sheidow, & Davis, 2015). Although teachers are faced with challenges in their working environment, they still continue to educate juvenile learners who are under their care as the Education White Paper 6 legislates that no learner should be prevented from participating in the education system regardless of their physical, intellectual, social, emotional, language or any other differences, implying that all learners should have access to education and be supported when needed, so that the full potential of each learner can be actualised (Department of Education, 1997:54). As a result, this has created an opportunity for all school-going age juvenile learners (ABET Level 1–4 and Grade 10–12) to receive education while serving their sentences (Makhurane & Magano, 2014).

According to Fagan (2004), juveniles are subject to gang violence, sodomisation, HIV/AIDS infections, and scabies and have no access to education or rehabilitation. Leone, Wilson, and Krezmien (2008) agreed with Gast (2001) that the cause of these miserable conditions was the gross of overcrowding in South African correctional centres. Another study by Hartney (2006) reported the same concerns about the obstacles facing juveniles, and that these systemic obstacles had not led to a breakthrough in the wellness of juveniles in correctional school. Consequently, it was difficult for teachers and staff to meet the physical, emotional and other needs of these juveniles. It is evident that teachers were faced with multiple, moral and emotional challenges that juveniles brought to correctional schools, such as violence, drug abuse and further criminal activities (Harer, 1994).

The greatest challenges facing the teachers is that there is a lot of work but not enough resources. They get little help from society and no support from the Department of Education at school level (Department of Correctional Services, 2003). While teachers are providing education within correctional schools, lack of facilities is a challenge. Research by Contardo and Tolberg (2008) attested that education programmes can flourish within correctional schools only if teachers are equipped with necessary resources and are supported by correctional administrators, district officials and staff. In agreement, Mafumbate and Magano (2016) maintained that teachers are struggling to get adequate resources from the stakeholders. With regard to the teaching and learning environment, their study revealed that the population in correctional centres make unique demands on teachers teaching these juveniles. It has been noted that many teachers in correctional centres have not had sufficient training, either pre-or in-service, that is required to perform their job well (Elrod & Ryder, 1998). Although some teachers were well qualified, competence may not be the entire answer to successful teaching when working with incarcerated juvenile learners.

However, the success of any system ultimately rests on having well-trained, engaged teachers who are equipped with the tools needed to educate their students. Skelton and Potgieter (2002) pointed out that, in South Africa, there is no specialisation within the police service regarding the teaching of juvenile offenders. Even if they have been exposed to the proper training, many teachers entering the system experience 'culture shock' (Wright, 2005). This culture shock is not only associated with the obstacles of working in secure centres, but with a high concentration and variability of special educational needs in the correctional classrooms (Kvarfordt, Purcell, & Shannon, 2005). In fact, both education and behavioural

profiles of juveniles have been associated with high level of professional stress reported by teachers in correctional schools (Houchins, Shippen, & Catrett, 2004). For some teachers, this shock results in avoidance behaviour which leads to the development of a narrow-minded view of their responsibilities, in which special education and accommodations are not included (Moody, 2003). Hence, Allday (2006) and Peck and Kaplan (1997) found that teachers' behaviour or attitude could either encourage a juvenile learner to be a successful or it could play a role in the student's academic failure.

Theoretical Framework

The theoretical frameworks around understanding the obstacles experienced by teachers in correctional centres and their wellness informed by the integration of David Hettler's (1980) model and *ubuntu* principles. By using an integrative lens, the researchers were trying to get a better understanding of the six interactive dimensions that continually influence each other and create overall wellness. The moral philosophy of *ubuntu* is based on the belief that an individual's humanity is expressed through the personal relationships with others in a community. In turn, other people in that community recognise the individual's humanity (Nyaumwe & Mkabela, 2007). Hettler's (1980) theory as the major theoretical framework to this study is premised on the idea that each dimension of wellness forms a piece of a lifestyle 'pie': without one piece, there is void, a missing link that creates an imbalance for other dimensions. It is through understanding of the dynamics and inter-relatedness of the six dimensions that teachers and stakeholders in correctional schools could remain informed and be able to interpret the essential concepts.

Method

This study adopted a qualitative phenomenological research method that was located within an interpretive paradigm to explore the systemic obstacles experienced by teachers in teaching juveniles in correctional schools and with regard to their wellness, perceptions and meaning that the juveniles give to their context (Hettler, 1980). The advantage of using this method was to get an in-depth, thick and rich description and understanding of lived experiences, actions and interpretation of data rather than assuming the data (Creswell, 2007). Amaratunga, Baldry, Sarshar, and Newton (2002) agreed that qualitative data focus on naturally occurring, ordinary events in a natural setting thus it provides a real-life view. Purposive sampling was used to select participants from Gauteng province.

Two teachers in the correctional school were selected from one of the Gauteng Province correctional centres to participate in interviews. These were teachers teaching ABET Level 1 to 4, Grades 10–12. Ethical measures were observed by the researcher. The participants (coded Teacher A and Teacher B) were assured of anonymity and confidentiality and told that they could participate voluntarily and were free to withdraw at any time. After permission was granted, participants signed the consent forms and data were collected using interviews. The individual interviews took 1 hour each after school hours when teachers were no longer teaching. An audio recorder was used during interviews to capture participants' narratives. The data were transcribed from all interviews were analysed manually from transcriptions, and codes were created by using colouring indicating similar meaning (Henning et al., 2004). Categories were grouped according to their meaning and, furthermore, collapsed into themes. The following themes were emerged:

Transfer of juveniles from one prison to another which is difficult to manage;

Patrolling and monitoring of security guards;

Teaching and learning resources;

Overcrowding; and

Lack of professional development.

Discussion of Findings

Teachers in correctional schools were tasked with teaching juveniles with a wide range of intellectual abilities and previous experiences, especially those who had been unsuccessful in public schools. The findings from the research conducted by Sandford and Forster (2006) revealed that, in the United States of America, in a state with more than one state correctional centre, offenders were transferred to other correctional centres without their permission and sometimes within hours. When asked if this was a contributing factor to emotional wellness, the following were some of the responses:

Transfer of juveniles from one prison to another which is difficult to manage

Findings from this current study revealed that juvenile offenders were transferred to other correctional centres without teachers being informed. The participants indicated that reason for the movement of offenders by the DCS was to curb the overcrowding; namely, space, accommodation and logistical challenges. This was supported by Tam, Heng and Rose (2007) who affirmed that sometimes inmates were transferred to in the middle of the school year and had to take examinations within a short space of time. Research by Yates and Frolander (2001) maintained that classes were interrupted by various correctional procedures and students were often transferred from one correctional school to another before they completed their studies.

Participant A said: *"Teaching in correctional centre schools can be quite challenging due to the juveniles' transfer from one prison to another, and the short stays of the juveniles in which we don't have the necessary teaching modules that could help them study for their transition back to society. Apart from that, we do not receive any notification from the office that speaks to these transfers. We only know when the learner is left with a day or so."*

Participant B added: *"Sometimes they just disappear. By so doing, we lose our students. You find that some are good students and we had grown a good relationship with them. They know us and we understand them. It becomes painful. It breaks our hearts as we have no power to stop what is happening here."*

Participants in this study indicated that teaching in correctional centres is challenging. It is clear that there is lack of communication between teachers and the administrators. Seemingly, teachers were not informed about the transfer of their students. They further emphasised that moving juveniles from one prison to another prevented them from developing a close relationship with their learners so that their learners could learn and be deterred from crime. The involvement of teachers contributed positively to the juveniles and that showed that teachers were still upholding the values of the philosophy of *ubuntu*. As stated in an African context: '*any child is my child*.' This study found that teachers also played the role of parenting and caring. This means that teachers do care and still have their own ways of supporting juvenile learners even though there are obstacles that obstruct them from supporting their juvenile learners who experience difficulties in learning.

When the teachers were asked what systems were in place that support teachers to be able to do with the transfer of students, Teacher A responded by saying: "*There are no systems in place in prison. It is worse when an offender is transferred to another prison because sometimes the juvenile may not be placed where he was in terms of education or sometimes may find that the course that he was doing is not there, then it becomes a challenge to the learner.*"

A study by Tam, Heng and Rose (2007) revealed similar findings in that, when juveniles were transferred, their courses could be abruptly interrupted or terminated. Such experiences add to the mistrust of the system. Findings from the current study suggests that communication between teachers and DCS is therefore, necessary for the transfer of juvenile learners so that there may be a continuation of what they were doing before they were transferred.

Teacher B remarked: *"it is difficult for us to provide support to our learners."*

It was discovered that teachers experienced considerable stress in teaching juveniles in correctional centres. They highlighted that correctional setting was a unique setting in which many of the juveniles had previous academic problems. When participants were asked to describe what support they were providing to the juvenile learners in this regard, Participant A said: *"it would be better if the syllabus is developed in such a way that it caters for the transfer or this constant changing of juveniles. We also support them by helping them with the things they need but not all of them*"

It was clear from the findings that teachers were eager to support juvenile learners and that they always showed the *ubuntu* element by helping them with the things they needed. The findings of the study are similar to a study conducted by Magano (2015) who found that the *ubuntu* principle applied by correctional staff made a major contribution in changing the atmosphere at a correctional school.

Teacher A and B further explained that *"it is difficult for us that we don't even know how to support the students who have a variety of unmet needs. At least we suggest that DCS personnel must devise means to inform the teachers in advance so that we can try and prepare extra activities in order to help those learners who have learning difficulties."*

To deal with the interruptions, teachers suggested that it would be better if they were informed beforehand so that they could put extra effort into their teaching and prepare extra activities to enhance the academic wellness of the juveniles (Mathur & Schoenfeld, 2010).

Patrolling and monitoring of security guards

This study revealed that teachers in correctional schools were faced with substantial challenges of not being able to address the needs of the juvenile learner. The evidence in this study indicated that during teaching and learning the security personnel stood outside the classroom or watched through a window, which teachers regarded as a most uncomfortable situation. Consequently, this could change their motivation during their teaching and learning time. For instance, Participant A said: "*There are quite a lot of challenges here in our prison. My colleagues will bear with me. Ehhh…. the security standing next to your class or outside the window as if you are also a criminal. That is the most frustrating thing to me, because when I was employed, I wasn't aware of such conditions and the disturbances that erupt from prison during teaching time.*"

These findings concurred with research by Sarra and Olcott (2007) which indicated similar findings, that while teachers were teaching, correctional officers were patrolling and monitoring offenders in class. Because of the security, teachers could not engage in effective classroom practices.

Participant B said: *"A teacher's ideal environment and classroom is restricted by the secure facility policies, where cell phones, keys are not allowed."*

The study by Nelson, Jolivette, Leone, and Mathur (2010) supported the current study in that teachers were frustrated by the fact that correctional centres prioritised security and safety considerations over educational efforts. With regard to the challenges faced by correctional teachers, it was highlighted that conditions in juvenile facilities impacted the delivery of effective educational services. Such conditions included, amongst others, overcrowding in the cells, where, for example, juveniles found it difficult for them to study for their matric exams.

Teaching and learning resources

With regard to teaching and learning resources, the findings showed that teachers were unable to perform their duties well. When asked if they were able to teach without teaching aids, they mentioned that they had never seen any material that could help them support their learners. Lack of resources was a barrier to teachers as they struggled to help their learners understand the content which they were imparting to the juvenile learners. This corresponds with the Muntingh and Ballard (2012) who revealed that a number of teachers shared similar sentiments with the teachers interviewed. Knowles, Holton, and Swanson (2012) argued that, even though resources were available, there would never be enough. However, teaching and learning can happen even if there are few resources available at institutional level to do so. Teacher B remarked: *"I use personal material while I teach, but I make copies outside prison and bring some copies from my pocket if I have money."*

Teachers in this study indicated that they experienced challenges in getting appropriate teaching and learning resources from DCS in order to promote academic wellness of the juveniles. The participants in this study clearly indicated that they embrace the philosophy of *ubuntu*. Even though, they show an element of *ubuntu*, they needed appropriate teaching material to enhance the support of the juveniles in correctional schools.

When Teacher A was also asked to give comment on the issue of resources, she said that: *"Yes, ma'am is correct. For us to be able to help our learners we need to improvise because the resources are difficult to get here in prison because we are forever told that there are no funds budgeted for resources. I personally ask my friends outside correctional centres to help me with different text books so that I can use them, although it is difficult to do photocopying because the administrators will tell you that you cannot use the government funds for prisoners; you are wasting the ink and the paper."*

Overcrowding

A major concern was overcrowding which is a disturbing factor for learners who are taking advantage of the opportunity of education that takes place in correctional centres and writing exams. This becomes an obstacle and compromises a favourable environment for the promotion of intellectual wellness of juveniles, taking into account that it is the responsibility of the correctional personnel to ensure that facilities are safe and secure especially for those students who are to seat and study for exams. Teachers expressed their concerns that

educational facilities are available for juveniles but overcrowding made it difficult for them to study and to concentrate on their studies. When a question was posed about resources being made available to support learners at the school, Teacher A responded by saying: *"With our school, we fall short of the required resources such as text books to help our students to prepare themselves for the exams. Due to high rate of unemployment parents are unable to come and visit their children. Thus I adopted one of the students to take it upon my shoulder to pay for his studies."*

The above expression revealed that efforts have been made for the success of the educational programme in correctional schools wherein teachers have applied *ubuntu* to support those learners who want to take their education further. An environment such as this may positively influence the juveniles' learning process and their wellness in correctional centres (Becker & Luthar, 2002). It is pleasing to note that *ubuntu* and the support rendered through collective effort brought harmony and change in the lives of the juvenile learners in correctional school.

Teacher B said: *".......not enough efforts have been made to assist juveniles who do not have adequate books to help them prepare for their exams".*

The teachers further explained that the correctional obstacles were also linked to the resources that were to be used by juveniles for the preparation of the exams. *"However, there are good things that we can talk about. For example, we have produced students who have passed their matric here. What happens, they come back and fill the gap. You can imagine the correctional conditions, but by God's grace, they manage to pass and that makes us to be proud."*

Though correctional schools lack resources for teaching and learning, it seems that the issue is not being taken into consideration by the correctional personnel. However, if the matter could be addressed and more juveniles could become educated and graduate, they could be role models and provide support and teach those that are still inside. Lack of resources makes it difficult for teachers to stimulate the intellectual wellness of their learners without significant resources.

For instance, Teacher B gave the following explanation: "*Ummm.... There are a lot of things going on in this prison that one does not know about it. The school offers lessons from Level 1 to 4 qualified and teachers teach convicts. Apparently convicts who have registered for matric study privately. Apparently, the inmates' section of the prison is badly overcrowded with 3 to 4 inmates occupying a single cell meaning a cell is supposed to be occupied by one inmate. You can imagine how they study for their exam. That is a challenge to us as teachers as some of the students have potential."*

This corresponded with the study by Shabangu (2011) which revealed that juveniles were accommodated in dormitories or smaller cells with 3 to 4 people. Most of the time, the space provided did not allow them to lie down properly and ventilation was poor. Pearson (2015) also argued that education is primarily intended to educate juvenile learners academically but should also provide a space to learn socialisation skills so that they should fit well within their society after release. Findings from this study showed that overcrowding and security protocols posed serious obstacles to students and to their teachers who were unable to assist their learners who needed more attention in preparing for examinations.

Time allocation

It was identified from the responses of the participants that there was little progress in the classrooms because juveniles needed more time to explain the content thoroughly, particularly for those students who require special attention, including an Individualised Education Programme. Teacher A remarked: *"it would be better to extend the time to give differentiated attention to our learners who experience difficulties to learning."* As Dell'Apa (1999) attested, most incarcerated juveniles were far behind their age group in terms of academic levels. Teachers expressed their concern regarding the fact that they needed more time to teach and to assist their learners with challenges. In fact, teachers who experienced such challenges in the system, lost focus on the educational programme which could negatively influence the wellness of the juveniles.

Teacher A added that: *"Despite the obstacle faced by teachers. One has to consider the background that these children displayed deviant behaviour and failure in the classroom."*

Hockenberry and Puzzanchera (2015) also found that most incarcerated juveniles were two or more years behind their counterparts in basic academic skills. Young, Phillips and Nasir (2010) agreed that juveniles have low academic levels and a history of school failure hindered the academic wellness of juveniles. It was identified from the responses of the participant teachers that juveniles lunch-time took about three hours and that the older juveniles demanded some food from the younger juveniles. There were also systemic obstacles that hindered the effectiveness of programme of the day in view of the fact that teachers did have not many hours of teaching per day. Hence, teachers expressed their concern regarding the fact that they needed more time to teach and support their learners who had difficulties in learning. It was difficult for teachers to finish the syllabus and to do extra activities as a way of supporting their juveniles, especially those juveniles with learning difficulties. This simply means that juveniles in correctional schools do not benefit from the correctional educational programme.

Researcher: As a teacher here in this centre, "*what do you think could be done to deal with all these challenge or to solve the problem?*"

Teacher A responded: *"I.....think relationship between teachers and correctional staff (DCS) should be considered, because we are the only ones who are facing problems in our classrooms. Thus I think the truth of the matter here is that education in correctional school is to keep the juveniles busy. DCS does not even bother to help teachers."*

Participants commented that education was perceived by correctional staff as one of the programmes whose purpose was to keep the juveniles engaged during the day. Thus it became difficult for teachers to cope with the emotional demands of juveniles which negatively affected learner performance (Jennings & Greenberg, 2011). Responses from teachers showed that they had concerns about the working conditions and believed that partnerships must be strengthened to ensure that the wellness of juveniles is enhanced in correctional centres. What was seen and felt by teachers in correctional centre schools was that a lot of work was left to the teachers themselves without much support from the DCS and community. The participants noted that networking was not recognised as significant in the wellness of juveniles. As a result, teachers were not able to support and learn from each other.

Lack of professional development

With regard to the question of curriculum, participants' responses highlighted that, in order to be competent in delivering the curriculum, teachers had to go for training. They expressed their concern that they were not trained in special education. Teacher B said: *"When I came to work in correctional schools, I never thought I should be well versed about how to handle juvenile learners who experience difficulties in learning. In fact, what I'm trying to say I have no idea or knowledge of how to handle these learners who need intensive support, and how to figure out what curriculum equipment I need to prepare in order that I may be able to adapt and use it for my students."*

Teacher A said: *"… teachers also lack relevant material to teach their learners and apart from that our learners are provided with low standard materials that will enable us to enhance the academic wellness of the juvenile learners."*

The findings revealed that teachers lack knowledge and show little or no understanding about their teaching roles. Inadequate training in teaching juveniles with learning difficulties resulted in a high percentage of juveniles having negative attitude towards their learning. However, it is not possible if teachers are not well trained to enhance the academic wellness of juvenile learners in correctional centres. The findings concurred with research by Dixon, Yssel, McConnell and Hardin (2014) which indicated similar findings that professional opportunities have the ability to maintain and enhance the quality of teachers (Whichadee, 2011). Professional development and continuing education of teachers should be provided on an ongoing basis until teachers are fully equipped to teach juvenile learners effectively. The lack of professional development was also linked to the resources provided.

When Teacher B was asked to indicate systemic obstacles which she encountered in working for DCS, she stated: *"My challenge is that I am not trained to work with the prisoners. Their age is far different from children who attend in mainstream. The correctional learners are more difficult to work with than the ones in public schools."*

Teachers in this study showed a low level of satisfaction with the effectiveness of educational programmes with which they were involved. A study by Hawley, Murphy, and Souto-Otero (2013) showed that teachers need specific skills in handling juvenile learners. However, empowered teachers used a variety of teaching strategies to prepare individual learners with relevant skills which would enable them to reintegrate into society and the world of work (Mafumbate & Magano, 2016).

Conclusion

The myriad of obstacles and factors contributing to the education of juveniles can be addressed through the effective implementation of programmes designed to enhance the academic wellness of juveniles. The findings highlight that these various challenges have an impact on the academic wellness of the juveniles. The juvenile learners who are placed in correctional classrooms are placed there without proper support being offered to them. There is no progress if teachers are faced with so many challenges. Furthermore, these challenges lead to teacher incompetence and to negative attitudes towards the educational programmes. It has been noted that teachers in correctional centres have not had sufficient training that is required to perform their job well. The most important observation from this study is that there is a need for DCS to assist teachers in dealing with systemic obstacles so that teachers

could develop competence and so that they could become inclusive teachers. The current study established that teachers who were willing to pursue professional development need to be trained in various ways so that their contributions could be meaningful. Even when individuals have knowledge, skills may be lacking in teaching juveniles without support from the DCS. Teachers also need support to enhance the wellness of juveniles with whom they work.

Recommendations

From the above discussion, recommendations were that teachers should be provided with the skills that will best support those juvenile learners who may need the most help of any teacher. Future employment of teachers by DCS should be strategic by first providing for the induction of newly appointed teachers who need to be well prepared for the culture shock of working within a secure care facility before they enter the system (Wright, 2005). The DCS and Department of Basic Education should work together with the teachers and provide adequate resources that would best meet the needs of the incarcerated learners. It has been demonstrated there is a problem with providing special education within correctional centres school. This study recommends that teachers and other correctional professionals need to work within collaborative networks to help them understand how other professional address similar obstacles. When organised effectively, such collaborative processes will lead to positive outcomes both for teachers and for the juvenile learners whom they serve. It is therefore recommended that DCS should develop a policy specifically dealing with the transfer of juvenile learners and the policy should state clearly what teachers should do if there are transfers that are taking place, during teaching and learning and examinations. The transfer of juveniles who are involved in educational programmes should be investigated and teachers should be involved and treated with respect and be informed in the decisions that DCS is taking so that they may give opinions on the learners they teach. The recommendations can serve as a useful tool in developing a policy for schools in correctional services centres.

References

[1] Allday, R. A. (2006). Prisoner perceptions of effective teacher behavior. *Education and Treatment of Children, 29*(4), 729–748.

[2] Amaratunga, D., Baldry, D., Sarshar, M., & Newton, R. (2002) Quantitative and qualitative research in the built environment: application of "mixed" research approach. *Work Study, 51*(1), 17–31.

[3] Baltodano, H. M., Harris, P. J., & Rutherford, R. B. (2005). Academic achievement in juvenile corrections: Examining the impact of age, ethnicity and disability. *Education and Treatment of Children*, 361–379.

[4] Becker, B. E., & Luthar, S. S. (2002). Social-emotional factors affecting achievement outcomes among disadvantaged students: Closing the achievement gap. *Educational Psychologist*, *37*(4), 197–214.

[5] Bullis, M., Moran, T., Benz, M. R., Todis, B., & Johnson, M. D. (2002). Description and evaluation of the ARIES project: Achieving rehabilitation, individualized education, and employment success for adolescents with emotional disturbance. *Career Envelopment for Exceptional Individuals, 22*, 41–58.

[6] Bullis, M., Yovanoff, P., Mueller, G., & Havel, E. (2002). Life on the "outs" –Examination of the facility-to-community transition of incarcerated youth. *Exceptional Children*, *69*(1), 7–22.

[7]   Chang, M. (2009). An appraisal perspective of teacher burnout: Examining the emotional work of teachers. *Educational Psychology Review, 21*(3): 193–218.

[8]   Contardo, J., & Tolbert, M. (2008). Correctional postsecondary education: Bridging learning from incarceration to the community. *Paper presented at the Reentry Roundtable on Education*. Retrieved from: http://johnjay.jjay.cuny.edu/files/ContardoTolbert_Paper.pdf

[9]   Creswell, J. W. (2007). *Research design: Qualitative and mixed methods approaches*. Thousand Oaks, CA: SAGE.

[10] Dell'Apa, F. (1999). *Issues in education for youthful offender in correctional institutions.* Boulder, CO: Western Interstate Commission for Higher Education.

[11] Department of Education. (2003). *Draft Qualifications and Assessment Policy Framework Grades 10-12 (General).* Pretoria: Government Printers.

[12] Department of Education. 1997. *Quality Education for All: Overcoming barriers to learning and development. Final report of the National Commission on Special Needs in Education and Training (NCSNET)* and *National Committee on Education Support Services (NCESS).* Pretoria, RSA: Government Printer.

[13] Dixon, F., Yssel, N., McConnell, J., & Hardin, T. (2014). Differentiated instruction, professional development, and teacher efficacy. Journal for the Education of the Gifted, *37*(2), 111–117.

[14] Dryfoos, J. G. (1990). *Adolescents at risk: Prevalence and prevention.* New York, NY: Oxford University Press.

[15] Fagan, J.J. (2004). The dynamics of youth justice & the convention on the rights of the child South Africa, 40(6).

[16] Foley, R. (2001). Academic characteristics of incarcerated youth and correctional

[17] education programs: A literature review. *Journal of Emotional and Behavioral Disorders, 9*(4), 248–259.

[18] Gast, M. (2001). Education and the South African juvenile justice system. *Eye online, 34*, November 2001. Retrieved from: https://www.cyc-net.org/cyc-online/cycol-1101-gast.html

[19] Harer, M. D. 1994. *Recidivism of federal correctional released in 1987.* Washington, DC: Federal Bureau of Correctional, Office of Research and Evaluation Report.

[20] Hartney, C. 2006. *Youth under 18 in the adult criminal justice system. Fact sheet.* Washington, DC: National Council on Crime and Delinquency.

[21] Hawley, J., Murphy, I., & Souto-Otero, M. (2013*). Prison education and training in Europe. Current state-of-play and challenges.* Brussels, Belgium: European Commission.

[22] Henning, E., Van Rensburg, W. A. & Smit, B. 2004. *Finding your way in qualitative research*. Pretoria, RSA: Van Schaik.

[23] Hettler, B. (1980). Wellness promotion on a university campus. *Journal of Health Promotion and Maintenance, 3*, 77–95.

[24] Hettler, B. (2000). *Six dimensions of wellness model.* Stevens Point, WI: National Wellness Institute.

[25] Hockenberry, S., & Puzzanchera, C. (2015). *Juvenile court statistics 2013.* Pittsburgh, PA: National Centre for Juvenile Justice.

[26] Houchins, D., Shippens, M. E., & Cattret, J. (2004). The retention and attrition of juvenile justice teachers. *Education and Treatment of Children, 2*, 374–393.

[27] Houchins, D. E., Puckett-Patterson, D., Crosby, S., Shippen, M. E & Jolivette, K. (2009). Barriers and facilitators to providing incarcerated youth with a quality education. Preventing school failure. *Journal of Criminal Justice*, *53*(3):159–166.

[28] Jennings, P. A. (2011). Promoting teachers' social and emotional competencies to support performance and reduce burnout. In Cohan, A., & Honigsfeld, A. (Eds.), *Breaking the mold of*

pre-service and inservice teacher education: Innovative and successful practices for the 21st century, (pp. 133–143). Lanham, MD: Rowman and Littlefield.

[29] Kaplan, D., & Peck, M., & Kaplan, H. (1997). Decomposing the academic failure-dropout relationship: a longitudinal analysis. *Journal of Educational Research, 90*(6), 331–343.

[30] Knowles, M. S., Holton, E. F. & Swanson, R. A. 2012. *The adult learner: the definitive classic in adult education and human resource development.* London, England: Routledge Taylor & Francis Group.

[31] Kumar, M. (2005). Research methodology: *A step by step guide for beginners* (2nd ed.) London, England: SAGE.

[32] Kvarfordt., C.L., Purcell, P., & Shannon, P. (2005). Youth with learning with disabilities in the juvenile justice system. A training needs assessment of detention and court services personnel. *Child and Youth Care Forum, 34*(1), 27–42.

[33] Leone, P. E., Wilson, M., & Krezmien, M. P. (2008). Understanding and responding to the education needs of special populations in adult corrections. *Reentry Roundtable on Education, John Jay College of Criminal Justice, New York, April, 1.*

[34] Mafumbathe, R, M., & Magano, D. M. (2016). The use of Ubuntu principle in enhancing the intellectual wellness of juvenile learners in a correctional school in Gauteng province. *Journal of Educational Studies, 15*(1), 23–46.

[35] Magano, M. D. (2015). Empowering educators who work with juveniles in correctional centres: A wellness perspective. *Journal of Psychology, 6*(1): 49–56.

[36] Makhurane, F.& Magano, M.D. (2014). Inclusion as a strategy for promoting social wellness of juvenile offenders in Gauteng correctional centre. *Journal of Psychology, 5*(2):155–160.

[37] Mathur, S.R., & Schoenfeld, N.A. (2010). Effective instructional practices in juvenile justice facilities. *Behavioural Disorders, 36*(1), 20–27.

[38] Merriam, S. B. (2002). *Qualitative research and case study application in education. Revised and expanded from case study research in education.* San Francisco, CA: Jossey-Bass.

[39] Moody, B. (2003). Juvenile corrections educator: Their knowledge and understanding of special education. *Journal of Correctional Education, 54*(3), 105–107.

[40] Muntingh, L & Ballard, C. 2012. *Report on children in correctional in South Africa.* Cape Town, RSA: Community Law Centre.

[41] Nelson, C. M., Jolivette, K., Leone, P. E., & Mathur, S. R. (2010). Meeting the needs of at-risk and adjudicated youth with behavioral challenges: The promise of juvenile justice. *Behavioral Disorders, 36*(1), 70–80.

[42] Nyaumwe, LJ., & Mkabela, O. (2007). Revisiting the traditional cultural framework of ubuntuism: A theoretical perspective. *African Journal of Correctional Education, 56*(4), 347–370.

[43]   Pearson, A. (2015). *How school impacts a child's socialization.* Retrieved from: http://everydaylife.globalpost.com/school-impacts-childs-socialization-16255.html

[44] Sandford, R. & Foster, J.E. (2006). Writing and prison education reform?, The trick and political process of establishing college programs for prisoners: perspectives from program developers, *Equal Opportunities, 25*(7), 559–610.

[45] Sarra, D., & Olcott, L. (2007). A day at Osborne school. *Phi Delta Kappan, 89*(1), 68–70.

[46] Shabangu, K. I. 2011. *Prison overcrowding in the South African correctional services: a phenological perspective.* Master's thesis. University of South Africa, Pretoria.

[47] Skelton, A., & Potgieter, H. 2002. Juvenile justice in South Africa. In Winterdyk, J. (Ed.), *Juvenile systems international perspectives.* Toronto, Canada: Canadian Scholars Press.

[48] Snyder, H. N., & Sickmund, M. (2006). *Juvenile offenders and victims: 2006 National Report.* Washington, DC: National Center for Juvenile Justice.

[49]   Tam, K. Y., Heng, M. A., & Rose, D. (2007). Voices from correctional educators and young offenders in Singapore: A preliminary needs assessment study of the Kaki Bukit Centre Prison School. *Journal of Correctional Education*, *58*(2), 129–144.

[50] Vacca, J. S. (2004). Educated prisoners are less likely to return to prison. *The Journal of Correctional Education, 55,* 297–305.

[51] Wang, X., Blomberg, T. G., & Li, S. D. (2005). Comparison of the educational deficiencies of delinquent and non-delinquent students. *Evaluation Review*, *29*(4), 291–312.

[52] Wichadee, S. (2011). Developing the self-directed learning instructional model to enhance English reading ability and self-directed learning of undergraduate students. *Journal of College Teaching & Learning, 8*(12), 43–52.

[53] Winters, C. A. (1997). Learning disabilities, crime, delinquency, and special education placement. *Adolescence, 32*, 451–463.

[54] Wright, R. (2005). Going to teach in prisons: Culture shock. *Journal of Correctional Education, 56,* 19–38.

[55] Yates, M. D., & Frolander, M. (2001). July-August, 2001. *Teaching in Prison, Monthly Review*, *53*(3), 1–11.

[56] Young, M., Phillips, R. & Nasir, N. (2010). Schooling in a youth prison. *Journal of Correctional Education, 61*(3), 203–222.

[57] Zajac, K., Sheidow, A. J., & Davis, M. (2015). Juvenile justice, mental health, and the transition to adulthood: A review of service system involvement and unmet needs in the US. *Children and Youth Services Review, 56,* 139–148.

The Influence of Folklore on the Cultivated Albanian Music of the XX Century

Denis Bizhga

PhD Cand., Lecturer, European University of Tirana

Abstract

Folklore is one of the components and transmitters of a nation's national identity and its spiritual heritage. The great folkloric wealth of Albanian people shows its antiquity and creative genius. As the first creation of folklore, it is the basis for the creation and continuous functioning of other cultivated arts, such as: music, literature, choreography or other visual arts. Albanian folklore also represents a vital, early, stable and rich tradition. It is not a memory of the past, but it is alive and full of life and day by day it comes and is practiced articulated emotionally, developing, enriching and growing together with the Albanian people themselves, despite the many changes that are noticed in the realities of Albanian folklore in general. Through folklore, our people over the centuries manifested outstanding talent, spiritual expressive potential, great promotional skills. Albanian folk music tradition is generally an oral tradition based on the memory of the people; she did not feel the need for writing because she was born, spread and selected to live word of mouth and generation after generation, adapting to the needs and requirements of life.

Keywords: Folklore, Albanian Music, Nation Identity, Cultivated Music

Introduction

Folklore is one of the components and transmitters of a nation's national identity and its spiritual heritage. The great folkloric wealth of our people shows its antiquity and creative genius (Paparisto,1970). As the first creation of folklore, it is the basis for the creation and continuous functioning of other cultivated arts, such as: music, literature, choreography or other visual arts. Albanian folklore also represents a vital, early, stable and rich tradition. It is not a memory of the past, but it is alive and full of life and day by day it comes and is practiced articulated emotionally, developing, enriching and growing together with the Albanian people themselves, despite the many changes that are noticed in the realities, of Albanian folklore in general (Kapxhiu,2015). Through folklore, our people over the centuries manifested outstanding talent, spiritual expressive potential, great promotional skills (Kuqi,2018). Albanian folk music tradition is generally an oral tradition based on the memory of the people; she did not feel the need for writing because she was born, spread and selected to live word of mouth and generation after generation, adapting to the needs and requirements of life. When the Albanian language began the path of transformation from the form of rural dialects to the more urban ones, this fact did not occur as a result of the beginning of the use of the Albanian script, but of the adoption of people's speech in newer living conditions. From this adaptation, the musical tradition of the cities gained a new dimension. The Albanian language, although transmitted and preserved in the memory of the people, needed writing, which it lacked for a long time, while the oral, urban and rural musical tradition did not feel such a lack

(Koço,2004). As the Albanian language began to be written relatively late, the people's memory of his epic and song continued to be particularly strong and prevalent until the twentieth century, while the Albanian musical tradition was subject to three main laws of oral transmission: continuity, change and selection. Regarding the musical writing according to the Western system, it must be said that we are lucky because it started to be used not much later than the somewhat unified writing of the Albanian language (Koço,2004). Around the '30s, the rich civic song of the different regions of Albania, in addition to the form of interpretation given by its natural traditional oral bearers, began to be presented to the public in the form of cultivated music (savante). The relationship of folklore with cultivated musical creativity finds expression in almost all forms, genres and genres of professionally cultivated artistic music (Kapxhiu,2018). Since the century. XIX, in European countries was promoted the recognition, study and possible use of national musical heritage in order to form musical cultures with a national spirit, a direction which influenced the developments of Albanian music at the beginning of the century. XX. Among the relations between folk and cultivated music are mentioned harmonization, elaboration, creation in folk style and quotation from folk music (Kapxhiu,2018).

Folk music, characterized by simplicity of expression, rich emotional, melorhythmic, modal-tonal, linguistic and structural content has been used by Albanian composers to perfect cultivated musical creativity. Singers, professional pianists and composers of the 1930s, began to build and harmonize civic folk songs by including them in their programs in which the classical repertoire dominated. Civic lyrical songs that had begun to be cultivated by artists of the 30's and that were later reflected in the collection: "Albanian Lyra", drew the attention of critics, local and foreign, on the values and role of these songs. The civilized world noticed in these songs a lack of, the passion of forbidden love, the provincial diversity in the expression of beauty (text and music), the metric and modal diversity as well as the identity of the main provinces of Northern, Central and Central Albania. South; she felt in these songs "the melancholy of despair, the suffering with hope, the desire for the renewal of genesis (Koço,2004). Civic songs carried down by generations of their deliverers from the "twilight" of anonymity to the present day have always tended to change perhaps never to reach any final form if their collector had not ever appeared to them. fixing them on paper at a certain stage of development (Koço,2004).

One of the three most important factors of folk music is continuity, which is essential for the musical tradition which mainly matures through the process of oral transmission. Thus, if continuity were what connects the present with the past and selection determines the most accomplished music, change would be what stimulates the creative impulse of the individual or group. Since the traditional civic song lives only through the oral form (that is, it does not need the musical writing of reference) and is always in search, change as an integral element of this oral musical tradition becomes an important factor in creating new forms. of songs (Koço,2004). Although changing the same song over time has been a stimulus to creation, the song itself during the continuum process has not always been inclined towards improved maturity; it may even have been lost in memory. Not a few songs during the oral broadcast have suffered such a fate. As for the civic songs (anonymous or with an author) that have not only preserved the memory but have been evidenced for their values, have their origin in the original, if the latter can be researched and it should be considered as the source and accurate model of the song (Koço,2004) .

The delivery of folklore and language, as important components of the spiritual and material cultural heritage, according to the appropriate artistic and professional criteria, gave the cultivated music a unique originality. Moreover, Albanian folk music has influenced the crystallization of forms of melodic development of professionally cultivated music through the preservation, use and reliance on folk intonations.   During the process of transmission and oral development of Albanian civic songs, the Western system of major minor minor tones was completely irrelevant to these songs. The musical influence of the West in Albania that can be said that from the second half of the XIX century was characterized by the following factors: the structure of songs (strophic or chorus); use of Western instruments with tempered intonation; adaptation from a rhythmically free syllabic ornamentation (typical of that of the Middle and Near East) to a more balanced and rhythmic ornamentation in the distribution of grades; accompaniment of songs from the orchestra instead of the earliest local formations (saz party). The use of the Albanian language in songs, despite the number of words and accents in Turkish, was what nationalized it more than anything else. Despite these new influences, the civic song mainly of northern and central Albania carried essentially characteristics of the East, Oriental-Balkan but with a distinct provincial identity; for the sake of these features it has a value of unrepeatable local originality. Regarding the civic song of the south, mainly that of the district of Korça, it deviates from the fashions of the South-Western Balkans. Both the fashions of the Western Balkans and the Ottoman fashions originate from the Orient but belong to different periods. In the formation of the character of the Albanian civic song, the Ottoman modes have had a greater influence, which are characteristic for the songs of Central and Northern Albania, which are closer to the diatonic modes. Some types of songs, have been influenced not only by geographical position but also as a result of Byzantine and Ottoman rule for a long time (Xhatufa,2003). Folklore has consistently been a source of inspiration and orientation for the delivery of our cultivated music. The first professionals of our musical tradition in the creative field, such as: Lec Kurti, Father Martin Gjoka, Thoma Nasi, Krito Kono, Pjetër Dungu, Konstandin Trako, etc., who in their creative beginnings showed serious efforts to orient their musical work from the provincial folk music of their origin (Kapxhiu,2015). The research and musicological works of various scholars, in modern times, through internationally accepted documents and justifications, have brought to light important data on the contribution and precious values in cultivated music (Kuqi,2018). Folk music motivated and led the formative process of cultivated music as the only national artistic tradition with uninterrupted continuity. Thus, the relationship between folk and cultivated music developed in several key steps.

The first step in establishing the relationship between folklore and cultivated music is the harmonization of folk songs, especially those for the vocal formation of disazers (Kapxhiu,2016). Harmonization is about the harmonious modal, diatonic and chromatic attire of popular music.

European national schools, such as Russian, Czech, Hungarian, Polish, Norwegian, etc. during the century. XIX have played an important role in uniting the national concept (struggle for identity and national unity) and the popular one in cultivated music. We find this process developed in the Baroque period of classical classicism and romanticism in the century. XIX. Also, the harmonization of folk songs takes place on the stage forms of the vocal-orchestral genre, such as opera and operetta.

Harmonization, as a form of the early relationship of folklore with cultivated music, has been widely practiced by Albanian composers after the 30s and 40s of the last century, ie later than in other peoples, aiming at shaping the character and national spirit. As in Europe, in Albania, folk music was the motive and leadership of the creativity of cultivated music, as an important part of the artistic and spiritual heritage of the Albanian national culture. Based on the limited degree of qualification of the Albanian composers of this period, their creativity of harmony was focused on vocal formations with popular spirit, which were simple in terms of dimension and articulation. Moreover they were closer to the musical tastes of the public of that period. Among the Albanian composers who harmonized folk songs for different vocal formations are mentioned Çesk Zadeja, Tish Daija, Tonin Harapi, Mark Kaçinari etc.

However, the earliest evidence for the delivery of cultivated music dates back to the National Renaissance period. The National Renaissance valued folk music, and especially song, as an important and indispensable tool for reflecting and disseminating its progressive ideas (Kuqi,2018). During this period, folk music came out of the closed provincial circle and, step by step, began to be compared to its national sisters and to the new cultivated Albanian music.

A more advanced stage of folk music elaboration is the in-depth development in cultivated music, which involves the transformation of the thematic source material in accordance with the sound wholeness of the folk source music (Kapxhiu,2016). Through compositional tools and techniques such as: the development of thematic material, ameliorative changes of the source music subject, tonal shifts, harmonization, etc., folk music comes even closer to cultivated artistic musical creativity. The elaboration of folk music began as a need to adapt folk creations to wind orchestras and between the 30s and 40s of the century. passed also for adapting to different coral formations.

After the Second World War, it was necessary for art to serve the improvement of the Albanian social life, that is, the education of the masses and the strengthening of the national character. Attention was paid to increasing the number of professional composers who would deliver musical creativity in close connection with folk music of a national character.

This fact is also expressed by A. Paparisto, when he states that: *"The first step in creating a national music was the elaboration or use of the song, the folk melody. The values of such work are seen in the fact that the composers, who less and who more, have made this elaboration starting not only from the purpose of technical enrichment, but also defining a point of view and creating from the old material folkloric new emotions "* (Paparisto,1970)*.*

The elaboration of folk music for vocal formations was masterfully realized by Kostandin Trako, Lorenc Antoni, Fahri Beqiri, Tonin Harapi, etc., a tradition which was transmitted to composers after the '70s and' 80s such as Limoz Dizdari, Gjon Simoni, Thoma Simaku, Vasil Tole et al. Their creative individuality served to deepen the national character of Albanian artistic music, especially the vocal one cultivated through the form of folk music processing.

For T. Harapin *"Elaboration is a new work, despite the fact that the original source was taken from the people: therefore it must be distinguished by an architectural construction, a clear form which conveys the thought from one stage to another, gives way and creates the necessary correlation to emotion and inner nerve. Here, the artistic mastery, sharpness and taste of the composer play a special role "* (Kalemi,2003)*.*

Albanian composers of the second half of the last century have relied on folk music to deliver processing and harmonizing forms of vocal and instrumental music. Moreover, according to T. Harapi, "The task of any elaboration is to preserve and strengthen the genuine source emotion. If the source material takes a different direction or is lost during processing, then we have escaped the basic demand of this genre. " Albanian composers, by establishing stable relations with the processing and harmonization of folk music, paved the way for the delivery of vocal and orchestral forms, with a national spirit. According to T. Harapi "By elaboration we mean the expansion, multiplication of ideological, emotional, stylistic and technical values of the popular source material. The elaboration starts from the increase of the volume (sound) of a folk song, until the realization of an architectural choral, orchestral or solo construction; since the harmonization with many voices, with many instrument lines, etc. Without going into the details of the processing scale, we can say that it is another edition of the folk song, more reinforced in many ways. The elaboration of folk music is closely related to the creative individuality of the composer, ie the fact how much he knows folk music, how emotionally connected it is with the spiritual heritage of the people and how professional he is in performing this practice. First, he selects a popular subject as original and practical as possible. Second, it studies and analyzes popular music. Third, it finalizes and enables the performance of a complete artistic and emotional creation. Also, the processing of folk music has led to the delivery of musical forms and genres with a wider vocal and instrumental dimension.

In addition to the process of processing and harmonizing folk music for choral formations, another form is the way of creating popular style music as an independent development of cultivated music. This form is evident in the song genre for soloists or vocal formations. The characteristic of these creations is that although they do not rely on any authentic folk creation to quote and further develop it, most of them come oriented towards general characteristics of folk songs and, more often, inspired by folk music. provincial origin of the author (Kapxhiu,2016). In this way, the original styles of folk songs are different in terms of syntactic features, melo-dramatic structure, etc.

The creations of Albanian composers with provincial folk style and artistic-emotional achievements are numerous, both for the solo genre and for the vocal formations. Famous are the civic songs of Shkodra, Elbasan, Berat, Korça, etc., such as "Luleborë", authored by S. Gjoni, "When my husband comes from the camp", by K. Konon, etc., some of which are also known as folk songs without author. In the period of the Anti-Fascist National Liberation War, folk songs played an important role in awakening and deepening the patriotic spirit. In the period during the second half of the last century, popular style musical creations developed further. The songs stand out: "Kur bjen fyelli dhe çiftelia" by P. Gaci; "Gajdexhiu", by T. Daija; "Xhamadani vija-vija", by Mr. Çoba etc. In continuation, Albanian composers showed their creative individuality in songs, dances, various instrumental and orchestral pieces in folk style, which enriched the artistic life of the country.

The creation of popular style of cultivated music was a new and independent development that further expanded the popular spirit and national character, as well as the delivery of genres and major forms of symphonic, stage, vocal, instrumental and chamber art music. Mainly, this style was developed in the genre of civic song and music adapted for folk instruments, such as: llahuta, çiftelia, fyejt etc. Another form of relationship between folk and cultured music is the citation of authentic musical material of songs, instrumental and orchestral pieces of folk music and its inclusion in the cultured musical work in the vocal,

homophonic, polyphonic, instrumental, orchestral genres, especially the music of the ensemble of Central Albania and that of the sazes of Southeast and Southern Albania, chamber music, vocal-concert music and stage music for opera and ballet. Citation of folk music, as an important aspect of cultivated artistic music has emerged in the years 1930-1990 onwards. In this way, the folk music tradition has oriented the formation and crystallization of the professionally cultivated musical tradition. The citation form from folk music dates back to the period of Romanticism of the century. XIX, where various Russian, German, Norwegian, Italian and wider composers combined their creativity with folk music resulting in orchestral-symphonic works, such as rhapsody, dance, etc. Some of these quotations are those of the opera "Tanhoizer", of R. Wagner, the opera "Evgeny Onjegin", of P. I. Tchaikovsky, etc. In the century. XIX, the Hungarian composer, F. List says about the Hungarian rhapsodies "I took the wealth of motives where they had their source" (Lara,1984). Even throughout the century. XX, many composers like M. Ravel, B. Bartok etc. they based their creativity on folk music by giving it a national character and also clarifying their creative individuality. According to the Hungarian composer and ethnomusicologist B. Bartok "To create based on folk songs, this is one of the most difficult tasks or otherwise not easier than to create works with original themes. Suffice it to keep in mind that the elaboration of a certain theme is in itself the source of a great difficulty in the elaboration of the folk song or in its simple harmonization, such inspiration is also required, as in the creation of a written work with a theme. created by the composer " (Bartok,1954). Based on the achievements of the musical creativity of composers of the century. XIX, XX was also oriented the Albanian musical direction and the original abundant creative practice of Albanian composers. One can single out "Rhapsody on Albanian folk songs" by M. Gjoka (1922) with quotes from the folk music of northern Albania, etc. After the 50s of the century. XX examples of citation through folklore are the works of Albanian composers, such as: Zadeja, Daija, Zoraqi, Harapi, Dizdari, etc. After the Second World War, musical creativity reflected the social, political and cultural transformations in Albania, in other words, she became the spokesperson of this era. The citation of the popular source material was reflected in the genre of vocal and orchestral rhapsody around the 40s of the last century. The composer K. Kono stands out, who composed five rhapsodies. Folk music with its morphological, syntactic and expressive richness enabled a cultivated and original musical creativity. In the period after the 60's of the last century, rhapsody as a genre of orchestral-symphonic music started and was widely cultivated. The rhapsodies of Laro, Gaqi, Peçi, etc. stand out, in which a series of well-known folk songs and dances of the traditional folk music were quoted. One problem in this regard has been the decline in folklore of various composers, otherwise the formal copying of a folk melody or a segment of instrumental folk music, without undergoing processing, through compositional tricks, impoverishes the creative process of creativity cultivated in the orchestra genre. , poem and symphonic dance etc. as well as the creative individuality of the composer. The reason is the professional lack of knowledge of musical means of expression and compositional techniques.

However, folk music found the right expression in the creativity of most Albanian composers in order to realize the national in music. We mention the long research and cognitive work of Ç. Zadesa in the relationship of his creativity with folklore.

Kosovar composer and musicologist A. Koçi underlined: "Professor Zadeja is a composer who represents the greatest creative figure in our national universe and at the same time belongs to the first generation of our educated composers, who laid the foundations of classical music with wide dimensions, such as from the aspect of the treatment of the musical subject and the

artistic form, as well as from the aspect of the melody, rhythm and style (Koçi,2008). Delivering the genre of rhapsody of this period relied on the great epic through its citation, elaboration and recreating in popular spirit and national character, which further inspired the creativity of the '70s-'90s of the last century. For example, the folklore of the villages of Tirana adapted best to the cultivated music. On the one hand, a folklore motif of a musical work, of whatever genre it may be, makes it possible that that motif, even if it is sung by the people, is not lost as a heritage, because it is found in that work, while on the other hand , if we were to cultivate a folk song, it can no longer be called folk, because it must be free to undergo changes or be preserved as it is, depending on the bearers (Kuqi 2018). Despite this reasoning, folk music remains a model and aspiration for the cultivated Albanian music, which has been developed oriented towards it and the rich long tradition. The folk song has been adapted by the composers in different ways, during the process of multiplication and enrichment of the cultivated Albanian music in different genres and forms. Composer Aleksandër Peçi at the 28th song festival on RTSH, in 1989, with the song "Toka e Diellit", sung by Frederik Ndoci, Manjola Nallbani, Julia Ndoci, won the first prize. Her motive was taken from a folk song, which belongs to the villages of Tirana, "The river is coming, the river is lying" or, as it is also known, "This Lik Stema is making a gun". This composer, like many others, has made the best use of folklore, in particular, that of the villages of Tirana. Other works of this composer based on the folklore motifs of the villages of Tirana, are: "Dance Triste", with a motif taken from "The flower cries for the flower"; "Dance on glass", with motif taken from "Dance No. 1 of Tirana"; "Dance Rhapsody", with motif taken from "Napoleon", "Four dances for violin and piano", taken from "Black Day" , mre, dit 'e hon', mre ". Moreover, this composer has other works, based on the folklore motifs of the villages of Tirana, such as: the wolf motif in the ballet "Kids and the Wolf" and the film of Skanderbeg, the wedding moment. Another composer who referred to the motifs of Tirana folklore is Pëllumb Vorpsi, who built his work, entitled "Fantasy" for orchestra and choir (wordless choir, with vocals), processing the motifs of the dance of " Napoleon ". Moreover, he has also developed folk songs for the acapella choir. Even the music of the documentary film "Frang Bardhi" has a popular character and is perceived as such, although there are no motives taken specifically for any particular song. Pëllumb Vorpsi says: "Popular material never hinders the modern one". Also, the composer Thoma Gaqi is based on the motives of folk songs of the villages of Tirana. With the motive of the song "Po lje lumi rrema rrema" ("Po ban pushk 'o ky Lik Stema"), he has built the second theme of "Dublit Rapsodi, Concerto for violin, cello and orchestra", created in 1979, while in in 1977 "Rhapsody No. 1 for orchestra", the middle part of it, was built with the motif of the song "Çohuni djem shaloni atin", while the third part, which is allegro, was built with the motif of the song "Lake pupulake". All the time is built on motifs with magnified seconds and the motifs are scattered all over, in different positions, are opened in different positions.

Another work of this composer is the symphonic dance "Dance with tears", of 1981, which is built on the motif of "Dance No. 3, of Tirana" (dance of the bridegrooms). Composer Thoma Gaqi, realizing best that the difficulties for composers who take folklore motifs for their works are of different natures, says: "I have been attracted by the autochthony of these songs, they are very old folk songs, it is not easy to mutilate. Being quite old they have taken place in the people and great care must be taken because it is much easier to fail than to succeed so as not to become disliked by the people. You need to think about why you should and why you are taking advantage of this. Folklore is used all over the world. " Another example of the influence of folklore can be seen in the Albanian choral song, which came and developed as an example

of folk group singing, which although characteristic of southern Albania, is practiced in other territories of the country, such as Myzeqe , Chameria, in Kosovo, in Albanian lands, in eastern Macedonia, etc. The way in which the relationship between choral singing and folklore develops is expressed in various forms, such as the elaboration, harmonization and creation of folk songs for choir. Moreover, stylization means a vocal-choral creation that contains quotations from folk songs, developing them melodically, in a popular spirit, and structuring them in polyphonic harmony. Ç. Zadeja would say: "Musical creativity, folklore, has been used in the most natural ways, starting from the method of quotation, elaborated according to the creative individuality of the composer. In many cases, the innovative modal-harmonic source of popular creativity, has maintained its importance, as well as other elements such as the richness of melodic figurations, rhythmic variety, instrumental colors, etc .. when we talk about these achievements, we must understand the way more conscious that in these cases we have nothing to do with primitive ethnographic interventions, as if we do not have to go so far with our intervention, where we lose all signs of folklore ". Folklore has long been the only creative artistic consciousness of our people in terms of music. The national identity of our cultivated music cannot be understood without its relationship to folklore (Turku,2018). He is its main source. Moreover, the deep knowledge and study of folklore creativity is a necessary condition for musical realizations with clarity of national identity. On this problem, Albert Paparisto underlines: "These important problems for the enrichment of our new national tradition can not even be thought to be solved without folklore, without a new direction of creative practice towards folklore. And this new direction is not only its exploitation from the melodic and rhythmic point of view, but the study and discovery of the deeper features, the development of those embryonic characteristics that hide these melodies, the discovery and development of the expressive logic of their inner nature (Paparisto,1970).

The works with folklore motifs are very successful and liked by the Albanian public because they are very close to it. Moreover, folklore has helped artists create and develop an identity of their own with a national character. Prof. Alfred Uçi states that "It would not be appropriate to deny the popular spirit to many works of professional art, which do not carry direct influences from folklore .... Strengthening the ties of professional art with folklore not only has not been and it is not an obstacle for raising the level of artistic mastery, but it is a premise for strengthening the popular spirit of the professional socialist art ... ". The latter reasoning is based on the fact that in the period of the communist regime there were controversies over the connection of folklore with professional art. Research has proven that in different historical periods, Albanian authors have highlighted the desire and efforts to preserve national identity in cultivated music, through the development of relations with folklore. Cultivated Albanian music has always been multiplying and enriching both in genres and in forms and languages, and in support of this music has been folklore. Currently, the cultivated Albanian music is preparing important conceptual changes, which come naturally, as a necessity of the path towards European integration, where popular orientation is a priority and a factor, not only for the configuration of its national identity, but also for the authenticity of originality, which he will place with dignity, alongside the musical cultures of the peoples of a united Europe. Every creator, without exception, even contemporary ones, is based on the sensory authenticity of folk music.

References

[1] Paparisto (1970)"Tradita Kombëtare dhe roli i saj në krijmtarinë tonë", Gazeta "Drita"

[2] Koci (2008) "Vibracione të shpirtit shqiptar", vëll. I, Bukuresht

[3] Kapxhiu (2016) "Folklori dhe kompozitorët shqiptarë". Shkolla doktorale

[4] "Etnologji-Folklor", Qendra e Studimeve Albanologjike, Tiranë,

[5] Bartok (1954) "Tri leksione mbi muzikën hungareze", revista "Uj zenei szenie"

[6] Eno Koço (2004) "Shostakoviç dhe Kadare & artikuj, profile, intervista e vrojtime mbi artin muzikor shqiptar" Shtëpia Botuese Uegen. Tiranë

[7] Kreshnik Kuqi (2018) "Krijmtaria folkloriste e fshatrave të Tiranës dhe muzika e kultivuar". Gazeta shqiptare

[8] K. Lara, T. Harapi dhe A.Paparisto,(1985) "Analiza e veprave muzikore", SHBLU, Tiranë,

[9] "Këndon lahuta e çiftelia", Vargje origjinale nga rapsodë këngëtarë e bejtaxhi popullorë të rrethit Lezhë. Botim i Shtëpisë Kulturore Lezhë, 1961.

[10] Osman Xhatufa (2003) "Kultura Popullore". "Kënga Lirike Qytetare Shqiptare Në Vitet 1930". Botim i Akademisë së Shkencave. Tiranë 2003

[11] S. Ll. Kalemi, "Tonin Harapi", (2003) (Monografi), Shtëpia botuese. "Gjergj Fishta", Tiranë

[12] Suzana Turku (2013) "Folklori muzikor dhe muzika skenike shqiptare" (Këndimi koral shqiptar dhe rrënjët e tij popullore dhe kombëtare). Tezë në kërkim të grades shkencore "Doktor", Shkolla doktorale e studimeve etnomuzikologjike, Tiranë

Mistreatment and Torture from the End of WWII to the Algerian War

Francesca Somenzari

University of Turin, Italy

Abstract

Mistreatment and violation of international laws are recurrent events during WWII; torture is a frequent method used in the Algerian War. This paper investigates the escalation of violence which, in some cases, degenerates into torture and offers a comparison between the situation of Axis Prisoners of War (1943-1946) and the imprisonment's conditions in Algeria (1954-1962). In spite of the temporal interval and different political contexts, in some cases there's a strange "continuity".

Keywords: Second World War, Nationalism, Decolonization, Mistreatment, prisoners' status

Introduction

Mistreatment and torture have always accompanied the history of humanity and they have been common practice during minor and major wars. The reason why mistreatment and torture have always existed is because violence is an "affair of great and seductive beauty" and inspires in the perpetrator a deep sense of pleasure (Bourke 2001). Throughout history this phenomenon has showed different faces depending on the goals it set itself. In pre-classic criminal law, torture was considered a mean of obtaining evidence rather than a corporal punishment; in Greek-Roman times it was used against slaves in particular, but also against free (but foreign) citizens and it consisted in four basic forms: the nailing, the impalement, the stocks and the red-hot iron[1]. During the first three torments, the victim could have to endure hours of agony before the executioner decided to put an end to their suffering.

If we move slightly away from warfare, the range of tortures was even wider with the wheel, the stake, the stretching, mutilation, the pincers and the tongs, the rack, the suspension, the drowning, the quartering, the branding, the boiling, the ripping, the Brazen Bull and The Iron Maiden. In refer to the wheel and other tortures mentioned above, Kerrigan writes:

For many centuries, the victims of torture were stretched on the wheel. Although it seems that some wheels had a circular shape with the victim stretched along the revolving edge, in most of these devices we could see a macabre parody of a restful bed. Later versions of this

---

[1] The nailing to a stake (like the crucifixion), as reported against a war enemy by Herodotus in his *Histories; the* impalement (that is, running a pole through the trunk of the body from the anus to the throat), attested by historian Duris of Samos with reference to the war between Athens and Samos in 439 B.C.; the stocks, a tool consisting in an iron collar chained to a column, which dates back to 820 A.D.; branding by means of a red-hot iron, considered to be the lightest type of torture of ancient times and used to humiliate the defeated enemy.

tecnology provided for the presence of props suitable to raise the victim to the hight easier for the torturer, thus deserving the device the Spanish name of *escalera*, that is scale. But even without these variations, the traditional wheel was already terrible of its own. This cruelty was not the exclusive monopoly of the Catholic Church: on the occasion of the religious ferments of the Sixteenth Century in England, the wheel was generously used not only by Queen Mary, but also by those sovereigns who no longer had relations with Rome […].

The ancient historian Joseph tells that the Jews insurgents against the rule of Rome, the Maccabees, once captured, were subjected to torture that culminated in death by boiling. The victim was immersed in a cauldron filled with boiling water or was browned in boiling oil on a hot iron plate. It seems that in the same way in the Middle Ages the Spanish and Italian Inquisitors covered with fat the feet of the prisoners and that they literally fried them on the fire […].

Branding is a form of instant torture that leaves a permanent mark. The use of branding, in Roman times, involved escaped slaves and then captured. With a big F (which meant "fugitive"), printed on the forehead, no fugitive could hope to go very far. Centuries later, this practice spread in medieval England where, to report the various crimes, a system based on different initials was used: T for thief, M for murderers, P for perjuries, SL for authors of seditious libels. (Kerrigan, 2001, 37-77)

Some of these methods have also been employed in modern wars: think for instance about *waterboarding* (drowning), frequently used by the USA against Islamic prisoners in Abu Graib in Iraq and in Guantanamo in 2003 (Bonini 2004).

In the Twentieth Century, war torture developed new techniques; this century was able to combine subtle tortures with explicit, really tough ones.

However, before getting into details as far as my three cases are concerned, that is:

the mistreatment of Italian and German prisoners in American hands at the end of WWII;

the tortures against the Germans by the French between 1944 and 1948;

the tortures against the Algerians by the French during the Algerian War.

At the end of World War II and between 1944 and 1948: the first two cases

The situation Germans and Italians face between the end of the Second World War and the early post-war era represents the first step in an escalation of mistreatment and violence which, in some cases, degenerates into torture. I'd like, however, to stress the fact that, differently from the second and the third, this first case is not totally torture yet, although it's very close to it. We are faced with an intermediate situation, which is more than maltreatment and less than real torture.

The Italian prisoners in American hands, after September 8th 1943, find themselves in a different situation compared to the war, as the armistice has given the Italian government the illusion of co-belligerency, which at first prompts Badoglio and the High Commissioner for war prisoners, Pietro Gazzera, to make concessions and negotiations which, however, don't end in the way and upon the conditions hoped for by them (Conti, 2012). Suddenly, within US prison camps, the Italians are faced with the choice to voluntarily join (therefore without the mediation and the full consent of the Italian government) the co-operation with the allied

forces or to refuse it. Those who refuse to sign the *I promise*, that is, the collaboration agreement (and decide to wait for further instructions from the Italian government), are immediately discriminated against and treated in open violation of the 1929 Geneva's Convention. How are they discriminated against? These Italians, labelled as *fascist prisoners*, are transferred to special camps (therefore far from the other prisoners who have decided to cooperate), particularly to the Hereford (Texas) camp, where they are subjected to a harsh system of deprivation and violence. The US military substantially decreases the food rations to which these prisoners are entitled, thus starting a regime called, not without reason, of *starvation* and tough violence, consisting in night round-ups during which the Italian prisoners are beaten up and often massacred in their sleep (Tumiati 1985, 85-86). All of this aims at forcibly inducing these Italians to accept the cooperation with the Allies. For the latter, their acceptance doesn't bring about any particular material or economic advantage, but it has a precious political value in terms of consensus, mainly.

This type of violence (which coincides with the so-called *coup,* punch or beating), which may at first seem bland, is in fact defined by Raphaëlle Branche as the first *step* within torture methods.

Let's read some testimony given by non-cooperating Italian prisoners in their memoirs:

We are subjected to sudden irruptions [...]. Suddenly, in the silence of the night, a roar of vans, the sound of troops'running steps, screams, shouting, while the lights in the turrets are rotating faster than usual.

We hear a group breaking into the barrack next to ours: cudgel strokes, laments. Now it's our turn. The door bangs open and on the threshold the gigantic silhouette of a soldier in battle gear appears, all the more black because the headlights of a jeep are projected on his back, creating scary light effects. They're rotating the cudgels [...] when they're gone we rush to the wounded ones. Bruises, blood, numbness (Tumiati 1985, 85-86).

This climate of intimidation, as well as the diet, consisting in one slice of bread and one eight of salted fish per day, begins in May 1944 and lasts until early 1946, the year of the repatriation. Despite the protests for the abuse in breach of the 1929 Convention, the commander at Hereford camp, colonel Carlworth, usually replies: 'War is war' The Geneva Conventions are the Geneva Conventions, but we're in the USA here. I think you'd better tell your officials to collaborate. It's better for them...' (Mieville 1948, 67).

Beside forms of physical violence, there exist methods of psychological torture, like feigning the shooting of some prisoners, so as to induce the prisoners to desist from their resistance. The violence exerted on the prisoners, both as starvation and physical mistreatment, serves a precise purpose. It is violence with a political objective.

The case of the German prisoners in American hand in the context of the end of the Second World War in Europe has got slightly different characteristics, which have the taste of genuine war revenge, like we'll see in the second case (the one of the Germans in French hands). We're at the beginning of 1944, when the US army starts penetrating the German territory and, as it gradually takes prisoners, it rounds them up in provisional camps, *Rheinwiesenlager*, on the left-hand side of the river Rhine. We are looking at a case which stands between the inability, on the one hand, to actually assist these prisoners and the unwillingness, on the other hand, to look after them. It is a type of neglectful and inhuman treatment which has got the intuitive

and logical connotations of war revenge. The Germans are kept outdoors behind barbed-wire fences, without shelter, unfed.

Let's read the worried testimony given by a local bishop to the Red Cross International Committee:

Act urgently, every day notes are thrown from the fences, saying 'Help us, we are starving to death' (23 August 1945, in G3/26h, *France- Allemagne 1945*, Comité International de la Croix-Rouge)

Another testimony, gathered by the *Deutsches Büro für Friedensfragen,* reveals the clear intent of this maltreatment:

In the spring of 1945,in Rheingönnheim, near Ludwigshafen, there was a large US concentration camp […]. The prisoners had to camp outdoors without tents, so they were forced to dig up holes in the ground and use them as shelters. The tents the prisoners still possessed were taken away from them. Their diet was bad (May 1945, in Z 35- 327, *Deutsches Büro für Friedensfragen*, Bundesarchiv Koblenz)

And then:

Inside the camp shots were fired by the guards, and not by accident, but on purpose (May 1945, in Z 35- 327, *Deutsches Büro für Friedensfragen*, Bundesarchiv Koblenz)

It is quite clear that if malnutrition can be attributed the lack of alimentary resources on the part of the US army in the context of 1945 Germany, taking forcibly the tents away from the prisoners and shooting them from the camp's control turrets is not to do with impossibility or neglect, but with sheer war revenge. The creation of such enclosures comes shortly after the anglo-american discovery of Nazi concentration camps, so we must validate, rightfully and based on the available sources, the hypothesis of sometimes subtle, other times explicit tortures against the German prisoners of the first phase, that is, those captured between the winter and the spring of 1945.

If the violence inflicted on the Italian prisoners has a political objective, that is, harvesting as much consent as possible to the collaboration project, this is where the war retaliation phase begins.

The aspect which must be pointed out in this case and in the next ones is that it is the subaltern, low ranks, the wardens, in this case of Polish nationality, who play the part of the torturers, under the complicit and absolving gaze of the high commands.

The situation of the German prisoners in French hand between 1944 and 1948 is the second case and it is a clear example of explicit torture.

Before analyzing the nature of such practices, it is fundamental to start by saying that, not by chance, the German soldiers preferred to be captured by the Anglo-Americans than by the French or the Russians, who were considered – for reasons that we're not going to deal with here – inexorable jailers.

Besides further reducing the food rations in the camps on the left-hand side of the Rhine, where the French army replaced the American one between the spring and the summer of 1945 – a fact that, because of the harshness of the conditions, attracted the attention of the press, particularly of 'Le Figaro', which, referring to the prisoners, talks about 'skeletons'

wandering around the fenced areas, and of 'Le Monde', that titles an article like this: *Un prisonnier, même allemand, est un être humain* and adds:

Just like today we're talking about Dachau, in ten years'time we'll be talking about camps like.... (Somenzari 2011, 95)

The French adopted real torture methods, like electrocution and branding. Dossier G 25/5, found in the archive of the International Committee of the Red Cross in Geneva, reports some of these cases, that were quite common in the military prisons in Toulouse and Bordeaux in particular. Let's read a report of the Red Cross:

During the visits to the military prisons in Toulouse and Bordeaux, Mr. Boissier was able to spend some time with many prisoners detained there, who made some complaints about the methods employed with them during the questioning. These prisoners claimed to have suffered very cruel corporal punishments: branding with fire-heated irons, electrocution of the genitals, punches (12 September 1946, in G25/5, *France 1946*, Comité International de la Croix-Rouge)

We stand before, in part, those torture methods that the French will employ, without limits and hesitation, against the Algerian prisoners between 1954 and 1962, and that essentially amount to five: punching, hanging, drowning or *waterboarding* (also known as water torment), electrocution and rape (Branche 2001, 236). Of these five methods, used systematically during the Algerian war, three are applied against the Germans between the end of the Second World War and the early post-war period. A sense of impunity probably accompanies the spread of these forms of torture against the Germans; this is due to the fact that the condition of reciprocity has died out and to the breach of the Geneva Convention, a fact made possible by the signing of the *unconditional surrender* on the part of the German High Command.

The War of 1st November: the last case

The so called "War of 1st November" was one of the bloodiest wars of decolonization in the World because it brought France to the loss of its sovereignty over a colony of great historical and strategic importance: Algeria. The conflict was marked by a guerrilla warfare and maquis fighting and led to serious political crises in France, including the fall of the Fourth Republic.

During the war, France used torture methods. As Vidal Naquet reports:

Arrested by the police, often tortured, judged by biased tribunals drenched in a racist spirit, after being sentenced they were put back in the hands of an administration which depended on the police itself. Everything happened within a closed circuit, of which torture was an integral part (Vidal Naquet 1963, 28).

In this war torture becomes a system, involving several levels of the state: the army, the police, the administration (Thénault 1998). As Vidal-Naquet points out, the judiciary is often an accomplice, too, as it doesn't have the prisoners who show very evident injuries undergo medical scrutiny (Vidal Naquet 1963, 31-32).

But the element that places the Algerian war on a totally different level from previous conflicts is the public admission and tolerance of torture, represented by the Wuillaume report: it is the

political seal of this state of affairs. In this report, not only are the tortures practiced in Algeria on those who are suspected listed, tortures that are the prerogative of "every police", from the gendarmerie to the judicial police, through the information service, but these methods of torture are also authorized. How? Wuillaume[1] puts it on paper that 'such procedures as the use of the water tube and electricity, if used with caution, would produce a shock more psychological than physical, and therefore would be free from excessive cruelty" (Vidal Naquet 1963, 32). Therefore, for the first time, a senior official, not belonging to the army or the police, proposes to legalize torture and to restore - as Vidal Naquet writes - what in the Middle Ages was called 'the water torture', adding 'the more modern use of electricity to it' (Vidal Naquet 1963, 33). It is a report that, due to its shocking conclusions, could not be accepted even by Jacques Soustelle, then General Governor of Algeria and a longstanding supporter of French colonialism. If at the state level torture still remained theoretically forbidden, it was accepted that the torturers would be covered by the superior authority.

Another aspect that totally distinguishes the Algerian case from the previous ones, in the context of the end of the Second World War and soon thereafter, is that of the racial nature; Vidal-Naquet, referring to the various power organs of the state and in particular to the police, the prefects, the sub-prefects, the head of the administration, writes:

Even though these gangs tore each other to pieces, they were then firmly united in imposing the racial supremacy of the European on the Muslim (Vidal Naquet 1963, 33).

Here is the element that distinguishes this type of conflict from those previously illustrated and which forms the basis of this system of torture.

Conclusions

According to Raphaëlle Branche and her lucid definition, torture is

an absolute act of war [...] it immediately creates a radical inequality between the one who enjoys all the rights and the one who has none, since the latter is not recognized as equal, neither in the war context, nor on a human level. Torture amounts to the realization of a victory over the individual. (Branche 2001, 325)

During the Algerian Revolution- much more than in the first two cases illustrated- the imbalance between those who possess every right and those who have none, is almost total; the situation is due to two facts:

1. this colonial war (not of conquest but of maintenance) is equated with a civil war (Labanca 2007) and during a civil war settling accounts is an internal affair to the state (torture itself is experienced as an "internal affair");

2. given the mixed nature of this conflict, for the French of the motherland also the element of nationality comes into play; in other words, both the *pieds- noirs* and the Algerians are not considered citizens of a state on a par with France, even if they themselves continue to repeat: *l'Algérie est la France*.

---

[1] In 1954 Roger Wuillaume, a government inspector, was sent to Algeria to investigate numerous reports of torture.

With regard to the Germans, torture is practised in a much more limited way because the French authorities know that they are dealing with the prisoners of a western state.

Beyond the military contexts and motivations and contrary to UN sanctions, currently in the world there are more than one hundred states that resort to torture. According to Kerrigan,

Of the 123 states which- according to the Association of Survivors of Torture- use torture, few or very few would be willing to admit this fact. (Kerrigan, 2001, 7)

References

[1]   Ambrose, S., & Bishof, G. (1992). *Eisenhower and the German POWs. Facts against Falsehood*. Louisiana State University Press, Baton Rouge
[2]   Alleg, H. (1958). *La tortura*. Einaudi, Torino
[3]   Beaumont, J. (2007). Prisoners of War in the Second World War. *Journal of Contemporary History*, 42 (3), 535-544
[4]   Bending, L. (2000). *The Representation of Bodily Pain in Late Nineteenth-Century English Culture*. Clarendon Press, Oxford
[5]   Böhme, K. (1973). *Die deutschen Kriegsgefangenen in amerikanischer Hand: Europa*. Gieseking, Bielefeld
[6]   Bonini, C. (2004). *Guantanamo. Usa, viaggio nella prigione del terrore*. Einaudi, Torino
[7]   Bourke, J. (2014). *The Story of Pain: from Prayer to Painkillers*. Oxford University Press, Oxford
[8]   Branche, R. (2001). *La torture et l'Armée pendant la guerre d'Algerie (1954-1962)*. Gallimard, Paris
[9]   Brazzoduro, A. (2009). Il nemico interno. La Guerra d'Algeria nel cinema francese. *Passato e Presente. Rivista di storia contemporanea*, 27 (76), 127-142
[10]   Brazzoduro, A. (2012). *Soldati senza causa. Memorie dalla Guerra di Algeria*. Laterza, Roma-Bari
[11]   Calchi Novati, G., & Roggero, C. (2018). *Storia dell'Algeria indipendente. Dalla guerra di liberazione a Bouteflika*. Bompiani, Milano
[12]   Cochet, F. (1998). *Soldats sans armes. La captivité de guerre: une approche culturelle*. Bruylant, Bruxelles
[13]   Conti, F. (2012). *I prigionieri italiani negli Stati Uniti*. Il Mulino, Bologna
[14]   Keefer, L. (1992). *Italian Prisoners of War in America (1942-1946)*. Praeger, New York
[15]   Kerrigan, M. (2001). *Gli strumenti di tortura*. L'Airone, Rome
[16]   Labanca, N. (2007). *Guerre coloniali e guerre europee. Il problema del nemico*. In G. Gribaudi (Ed.), *Le guerre del Novecento*. L'Ancora del Mediterraneo, Naples
[17]   Lefeuvre, D. (2005). *Chère Algérie. La France et sa colonie (1930-1962)*. Flammarion, Paris
[18]   Mieville, R. (1948). *Fascists' Criminal Camp*. Edizioni Corso, Rome
[19]   Moore, B. (1996). *Prisoners of War and their Captors in World War II*. Berg, Oxford
[20]   Shepard, T. (2008). *The Invention of Decolonization: the Algerian War and the Remaking of France*, Cornell University Press, Ithaca
[21]   Smith, A. (1984). Die deutschen Kriegsgefangenen in Frankreich (1945-1949). *Vierteljahrshefte für Zeitgeschichte,* 31 (1), 103-121
[22]   Somenzari, F. (2011). *I prigionieri tedeschi in mano statunitense in Germania (1945-1947)*. Zamorani, Turin
[23]   Somenzari, F. (2013). *8 settembre 1943. Gli Stati Uniti e i prigionieri italiani.* Aracne, Rome
[24]   Somenzari, F. (2013). Un'area franca? Cattura e prigionia nelle guerre del Novecento. In M. Di Giovanni (Ed.), *Le regole della battaglia*. Morlacchi, Perugia.
[25]   Stora, B. (2009). *La Guerra d'Algeria*. Il Mulino, Bologna.
[26]   Thénault, S. (1998). Armée et justice en guerre d'Algérie. *Vingtième Siècle. Revue d'histoire,* 57, 104-114

[27] Thénault, S. (2005). *Histoire de la guerre d'indépendance algérienne*. Flammarion, Paris

[28] Tumiati, G. (1985). *Prigionieri nel Texas*. Mursia, Milan

[29] Vidal-Naquet, P. (1963). *Lo stato di tortura*. Laterza, Bari

[30] Worral, J. (1990), Italian Prisoners of War in the United States: 1943-1945. In J. Scelsa (Ed.), *Proceedings of the XXI Annual Conference of the American Italian Historical Association*. The American Italian Historical Association, New York

Promoting the Spirit of Ubuntu (Humane) in a Gauteng Correctional School: A Wellness Perspective

Mary Lebese

Department of Psychology of Education, University of South Africa

Magano Meahabo Dinah

Department of Psychology of Education, University of South Africa

Abstract

The paper reports on a study conducted on incarcerated learners in a Gauteng correctional school. The study used the Ubuntu principle as a lens. Furthermore, it was embedded in an interpretive paradigm and a qualitative research method was used. Purposive sampling was used whereby a teacher, a counsellor and learners were sampled and all participated on a voluntary basis. Interviews were used for data collection and were approximately 30 to 45 minutes in duration. Data were analysed manually, and findings revealed that peer pressure, substance abuse and poor family background are challenges faced by juvenile offender learners. In addition, anger and hatred led juveniles to commit crime. They all regret of their actions and they need to be loved, valued and accepted by the community. Above all, juvenile offender learners want their parents to support them while in incarceration. Owing to a lack of parental support, juvenile offender learners express their emotions through fighting among themselves. The Ubuntu element shown by some of the visitors, pastors, teachers and correctional officials contributed positively to the behavioural change amongst juveniles. They hope the Department of Correctional Services will make spiritual sessions compulsory for all offenders, and religious education and cultural values should be included in their school curriculum to eliminate gangsterism in the correctional centre.

Keywords: Ubuntu, correctional school, juvenile offender, wellness

Introduction

The study was conducted to establish how the Ubuntu principle is infused in the school climate to promote the wellness of juvenile offender learners in a Gauteng correctional school. The present Correctional Service Act 8 of 1959 defines a juvenile as a person under the age of 21 years (SAFLII, 1993). However, within the departmental practice, the category "child" has now been recognised as distinct from juvenile and children are those under the age of 18. In the new draft Correctional Service Act, the definition of child has been incorporated and the age limit of 18 is used.

According to Gagnon (2014), the United States and the Republic of South Africa are first and second respectively in the world with the number of incarcerated youth. The majority of youths enter correctional centres with a broad range of intense educational, mental health,

medical and social needs. Moreover, large numbers of incarcerated juveniles are marginally literate or illiterate and have experienced school failure and retention (Centre on Crime, Communities and Culture, 1997). Quintessentially, these youths are also disproportionately male, poor, in the minority and have significant learning and/or behavioural problems that entitle them to special education and related services. Juvenile offender learners who struggled to develop a prison mask that is unrevealing and impenetrable at both an emotional and behavioural level risk alienating themselves. They may develop emotional flatness that becomes chronic and debilitating in social interactions and relationships, and find that they have created a permanent and unbridgeable distance between themselves and other people (Sapsford, 1978). Many for whom the mask becomes permanent and effective in prison cannot engage in open communication with others leading them to withdrawal from authentic social interactions altogether. The alienation and social distancing from others are a defence not only against exploitations, but also against the realisation that the lack of interpersonal control in the immediate prison environment makes emotional investments in relationships risky and unpredictable.

The White Paper on Corrections Department of Correctional Services (2005) postulates that the purpose of the correctional system in South Africa is not designed to punish but to correct minors' unacceptable behaviour. This is done by putting and protecting the interest of the public first in promoting the social responsibility and enhancing human development in order to prevent re-offending and breaking the cycle of crime through rehabilitation (Balfour, 2005). All juveniles should benefit from arrangements designed to integrate them back into society, family life, education or employment after release. Significantly, the aim of this principle is to protect the rights of children as provided for in the institution. Therefore, in correcting a juvenile the Ubuntu principle is necessary. This study's aim was to explore and see how the Ubuntu principle is present or not in a correctional school and how it is used to break the cycle of crime by transforming the lives of inmates and promote their wellness.

Theoretical Framework

Ubuntu is one of the several African approaches to a comprehensive understanding of the process of cultivating cohesion and positive human interaction with one another and with creation in daily life (Manda, 2009). According to Nussbaum (2003:21), Ubuntu is the capacity in African culture to express compassion, reciprocity, dignity, harmony and humanity in the interests of building and maintaining communities. More importantly, Ubuntu calls on us to believe and feel that your pain is my pain, my wealth is your wealth, and your salvation is my salvation. Since Ubuntu is within the African philosophies, the researchers preferred it as a lens to respond to the problems and troubles of Africa rather than using Western philosophical thoughts that dominate literature. The researchers used Ngũngĩ wa Thiong'o's (1993) thinking on decolonising the mind. Juveniles in Africa need to be corrected in an African way. The most important aspect of African philosophy is that, unlike Western philosophy which regards the individual as the centre of life, it does not put the community first. African philosophy emphasises the sense of communalism that we as human beings should have (Nussbaum, 2003). African philosophy represents African views or philosophies that use distinct African philosophical methods. All people have a philosophy that guides the way they live, their perceptions of others, and the decisions and choices they make about every aspect of their lives; such a philosophy is a distinct set of beliefs and values with which such people identify (Letseka, 2000:179). Steve Biko's philosophy of black consciousness chronicles the malaise

that has remained an impediment to the desire of black men to achieve economic liberation and political independence (Umejei, 2011). Archbishop Desmond Tutu (2008) refers to a South African saying, "Ubuntu" as the essence of being human. Ubuntu speaks particularly about the fact you cannot exist as a human being in isolation.

Ubuntu from a religious dimension

The Department of Spiritual Care of the Department for Correctional Services (2002:1) postulates that every offender has the constitutional right to freedom of religion, belief and opinion. Africans may belong to different societies, traditions and rituals but Ubuntu usually has a strong religious meaning in their life (Manda, 2009).

According to Archbishop Desmond Tutu (2008), Ubuntu is described as "I am human because I belong". It speaks about wholeness and it speaks about compassion. A person with Ubuntu is welcoming, hospitable, warm and generous, and willing to share. Juvenile offenders must not feel threatened that others are able and good, for they have a proper self-assurance that comes from knowing that they belong to a greater whole.

When people in prison get involved in religious services and begin to lead a richer life along with their physical, emotional and intellectual life, then they have more inner resources available to them. Religious involvement can free up a part of who we are, and these inner resources can lead to a change in attitudes and behaviours.

Ubuntu from a judicial angle

According to Mokgoro (1998:50), life and dignity are "like two sides of the same coin'' and ''the concept of Ubuntu embodies them both". She cited with approval the statement in the preamble of the International Covenant on Civil and Political Rights that "human rights derive from the inherent dignity of the human person".

Children's legal rights in South Africa are derived from international conventions, the South African Constitution and South African laws. In 1995, South Africa ratified the United Nations Convention on the Rights of the Child (UNCRC), which committed South Africa to implement a "first call for children". This makes the needs of children paramount throughout government departments' strategies. The Convention rests on four pillars: survival rights, development rights, protection rights and participation rights. Article 28 provides for children's social-economic rights without any limitation, as well as protection from neglect, abuse and exploitation, and particular provisions for children in detention. Article 29 provides for the right to basic education.

Ubuntu from a philosophical dimension

African philosophy is a philosophy produced by African people – a philosophy which presents African worldviews, or a philosophy that can be formally defined as critical thinking by Africans on their experiences of reality. Nigerian-born philosopher K.C. Anyanwu defines African philosophy as "that which concerns itself with the way in which African people of the past and present make sense of their destiny and of the world in which they live" (in Jaja & Badey, 2012:95). Omoregbe (1998) broadly defines a philosopher as one who attempts to understand the world's phenomena, the purpose of human existence, the nature of the world and the place of human beings in that world.

Generally speaking, Ubuntu is an ancient African philosophy translated loosely as "living in humble humanity seen or known for being humbly and generously selfless". More often than not, people think of themselves far too frequently as just individuals living and acting separately from others and the universe, and this is not true, because we are intrinsically connected as people, and what you do affects others and the world including nature in many ways. According to Brinn (2013), "Ubuntu" is powerful thinking from the African languages, the interconnectedness concept of Ubuntu is "everyone is part of the whole", the philosophy of "I am because of who we all are" is awareness to youth that we are all part of something larger.

Ubuntu is closely linked with wellness in the sense that it affects the well-being of an individual. Wellness has six dimensions such as intellectual, emotional, social, spiritual and career (Hettler, 1980), and in all these dimensions Ubuntu plays a significant role. Therefore, in this study as researchers explored the role of Ubuntu in a correctional school, it also touched on the wellness of juvenile offender learners. The research question for the study was: How can juvenile offender learners be supported through the principle of Ubuntu with regard to their wellness?

Methods

The study was embedded in the interpretivist paradigm since the researchers believes that reality consists of people's subjective experiences of the external world; therefore, they may adopt an inter-subjective epistemology and the ontological belief that reality is socially constructed. Reeves and Hedberg (2003:32) note that the "interpretivist" paradigm stresses the need to put analysis in context.

A qualitative method was used in this study to explore the "subjective experience" of the research participants (Flick, 2009:24), and it is also useful for describing a situation and understanding an individual's perception of their personal situations.

Participants: Eleven participants were sampled as follows: Eight juvenile offender learners of school-going ages, a teacher and a counsellor. In order to be consistent with all participants, the researchers interviewed and audio-recorded each juvenile using both closed- and open-ended questions. As the interview progresses, an opportunity was given to the juveniles to elaborate or provide more relevant information if they opted to do so.

Data analysis: The researchers transcribed and analysed the interviews while they were still fresh in their minds (Greeff, Vanteenwegen & Gilliard, 2012). Data collected from interviews were organised, transcribed, coded and analysed using thematic content analysis, noting patterns and regularities (Cohen et al., 2007). The analysed data was presented in the form of the following themes:

Lack of Ubuntu in families caused juveniles to commit crime

Ubuntu shown by the Department of Correctional Services as part of a rehabilitation process to improve the juveniles' wellness

Ubuntu from pastors to improve juvenile spiritual wellness

Theme 1: Lack of Ubuntu in families caused juveniles to commit crime

Family situations vary and some are a cause of juvenile delinquency, which lead to incarceration. However, in most instances, the children turn to external factors as a result of trying to overcome their internal problems, such as poor family background, broken families, domestic violence, immaturity, disobedience of parents, ignorance, bad company and substance abuse as a result of peer pressure. These are the core influential factors of juvenile offender learners' actions.

Family plays a major role in every person's upbringing. That is why it is very important for a specialist to understand the juveniles' family background of where they are coming from before addressing their behaviour for successful and productive intervention (Wring & Liddle, 2014:6). Findings revealed that lack of Ubuntu in families ruined juveniles' wellness; these findings are similar to a study by MacArthur (2016), which points out that lack of family structure, connectedness, love and support are associated with juvenile criminal activity. Most of the juvenile offender learners are coming from dysfunctional families whereby a habit of domestic violence is being practised because of alcohol abuse. They then join street gangs, steal and gamble to earn more money for survival. The role of the Department of Correctional Services is to practise and promote the goodwill and sincere interaction between the offenders and their families through rehabilitation (White Paper on Corrections in South Africa, Department of Correctional Services, 2005).

Theme 2: Ubuntu offered by the Department of Correctional Services as part of a rehabilitation process to improve juveniles' wellness

Findings of the study revealed that emotional rehabilitation helps juvenile offender learners manage and direct their anger in a healthy way to restore a quality life. Correctional officers try to intervene where the family could not instil Ubuntu in children. Professionals working with juvenile offender learners have a natural inclination to help others who are going through a tough time. However, it is beneficial for them to learn effective techniques that they can use when offering emotional support for them. According Martin, Volkmar and Lewis (2007), juveniles as adolescents are experiencing brain changes causing them to experience different emotions, such as mood swings, uncooperative and irresponsible attitudes, and sometimes they cannot even explain why they feel the way they do.

Many juveniles are traumatised by multiple events, like child abuse, that cause a negative emotional impact, which in turn has a profound effect on individual development during childhood, adolescence and into adulthood. These effects can blunt emotional development, level of self-esteem and socialisation on how they form relationships with other people (National Health Scotland, 2017).

Findings revealed that rehabilitation helps juvenile offender learners to discover themselves, their feelings of anger, harmful behaviour, and how to handle anger without hurting other people or themselves. Accordingly, offenders are privileged in having a professional who facilitates the emotional therapy in their life space to guide and support them to overcome their emotional trauma, and who teaches them to improve their ability to function productively in their communities.

If juvenile offender learners are healed emotionally, they will be in a better position to acknowledge their mistakes, develop the spirit of humanity, apologise for their actions and learn to forgive those who wrong them. They are taught on how to be in a world that embraces them within a joyful abundant resilience. Embracing does not dissolve hardship, but models

for young people that hardship is weathered through standing together in dignified resilience. The main idea is to support them by building up the spirit of Ubuntu that is related to human happiness and wellbeing. The African values of forgiveness, harmony, healing, belonging, relatedness, Ubuntu and participation are being captured in the behaviour management practices in child and youth care work and the spirit of working with troubled young and their families.

Theme 3: Ubuntu from pastors to improve juvenile spiritual wellness

Researchers found that juveniles have confessed their wrongdoing, repented and placed their faith in God believing that He has the power of everything they need. Serving long sentences in a correctional centre gives juvenile offender learners rich opportunities for spiritual growth along with challenges to its expression and development.

Spiritual leaders from different faith organisations visit the correctional centre twice a week, though offenders are attending for different reasons, and some do not believe in God. There are those who are interested, but because of insecurity and a poor self-esteem, they resist attending simply because they want to please their friends as most of them belong to certain gangs in the centre. Nevertheless, those individuals who are engaging themselves on a spiritual path seem to be brave and matured enough to stand for themselves without feeling threatened by those who do not want to attend. The group that participates is very committed and even requested for an increase in spiritual meetings or contact days, as they feel that once or twice a week is not enough for their development progress. The spiritual programme helps the juvenile offender learners to overcome their sinful thoughts and actions.

Juveniles attending faith-based meetings in the correctional centre get an opportunity to talk about their spiritual concerns as well as their psychological and emotional needs, which can be helpful if they are trying to forgive themselves or seeking forgiveness from God for what they did in the past. Faith-based teachings have spiritual principles and view a personal relationship with God as an important aspect of healing. Therefore, spiritual rehabilitation programmes help juvenile offender learners feel supported as they seek emotional healing (Fletcher & Batty, 2012).

The transformation taught them more in a sense of how to interact with one another, and their relationship has improved to an extent that they are able to learn and benefit from one another and treating each other like brothers showing Ubuntu. They are able to practise and promote the spirit of Ubuntu among themselves, reinforcing their respect for human rights of others.

Juvenile offender learners support each other in exploring their spiritual journey and need to be guided by spiritual leaders. They are trying to fulfil their need in a spiritual way to avoid pain while incarcerated. Accordingly, attending spiritual activities has put juvenile offender learners in a better position to understand that as humans, they need spiritual resources to help them heal the painful wounds of grief, guilt, unforgiveness and shame. They have experienced the transformation of salvation by attending spiritual counselling sessions in the correctional centre. Juveniles in the past before they start attending spiritual sessions used to think about themselves far too frequently as just individuals, separated from one another. However, with the guidance and support of spiritual leaders, they discover their own human qualities and acknowledge that a person is a person through other persons in life (Manda, 2009). Juvenile offender learners become aware that as human beings, they are connected and

what they do affects the whole world, and that has helped them to know that if they do well, it will spread out to the whole of humanity.

Their wish is for the Department of Correctional Services to extend their invitation to all the churches so that they are all represented. Juvenile offender learners are of the opinion that if all churches are represented, they would not have a problem of shortages or not enough priests visiting the centre; instead, priests will come in large numbers and even the days will increase as some will be coming during the week, and not only weekends. In that case, all the individuals will get an opportunity to have a one-on-one conversation with a spiritual leader for clarity of some of the things they struggle with, not forgetting the confession of sins to be forgiven.

Recommendations

The study recommends the following:

Parents should teach children Ubuntu from an early age to live a life which is healthy, and knowing to respect others and their possessions.

A functional networking team of teachers, priests, social workers, counsellors and psychologists has to be established and a system has to be introduced where monthly meetings are held for feedback of juvenile offender learners' progress (emotional, spiritual, physical and educational).

Bully awareness workshop should be practically implemented at the juvenile school whereby the inmates could be actively involved in the programmes to eliminate gangsterism that is hampering the Ubuntu element.

Spiritual and traditional leaders promoting African values should network with correctional centres.

Conclusion

Using a lens of Ubuntu from an African perspective, the researchers are able to elucidate the causes of juvenile delinquency and incarceration, and how Ubuntu can be used as a rehabilitation element in curbing recidivism. It was clear in the study that from a home background, Ubuntu plays an important role in the life of a child.

The importance of interconnectedness of people highlighting the idea that an individual does not live in isolation; one learns and benefit from others, and one should in turn contribute to the lives and wellbeing of others. A person who is emotionally well equipped is able to acknowledge and share feelings with the ability to motivate oneself and others. More importantly, supporting juvenile offender learners emotionally and spiritually through rehabilitation will enable them to restore their reputation as a person; to be useful, and to make a positive and responsible contribution in society. In working together as a society and networking with correctional centres, Ubuntu may be maximised.

References

[1] Balfour. N. (2005). Foreword to White Paper on Corrections in South Africa. *White Paper on Corrections.* Pretoria. Government Printers.

[2]   Brinn, J. (2013). Ubuntu: A South African philosophy that can inspire youth. Michigan State University Extension. Posted on April 2, 2013. Available at: msue.anr.msu.edu/news/Ubuntu (accessed on 18 January 2018).

[3]   Cohen, L., Manion, L. & Morrison, K. (2007). *Research methods in education*. New York: Routledge.

[4]   Criminal Justice Initiative. (1997). Education as crime prevention: Providing education to prisoners. The Center on Crime, Communities and Culture. *Occasional paper series (Research Brief No. 2). Retrieved from https://www. prisonlegalnews. org/news/publications/cji-research-brief-2-education-as-prevention-1997*.

[5]   Department for Correctional Service. (2005). White Paper on Corrections. Pretoria: Government Printers. Available at: www.dcs.gov.za/?page_id=172 Accessed on 22 January 2018

[6]   Department of Correctional Services. (2002). Annual Report: 1 April 2001 to 31 March 2002. Cape Town: Formeset.

[7]   Fletcher, D.R. & Batty, E. (2012). Offender Peer Interventions: What Do We Know? Centre for Regional Economic and Social Research: Sheffield Hallam University.

[8]   Gagnon, J.C. (2014). Institutional practice guide for teaching reading and mathematics in juvenile correctional schools. *Journal of Correctional Education*, 65(3):5-23.

[9]   Greeff, A.P., Vansteenwegen, A. & Gillard, J. (2012). Resilience in Families Living with a child Physical Disability. *Rehabilitation Nurses*, 37(3):97-104.

[10]   Hettler, B. (1980). *Six dimensions of wellness*. National Institute of Wellness Inc.

[11]   Jaja, J.M. & Badey, P.B. (2012). Logic in African Philosophy: Examples from two Niger Delta Societies. *International Journal of Academic Research in Business and Social Science,* 2:95-102.

[12]   Leone, P.E. & Meisel, S. (1997). Improving education services for students in detention and confinement facilities. *Children's Legal Rights Journal*, 71(1):2-12.

[13]   Letseka, M. (2000). African philosophy and educational discourse, in O. Higgs, N.C.G. Vakalisa, T.V. Mda & N.T. Assie-Lumumba (eds.), pp. 179-193, *African voices in education*, Landsdowne, Juta.

[14]   Manda, D.S. (2009). Ubuntu Philosophy as an African Philosophy for peace. Available at: http://www.africafile.org (accessed on 18 January 2018).

[15]   MacArthur, J.D. & MacArthur, C.T. (2010). Supporting Creative People and Organisations MacArthur   Foundation.   Available at: ttps://www.macfound.org/media/files/MAC_2010.

[16]   Martin, A. & Volkmar, F. (2007). *Lewis's child and adolescent psychiatry: a comprehensive textbook.* 4th Edition. Philadelphia PA: Lippincott Williams & Wilkins.

[17]   Mokgoro J.Y. (1998). Ubuntu and the Law in South Africa. Paper delivered at the first Colloquium Constitution and Law held at Potchefstroom on 31 October 1997. This paper was first published by the Konrad-Adenauer-Stiftung in their Seminar Report of the Colloquium (Johannesburg 1998).

[18]   NHS. (2017). *Reducing offending, reducing inequalities. Achieving 'better health, better lives' through community justice*. Scotland: NHS Health.

[19]   Ngŭgĭ wa Thiong'o. (1993). *Moving the Centre. The Struggle for Cultural Freedoms*. EAEP Nairobi: Heinemann Portsmouth.

[20]   Nussbaum, B. (2003). African culture and Ubuntu. Reflections of a South African on Our Common Humanity Reflections, the Society for Organizational Learning and the Massachusetts Institute of Technology. *Reflections*, 4(4):21-26.

[21]   Omoregbe, I.J. (1998). African philosophy: yesterday and today, in Bodunrin, E.C. [ed.] *African Philosophy: An Anthology*. Oxford: Blackwell.

[22]   Reeves, T.C. & Hedberg, J.C. (2003). *Interactive Learning Systems Evaluation*, Englewood Cliffs, New Jersey: Educational Technology Publications.

[23]   SAFLII. (1993). Correctional Services Second Amendment Act 1993 [No 135 of 1993] G15162. Available at www.saflii.org/za/legis/number act/cssaa1993368

[24] Sapsford, R. (1978). Life sentence prisoners: Psychological changes during sentence. *The British Journal of Criminology*, 18(2):128-145.

[25] Tutu, D. (2008). Ubuntu theology of Desmond Tutu. Available at: https://www.goodreads.com/book/show/817486.Reconciliation (accessed on 22 January 2018).

[26] Umejei, E. (2011). 34 years after Biko's Philosophy of Black Consciousness' resonates. *Shout Africa*, September 11, 2011.

[27] UNESCO. (1995). United Nations Declaration on Children's Rights 20 November 1959. Available at:

[28] https://canadiancrc.com/UN_CRC/UN_Declaration_on_the_Rights_of_the_Child.asp. (accessed on 21 January 2018).

Economic Growth Model and Foreign Direct Investment: Evidence from Albania

Llesh Lleshaj

PhD in Statistics, Lect. in Dept. of Finance, Faculty of Economy, University of Tirana

Lorena Bezo (Balili)

PhD in Finance, Lect. in Dept. of Finance, Faculty of Economy, University of Tirana

Abstract

Background: A number of reasons are expressed about the importance of foreign direct investment (FDI) in developing countries. FDI increases the investment capital in the host country and transferring of new technologies, conducts the distribution and enlarges the economic productivity, improves the level of competitiveness and exports, develops new markets, etc. *Objectives:* In this research, the main objective is the economic growth (GDP) analysis in Albania affected by FDI flows and the other fundamental macroeconomic factors of growth/productivity. *Methods/Approach:* The data in this analysis are time series with quarterly frequencies from 1997 to 2018. The econometric model estimation is multifactor regression of the expanded Solow's model. Statistical approach base on logarithm and first-order stationarity. *Results:* Economic growth is a simultaneous phenomenon of FDI, domestic investment, the scale of economic openness (focusing on exports), the aggregate average salary, and the efficient use of public debt, especially external debt. *Conclusions:* FDI flows are the main factor in total economic productivity, and have a larger contribution to the gross domestic product than domestic investment, per unit invested capital, in Albania.

Keywords: FDI flows, Solow's model, economic growth

Introduction

Many economic theories have noticed different ways of how FDI inflows might give benefits to the host country. Even though these parts of economic theories and economic thoughts were real and proved by economical practice in different countries, the other part of the theories are not estimated due to the point of economic views and concepts related to states, regions, or the international economy. In the research field worldwide, academics and institutions during the last two or three decades, the focus of their findings was about FDI and portfolios of these investments. If we wander to express the chronology of investment analysis and development, we notice three phases: (1) the linkage of economic theories and FDI; (2) the concept of doing business abroad except the origin country; and (3) the analysis of factors and effects with regard to FDI inflows. The first two phases involve the time horizon from the 60s to the 80s, while the third phase started in the 90s and continuous until nowadays.

These last years in Albania's economy, FDIs weight an account for nearly 10% of gross domestic products. According to Albanian's economic institutions are noticed many good effects such as increasing of the investment capital in the host country; transferring of new

and novel technologies also and skills and knowledges about them like labor specializing; the distribution and growth of the economic productivity; improvement of the competitiveness level and exports; development of the new domestic markets; etc. On the other hand, the most important and crucial economic issue is the fact that FDI does not affect the level of public debt or does not create accrual debt in the economy. FDI inflows are like a tool with high efficacity for financing the trade deficit and national current accounts of the host country, especially when exists a large gap of trade deficit and many times with big problems.

These last years is developed a new theoretical approach to the negative effect of FDIs in the weak economy (host country with a smaller economy and trade positions). This phenomenon has caused many problems in developing economy with tight transactions in the international trades, because of big foreign investors have abused with dominant trade positions in the host country. In this case, it is worth mentioning the acquisition of concessions by these investors and that the government of the host country uses these investors as a major achievement in its policy agenda. Furthermore, these foreign investors blessed by the host country government, sometimes in an aggressive way use price transferring for the only reason to minimize fiscal payments.

The aim of this study is to analyze the FDI inflows in Albania as a very important investment in this economy, but these flows during last years have had up and down with high volatility. In order to identify the existence of sustainability of FDI or not, Figure 1 shows the intensity of FDI inflows by economic sectors (time series data 2016-2019 with average quarterly frequency).

Figure 1. Intensity of FDI by Sectors (average 2016 – 2019)
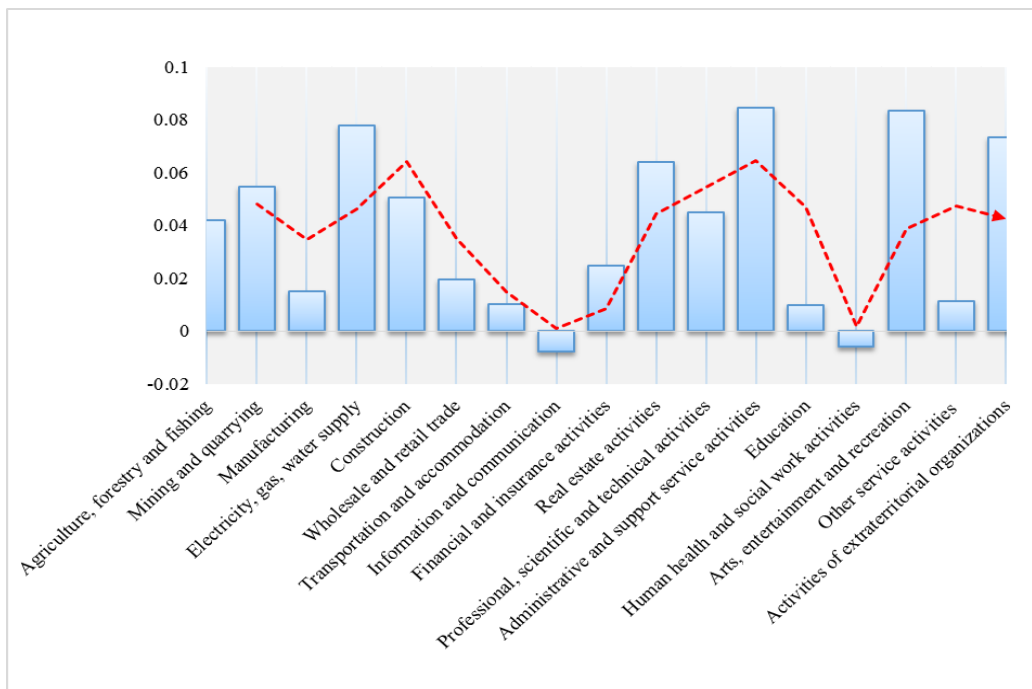
Source: Authors' chart in Excel. Data from Bank of Albania.

Figure 1 shows the volatility of FDI inflows and the marginal effect with high volatility, meanwhile, the intensity of inflows is declining or is taking a negative level in both economic sectors. In recent years, the analysis revealed that Albania as a host country is getting worse and worse especially in some sectors for attracting foreign investors.

Base on all over as mentioned above, this research will develop the effect of FDI inflows in the Albanian economic growth. The proceeding data are time series of macroeconomic indicators from 1997 to 2018 (with quarterly frequency). It will be used the autoregressive model to get the best findings. In this study will be analyzed the elasticity of GDP related to FDI and other macroeconomic factors as the average salary, the economic openness, external public debt, domestic investment, remittances, and interest rate of the loan, etc. We highlight the fact that not considering the effect of covid-19 pandemic and FDIs into Albanian economic growth.

Literature Review: FDI and its effect on economic growth (GDP)

A number of economic model and theories were approached by the economic researchers and the economic theorists, for explaining the main factors which achieve to increase economic growth and to identify the big differences of economic growth rates between different country incomes. To be more meaningful, it is needed to analyze these theories in two time-phases:

First phase: Neoclassical growth theory (1960-1990). This theory explains economic growth like e mathematical function of "labor", "capital", and "technology". The first model for this kind of evaluation was invented by Robert Solow (1957), who was a Nobel Prize winner. This macroeconomic model is valuable for discrete and continuous data, but the most using model is the discrete data version model. Lately, Solow's model is mentioned with the name "exogenous growth" due to not analyzing internal correlations between production factors. According to exogenous growth theory, the model must consider the other factors as economies of scale, income growth, technological changes in the production process, etc.

Second phase: Modern economic growth theory (after the 90s). The variable "labor" in Solow's model shows the "labor force" related to only the basic capabilities of employees. The simplest way for taking into consideration the effect of human capital in economic growth in Solow's model is the involvement of this factor as a production factor. Many years later from the invention of Solow's model, the researchers Romer (1990), Mankiw, Romer, and Weil (1992), enhanced and enlarged the concept of growth theory by giving a modern usage with a new variable "foreign direct investment". Furthermore, these researchers declared that technological progress is the main force that affects economic growth in a country. According to their studies, FDIs are an account of capital invested in the host country, as well as major contributors to the import of new and advanced technologies in these countries. Also, exist many studies in favor of FDI and correlation with economic growth for host countries by estimating other extra factors which are derivated: the rise of human capital skills, the improvement of market competitiveness, etc. (Dunning, 1993; Borensztein et al, 1998; and De Mello, 1999; Blomstrom, Globerman, and Kokko, 2000).

Keller and Yeaple (2003) found out that existed a positive correlation with statistical significance between FDI and GDP of host countries. As a matter of fact, the main conclusion is a strong and positive correlation with statistical significance between FDI and economic sectors with more new technology in use. Taking this fact into account, as a consequence, FDI has a positive impact on growth productivities. In the same conclusion are and researchers Griffith, Redding, and Simpson (2003) who analyzed the growth dynamics of productivity in

the United Kingdom for years 1980 - 1992 (analyzing the growth dynamics of productivity for international corporates). In addition to this, they concentrated on two mechanisms about how FDI inflows could affect the host country: (1) the level of economic growth; (2) the scale of domestic productivity.

The positive correlation with statistical significance between FDI and GDP of host countries exist in many studies, but with more impact in the government policies are:

according to the study of Nair-Reichert and Weinhold (2001), the average value of FDI has a positive correlation with GDP with data from 24 developed countries;

also, Choe (2003) in his study found out that FDIs have causality effect (with statistical significance) in the economic growth for 80 host countries (developed and developing economies);

the same conclusion is Solomon (2011) who analyzed 111 host countries (developed and developing economies);

when the host country is a small economy, like Albania, or Western Balkan states, FDI inflows are the major potential of economic growth (Lleshaj and Korbi, 2019). However, according to Jurčić, Franc, and Barišić (2020) the institutional quality factors have not been important in determining FDI inflow per capita in Croatia

On the other hand, we can mention case studies that conclude the negative correlation between FDI with economic growth. For instance, researchers Aitken and Harrison (1999) found out this conclusion for the economy of Venezuela state. However, Hanson (2001), developed a research based on three case studies in different countries, and his conclusion was in favor of the weak or not statistical significance between FDI and GDP.

Methodology: The extended Solow's model and FDIs

The simplest function of macroeconomic growth by Solow's model is the output function Y = f(K, L), with K is denoted the capital in the economy, and L is denoted the labor force. This model assumes that the output function represents constant scale income. The basic Solow's model shows that capital accumulation cannot explain the increase in economic sustainability, because high savings rates in the economy lead to temporarily high economic growth, as well as, the economy is being approached the case in which capital and output are constant. This model after 1990 was expanded by including into the production function an endogenous variable which is technological progress that over time expands the productive capacities of the economy. In the modern concept, Solow's extended model includes endogenous effects, because of endogenous" economic growth models have been applied to see the effect of FDI on a host country's economic growth. According to the Cobb-Douglas function, it follows the extended Solow's model which has the following equation:

$$log(GDP_t) = \beta_0 + \beta_1 log(FDI_t) + \beta_2 log(DI_t) + \beta_3 log(AS_t) + \beta_4 log(IRL_t) + \beta_5 log(EO_t) + \beta_6 log(RPD_t) + \beta_7 log(R_t) + \varepsilon_t$$

Where β_1, β_2, ..., β_7 are respectively the elasticity of the dependent variable with respect to the independent variables and *t* is the time dimension of the series *t = 1, 2, …, T* and ε_t is the term of the model error . The description of the variable is in Table 1. Also, to evaluate the parameters β_i of the model will be used the ordinary least squares method (Gujarat and Porter 2009). In order to these estimations to offer conclusions with high statistical reliability (the

best statistical confidence), the model will be tested for all the main assumptions of the Gauss-Markov Theorem: (1) the linearity must be according to the parameters β_i; (2) the mathematical expectation of the residuals is $E(\varepsilon_t) = 0$; (3) the residual variance ε_t is constant, $V(\varepsilon_t) = E(\varepsilon_t^2) = $ constant; and (4) the covariance $Cov(\varepsilon_i; \varepsilon_j) = 0$ and $Cov(x_i; x_j) = 0$ for each $i \neq j$, for every independent variables x_i.

Table 1. Description of Macroeconomic Variables, Time Series and Data Source.

Variables	Description	Data source
Dependent variable:		
GDP	Gross Domestic Product (unit of measurement in ALL, at current prices).	**INSTAT (statistical database)**
Independent variables:		
FDI	Foreign Direct Investment inflows (unit of measurement in dollars, at current prices, converted into ALL).	**Bank of Albania (www.bankofalbania.org)**
AS	Average salary in the economy, or labor cost (unit of measurement in ALL).	**INSTAT (statistical database)**
EO	Economic openness, or the size of foreign trade in relation to GDP. Economic openness = (import + export)/GDP, (unit of measurement in %).	**INSTAT (statistical database) Ministry of Finance (www.financa.gov.al)**
EPD	External public debt (unit of measurement in ALL).	**Ministry of Finance (www.financa.gov.al)**
DI	Domestic investment (unit of measurement in ALL).	**INSTAT (statistical database)**
R	Remittance flows in the economy (unit of measurement in ALL).	**Bank of Albania (www.bankofalbania.org)**
IRL	**Interest rate on loans of businesses in the economy (with a term of 12 months, unit of measure in %).**	**Bank of Albania (www.bankofalbania.org)**

Source: Variables selected by the authors.

In all regression models with time series data, they must take into account their stationarity. Estimating the stationarity of time series (i.e. the time series of values that has stochastic behavior) the two most commonly used tests are: the Augmented Dickey-Fuller (ADF) test (Dickey, et al., 1979) and the Phillips-Perron test (PP) (Phillips and Perron, 1988). A time series variable is stationary (i.e. stable) if its mean and variance are constant over time and the covariance between the two values depends only on the length of the time period that separates them and not on the time moments when they occur. Only after a time series is stationary is it accepted as a dependent or independent variable in a regression model (Hill, Griffiths, & Lim., 2010). According to ADF test, we test whether a time series of data is influenced by its initial value, by the trend of time or by both simultaneously. The conversion of a time series to stationary the method is realized with differences that are also tested. The basic equation of the ADF test with respect to constant and trend is:

$$\Delta X_t = \lambda_0 + \lambda_1 t + \lambda_2 X_{t-1} + \sum_{i=1}^{k-1} \beta_i \, \Delta X_{t-1} + \varepsilon_t$$

Where the time series X_t (the variable taken in the study) in the form of the first difference (integral of the first order) is $\Delta X_t = X_t - X_{t-1}$ in the period t; λ_0 is the constant of the terms; t is the time trend; and k is the number of parameters being evaluated. Based on the above equation, is tested the null hypothesis: H_0: $\lambda_2 = 0$ (the series has a unitary root i.e. it is not stationary). Accepting or not of null hypothesis will be measured with the probability of statistical significance $p < 0.05$, according to the maximization of the greatest probability of

occurrence (AIC). Also with the same statistical importance will be tested the return of a series by means of differences in stationary.

Empirical analysis and findings: Estimation of the Growth Model

According to the empirical analysis for the extended Solow's model in Albania, we identify the relationship of the dependent variable gross domestic product (GDP) with the independent variables shown in the table 2.

Table 2. Parametric Estimations of the Economic Growth Model in Albania.

Dependent variable: Δlog(GDPt)	Coefficient or model parameters	Probability of statistical significance
Constant	+ 0.0202	0.0001
Independent variables:		
Δlog(FDIt)	+ 0.0506	0.0004*
Δlog(ASt)	+ 0.4354	0.0109*
Δ2log(DIt)	+ 0.0855	0.0000*
Δlog(IRLt)	+ 0.3469	0.0674**
Δlog(EPDt)	- 0.2291	0.0003*
Δlog(Rt)	+ 0.0334	0.1354
Δlog(EOt)	- 0.2472	0.0000*
AR(1)	- 0.2653	0.0059*
Adjusted R2	0.6042	---
F-statistic	16.2631	0.0000*
Wald F-statistic	11.5193	0.0000*
Durbin-Watson stat	2.1390	---

Note: AR(1) is the first lag of the residual (error term of the model) for eliminating autocorrelation. Also, is noted: *) for statistical significance level of $p < 5\%$ and **) for statistical significance level of $5\% < p < 10\%$.

Source: Data proceeding in Eviews 11 by authors.

At first, through the ADF-test, time series were transformed into stationary (all series are first-order stationary except variable ID which is second-order stationary, appendix), and then these stationary series were used for parametric estimating of the economic growth model in Albania as following:

$\Delta log(GDP)_t$ = 0.0202 + 0.0506*$\Delta log(FDI)_t$ + 0.4354*$\Delta log(AS)_t$ + 0.0855*$\Delta^2 log(DI)_t$ + 0.3469*$\Delta log(IRL)_t$ - 0.2291*$\Delta log(EPD)_t$ + 0.0334*$\Delta log(R)_t$ - 0.2472*$\Delta log(EO)_t$ - 0.2653*ε_{t-1} + ε_t

According to the Fisher test, the model is statistically significant with significance level $p < 1\%$. The model also has a satisfying determinant coefficient referring to real economies, with an adjusted value $R^2 = 60.4\%$.

Table 3. Analysis of the Residual (Economic Growth Model).

The test	Description	Test result
Model function: Ramsey RESET-test	This test estimates if the model function is appropriate or not. Null hypothesis: "the function of the model is logarithmic"	According to the Ramsey RESET test, the form of the model function is logarithmic (with statistical significance level $p < 1\%$).
Multicollinearity: VIF-test (Variance Inflation Factors)	This test estimates if the independent variables are correlated with residual or error of model, ε_t. Null hypothesis: model does not have multicollinearity	According to the VIF test all independent variables are less than 10 d.m.th our model does not have multicollinearity. (this is explained by the use of time series differences to convert them to stationary).

Autocorrelation: LM-test (Breusch-Godfrey)	This test estimates if the residual of the model, ε_t, has or not serial correlation. Null hypothesis: model does not have autocorrelation	Doing the autocorrelation test with two-time delays (suggested by the test itself), it figures out that our model has waste autocorrelation. Ky autokorrelacion mund të rregullohet duke identifikuar korrelacionin e mbetjes witht me ε_{t-1}, d.m.th. me AR(1).
Heteroskedasticity: Breusch-Pagan-Godfrey and Wald F-statistic	This test estimates if the residual of the model, ε_t, has or not constant variance. Null hypothesis: model does not have heteroskedasticity	According to the test null hypothesis is rejected, so the model has heteroskedasticity. Eliminating this phenomenon is done by adjusting the standard deviation of the residual.
Normality of the residual distribution ε_t: Jarque-Bera-test	This test estimates if the residual of the model, ε_t, has or not normality distribution. Null hypothesis: the residual of the model has normality distribution.	According to the test null hypothesis is rejected. Albanian's economy analyzing by the variables mentioned in the model, has a problem with normality distribution of residual, this means that model is usable and valuable to forecast data up to mid-term.

Source: The table summarizes the tests once they were proceeded EViews 11 by the authors. Note: AR(1) is the first lag of the residual (error term of the model) for eliminating autocorrelation.

This economic growth model has successfully passed all the criteria of creating efficient models according to the main assumptions of the Gauss-Markov theorem (table 3), so the model is statistically useful to explain the direction and strength correlation of the variables. Also, it has parameters and direction of correlation in relation to macroeconomic theories, as written in the empirical literature. This situation expresses that in general Albania's economy and its macroeconomic indicators have a trend like economies around the world, which shows the positive effect of FDI in the host country.

Further analyzing the model and its parameters, we have used t-test which estimates statistically significant positive correlations (with significance p < 5%) between gross domestic product and variables: foreign direct investment; the value of the average salary; and domestic investment in the economy; as well as a weak positive correlation with statistical significance (with significance p < 10%) with the aggregate interest rate on loans of businesses in the economy. Whereas, gross domestic product in Albania has a negative correlation with statistical significance (with significance p < 5%) with the value of external public debt and the scale of economic openness. In addition to the findings of the econometric testing, the model does not have a statistically significant correlation between gross domestic product and the level of remittances. Also, the constant of the model is a statistic significant parameter (with significance p < 5%) which expresses the contribution of the technological progress level in Albania's economy. As we see the technological progress is a component of the production function that has always been affected by a very little positive impact on GDP growth, only average 2% of economic growth is caused by technological progress. In the following, we will analyze the contribution of each variable to GDP growth in Albania according to the extended Solow's model.

Capital Investment. The model estimates the fact that if foreign direct investment (FDI) will increase with 1% (under constant conditions of other variables) then GDP growth will increase by 0.05%. While, if domestic investment (DI) will increase with 1% then GDP growth will increase by 0.09%. There are two main economic reasons for this change: Firstly, the domestic investment (private and public) from 1993 to 2007 had had an average weight of capital or multiplicator about 11 times higher than FDI whereas from 2008-2018 it had an average weight of capital about 5 times higher than the FDI. In recent years, exist a decrease in the multiplicator of domestic investment and negative marginal investment higher than

increasing FDI. As a result, for the same unit of capital invested, FDI has been more profitable for the Albanian economy than domestic investment. This conclusion proves one of the main hypotheses of this study: *"Foreign direct investments are a major factor in total productivity in the economy, and has a greater contribution to the gross domestic product than domestic investment, per unit of invested capital."* Secondly, FDIs in Albania have a positive impact on the level of employment, i.e. the number of employees (especially in the tailoring enterprises), having an "endogenous" impact on employment growth. As a result of the high informality of the Albanian employment market, measuring the "endogenous" effect of FDI on the number of employees and the unemployment rate has a high error (this is the reason why this effect was not measured by the model).

Average salary (AS). According to the model, if the aggregate average salary will increase by 1% (under constant conditions of other variables) then GDP growth will increase by 0.44%. The average salary tends to increase in the economy the level of disposable income and causing an increase of population well-being as well as increasing the level of total productivity in the economy. In the Albanian economy, the variable average salary has an important impact (i.e. GDP growth has a higher elasticity with the average salary level than any other variable in the model). So, one of the government policies with a focus on economic growth should use the average salary as an effective mechanism.

Interest rate on loans (IRL). According to the model, if the interest rate on loans of businesses in the economy will increase by 1% (under constant conditions of other variables) then GDP growth will increase by 0.35%, although the correlation is weak. Lending has two destinations, consumption and investment. These also constitute some of the components of GDP calculation. But with a glance seems contradictory the positive link between the aggregate interest rate on loans and GDP. In this case, the deregulation of the credit market in the Albanian economy and the relationship with the cost of credit, basically should be seen through the monetary policies of the Bank of Albania. Bank of Albania from 1991/2 to 2000 has used direct monetary policy instruments by setting credit (rate) ceilings, then from 2001 to 2018 it has used indirect monetary policy instruments using the basic interest rates by decision of the Supervisory Council of Bank of Albania. Throughout the history of the Albanian banking system, privatization starting from 2003 to 2005, and the birth of many other commercial banks (with foreign capital), lending was directly influenced by commercial banks themselves. One of the main goals of the money supply and related to monetary policies has been the price stability or the inflation stability on the scale of 2-4% and especially in recent years 2-3%. This also shows the positive and statistically significant correlation of the lending interest rate with GDP.

External public debt (EPD). According to the model, if the external public debt will increase by 1% (under constant conditions of other variables) then GDP growth will decrease by 0.23%. According to publications of the Ministry of Finance, this external debt has been taken for the most part by the IMF and the World Bank. Funds provided by the World Bank have often been socially aimed at reducing poverty in the country. Another reason for the negative correlation of public external debt with GDP is the impact of the exchange rate, the devaluation of the ALL against the Euro and the USD has cost the public budget by increasing the cost of these debts.

Economic openness (EO). The model estimates the fact that if economic openness will increase with 1% (under constant conditions of other variables) then GDP growth will increase by

0.25%. External trade relations are not contributing positively to economic growth. This is explained by the dominance of imports compared to exports, for all the time taken in the study.

Remittance (R). The economic growth model for Albania expresses a positive correlation of remittances flows in the economy with GDP but not statistically significant. The value of remittances has a breaking point in the third quarter of 2007. From 1993 to the third quarter of 2007 there is a positive impact of remittances on GDP, with weak statistical significance (with $p < 10\%$). While, after the third quarter of 2007, remittances are statistically insignificant to affect GDP growth. Calculating the value of remittances for many years has had high economic informality (in transition years). A significant proportion of remittances are made in cash from the physical movements of the migrants themselves. Last years, the importance of remittances in Albania's GDP has decreased, especially this is reflected in the devaluation of the ALL currency against the Euro and USD, coming as a continuous phenomenon of the effect of the global financial crisis 2008 and the real economic crisis that followed in the European Union (Greece and Italy are the most part of the Albanian emigrants), as well as by the increase in the emigration rate of Albanian families in different countries of the world.

Conclusion

In the first half of the last decade, the rate of change of foreign direct investments in Albania is high, while the intensity is decreasing or becoming negative in some economic sectors, making the host country a less attractive place for foreign investors from many origin countries. According to extended Solow's model, this study identified statistically significant findings as following:

FDIs are an important factor of economic growth for Albania and for the same value of invested capital, economic growth has a higher scale of elasticity related to FDIs than domestic investments.

According to extended Solow's growth model, during the period 1997-2018, the rate of technological progress (the constant of the model) has given a contribution of 2% of GDP growth. This is another reason for attracting FDI and to increase the rate of technological progress in the Albanian economy.

Economic growth in Albania is a simultaneous phenomenon of FDI, domestic investment, the scale of economic openness (focusing on exports), the aggregate average salary, and the efficient use of public debt, especially external debt. In addition to this argument FDIs have a direct impact on GDP, also have an endogenous positive impact on domestic investment, employment, etc.

Taking all statistical analysis, findings, and conclusions into account is very essential that central and local government institutions, funds and financial advisory institutions, and all stakeholders, may consider these findings of this scientific paper for different decision-making such as attracting foreign investors, salary level analysis, increasing the formalization of the economy, etc.

The main limitation of this study derives from the shortcomings of national institutional measurements and individual economic data by sectors. This limitation narrows the concept of the composition of the macroeconomic factor in economic growth. Also, the study did not use the method of finding endogenous and exogenous factors because the identification of

instrumental sets is not very clear for the case of Albania, due to no clear economic evidence and policies with a time series effect. Such an analysis is also a challenge of ongoing studies in this field.

References

[1] Aitken, B. & Harrison, A. (1999); "Do domestic firms benefit from foreign direct investment? Evidence from Venezuela", American Economic Review, vol. 89, pp. 605-18.

[2] Bevan, A. A., & Estrin, S., (2004); "The determinants of foreign direct investment into European transition economies". Journal of Comparative Economics, pp. 775–787.

[3] Blomstrom, M., Globerman, S. & Kokko, A. (2000); "The Determinants of Host Country Spillovers from Foreign Direct Investment", CEPR, Discussion Paper No.2350.

[4] Borensztein, E. J., Gregorio, D. & Lee, J. W. (1998); "How does foreign direct investment affect economic growth?", Journal of International Economics, 45(1), 115-135.

[5] Buthe, T., & Milner, H. V. (2008); "The Politics of Foreign direct Investment into Developing Countries: Increasing FDI through International Trade Agreements?" American Journal of Political Science, Vol. 52 (No. 4), Pp. 741-762.

[6] Cameron, G., J. Proudman & Redding, S. (1999); "Technology Transfer, R&D, Trade and Productivity Growth", working paper, London: London School of Economics.

[7] Cheng, L. & Kwan, Y. (2000); "What are the determinants of the location of foreign direct investment? The Chinese experience". Journal of International Economics, Vol. 51, pp. 379–400.

[8] Chowdhury, A., & Mavrotas, G. (2006); "FDI and Growth: What Causes What"? *World Economy*, *29*(1), 9-19.

[9] Choe, J. Il. (2003); "Do Foreign Direct Investment and Gross Domestic Investment Promote Economic   Growth?" *Review of Development Economics*, *7*(1), 44-57.

[10] Demekas, D. G., Horváth, B., Ribakova, E., & Wu, Y., (2005); "Foreign Direct Investment in Southeastern Europe: How (and How Much) Can Policies Help?". IMF Working Paper.

[11] De Mello, L.R. (1999); "Foreign direct investment-led growth: evidence from time series and panel data". *Oxford Economic Papers*, *51*(1), 133-151.

[12] Dickey, D.A. & Fuller, W.A. (1979); "Distribution of the estimations for autoregressive time series with a unit root", Journal of American Statistical Association, 74, 423-31.

[13] Dunning, J. H. (1993); "Multinational Enterprises and the Global Economy". Harlow, Essex: Addison Wesley publishing Co.

[14] Griffith, R., Redding, S. & Simpson, H. (2003); "Productivity Convergence and Foreign Ownership at the Establishment Level", Discussion Paper No. 572, London: Centre for Economic Performance.

[15] Gujarat, D. N., & Porter D. C. (2009); Basic Econometrics (5th ed.). McGraw-Hill

[16] Hanson, G. (2001); "Should Countries Promote Foreign Direct Investment?",G-24 Discussion Paper 9, UNCTAD, Geneva: UNCTAD

[17] Hill, R. C., Griffiths, W. E. and Lim, G. C. (2010); "Principles of Econometrics". (4th edn). New York: John Wiley & Sons, Inc.

[18] Jurčić, L., Franc, S., and Barišić, A., (2020); Impact of Institutional Quality on Foreign Direct Investment Inflow: Evidence from Croatia. Business Systems Research, Vol. 11 (1), pp. 44-58

[19] Keller, W. & Yeaple S.R. (2003); "Multinational Enterprises, International Trade, and Productivity Growth: Firm-Level Evidence from the United States". NBER Working Paper No. 9504, Cambridge.

[20] KPMG Albania Sh.p.k. (2011); "Investment in Albania".

[21] Lleshaj, Ll., & Korbi, A. (2019); "Potential Growth Analysis of FDI in Albania". Mathematics and Statistics, Vol. 7(5), pp 239-245. DOI: 10.13189/ms.2019.070510

[22] Mankiw, N.G., D. Romer, & Weil, D.N. (1992): "A Contribution to the Empirics of Economic Growth", Quarterly Journal of Economics, Vol. 107, pp. 407-37.

[23] Nair- Reichert, U., & Weinhold, D. (2001); "Causality Tests for Cross- Country Panels: a New Look at FDI and Economic Growth in Developing Countries". *Oxford bulletin of economics and statistics*, *63*(2), 153-171.

[24] OECD (2008); "Benchmark Definition of Foreign Direct Investment". Fourth edition.

[25] Phillips, P.C.B & Perron, P. (1988); "Testing for a Unit Root in Time Series Regression", Biometrika, 75, 335–346.

[26] Ranjan, V., & Agrawal, G. (2011); "FDI inflow Determinants in BRIC countries: A Panel Data Analysis". International Business Research, Canadian Center of Science and Education, Vol. 4 (No. 4).

[27] Romer, P. (1990); "Endogenous Technological Change", Journal of Political Economy, Vol. 96, pp. S71-S102.

[28] Solomon, E.M. (2011); "Foreign Direct Investment, Host Country Factors and Economic Growth". *Ensayos Revista de Economia*, *30*(1), 41-70.

[29] Solow, R. (1957); "Technical Change and the Aggregate Production Function", Review of Economics and Statistics, Vol. 39, pp. 313-20.

Appendix

Time series stationarity test

ADF-test	Level		First difference		Second difference	
Unite root test	t-stat.	Prob.	t-stat.	Prob.	t-stat.	Prob.
Variable log(FDI); I(1)						
Intercept	-0.219982	0.9304	-8.271341	0.0000		
Trend and intercept	-8.836136	0.0000	-8.212810	0.0000		
None	2.030848	0.9895	-7.827439	0.0000		
Variable log(GDP); I(1)						
Intercept	-3.981752	0.0024	-3.901488	0.0031		
Trend and intercept	-4.062522	0.0102	-4.798873	0.0010		
None	2.285469	0.9945	-2.995029	0.0031		
Variable log(AS); I(1)						
Intercept	-3.504898	0.0100	-6.166823	0.0000		
Trend and intercept	-3.055643	0.1236	-6.973867	0.0000		
None	3.009055	0.9993	-3.710927	0.0003		
Variable log(EO); I(1)						
Intercept	-1.063196	0.7270	-5.370213	0.0000		
Trend and intercept	-3.285465	0.0757	-5.152546	0.0003		
None	-0.806236	0.3639	-5.381129	0.0000		
Variable log(EPD); I(1)						
Intercept	-0.117478	0.9435	-3.546914	0.0089		
Trend and intercept	-4.377910	0.0039	-3.693459	0.0279		
None	1.345397	0.9543	-3.263078	0.0014		
Variable log(DI); I(2)						
Intercept	-4.457793	0.0005	-2.405216	0.1436	-7.842360	0.0000
Trend and intercept	-1.569022	0.7967	-6.955182	0.0000	-7.826638	0.0000
None	0.534675	0.8294	-2.447745	0.0148	-7.840286	0.0000
Variable log(IRL); I(1)						
Intercept	-1.200883	0.6712	-7.917388	0.0000		
Trend and intercept	-2.002647	0.5917	-7.844202	0.0000		
None	2.969525	0.9992	-7.261535	0.0000		
Variable log(REM); I(1)						
Intercept	-2.081732	0.2525	-10.08913	0.0000		
Trend and intercept	-1.798634	0.6970	-10.15924	0.0000		

| None | 0.668554 | 0.8585 | -10.08754 | 0.0000 | |

Source: Data proceeding in EViews 11 by authors. Note: I(1) shows that the series is first-order integral (i.e. returns stationary with first difference; I(2) shows that the series is integral of second-order (i.e. returns stationary with second difference).

Impact of Online Music Competitions on the Young Musicians' Professional Skills and Their Musical Development During the Covid-19 Pandemic

Dilbağ Tokay

Assist. Prof. Dr., Mimar Sinan Fine Arts University, Istanbul State Conservatory

Abstract

Classical music competitions present a medium for the development and motivation of young musicians. In this context, they prepare young musicians to professional life and play an important role in their career. Online competitions became more popular due to the Covid-19 pandemic with an increasing number of high professional quality applicants. This research aims to focus on the impact of online music competitions on the young musicians' professional skills and their musical development. The research will set forth the differences between online competitions and real life competitions from various aspects such as application process, video presentations, and efficiency of the young musicians in using available technology, jury formation, evaluation of the applicants' performances by the jury as well as the applicants' evaluation of their own performance among other applicants.

Keywords: online music competition, young musicians, technology, covid-19

Introduction

Music competitions which have existed since early ages have become popular in the 20th century and have added to their momentum a tool of advancement: the online format in the 21st century, reaching a peak during Covid-19, a pandemic which has been a threat to humanity world wide. Affecting life seriously and causing a collapse in the range and number of many activities, Covid-19 had a catastrophic impact on the lives of the mature professionals and young musicians. Their performance, career, and motivation were jeopardized. As Einstein had claimed in his famous quote, "in the middle of every difficulty lies opportunity", this exceptional period of pandemic has taken us to crossroads with technology. Hence, this paper will examine online competitions from the perspectives of their brief history; organizational input, professional jury formations~ academicians, scholars and transparency of evaluation norms; young musician contestants; requirements for participation in competitions with appropriate use of technology; the quality of contestants' submissions; their self-learning, self-evaluation from the preliminary to final stage ; worldwide viewers; and the merits of the overall musical experience of the online competitions from pedagogical and artistic perspectives.

The methodology in the presentation of information in this paper will be submission of research material, concerning the history of online competitions and their organizational design from reliable sources that are documented in the references. This information will proceed with observations of competitions, viewed either personally or obtained from professional musicians' critiques in scholarly journals. Observations as an international

competition jury member, myself, together with those collected from organizers, other jury members or contestants, themselves will additionally add genuine methodological value to this paper. Feedback from contestants concerning all stages of preparation, application, performance, and submission will be another component of methodology that will lead itself to recommendations in the conclusion.

History

Starting with the history of competitions, it's known that Greek and Roman societies considered competitions as a central part of the worship of their gods, associated with religious processions and a sacrifice. It's observed that from the time of the first music competitions held in Athens in the fifth century B.C. to the Middle Ages, "the victors of the contests were called laureates and contests among troubadours, trouvéres, minnesingers, and Meistersingers became common" (Iakovlev, 1966). In the 18th century, prominent composers competed in performances with their instruments such as the organ, clavichord, harpsichord, and the violin.

The modern form of music competition originated in the 19th century as the first national music competition was held in France in 1803. Later were established national music competitions for composers in England for Mendelsson Award (since 1848 – held in London once every 4 years), in Austria – for Beethoven Prize (since 1875 – in Vienna – annually), and others (Yakovlev 1974). What started the trend of an international competition in various European capitals at a regular basis was A. Rubinstein's organization of an international competition of pianists and composers in St. Petersburg, in 1890 and its regular repetition every five-years   till 1910.   When music competitions started to become widespread in Europe in the 20th century, they served as the basic means for discovering young talents. The establishment of The Federation of International Music Competitions with its headquarters in Geneva was an important event in 1957. Since 1959 the Federation's issuing an annual bulletin with international competitions, their programs of rounds, the number and amount of prizes, instrument and age categories, and other details increased awareness for organizations of competitions (Iakovlev, 1966).

The most important contemporary international competitions included the P. I. Tchaikovsky Competition (Moscow), the Queen Elisabeth Competition (Brussels), the M. Long and J. Thibaud Competition (Paris), the F. Chopin Competition (Warsaw), the H. Wieniawski Competition (Poznan), the Young Opera Singers' Competition (Sofia), the G. Enesco Competition (Bucharest), the Budapest Competition, the Prague Spring Competition, the Performing Musicians' Competition (Geneva), the J. S. Bach Competition (Leipzig), the R. Schumann Competition (Zwickau), the Pianists' Competition (Leeds), the Orchestral Conductors' Competition in Rome, and the N. Paganini Competition in Genoa (Iakovlev, 1966).

The starting of World War II affected life to a great extent in Europe and as a natural consequence, the organization of   music competitions came to a pause. Poland saw the first edition of the International Chopin Competition in Warsaw as founded by the Polish pianist Jerzy Żurawlew in 1927. A German air raid on Warsaw in 1939 completely destroyed the Warsaw Philharmonic building, but the competition endured the conflict and restarted in 1949, returning to a newly restored concert hall in 1955.

Among the oldest-running classical music competitions in the world was also the Queen Elisabeth Competition, held in Brussels. Created under the impulse of Belgian violinist,

conductor and composer Eugène Ysaÿe and HM Queen Elisabeth of Belgium, it was held for the first time in 1937, the first laureate being Soviet violinist David Oistrakh (Volpi, 2018).

When World War II swallowed up Europe, the competition was suspended. This event was however very dear to the Belgian queen, and restarting it in 1951 was seen as an integral part of the healing process of the country. It was broadcasted via radio starting in 1951, with television programming beginning in 1960 and online streaming in 2001 (Volpi, 2018).

World War II devastated Europe, but one competition managed not to have their programme interrupted: The Geneva International Music Competition in Switzerland, which had started in 1939 under the name of Concours International d'Exécution Musicale (CIEM). Founded by Austrian musician Frédéric Liebstoeckl with Henri Gagnebin, the Director of the Geneva Conservatoire at the time, it had among its first winners pianist Arturo Benedetti Michelangeli and soprano Maria Stader. While the war spread across the continent, the competition persevered. Although it was no longer marked as international, it continued to harbor musicians from all over Europe, welcoming artists as refugees and helping them with the competition's monetary prizes. Famous names who won accolades during the war included Hungarian-born pianist and conductor Sir Georg Solti and Austrian violist Paul Doktor. In 1946, after the end of the conflict, the competition restored its international credentials.

In France, the Long-Thibaud Competition opened its doors in 1943 and the name was changed to Long-Thibaud Crespin in 2011, when a voice prize inspired by operatic soprano Régine Crespin was added. Its founders, pianist Marguerite Long and violinist Jacques Thibaud, are quoted in an article published in 1947 on French newspaper, Opéra, talking about their desire to encourage young musicians by giving them hope. While it was impossible to dream of an international competition in an occupied France, they still went ahead with a national event in 1943 (Volpi, 2018).

The International Tchaikovsky Competition, founded in 1958 was perhaps the world's best-known gateway to musical success. Thirty-two years after its foundation the Association of Tchaikovsky Competition Stars (ATCS) was formed, whose approximately 100 members were all prizewinners of past competitions, including such illustrious names as violinist Gidon Kremer and pianist Van Cliburn. The ATCS promoted concerts and festivals and funded scholarships, but one of its most ambitious ventures was the founding of the Tchaikovsky Competition for Young Musicians, which was held for the first time in Moscow in 1992 (Sazonova, 1978). Its aim was not simply to identify talent early but also to support financially. Prizewinners were expected to tour Japan, Russia and other countries with the ATCS covering the expense. The second competition of the same Association, jointly organized by the Russian and the Japanese, took place in Sendai, Japan between August 24-September 10, 1995. Part of the philosophy of the competition was that it should move around the world to allow young musicians to participate more easily, returning to Moscow every four years (Chadwick, 1996).

In today's world, international classical music competitions are becoming sites of the global cultural public sphere, whereas traditional festivals had previously served as "arenas where nations competed for supremacy" (Volpi, 2018). As competitions have become more globalized, they have created opportunities to foster cosmopolitan sociability and cultivate global values such as "cooperation and collaboration" (Lowe, 2018). Competition Versus Cooperation: Implications for Music Teachers What has added to this communicative function

is the Internet that has connected the peoples of the world regardless of geographical divides or financial status.

With the convenience and efficiency of the internet and online services being well understood in practical terms, there has been an increased popularity of technology in competitions. This new challenge has gradually increased competence and in correlation with it "quality" for organizers, jury members, contestants, and performance viewers, that is the silent audience attending concerts at the comfort of their homes.

As Dr. Taylor from Columbia University said in a New York Times article 'Technology is not an end in itself, it is a means to accomplish what is important to you" (Auh, 2019), the Internet was a facility that musicians who could not attend competitions physically used at the beginning of 2000. However, in the following years its use had a peak, diminishing expenses of travel for the contestants and their instruments, or/and their parents' in the case of young prodigies; their accommodation costs and provided the comfort of contestants' own recordings. Technology's being used as a valuable tool could not be ignored during the period of Covid-19 as it became a worldwide epidemic affecting people's lives, many activities and their involvement in music as performers.

Observing the existence of the many online competitions since the beginning of the 21st century on the Internet through their websites, it can be said that there has been a tremendous increase in the number of online competitions, particularly for the young musicians, concerning various instruments and different age groups at different venues, not necessarily prominent European capitals, but cultural centers known with their reputation in music in the past.

The below given competitions are only some of the well known competitions in Europe that have helped young musicians' voice to be heard and changed their lives with the merits of technology and online format even before the uproar of Covid-19:

North International Music Competition https://www.northcompetition.com/north-music-competition/, Vienna International Music Competition https://www.viennacompetition.com/, Berliner International Music Competition https://www.berlinercompetition.com/ for piano, strings, voice, wind, and chamber music, World Music Competition https://worldmusiccompetition.com/application.html, Golden Classical Music Awards Competition https://goldenclassicalmusicawards.com/, Muse International Music Competition https://themuse.gr/muse-2020-competition-announced/, Malta International Music Competition https://vfimf.com/malta-international-music-competition/, IMKA International Internet Music Competition https://internetmusiccompetition.com/, Music in the Vineyards Online Music Competition http://www.vricmf.com/competition.html, Melos Competition http://www.ac-melos.com/on-line-competitions/?lang=en in Kyoto, Brussels, Nice, and Rome.

One competition that has started to be online due to Covid-19 is: Young Musician International Competition 'Città di Barletta in Italy whose organizational focus I, as their jury member, having witnessed their conscientious concerns, know very well: http://www.culturaemusica.it/public/wordpress/?page_id=49&lang=en.

Besides websites that provide information about application formats, electronic audition submissions or evaluation procedures, the presence of a "web concert hall" is also an

innovation of modern times in the study of competitions' history. The idea for a Web Concert Hall evolved while Yoon-il Auh, a 10-year-old violin prodigy in South Korea in 1971, worked on several projects with Dr. Taylor in later years, including one project an educational ear-training application called Wiz Ear and a Web database of audio clips from more than 200 of Bach's cantatas. Dr. Tailor and Yoon-il Auh started the Web Concert Hall www.webconcerthall.com in 1998 and it has achieved its goal until now. Youn-il Auh recently divides his time between the site, his job as an associate director for distance learning at New York University and his own software company, Intrepid Pixels (Auh,Y. 2019).

Competition Organizations & Juries

The idea of music competitions as a healing and uniting force for the world is echoed in a statement by Yehudi Menuhin, who headed the violin jury at the Long-Thibaud Crespin Competition from 1993 until his death in 1999. In 1996 he was quoted saying: "we gather here, the jury members and I, not to measure the distance that separates the participants from each other, but rather to highlight the level of connection that they have achieved [...] at the service of music and humanity" (Volpi, 2018).

Every year, promising young musicians emerge as prize winners in major competitions around the world. These competitions allow their talent to be noticed, and subsequently bring in concert engagements and recording contracts. Some of these competitions have a long and prestigious history, while new competitions are also coming up in various parts of the world at different levels.

Victoria Borisova-Ollas, composer, winner of several national and international awards and Member of the Board of the Royal Swedish Academy of Music had emphasized the importantce of online competitions in her words "The North International Music Competition is a great opportunity for young musicians to develop their skills as performers already at the early stage of their careers. Making music at the highest professional level is not an easy task. Let this wonderful event encourage you for a life-long mission of being passionate and successful professional performers!" (Borisova-Ollas, 2020)

What is the importance of an organization when the main focus is competitions? It's definitely the organization of a competition that reveals its credibility and echoes its mission, strategies of work, evaluation processes, and awarding tools through a website that is its voice. The organization's reliability, accuracy of work, convenience of its tools, and clarity of information presented are all important that serve for transparency and confidence in the product, which is the essence of the competition (Parncutt, 2018). Website of the organization is usually taken as the Competition website. It must start with a mission statement that explains the philosophy, the objective of the organization and the competition (Todes, 2014). It has to include information about the application process for the registration to be done easily, accurately, and on time. That means competition calendar that gives the deadlines; procedures to be followed for registration and the submission of the performance's recording; instrument categories together with the need for accompaniment; solo, duo, or chamber music categories; age categories; number of rounds if required; time limits for age groups or instruments; composition of the jury, jury members' names, titles and affiliation. Evaluation policy with variations for solo, duo, or chamber music must be precisely given to avoid ambiguity. Information about the awards for the Absolute, First, Second, Third prizes calculated by adding the scores given to each contestant from the evaluation table must be very explicit.

Diplomas, scholarships, and mansions; presence of gala concerts are also center of attention topics. Three main prize-winners may also receive medals and grants from commercial sponsors. There may be special awards for the youngest competitor as well as awards for the best accompanists and even the best teachers in each section. All this information on the organization or conference website might be of special value to reflect the voice of the organization and the competition.

As a competition may be unique to one instrument or may be divided into sections for different instruments such as the piano, violin, cello, flute, harp or others; and as there may be different age groups from a wide range of countries, juries must be composed of adequate number of international members--professionals, academicians, or contest winners-- instrument and age group specifications always taken into consideration for quality of expertise. The composition of juries must aim at excellence in the profession.

Competition websites may also list their rules as articles to define the implementations required for the smooth-going of competitions. Some articles may serve as conflict resolution tools in the case of discomfort or misunderstandings.

With global interests and search for standards within a global context, musicality and artistic values can be kept running parallel to technical skills. It's wise for competition websites to indicate how they set their norms specifying their evaluation criteria. The norms set by international jury members for the evaluation of   contestants' performance determine the standards for both technical and artistic characteristic of the performance of each contestant regardless of age and instrument (Checka, 2018). The presence of tis information on the competition website is useful for international viewers who keep a close eye on social media for their own evaluations.

Adding my experiences of having taken part in 5 international classical music competitions as a jury member for the cello, live (once) in International Competition Young Virtuosos-Sofia, Bulgaria (2011); once in International Benyamin Sönmez Cello Competition-Fethiye, Turkey (2017); once in Young Musicians International Competition-Barletta, Italy (2017) before the pandemic Covid-19; and online -- once in International Music Competition-Belgrad, Serbia (2020); (once) in Young Musicians International Competition 'Città di Barletta in Italy (2020) again after the pandemic Covid-19, I can compare live and online competitions and say that online competitions do not definitely degrade the quality of the international music competitions.

Besides my observations as a jury member at international classical music competitions, my students' participating in many international music competitions and their being the recipients of numerous First, Second or Third Prizes in the last 10 years have made me and my students acknowledged about the components of "well-organized music competitions" which mean "quality" from the perspectives of organizers, contestants, juries and viewers.

We believe today, with no more miles traveled, no money invested in contestants' or their instruments' plane or train tickets, and no costs of accommodation, no concerns for other means of transportation, online competitions will serve the same goals as do the live competitions, avoiding the risk of a pandemic. Today, with efficient digital access young talents can reach a potentially large audience as music competitions offer both excellent visibility and technical accuracy.

Participants & Learning Value

In the 21st century, we have come to the understanding that music means life and we care for the younger generations with a talent for music, for they mean hope. Seeing the deterioration of some values and the collapse of some systems especially threatened by a pandemic, we want to encourage young musicians to perform technically and artistically well, to grow, excel in their profession and build excellent careers. A competition can offer many benefits to young musicians and provide a platform where they can feel comfortable competing. We believe that developing confidence in themselves as well as in others, young musicians can realize their dreams and potential. This is an achievable goal. Our purpose is to discover artists of outstanding personality and provide awards which can help to launch international careers. Aside from rigorous training and natural talent, we look for performers with a strong artistic personality and stage presence. The emphasis is therefore not on the purely technical aspects of the performance, but also on the overall artistic impact of the performer.

Impact of online music competitions on the young musicians' professional skills and their musical development is undeniable. The educational value in young musicians' self-evaluation of their own performance as they choose their best recording is immense. Why academicians, jury members are in favor of online competitions; why the implementation has grown popular among applicants, and how quality is ensured through the processes of preparation and selection need to be focused on from an educational perspective.

When we consider the benefits gained from participating in music competitions, we see that they are an opportunity to overcome technical, musical, artistic, and mental challenges. In the special case of being "online", these competitions grant the contestant the opportunity for self analysis and self-evaluation. What the contestant experiences as he/she chooses the best recording of his/her performance to be sent to the competition is the best teaching a musician can get.

An online competition is also a chance to observe one's peers and judge their performance. The contestant can gauge his/ her own strengths and weaknesses against those of his/ her peers. Thus, the contestant is now his own judge to make his/her own "SWOT Analysis". Seeing his/her Strengths, Weaknesses, Opportunities, and Threats. He/she learns and hence the young contestant is on the road to perfection. This is a highly celebrated victory!

Transparency and the Value of International Viewers

McLuhan claims that "the most notable difference of a new society of the twenty-first century from the previous societies has been the rapid spread of global information networks, the Internet and electronic communication technologies. The Internet has revolutionized how people work, disseminate the results of their work and new knowledge, and culture and peoples of the world have the opportunity to be much closer than in the previous era". Interestingly, long before the mass distribution of the Internet M. McLuhan used the term "global village", which to some extent reflects the essence of the Internet. Thanks to the technological improvement there has been a significant compression of time and space, people around the world have become closer to each other. According to the scientist, "breakthroughs" in electronic communication technology provide new unity of all people on the level of emotional and bodily experiences, therefore, as a result of unprecedented technological development occurs electronized "global village" (McLuhan, 1964). In light of this paraphrase, a young talent's musical performance can reach the prominent international

professors and professionals of a highly recognized competition jury, crossing oceans and continents and gets evaluated within the norms of the competition right after the performance and scores are seen on the screen when the evaluation finalizes. The young talent's life changes within minutes as the organization announces the scores and the grants offered electronically. Time and space meet at a juncture as the 21st century's little devil, Covid-19 smiles from a corner. The whole picture is transparent. International viewers are delighted to have watched a concert, not paying for a plane, or a train, not booking a hotel room, not rushing in the street to reach the Concert Hall. They get connected in a global village.

Conclusion

This study provides information about the importance and function of online formats of music competitions that have been developing in recent years for young musicians in the threatening and restricted world of Covid-19 that has affected the whole world. Gathering the whole world on a digital window, the internet prepares young musicians for real life stage performance, performance evaluation and critics; and thus, becomes a general rehearsal of real life for real live concerts. Through the competitions, young musicians have the opportunity to prepare themselves for professional life by observing their peers around the world, perceiving their different comments and understanding jury evaluations with the best possible adaptation on the online platform. We will witness the increase of these competitions altogether in the future.

 All in all, with what has been collected from various professional written sources or through contestant feedback and personally experienced through live or on-line contests, it can be said that   young musicians are offered a facility out of   the catastrophe of Covid 19 that has affected the whole world. What can be recommended is that young musicians should use this facility wisely to benefit from the online competitions as the digital medium can enhance the student contestants' performance mentality. They are equipped with skills development strategies that they discover themselves as they perform many times at their convenience and submit the best of their performance to the organization designing the competition. Young musicians are also given the choice to compare their performance with that of their peers, hence they should benefit from this transparency of performances as well as the evaluations of the juries. Another recommendation is, using this facility, student contestants can also broaden their repertoire and apply for many competitions. One final recommendation may be, being contemporary and coping with the requirements of modern times, that is digital technology, they can reach many other musicians; observe their work across borders, and feel they belong to a wider community of musicians.

References

[1]   Auh, Y. (2019) Retrieved from New York Times, Oct. 18, 2020, from https://0310b112x-y-https-www-proquest-co.msgsu.proxy.deepknowledge.io/docview/431727589?accountid=16568 [1]

[2]   Auh, Y. (2019) Retrieved from New York Times, Oct. 18, 2020, from https://0310b112x-y-https-www-proquest-com.msgsu.proxy.deepknowledge.io/docview/431727589?accountid=16568 [2] http://www.columbia.edu/~ya22/ [3]

[3]   Bohlman, P. V. (2002). World Music: A Very Short Introduction. Oxford, Great Britain: Oxford University Press.

[4]   Chadwick, E. (1996) Strad, 00392049, Jan96, Volume107, Number1269 Evelyn Chadwick reports
from the International Tchaikovsky Competition for Young Musicians in Japan
MSGSU Library STRAD -New Stars In The Land Of The Rising Sun

[5]   Chadwick, E. (1996) Evelyn Chadwick reports from the International Tchaikovsky Competition for
Young Musicians in Japan MSGSU Library STRAD -New Stars In The Land Of The Rising Sun

[6]   Chadwick, E. (1996) Evelyn Chadwick reports from the International Tchaikovsky Competition for
Young Musicians in Japan MSGSU Library STRAD -New Stars In The Land Of The Rising Sun

[7]   Checka, A. (2018). The competition as an "exchange" of values: An aesthetic and existential
perspective. The Chopin Review, Issue 1. http://chopinreview.com/pages/issue/3#3.

[8]   Lowe, G. M. (2018). Competition Versus Cooperation: Implications for Music Teachers following
Students Feedback from Participation in a Large-scale Cooperative Music Festival. Australian
Journal of Teacher Education, 43(5). Retrieved from http://ro.ecu.edu.au/ajte/vol43/iss5/6.

[9]   Grigorieva, L., Platek, Ya., & Yakovlev, M. (Eds.). (1966). Musical competitions in the past and
present. Moscow: Musyka.

[10] Iakovlev, M. M. (1966) Muzykal'nye konkursy v proshlom i nastoiashchem: Spravochnik. Moscow,
1966.

[11] Iakovlev, M. M. (1966) Muzykal'nye konkursy v proshlom i nastoiashchem: Spravochnik. Moscow,
1966.

[12] Iakovlev, M. M. (1966) Muzykal'nye konkursy v proshlom i nastoiashchem: Spravochnik. Moscow,
1966.

[13] McCormick, L. (2015). Performing Civility: International Competitions in Classical Music.
Cambridge University Press. DOI: https://doi.org/10.1017/CB09781316181478

[14] McLuhan, M. (1964). Retrieved Oct. 17, 2020 from
https://www.researchgate.net/publication/274383393_McLuhan%27s_Global_Village_and_the_Inte
rnet on

[15] Parncutt, R. (2018). The reliability/validity of cognitive/emotional approaches to the evaluation of
musical performance: Implications for competition juries. The Chopin Review, Issue
1.http://chopinreview.com/pages/issue/6#3.

[16] Sazonova, E. (1978). Moscow. Tchaikovsky Competition, 1958-1978: Five editions: history,
thoughts. Moscow: Sov. kompozitor.

[17] Todes, A. (2014) The Future of Music Competitions
https://www.elbowmusic.org/post/2014/12/04/the-future-of-music-competitions

[18] Ollas,V. B. (2020) Retrieved Oct 18, 2020, from:
http://www.donneinmusica.org/wimust/biographies-european-women-composers/b/885-victoria-
borisova-ollas.html [1]

[19] Ollas,V. B. (2020) Retrieved Oct 18, 2020, from:
http://www.donneinmusica.org/wimust/biographies-european-women-composers/b/885-victoria-
borisova-ollas.html[2]

[20] Volpi, L. (2018) Once upon a tempo: a dip into the history of classical music competitions Retrieved
from: https://bachtrack.com/feature-history-music-competitions-naumburg-queen-elisabeth-geneva-
long-thibaud-crespin [1]

[21] Volpi, L. (2018) Once upon a tempo: a dip into the history of classical music competitions Retrieved
from: https://bachtrack.com/feature-history-music-competitions-naumburg-queen-elisabeth-geneva-
long-thibaud-crespin [2]

[22] Volpi, L. (2018) Once upon a tempo: a dip into the history of classical music competitions
Retrieved from: https://bachtrack.com/feature-history-music-competitions-naumburg-queen-
elisabeth-geneva-long-thibaud-crespin#3

[23] Yakovlev M.M. (1974) Competitions Musical encyclopedia in 6 volumes [Ch. Ed. Yu. Keldysh]. – V.2 – M., "Soviet Encyclopedia", 1974. – P. 904–909. Ref: http://music-art-and-culture.com/index.php/music-art-and-culture-journal/article/download/45/87

Education as a Value in the Pregraduate Studies of Education in Ukraine

Pavlína Kobzová

Palacký University Olomouc, Czech Republic

Jitka Pliscke

Palacký University Olomouc, Czech Republic

Markéta Šemberová

Palacký University Olomouc, Czech Republic

Abstract

The paper focuses on the description of the value of education in pregraduate preparation of students of teaching disciplines in Ukraine. The aim of the text is to specify the course of preparation for the profession of teacher in the context of values from the perspective of students of selected pedagogical faculties in Ukraine. The issue of values in the pregraduate preparation of Ukrainian students of teaching is a partial part of the authors' long-term interest in the issue of education and the values of Ukrainian pupils in schools in the Czech Republic. The research is carried out using a mixed QVAN - qval design. A Likert-type scale questionnaire supplemented with semi-closed and open items was chosen as the research tool. The data are analyzed with the predominance of a simple statistical analysis with additional analysis using grounded theory.

Keywords: value, education, pregraduate preparation, students of teaching, Ukraine,

Introduction

Pregraduate teacher education, wherever in the world it is implemented, should be based on a broad and thorough general education. However, we also see the importance of the role of the teacher in understanding the goals, meaning and values of education and in their further mediation in the educational process. All the more so, values are necessary equipment for the future teacher, who participates in the education of pupils and the formation of their profile and value orientation. In our research, we ask ourselves what values do students encounter in pregraduate study? Are there values present at all? How do students perceive the issue of values within education? At the same time, what values do they think should not be missing in the education of pupils in the school environment? We tried to answer these questions in the presented paper.

Literature Review

Educational experts, teachers and the public wonder what is the main goal of teacher education? What professional knowledge and skills, values and attitudes should a teacher graduate be equipped to become a competent teacher in the conditions of modern education? Today's society places high demands on teachers.

According to Mikešová (2005), the uniqueness of the profession of teacher lies in the fact that it is based on relationships, love for children, which teachers take care of from an educational point of view. The profession of teacher is a mission therefore it contains a significant personal contribution of teaching adepts. Much more than any other profession, it requires a high degree of self-control, responsibility and patience. One of the goals of teachers' educational activities is to pass on to students the basic values widely accepted and recognized not only in the Czech, resp. European society, but in today's society, built on a Christian basis in the past, which clearly includes the values of responsibility, diligence, patience, decency, honesty, justice, truthfulness and integrity.

The same values are mentioned in Ukrainian curricular documents, such as the Law of Ukraine on Education, which declares values influencing the all-round development of a person's personality, his right to education and the importance of universal education for society. An integral part of teaching in Ukrainian schools is the incorporation of the values of patriotism, respect for the homeland and the emphasis on spiritual and moral aspects in education (Kobzová, 2018).

Preparation for the profession of teacher is a crucial point in the future professional career of a teacher. Although there are currently tendencies that diminish the importance of the teacher and his perception as a pupil's guide to the educational process, we believe that the role of the teacher remains crucial and irreplaceable for the pupil's development.

According to Šimoník (2004, pp. 13-14), pregraduate preparation can be defined as the unity of theory and practice. However, pregraduate preparation cannot produce a ready-made teacher. It is necessary to complete the pedagogical mastery through years of systematic work on oneself, constant self-reflection and further education. Students can achieve real pedagogical perfection by not only concentrating all their skills on passing on knowledge, but by teaching their pupils to think independently and to think critically. They will be teachers who encourage themselves and their pupils to improve.

One of the key tasks in pregraduate preparation is to accompany future teachers to take professional responsibility for the full development of the pupil's personality and, of course, for their own education and professional growth. It is not enough to be professionally trained in the modern concept of education, but the emphasis should be on internal motivation, willingness to engage in the educational process and the development of attitudes and values in future teachers (Spilková, 2007, pp. 12-13). Emphasis in pregraduate studies should therefore also be placed on improving and increasing the level of the ethical aspect of the teacher's personality. It also seems desirable to include subjects dealing with ethical and value dilemmas and problems in the current school. However, this requires certain ideals and personality patterns that the present time is painfully lacking.

This condition was described by Blížkovský et al. (2000), who already twenty years ago carried out a detailed analysis of the pedagogical preparation of students for the future

profession, which proved to be insufficient. Due to previous social conditions, the following has increased in teacher education:

1) scientism, which manifested itself in the prevailing scientific approach to education,

2) value antinomism, which may be characterized by absolute non-commitment and resignation to the ability to shape a new system of values and goals in education.

We believe that a similar situation prevailed and still survives also in the Ukrainian education system.

The quality of the pupils' educational process and everything that takes place in teaching therefore depends not only on the thorough preparation of the teacher, but is deeply connected with the teacher's personalities, with his self-understanding. The teacher is a very important variable in the teaching process and in the relationship with students and parents. Lukášová (2015, p. 26) considers that the most important thing is "how the teacher internally understands his profession, how he understands it and how he evaluates it and on the basis of what values he approaches the profession." This dimension of teaching is also perceived by Spilková (2015) who states that the teacher's task is not only to develop the cognitive level of pupils, but the teacher should also be able to pass on the love of knowledge, learning and cognition. However, it is born only through the teacher's relationship with students and his "commitment to the profession" (2015, p. 165).

We will also think about the process of education from the point of view of teacher virtues. Behind the moral qualities of a teacher, Helus (2004, pp. 222-223) perceives the goal of pedagogical effort, which is effort to "be a reliable support for pupils in their personal development". According to the author, the favorable development of the teacher's character is related to several pedagogical virtues, including pedagogical love, pedagogical mind, pedagogical courage and pedagogical credibility.

Although pedagogical preparation within Europe, including Ukraine, has many features in common, especially when it comes to the compulsory combination of general, special, psycho-pedagogical education, practical training (Kocan, 2013), each country has its own specifics within its own educational system, linguistic and cultural diversity, and educational traditions in general. With regard to the value issues in pregraduate study in Ukraine, continuous education is currently becoming one of the main principles of pedagogical efforts, which is becoming an integral part of human existence in general (Kocan, 2013).

Fundamental principle of modern education to redirect pregraduate study to the personality of a student teacher. The approach is known as a personality-oriented model of preparation of future teachers and involves a deep psychologization of teacher training, the development of pedagogical thinking and the formation of skills such as setting educational goals, analyzing pedagogical situations, making decisions in the best interests of the child and relying on strength rather than weakness. Volynecka (2013) states the priority of personality-oriented learning are both the character of the teacher and his preparation. An important starting point for the preparation of future teachers is the art of respecting the development of the student as a person who is constantly changing with age, has its own characteristics, specifics of development.

The values in the pregraduate preparation of future teachers, which are increasingly focused on, are communication culture and competencies, empathy, tolerance, in other words -"the

search for ways of mutual understanding between teachers and students is the key to positive change in a period of social anomie and the devaluation of a number of moral principles-decency, kindness, devotion, mutual help"(Kocan, 2013, p. 189). The relationship between teacher and student should be filled with respect and empathy. And this is a difficult task in a situation of polyethnicity, social differentiation and different intellectual abilities and talents of each individual pupil. The belief that none of the students, regardless of background, ability or performance, can be limited in their personal development begins in the period of pregraduate education of students as future teachers.

Methodology

The research was carried out by means of an electronic questionnaire survey among respondents - students of teaching of pedagogical faculties in Ukraine in the cities of Ivano-Frankivsk, Brody and Ternopyl. The administration of the online questionnaires took place during December 2019 to May 2020. A total of 120 completed questionnaires were obtained with all the data necessary for the analysis. The research involved Ukrainian pregraduate students of the 2nd - 7th year of study with specialization mainly for teaching primary and lower secondary level of education. The most frequent length of studies was stated by the participants at:

- 4 years (56% of participants)

- 3 years (29% of participants)

The sample of respondents consisted of 87.5% women (total number 105) and 12.5% men (total number 15) aged 18-22 years.

As a research tool, a 5-degree Likert-type questionnaire was chosen, supplemented by semi-closed and open items, which were analyzed within the grounded theory. The questionnaire consisted of a total of 20 items. For the scale items, the respondents recorded on the scale the degree of their agreement or disagreement with the given statement, while 3 types of scales were used in the questionnaire:

1) *1 least important, 2 unimportant, 3 intermediate, 4 very important, 5 most important,*

2) *1 strongly disagree, 2 rather disagree, 3 don't know, 4 rather agree, 5 strongly agree,*

3) *1 least, 2 less, 3 medium, 4 more, 5 most,*

Analysis

The research tool was divided into two basic parts:

I. Introductory questions

The first part of the questionnaire consisted of introductory questions focused on demographic data including gender, age of respondents, length of study which were already mentioned above. In this part, the specialization of study participants, their motivation to study and the pattern in education were ascertained (see Graphs below).

Graph 1. Representation of studied specializations

Representation of studied specializations

Preschool education
Psychologist
Leading a children's choir
Choreographic guidance of students
Technical education
Geography
Physical Education
English + foreing languages
Informatics + work educaiton
Primary education

0   10   20   30   40   50   60   70
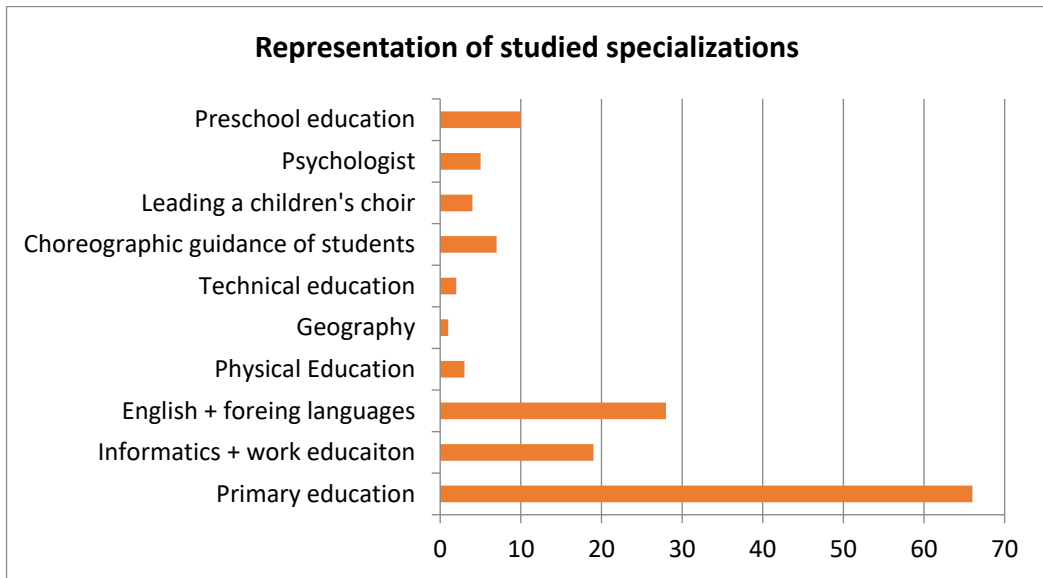
Among the most numerous specializations in the study among the respondents were clearly teachers of primary education, ie 1st - 4th class (66 respondents). The second most frequently studied specialization was English and other foreign languages (28). In third place in the number of selected answers is informatics and work education (19).

Graph 2. Motivation of students to study profession of teaching

Motivation to study profession of teaching

40,00%
35,00%
30,00%
25,00%
20,00%
15,00%
10,00%
5,00%
0,00%

I just enjoy teaching | Teaching is a family tradition | Pragmatic reasons | Teaching as an important mission | Higher prestige of the profession | I was not accepted to my field

Line 1
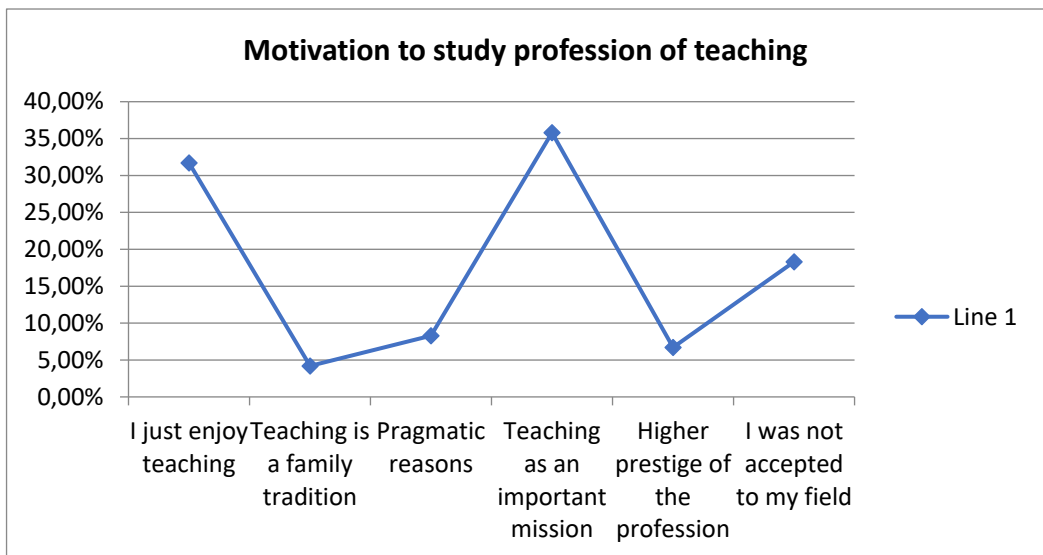
The attached graph shows that the highest number of respondents (35.8%) perceive the teaching profession as key as their motivation was "teaching as an important mission". The contrast of this motivation with the low percentage of motivation of "higher prestige of the profession" is interesting. Thus, most students do not consider the profession to be prestigious

and important before society, and at the same time they understand it as an important social mission. The second highest representation in the number of elections gained the motivation "I enjoy teaching" (31.7%), which can be described as a motivation to study for self-realization.

Graph 3. Role models of students in education

Role models of students in education
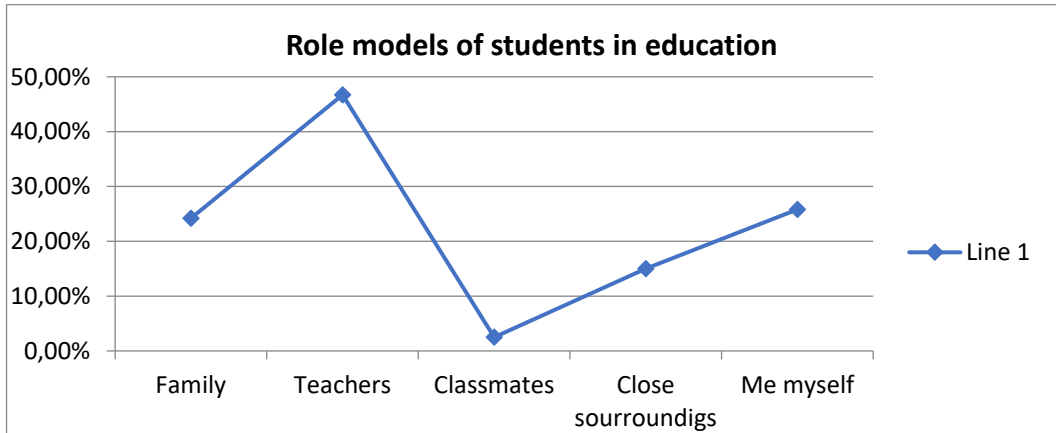
Looking at the graphical representation of the data, we find that for the most part the examined students were role models in education, primarily teachers (46.7%). Here we see how much the example of a teacher and the way he/she performs profession affect students. The second most common example in the field of study are respondents for themselves (25.8%) and in close proximity to them is their family's inspiration for education (24.2%).

II. Statistical analysis supplemented by qualitative analysis

In the second part of the questionnaire, the attitudes and values of students scale are identified. For the purpose of quantitative evaluation of the research tool, the frequency of choice of respondents' answers for individual statements was determined and subsequently these frequencies were converted into numerical form. Another necessary step was the assignment of numerical values to individual scale items and the calculation of the coefficient (Gavora, 2010). The individual frequencies were then multiplied by these coefficients. The resulting sum of all multiples was divided by the number of respondents, and the resulting value showed the average distribution of answers (Chráska, 2016). A low overall score identified an average overall negative attitude toward the statement, and a high overall score represented a positive attitude.

Tab. 1. Total coefficient of choice of answers

1. Which pedagogical disciplines are most important in the study (according to the hourly subsidy)	Coefficient
General education subjects	3,12
General didactics	3,16
Field didactics	3,05
Pedagogical-psychological disciplines	3,18
Professional training (in the chosen field)	3,2
Pedagogical practice	3,18
2. Which pedagogical disciplines formed your personality the most?	
General education subjects	3,12
General didactics	2,94

Field didactics	3,02
Pedagogical-psychological disciplines	3,04
Professional training (in the chosen field)	3,29
Pedagogical practice	3,16

In the first item respondents rated Pedagogical-Psychological disciplines (3.18) as moderately to very important (on a scale of 1 to 5), which provide students with a basis for reflection on educational processes at school. They make it possible to acquire knowledge about the entrusted pupils, skills and attitudes necessary for the appropriate direction of the actors of education, to get to know the world of the pupil better. The respondents also attached the same importance to pedagogical practices (3.18), which mediate students' contact with the educational reality and where the knowledge and skills of all the above-mentioned components of teacher preparation are integrated.

The coefficients of the second item indicate that respondents consider the most formative subject to be training in the chosen field (3.29) and pedagogical practice (3.16), both coefficients again lying between medium to very important values. It turns out that especially professionally and practically oriented subjects of teacher training have a more intense influence on the formation of students' personal qualities than other subjects. The statement is also proved by the analysis of open answers, in which the respondents agree that the training in the chosen approval allows to focus on the core of specialization, ie the education of younger pupils and everything related to it. Pedagogical practice will allow respondents to critically evaluate their impact, test their knowledge in practice and find out where their weaknesses are, what to work on. In addition, school practice encourages the development of a sense of responsibility, patience and the ability to accept children as they are.

3. What is the focus of the study of teaching at your faculty?	
At us, student and for better professional readiness	3,59
On the study program of teaching (on subjects) and its improvement	3,33
On interpersonal relationships, collegiality and the overall atmosphere	3,21

In this item, it was found out in which direction the study of future teachers is oriented. According to the results, we see that students perceive the greatest focus of their study program on them, as on students and on their professional development and training. The calculated coefficient of 3.59 is the highest in comparison with the other two and approaches the overall rating of 4, which states the value as very important. An interesting finding, however, is that the statement regarding interpersonal relationships and the overall atmosphere in the school was less chosen by the respondents. However, this is not a big difference.

4. In your opinion, in what way does the teacher contribute the most to the quality of pupils' education?	
A clear vision of the educational process and specifically formulated goals of teaching, with which he/she acquaints students.	3,45
With his personality, ie natural authority and the right educational effect on the pupils.	3,79
Perfect knowledge of the subject matter and its interpretation, which will inspire pupils for the subject.	3,71
Teacher-pupil interaction, ie by providing space for pupils to actively participate in teaching.	3,8

In the given item, the students assessed the way the teacher influenced the quality of education on a scale from 1 to 5 with an evaluation, which is again close to point 4. It can be stated that

students consider a very important way of the teacher and how to behave in relation to pupils with emphasis on the support of pupils' activity by the teacher in teaching (3.8). Respondents also assessed the position of the teacher and his personality by almost the same coefficient (3.79), whom, if he/she is a role model and has natural authority, they perceive as a fundamental factor in the educational process. However, they also perceive as an integral part the excellent knowledge of the subject matter, including didactic and professional knowledge (3.71), without which the performance of the profession of teacher cannot be imagined.

5. What values (attitudes) did you acquire in connection with the profession of teacher within the study?	
Love to the profession of teacher, the concept of the profession as a mission,	3,75
Subject matter orientation - to transfer knowledge to pupils,	3,56
Focus on the pupil, on his individual development and perception of his needs,	3,74
Emphasis on good organization of teaching, mastery of discipline in the classroom,	3,63
Ability to communicate and cooperate with each other in the teaching community and with pupils' parents,	3,80
Emphasis on prestige and the status of teachers in society.	3, 38

Given the values and attitudes that respondents have gained so far in the study of teaching, the highest number of choices gained the ability to communicate and cooperate with teachers' colleagues (3.80), which means that it influences pedagogical practice, which students evaluated at most in 1st and 2nd items. However, the respondents gave an important place to the fact that during their studies they gained a stronger relationship with the profession of teaching, which they perceive as a mission and which represents a very important value for them (3.75). The focus on pupils, the development of their personality, the ability to perceive their needs and requirements gained a similar importance (3.74). Of all the least, future teachers value the prestige of the profession of teaching in front of society, which is largely related to the low salary of teachers in Ukraine and the overall unfavorable economic situation in the country.

6. Which values do you prefer and which are the least important for you?	
Professional success, prestige, good salary, material gain,	3,55
Education, self-development, professional success and work that makes sense,	3,87
Family, children, love, life partner,	3,79
Health, world peace, healthy environment, ecology,	3,85
Freedom, democracy, the idea of private enterprise, participation in the economic life of society,	3,44
Altruism, helping people, solidarity, participation in political events through a public benefit function,	3,45
Friendship, love, hobbies, interests, social relationships that do not require responsibility.	3,53

The question on the preference of values was used to find out which of them future teachers prefer and which they neglect. However, the achieved coefficients of individual statements show very balanced scores in all areas of values and range from medium to more preferred values (3-4). Respondents appreciate the most the values of education, personal growth and the profession in which they can be realized, which at the same time goes beyond their own satisfaction and benefit (3.87). Second in line is health and peace in the world, the choice can be partly attributed to the current security situation in Ukraine. The statement family, children, love received a surprisingly lower rating, despite the fact that this value is the highest among Ukrainians according to the author's long-term study of the Ukrainian national minority in the Czech Republic.

7. What (national and cultural) values are, in your opinion, passed on to current primary school pupils in Ukraine?	

Emphasis on professional success, prestige, good salary in the future profession,	3,32
Education, self-development, creativity,	3,6
Family, children, love,	3,49
Health, world peace, healthy environment, ecology,	3,8
The idea of freedom, independence and democracy,	3,52
Altruism, helping people, solidarity,	3,55
Friendship, love, hobbies, interests, social relationships that do not require responsibility.	3,6

With slightly modified statements, we found out what values, in the opinion of the respondents, are passed on and formed by contemporary Ukrainian education. The students attributed the highest level of consent to the health, world peace and interest in a healthy environment (3.8), to which they also gave a higher value in their personal value orientations. Another important value formed in the Ukrainian pupils generation is friendship, interests, love and relationships (3.6) which, however, are not based on responsibility for others. The students also evaluated the area of education, creativity and emphasis on pupils' personal development with the same coefficient. Based on a qualitative analysis, it should be added that many values promoted in education, such as patriotism, friendship, tradition or competence in the field of the environment, some respondents consider as purely formally formed. These values and attitudes are presented only externally, they have no deeper anchorage and they lack a moral basis.

8. Which of the following values would you like to form at the pupils as a future teacher?	
Emphasis on professional success, prestige, good salary in the future profession,	3,55
Education, self-development, creativity,	4,14
Family, children, love,	3,71
Health, world peace, healthy environment, ecology,	4
The idea of freedom, independence and democracy,	3,64
Altruism, helping people, solidarity,	3,89
Friendship, love, hobbies, interests, social relationships that do not require responsibility.	3,79

We were interested in which of the mentioned areas of values teacher students would like to form with their pupils and to what extent their answers coincide with their preferred values (item 6). In this case, the response rate coefficient ranged from 3.55 to 4.14. The highest frequency of elections was again recorded in the value of education, self-development and creativity (4.14), which future teachers would like to form the most among pupils. Their choice here also agrees with their choice of personal value No. 1. A possible explanation for why students value education and self-development the highest may be the desire to pass on education to pupils, thanks to which they can get later on the opportunity to study abroad. The belief that in a Western democratic society, education and work effort will be better appreciated than in their own country may also play a role here. However, a completely opposite reason cannot be ruled out, namely to have an educated population that is better able to lead a country that is plagued by economic instability and war. Last but not least, the respondents would like to pass on to the pupils the previously mentioned value of health care (4) and the pattern of altruistic behavior and the ability to help those in need (3.89). These values are perceived by students as key to the future development of Ukrainian society.

| 9. What values and attitudes are needed to educate the current generation of Ukrainian pupils with regard to their future personal, professional and social application? | |

to self-realization, self-awareness and the ability to assert oneself in life,	3,94
to national awareness and loyalty to the Ukrainian nation,	3,63
to broader knowledge, lifelong learning,	3,85
to the love of democracy, freedom and independence,	3,68
to justice, truthfulness, morality and honesty,	4,2
to faith, to respect for God and for man.	4,4

The results of the frequency of choice of answers clearly show the need to take root in faith and respect for God, which is then automatically be reflected in greater respect for man (4,4). In the case of Ukraine as a Christian-based country, it is not surprising that students demand that the next generation of Ukrainian pupils learn not only the Christian faith, but also Christian behavior and virtues, including truthfulness, honesty, justice and moral principles in general (4,2). Respondents perceived that it is a necessary basis on which other values can be built, such as self-awareness, the ability to assert oneself, lifelong learning.

10. Should the teacher try to influence the values and attitudes of pupils he/she teaches?	
Moral values (respect for truth, justice, man ...)	4,01
Values of civic life (respecting one's homeland, showing respect for law and law, civil liberties ...)	3,8
Values of individual and social life (self-esteem, responsibility, cooperation, respect for oneself and others..)	4,06
Values associated with education (responsibility for own education, for school results...)	3,91

In the case of this item, the respondents are strongly inclined to agree with all the above statements, all of which have similarly high scores. The respondents see the highest position in terms of very important values not only in the teacher's influence on pupils in individual and social life (4.06), but also in the field of ethics and moral values (4.01). Respondents agree with the need for an adequate effect of the teacher on the entrusted pupils. The teacher should form the desired values of self-esteem, responsibility, respect for the truth, for the person, not only in a verbal form, but above all he needs to be a personal example. According to the respondents, the profession of teacher is associated with a great responsibility for education of the new generation. The statement corresponds with the statement of the respondents concerning the motivation to study (Graph 2), in which the motivation for the teaching profession as a significant mission significantly prevails.

Conclusion

In the eyes of students, the preparation of future teachers is focused primarily on themselves and their professional preparation. Pregraduate preparation includes all components of study necessary for adequate education of the future teacher and all of them bring great benefit to respondents. The most intense influence is perceived from practically oriented disciplines and practice, which allow students to penetrate to the essence of teaching probably the most. Especially the direct contact of students with their teachers during their studies and with their pupils within pedagogical practices most strongly forms their values and attitudes.

It can be stated that undergraduate study forms the values and attitudes of future teachers, because through the individual components of the study they acquire both the necessary knowledge and the ability to understand the difficulty and usefulness of profession of teaching. They help to form knowledge in the chosen specialization, change the initial vision of pedagogical activities of students, form their professional beliefs (Ševčíková, 2020) and develop their worldview. It often forms a completely new view of life and makes it possible to

find starting points in various pedagogical situations. Students gain a closer relationship with teaching and the love for pupils deepens thanks to competencies, how to work with pupils, how to communicate with them and to lead them properly. The motivation to study the majority of respondents and their independent thinking about the deeper meaning of the profession of teaching also significantly contributed to this professional formation during their studies. Many desire to be role models for their pupilín and thanks to their own role models - teachers who have been a real example, students want to become even better.

Acknowledgement

References

[1]   Blížkovský, B. et al. (2000). *Středoevropský učitel na prahu učící se společnosti 21. Století.* Brno: Konvoj.
[2]   Gavora, P. (2010). *Úvod do pedagogického výzkumu*. Brno: Paido.
[3]   Helus, Z. (2004). *Dítě v osobnostním pojetí.* Praha: Portál.
[4]   Chráska, M. (2016). *Metody pedagogického výzkumu*. Praha: Grada.
[5]   Kobzová, P. (2018). Hodnoty v dokumentech ukrajinského školství. In Vyhnálková, P., Plischke, J. (eds). *Interkulturní perspektivy studentů doktorských programů a jejich příprava se zaměřením na mezioborovou pestrost.* (1st ed., pp. 81-88). Olomouc: Univerzita Palackého v Olomouci.
[6]   Kocan, Ihor Jaroslavovič. (2013). Profesijna pidhotovka sučasnoho včitelja: problemy i orientyry/Jevropejski pedahohični studii/. Asociacija rektoriv pedahohičnich universitetiv Jevropy, No. 3-4/2013, pp. 186-196, Retrieved from URL: http://enpuir.npu.edu.ua/bitstream/123456789/11514/1/%d0%9aotsan.pdf
[7]   Kratochvílová, J. (2007). Nárys proměn pedagogických disciplín v oboru učitelství 1. stupně ZŠ na PdF MU. In Kratochvílová, J., Horká, H. (eds.) *Proměny učitelského vzdělávání v kontextu reformy základního školství*. Brno: Pedagogické fakultě MU.
[8]   Lukášová, H. (2015). *Učitelské sebepojetí a jeho zkoumání*. Zlín: Univerzita Tomáše Bati ve Zlíně.
[9]   Mikešová, J. (2005). Změny v pregraduální přípravě učitelů primárního vzdělávání v návaznosti na evropskou dimenzi. In Jandová R. (Ed). *Příprava učitelů a aktuální proměny v základním vzdělávání.* (1st ed., pp. 98-101) České Budějovice: Jihočeská univerzita.
[10] Spilková V. (2015). Pojetí kvality učitele v mezinárodní perspektivě. In Greger, D.,(Ed.) *Srovnávací pedagogika: Proměny a výzvy.* (1st ed., pp. 163-178*).* Praha: Univerzita Karlova v Praze.
[11] Spilková, V. (2007) Proměny vzdělávání učitelů v kontextu kurikulární reformy. In Kratochvílová, J., Horká, H. (Eds.) *Proměny učitelského vzdělávání v kontextu reformy základního školství.* Brno: Pedagogické fakultě MU.
[12] Ševčíková, J. (2020). Vybrané aspekty formování profesního přesvědčení začínajících učitelů. In: Rajský, A. (Ed) *JUVENILIA PAEDAGOGICA 2020.* Trnava: Trnavská univerzita, PdF.
[13] Volynec, Katerina Ivanivna (2013). Profesijna pidhotovka majbutňoho včitelja počatkovoji školy v umovach neperervnosti pedahohičnoji osvity v universiteti. In Vašenko, O.M.(Ed). *Profesijna pidhotovka majbutňoho včitelja počatkovoji školy: teorija i praktika.* (1st ed., 5-20). Kyiv: Kyivskyj Universitet Imeni Borisa Hrinčenka. Retrieved from URL: http://elibrary.kubg.edu.ua/id/eprint/5150/

[14] Zákon No. 2145-VIII, Zákon Ukrajiny o vzdělávání. (2017). Retrieved from URL: https://zakon.rada.gov.ua/laws/show/2145-19#Text

Telecollaboration for Civic Competence and SDG Development in FL Teacher Education

Soraya Garcia-Esteban

Universidad de Alcalá

Abstract

The Civic Competence has been acknowledged essential to support sustainable societies, economies and ecosystems for the development of responsible active citizens in today's increasingly connected world. In this regard, telecollaboration seems to help enhance related media literacy and intercultural skills. However, despite the development of key competences for lifelong learning with telecollaboration has already been the focus of some studies, the measurement of Civic Competence in teacher education with telecollaboration remains still a question for investigation. Following this line of research, this study aimed to explore the own perception of FL student teachers in Civic Competence, and if this competence can be developed working the Sustainable Development Goals (SDG) with telecollaboration. The participants of this study were two groups of student teachers at two different European universities. Both groups completed a survey and proposed collaborative strategies to improve the global and Civic Competence. Educational proposals and digital collaborative tools were analysed to measure the improvement of the student teachers´ perception. Forum, e-portfolios and evaluation forms together with pre- and post-questionnaires were used to explore the outcomes. Results indicated that most Civic Competence domains can be enhanced by working SDG and that adopting a reflective, experiential and safe collaborative online international learning approach can help promote further knowledge, skills and attitudes in specific contexts.

Keywords: Telecollaboration, Civic Competence, Global Competence, Sustainable Development Goals (SDG), FL Teacher training

1. Introduction

This study documents a pedagogical research developed in the second term of 2020 by two European universities. Based on data from a small-scale pilot research, we obtained some initial evidence that, by providing future teachers with educational collaborative technology, we can improve education in Civic Competence (EC 2018, 2019) and Sustainable Development Goals (OECD 2018).

Education in citizenship has clearly gained prominence in national curricula across Europe at all levels. Despite terminology varies and Social and Civic Competences have been largely included in several frameworks, the Social and Civic Competences can be grouped together as one competence as described in the current European Commission suggested framework (EC 2018). As defined by the OECD (2018), the Civic Competence relates to the Global Competence and comprises *Global Mindedness, the ability to interact respectfully, appropriately and*

effectively as well as the Knowledge and understanding of global issues. Education can help make citizens contribute to peaceful, tolerant, inclusive and secure societies (2018:24).

Despite some research has acknowledged the cultural significance of Citizenship values in teacher training (Chistolini 2019), literature calls for a development of the intercultural dimension, together with critical thinking, active democratic participation and sustainable development (EC 2018:34). This can be developed integrating the Sustainable Development Goals (SDG) in the curriculum to promote "knowledge, skills and attitudes related to sustainable development and lifestyles, human rights, gender equality, promotion of a culture of peace and non-violence, global citizenship and appreciation of cultural diversity through education" (UN 2015, OCDE 2018).

2. Literature Review

Based on existing literature of teaching and learning theories on sustainability (i.e. Mindt and Rieckman 2017) and further research on key competencies for sustainable development in higher education (i.e. Barth, Godemann, Rieckmann and Stoltenberg 2007), this study has considered studies (i.e. Schwarzer and Bridglall 2015) that focused on promoting specific domains that link the Global with the Civic Competence in teacher education. According to the OECD, it is crucial to offer students the opportunity to learn about global developments and to teach how to form a critical and realistic vision of current affairs, contributing instruments of analysis of diverse cultural practices, involving students in intercultural relations, as well as promoting the value of diversity (2018). However, there are few academic studies that confirm the appropriate acquisition of civic knowledge, skills and attitude with SDG following a specific validated framework or specific pedagogies.

Although one of the priorities of organizations such as UNESCO and the European Council is to evaluate the acquisition of key competences for permanent learning (EC 2018) with digital resources, there are still few studies that ratify the appraisal of citizenship in collaborative online environments (Vinagre 2016). This research proposal takes as a starting point previous investigation projects on the acquisition of competences and skills with communicative online collaboration, virtual exchange and telecollaboration in English mediated instruction (ie. VELCOME, TELNETCOM, TILA, UniCollaboration, TeCoLa) following Colpaert (2020). Findings highlight telecollaboration for intercultural and content integrated language teaching and indicate that participants who use telecollaboration to develop competences for lifelong learning can improve their technological pedagogical content knowledge and the learning to learn competence (Garcia-Esteban, Villarreal and Bueno 2018, 2019), social skills in task-based language learning and teaching (Hauck 2010) and the digital competence (González-Lloret, 2013). Related research can be found in online intercultural exchange and the development of transnational models of virtual exchange for global citizenship education (O´Dowd 2020), the enhancement of soft skills in higher education foreign language programs with telecollaboration (Gomez, 2019) or the need to develop basic, digital and cognitive skills for professional development (Garcia and Jahnke 2020).

This study is based on Dörnyei´s (2013) seven principles for effective communication in the foreign language and Tondeur´s (2018) approach for the development of future teachers' competencies with technology integration. It is also founded on Guth and Helm´s (2010) pedagogy, which considered that telecollaboration facilitates foreign language (FL) teaching with digital tools and online communication with peers mainly to develop language skills,

digital and communicative competences (Dooly 2008, Ware and Kramsch 2005) as well as competences for life-long learning such as the Civic Competence.

The research attempts to contribute to educational innovation by filling an existing gap in terms of evaluating the perceptions in Civic Competence following the EC (2019) framework of multilingual postgraduate student-teachers and the proposal of didactic practices for improvement of the less developed domains with telecollaboration.

3. Methodology

3.1. Participants and instruments

This study included Masters´ degree participants from the disciplines of Education and Humanities from two European Universities: on in the center of Spain (n=23), which was the experimental group (EG), and a Belgian University (n=18) taken as control group (CG). The majority of the participants in the survey were multilingual females who had been studying, living or visited more than one European country. Both Master programs followed the (ECTS) European Credit Transfer and Accumulation System.

The program offered by the Belgian University was an Educational Master from the Department of Linguistics. The participants from this university were 18 participants enrolled in the specific course "English linguistics, Arts and literature". The course was designed to be delivered face to face and involved working digital collaborative tools such as the institutional learning platform Blackboard, and the use of social media for research purposes, etc. The course followed a subject-specific pedagogy which covered student diversity and guidance.

The participants from the Spanish university were 23 student teachers from the Master's Degree in Teacher Training, English specialization, enrolled in the course "Content and Language Integrated Learning in the Bilingual Classroom" as part of the Master's Degree in Secondary Education Teacher Training. The subject was taught online following a content and language integrated learning approach. This master degree was part of the Department of Modern Philology.

The experimental group was proposed a collaborative online task consisting on researching educational materials to design a lesson plan based on a given content topic for native English speakers on the web relating contents to a SDG which might help develop certain domains of the SDG Global Competence (OECD 2020, 2018) and the Civic Competence (EC 2019). This task was delivered online and was built on the pedagogy of telecollaboration (Dooly, 2008, Guth and Helm 2010), which involved incorporating several online collaborative tools: videoconferencing and discussion Forum through the institutional learning platform (Blackboard), Social media (YouTube, Google+, Academia.edu) and collaborative Web apps (Padlet). Figure 1 Illustrates this task with the lesson plans designed and evaluated collaboratively by the student teachers.

Figure 1. UAH- ODS Lesson Plans Padlet
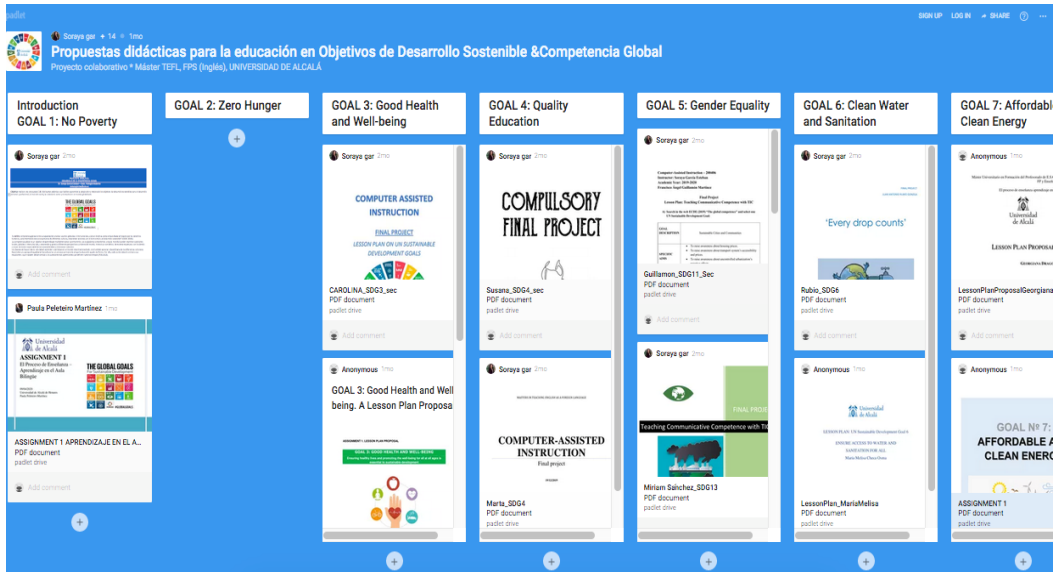
This tasks was based on Dörnyei´s (2013) seven principles for effective communication in the foreign language, which consider that learning should be meaningful and engaging; tasks should allow controlled practice; vocabulary and grammar should often appear in different types of tasks, there should be a balance between both fluency and accuracy in the syllabus design, when carrying out communicative tasks students should also practice formulaic language, students should be exposed to the foreign language constantly and interaction between students should take place in all communicative activities.

3.2. Method and data collection

The proposed research unit of qualitative nature consisted of an exploratory descriptive study, using as an instrument the open or in-depth survey with a medium level of directivity, semi-structured as to which some open-ended questions were raised so that the participants could freely express their ideas, beliefs, opinions, assessments (Tójar 2006). We chose to use the survey because it offered the participant the possibility to comment on the questions (Rodríguez Gil & García 1996) following the Test-Retest method in order to identify possible changes and improvements. We deployed student and teacher surveys among all the MA participants and collected data over the second term course along six months. Teacher surveys included open answer questions relating to teachers' professional development opportunities and their existing perceptions of the Civic and Global Competences. We incorporated the findings from these interviews into our qualitative data.

Following Hinton (2019), in our initial analyses we utilized qualitative methods to categorize and codify the participant responses. This enabled a general understanding of the learning activities with respect to sets of competencies, which provided us with context for subsequent analyses of the data. We used methods adapted from Grounded Theory. With this approach, we systemized participants' ideas by organizing them into codes through two main steps: substantive coding and selective coding. First, the data were substantively coded, which

involves coding all of the data for meaning. These codes were condensed versions of the participants' ideas. These substantive codes were then analysed to create selective codes using a combination of deductive and inductive processes. That is, substantive codes were logically combined based on both frameworks from academic literature on global education and themes that deductively emerged from the data.

4. Results

Data exploration in this study consisted on an online questionnaire based on OECDE (2018) Global Competence which enclosed sub-domains from the SDG (OECD 2019) and the domains illustrated in Table 1 from EC (2019) Civic Competence. Quantitative analysis of student teachers´ survey data aimed to identify participants' perceptions before and after working the SDG assignment with digital collaborative tools. Focused qualitative analyses of open response survey data allowed to explore relationships between collaborative Educational Technology and the Civic Competence.

To carry out the investigation, we correlated OECDE (2018) Global Competence construct with EC (2019) Civic Competence participants´ perceptions. The table below presents the results after having worked the Global Competence developing lesson plans for teaching a particular subject in English as a foreign language using diverse methodologies integrating the 17 Sustainable Development Goals (SDG) as subject contents. Scores were standardized based on all responses in the survey so that scores have a mean of 0 and standard deviation of 1. The relative magnitude of the Civic Competence scores had a meaningful interpretation.

Table 1. FL Student teachers´ perceptions of the Civic Competence (EC 2019)

Knowledge	EG Pre-test	EG Post-test	CG Pre-Test	CG Post-Test
1. Knowledge of basic concepts/phenomena relating to individuals, groups, work organizations, society, economy and culture	52%	67%	57%	61%
2. Understanding of the European common values	27%	27%	38%	34%
3. Knowledge of contemporary events	67%	83%	73%	74%
4. Critical understanding of the main developments in national, European and world history	48%	46%	54%	58%
5. Awareness of the aims, values and policies of social and political movements	66%	65%	77%	69%
6. Awareness of sustainable systems; ex. climate and demographic change at global level and underlying causes	70%	83%	67%	68%
7. Knowledge of European integration	67%	64%	67%	71%
8. Awareness of diversity and cultural identities in Europe and the world	55%	77%	68%	68%
9. Understanding of the multi-cultural and socioeconomic dimensions of European societies	48%	56%	65%	73%
10. Understanding of how national cultural identity contributes to the European identity	75%	83%	77%	78%
Skills				
11. Ability to engage effectively with others in common or public interest, including sustainable development of society	52%	83%	54%	50%
12. Critical thinking and integrated problem solving skills	58%	57%	48%	58%
13. Skills to develop arguments and constructive participation in community activities	45%	83%	48%	73%
14. Decision-making at all levels, from local and national to the European and international level	37%	40%	48%	44%
15. Ability to access, have a critical understanding of, and interact with both traditional and new forms of media	63%	72%	54%	63%
16. Understanding the role and functions of media in democratic societies	78%	77%	75%	41%
Attitudes				
17. Respect for human rights as a basis for democracy	73%	83%	72%	73%
18. Responsible and constructive attitude	77%	82%	82%	78%
19. Constructive participation in democratic decision-making at all levels and civic activities	48%	42%	54%	50%
20. Support for social and cultural diversity, gender equality and social cohesion, sustainable lifestyles	67%	77%	62%	69%
21. Promotion of culture of peace and non-violence	68%	76%	67%	73%
22. Readiness to respect the privacy of others	80%	82%	72%	70%
23. Responsibility for the environment	73%	92%	79%	82%
24. Interest in political and socioeconomic developments, humanities and intercultural communication	57%	68%	72%	78%
25. Preparation both to overcome prejudices and to compromise where necessary and to ensure social justice and fairness.	45%	52%	54%	50%

As illustrated in table 1, results concerning the **knowledge** dimension indicated that the experimental group (EG) increased their perception in Knowledge of basic concepts and phenomena relating to individuals, groups, work organizations, society, economy and culture (from 52% to 67%) after working the SDG with collaborative tools. The task proposed also helped enhance their knowledge of contemporary events (from 67% to 83%) and their awareness of sustainable systems such as climate and demographic change at global level and underlying causes (from 70% to 83%). Working SDG seemed to help understand the multi-cultural and socioeconomic dimensions of European societies (from 48% to 56%) and how national cultural identity contributes to the European identity (from 75% to 83%).

Regarding the **skills** dimension, data revealed that the telecollaborative task seemed to increase the EG ability to engage effectively with others in common or public interest, including sustainable development of society (from 52% to 83%), as well as skills to develop arguments and constructive participation in community activities (from 45% to 83%). Gains were also observed in the EG ability to access, have a critical understanding of, and interact with both traditional and new forms of media (from 63% to 72%).

EG Student teachers **attitudes** also experienced an upgrade in domains such as respect for human rights as a basis for democracy (from 73% to 83%), and responsible and constructive attitude (from 77% to 82%) working SDG collaboratively. The experiential task seemed to contribute to support social and cultural diversity, gender equality and social cohesion, sustainable lifestyles (from 67% to 77%); the promotion of culture of peace and non-violence (from 68% to 76%) and readiness to respect the privacy of others (from 80% to 82%) showing a sharp growth in responsibility for the environment (from 73% to 92%). However, the upturn interest in political and socioeconomic developments, humanities and intercultural communication (from 57% to 68%), and the preparation both to overcome prejudices and to compromise where necessary to ensure social justice and fairness (from 45% to 52%) were not noteworthy.

Figure 2. Comparison of student teachers´ perception of the Civic Competence after the SDG telecolaboration task
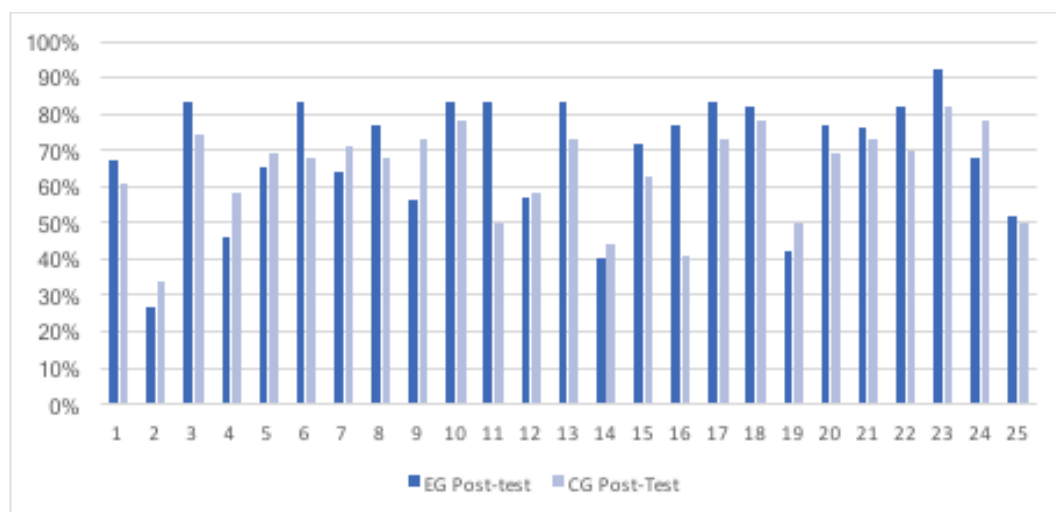
Data outcomes in Figure 2 showed that working SDG with telecollaboration increased slightly the 16 dimensions of the Civic Competence labelled above, except for 9 competences in which the CG rated higher after the experiential task. These were: understanding of the European common values (34% against 27%), critical understanding of the main developments in national, European and world history (58% against 46%); awareness of the aims, values and policies of social and political movements (69% against 65%); Knowledge of European integration (71% against 64%); critical thinking and integrated problem solving skills (58% against 57%), decision-making at all levels, from local and national to the European and international level (44% against 40%); understanding the role and functions of media in democratic societies (41% against 77%), and constructive participation in democratic decision-making at all levels and civic activities (50% against 42%).

5. Analysis and discussion

Despite the EG rated higher after having carried out the experimental task, **outcomes show that differences in perceptions among the two groups in different European locations cannot be considered significant. Possible reasons can be the CG educational curricula, which developed cultural and historical contents, the teaching methodology, and the location of their university in the centre of Europe. These contextual factors might have influenced the perception of the CG participants as a possible explanation for their interests in the European topics where they rated higher. Furthermore, it must be noted that the EC (2019) framework of the Civic Competence used in this research comprise European issues whereas de SDG (OECD 2018) framework focuses on worldwide concerns, which might not have helped develop specific dimensions related to this continent.**

The following lines relate the outcomes with research on the Civic Competence and telelecollaboration. Data was examined to explore learning activities that can be effective in promoting the Civic Competence, considerations for implementing them effectively with telecollaboration and possible challenges. To provide further context to our analyses, student teachers´ responses have been transcribed in italics.

Findings have revealed that proposing FL student teachers a task consisting on the design of a lesson plan associated to a specific SDG to teach contents of a particular area (History, Geography, Art, etc.) with online collaborative resources contributes to the development of their Civic Competence as sustainable development "include participatory and collaborative skills; interdisciplinary and intercultural understanding; the ability to reflect on one's own position and take different perspectives; effective communication; critical reflection; initiative-taking and problem-solving; taking responsibility; empathy, compassion and solidarity (EU 2018:41).

Data seem to indicate that the overall student teachers´ level of Civic Competence scored over in those participants who had worked the online SDG assignment with collaborative tools except for 9 of the 25 domains or competencies (CC 2,4,5,7,12,14,16,19,22). Differences in the results between the CG and EG coincide with the domains that correlate directly with the OECD (2018) Sustainable Development Goals, specifically: basic human rights, climate change and environmental issues, sustainable development and social inclusion and active citizenship. Higher scores can

be attributed to the participants who worked them in class. The lines below describe the proposals to develop the domains with a telecollaborative approach.

Overall, the three dimensions evaluated in this study: Knowledge, Skills and Attitudes, were enhanced working the SDG and relating them to specific contents of the study program. For this, effective educational methods needed to be used following Mezirow´s (1997) transformational learning for deep, constructive and meaningful learning. This can be achieved *with discussions related to the SDG through Project Based Learning (PBL) and Task based learning (TBL) with telecollaborative tools (eg. Forums or discussion Chats) on a learning platform (ex. Blackboard, Teams, etc.*) as revised by Hauck (2010).

knowledge about global citizenship "has to be combined with practice, actual experiences and opportunities for learners to develop, test and build their own views, and to learn how to take actions responsibly. Participation in community activities and opportunities to interact with other populations of different backgrounds or views are necessary" (EC 2018:51). This dimension could be enhanced *setting telecollaboration tasks with external organizations (ex. NGO) or collaboratively with other Higher Education Institutions,* following O´Dowd and Lewis (2016) in order to enhance less developed domains such as Understanding of the European common values (CC2), Critical understanding of the main developments in national, European and world history CC4), or Knowledge of European integration (CC7). Areas such as Awareness of the aims, values and policies of social and political movements (CC5) could be developed *using internet and social media to research different situations or societal issues, and working online contents from internet (news/documentaries/issues) in collaborative online discussion tasks* as described by Rubin and Guth (2016).

Regarding Civic Competence skills, critical thinking, decision-making and problem solving have been considered the most important ones (EC 2018:35, Garcia and Jahnke 2020). Outcomes have shown that working the SDG with a telecollaborative approach helps develop arguments and community *participation in constructive activities using collaborative tools such as discussion forums* or collaborative Web apps (Padlet) *for co-evaluation*.

Data seem to indicate that telecollaboration also facilitates "Education for Sustainable Development with a significant impact on raising awareness and developing curricula, teaching material and partnerships for learning on sustainable development" (EC 2018: 98), thus allowing participants to engage effectively with others in common interests, including sustainable development of society and developing arguments. Working SDG can help develop these skills by proposing the writing of collaborative tasks using online repositories, carrying out projects sharing files with other students or *promote critical argumentation in co-evaluations with collaborative programs such as Comproved*. However, there are still difficulties to find online learning platforms in which all these functionalities are jointly available.

However, results show that some skills still need to be developed. Critical thinking and integrated problem solving skills (CC12), could be enhanced **proposing Mezirow´s (1997, 2000) experiences of disorientation dilemmas**. Similarly, decision-making at all levels, from local and national to the European and international level (CC14) could be *enhanced working PBL and TBL by creating and sharing short videos on topics related to the SDGs to be further discussed in social media.* Understanding the role and functions of media in democratic

societies **(CC16)** could be developed with *training in strategies to search and analyze information from Internet critically.*

Civic Competence **attitudes** "highlight the role of citizenship, democratic values (CC19) and human rights in todays increasingly connected global societies. Understanding of the need to support sustainable societies, economies and ecosystems, as well as practice sustainable lifestyles is a key element of this competence" (EC 2018:39). Therefore, teachers are expected to build on responsible, active citizenship to contribute to peaceful, tolerant, inclusive and secure societies. In this context, media literacy and intercultural skills can be further strengthened with telecollaboration (Dooly 2008). This can be achieved developing SDG contents with *multimedia tools. Digital animation allows students to edit movies and present them collaboratively with Storify, Prezi, Storymaker, Mindnote, Flipgrid, Buncee, or Padlet* (fig. 1) ensuring the respect and privacy of others.

6. Conclusions

This research has provided accounts of how the Civic Competence can be enhanced working the SDG with diverse collaborative online learning resources and methods. For that purpose, we explored the perception and proposals of two groups of multilingual and multicultural MA student-teachers from different European universities. Results indicated that the participants who worked the SDG following a telecollaboration approach rated slightly higher in most of the Civic Competence domains, but both groups declined in those competences which were interwoven with active citizenship. Proposals for improvement underscored reflective appraisal in safe digital media and experiential telecollaboration with external institutions, thus following a collaborative online international learning approach.

According to the study carried out, working the SDG following a telecollaboration pedagogy seems to contribute to the development of Civic Competence since it fosters the adoption of a multiple approach to promote civic awareness, critical thinking, FL communicaive skills and collaborative learning, which leads to a better understanding of world views, norms and values. Although telecollaboration has been acknowledged to facilitate intercultural communicative competence, which might be the reason of the high rates scored by the participants in related domains, the novelty of this study is the appraisal of the participants' perceptions following a validated framework of the Civic Competence with proposals for the integration of the SDG in higher education. The current teaching approaches revised in the study can be adapted to various learning environments.

Data seem to confirm that telecollaboration not only can help develop the Civic Competence and the SDG but it can also enhance Dörnyei´s (2013) seven principles for effective communication. An exception took place in the formulaic language principle, which involved using structures as they are used for communication in real life. This could be facilitated in virtual exchanges with external organizations or integrating real experiences abroad. Although the main approach is meaning-oriented, teachers should also make sure that the focus-on-form principle is met by promoting critical thinking.

This study has explored the development of the Civic Competence integrating the SDG with telecollaboration in the teaching program of a sample of multilingual European student teachers with the final aim to identify needs and proposals for improvement. However, some shortcomings should be acknowledged and results should be taken with caution. First, further research is required for a detailed analysis of the underlying causes of upgrading or

shortcomings in Civic Competence in order to adjust each teaching program and collaborative task to the specific needs. Second, it should be analysed whether a different type of SDG task would produce similar results. Third, a proper validation of the enhancement of the Civic Competence with telecollaboration with a wider sample would be needed. Additionally, the correlation between the SDG and the Civic Competence domains is still under-researched by academics and should be addressed as future direction for investigation. Recommendations point out the need for providing future FL teachers with further educational collaborative technology resources and methods to enhance the less developed sustainable developed areas and goals. This could be assured incorporating the SDG in the curriculum following Colpaert´s transdisciplinary approach and with the use of Open Data "where it all comes together": technology, education, policy, production, linguistics and thinking (2018:11).

Despite the findings might vary in different contexts, we believe that along this study, (future) educators have been empowered with the SDG and Civic Competence appraisal experience by reflecting upon their own development, which nonetheless contributes to the qualification of future citizens for a more sustainable world.

References

[1] Barth, M.; Godemann, J.; Rieckmann, M. & Stoltenberg, U. (2007) Developing key competencies for sustainable development in higher education. *International Journal of Sustainability in Higher Education*, 8 (4), 416-430. https://doi.org/10.1108/14676370710823582.

[2] Bueno-Alastuey, M. C., Villarreal, I., & García Esteban, S. (2018). Can telecollaboration contribute to the TPACK development of pre-service teachers?. *Technology, Pedagogy and Education*, 27 (3), 1-14.

[3] Chistolini, S. (2019). Citizenship Education and Teacher Training. Research and Practice in Italy. *European Journal of Education* 2(3):51. DOI: 10.26417/ejed.v2i3.p51-63.

[4] Colpaert, J. (2018). Exploration of Affordances of Open Data for Language Learning and Teaching, *Journal of Technology and Chinese Language Teaching* 9 (1), 1-14.

[5] Colpaert, J. (2020). Editorial position paper: how virtual is your research?, *Computer Assisted Language Learning*, 33:7, 653-664, DOI: 10.1080/09588221.2020.1824059

[6] Dörnyei, Z. (2013). *Communicative language teaching in the twenty-first century: The principled communicative approach*, in J. Arnold & T. Murphey (Eds.), Meaningful action: Earl Stevick's influence on language teaching (pp. 161-171). Cambridge: Cambridge University Press.

[7] Dooly, M. (ed.) (2008). *Telecollaborative language learning. Moderating intercultural collaboration and language learning.* A guidebook to *moderating intercultural collaboration online*. Bern: Peter Lang.

[8] EC, European Commission (2019). *Key Competences for Lifelong learning*. Luxembourg: Directorate-General for Education, Youth, Sport and Culture (European Commission). Doi. 10.2766/569540

[9] García Esteban, S., Jahnke, S. (2020). Skills in European Higher Education Mobility Programmes: Outlining a Conceptual Framework. *Higher Education, Skills and Work-Based Learning*. 10 (3), pp. 519-539. https://doi.org/10.1108/HESWBL-09-2019-0111.

[10] García-Esteban, S., Villarreal, I. Bueno-Alastuey, M.C. (2019). The effect of telecollaboration in the development of the learning to learn competence in CLIL teacher training. Interactive Learning Environments, 27 (5-6). DOI: 10.1080/10494820.2019.1614960.

[11] González-Lloret, M. (2013). Technologies for performance-based assessment. In *Competency-based language teaching in Higher Education*, pp. 169-184. Amsterdam: Springer.

[12] Hauck, M. (2010). The enactment of task design in tellecollaboration 2.0. In M. Thomas & H. Reinders (Eds.) *Task-based language learning and teaching with technology*, pp. 197– 217. London: Continuum.

[13] Hinton, C. coord. (2019). *Developing Students' Global Competence – An International Research Study. Round Square,* Available at https://www.roundsquare.org/wp-content/uploads/2019/11/RS-RSI-Global-Competence-Report_13-11-19.pdf.

[14] Mezirow, J. (1997). Transformative Learning: Theory to Practice. *New Directions for Adult and Continuing Education*. 74, 5–12. doi:10.1002/ace.7401

[15] Mindt, L. & Rieckman, M. (2017). Desarrollo de las competencias para el emprendimiento orientado a la sostenibilidad en la educación superior: una revisión bibliográfica de los métodos de enseñanza y aprendizaje. *Teoría De La Educación. Revista Interuniversitaria, 29*(1), 129-159. doi:10.14201/teri.16702.

[16] OECD (2018). *Preparing our youth for an inclusive and sustainable world. The OECD PISA Global Competence framework*. París. OECD Publishing. Available at: https://www.oecd.org/pisa/Handbook-PISA-2018-Global-Competence.pdf

[17] Rubin, J. & Guth, S. (2016) Collaborative Online International Learning: An emerging format for internationalizing curricula. In A. Schultheis Moore & S. Simon (eds) *Globally Networked Teaching in the Humanities: Theories and Practices.* London/New York: Routledge, 15-27.

[18] Schwarzer & B. L. Bridglall (2015), *Promoting Global Competence and Social Justice in Teacher Education: Successes and Challenges Within Local and International Contexts*. NY: Lesington Books.

[19] O'Dowd, R. (2020). A transnational model of virtual exchange for global citizenship education. *Language Teaching, 53*(4), 477-490. doi:10.1017/S0261444819000077.

[20] Tondeur, J. (2018). Enhancing future teachers' competencies for technology integration in education: Turning theory into practice. *Seminar.net*, *14*(2), 216-224. Available at https://journals.hioa.no/index.php/seminar/article/view/2981

[21] Vinagre, M. (2016). Developing key competences for life-long learning through virtual collaboration: Teaching ICT in English as a Medium of Instruction. In Wang, P. & Winstead, L. *Handbook of Research on Foreign Language Education in the Digital Age*. 170-187.

Learning Objects in Online Education: A Systemic Approach

Gerardo Quiroz Vieyra

Mtro., Professor of the Department of Politics and Culture of the Universidad Autónoma Metropolitana (UAM) Xochimilco Unit. Communications and Electronics Engineer from the National Polytechnic Institute, Master in Administration and Consulting from the Marista University. Former Director of Informatics of the UAM, Former Secretary of Unit of the UAM Cuajimalpa, Former Secretary of Strategic Management of the IPN

Luis Fernando Muñoz González

Dr., Professor of the Department of Economic Production of the Universidad Autónoma Metropolitana (UAM) Xochimilco Unit. Degree in Administration and Degree in Economics from the UAM, Master in Finance from the Chapultepec University and Doctor in Social and Administrative Sciences from the Chapultepec University

Abstract

In the construction of learning objects, as digital instructional material that is delivered to students, the level of learning to which they are directed must be considered first of all, according to the Bloom taxonomy or any other that is used, applicable to the e-learning, taking advantage of the digital resources that are currently available, multimedia for creation, digital repositories for storage and internet for access. Learning objects are built with pedagogical and technological elements that follow a process in themselves, subject to an educational model, instructional design, curriculum design and learning objectives as precedents, with stages very similar to those of design, construction and operation of an information system. Given their nature of digital entities, learning capsules that contain information and knowledge, the Data Quality Model of the ISO / IEC 25012: 2008 standard is also applicable, which guarantees the quality of the content and their access and availability. The creation of learning objects must also obey an educational strategy and be considered holistically in the e-learning system, that is, use a systemic approach throughout the teaching-learning process, including learning objects, considering harmonization , performance and quality in all its stages.

Keywords: Cognitive computation, construction of learning objects, digital repositories, educational strategies, teaching-learning process.

1. Introduction

Due to the COVID-19 pandemic that emerged in the city of Wuhan, China in 2019, many things have changed, and in a post-pandemic era, which is not yet in sight, much of what has changed will endure; for example, new hygiene and personal care habits, restaurant capacity, safe distances, more work at home when the nature of the activities allows it, and many others. In the educational field, there was a mandatory foray into e-learning, although not fully and completely, but through the provision of virtual classrooms for remote education and

embryonic repositories in which teachers made materials such as presentations available to their students electronic, videos with the exposition of topics and even tutorials, also increased the use of applications for topics such as mathematics and simulation.

As a result of the unforeseen use of resources belonging to e-learning, a mixture of platforms were used, sometimes compatible but dissimilar, taking a tool from one and another from another, for example, the collaboration system of a company, with the office suite on the other, the storage of a third party and even with partial uses of LMS platforms such as Moodle.

Online education is not the electronic reproduction of face-to-face courses, nor is the provision of a classroom for remote education online education. But the urgency and many times the improvisation in the use of these technologies resulted in that the virtual classes were a reproduction of the face-to-face sessions, either synchronous or asynchronous, without taking advantage of all the resources available in digital media. Even so, this situation brought positive things, for example, the approach of teachers to these technologies, the knowledge of new tools by the students and the creation of improvised digital repositories, which do not meet security and e-learning standards, but that can be used for when you return to the classroom, either in person or hybrid.

The face-to-face courses are not designed to be taught as e-learning because they use other educational strategies and different instructional materials, most of them physical, although digital ones are beginning to proliferate, such as downloadable or searchable electronic books from digital libraries. However, current circumstances make it necessary to adjust the strategies, methods and contents to the available resources.

The product that is delivered to students in this process are learning objects, which David Wiley (2002) in his seminal work presents as follows: "The fundamental idea behind learning objects is that instructional designers can build small (relative to the size of an entire course) instructional components that can be reused a number of times in different learning contexts. Additionally, learning objects are generally understood to be digital entities deliverable over the Internet. This means that any number of people can access and use learning objects simultaneously".

Methodological aspects

2. The teaching-learning process in online education

Teaching-learning is a process and as such has stages, inputs and outputs. The final result depends on the alignment and performance of each stage, so each of the stages must be carefully designed, instrumented and operated.

Figure 1. Process from learning theory to teaching.

Source: self made.

In e-learning, learning objects are included in the instructional material, and are a way of presenting the learning content in digital format, with all the advantages mentioned by Wiley

(2002) and his co-authors, such as simultaneous access and from anywhere you have internet access, as long as you have the permission to do so.

3. Learning objects

Learning objects are units of instruction, self-contained capsules with materials in various formats that develop a point on a topic. The concept derives from object-oriented programming, in which an object is a combination of variables, functions and data structures that have properties that allow their use in various ways and their reuse in more than one application, that is, they are entities that pack more than one type of elements and thus facilitate their use in other applications because, as they are self-contained, they do not depend on other elements of the program.

A learning object is defined by Barritt and Alderman (2004) as "a collection of elements that contain some information, learning activity, metadata, context and learning objective". For Joseph Frantiska Jr. (2016) "learning objects are a new way of thinking about the content of learning. Traditionally, the content comes in chunks lasting several hours. Learning objects are much smaller units of learning, typically ranging from 2 to 15 minutes".

The Wisconsin On-Line Resource Center is a successful example of a learning object system, they offer not only more than 2,500 learning objects with free access, under the Creative Commons Attribution-NonCommercial 4.0 International license, but they have also developed concepts and methodologies for its construction. In its web portal, WORC (2020) says that a learning object is "the most basic building block of a lesson or activity; searchable, usable in any learning environment; able to be grouped or to stand alone; transportable from course to course and program to program".

There are many other concepts of learning objects, from different perspectives, but all agree that they are learning units that fragment a lesson into shorter, but self-contained pieces, so that they can be assembled together to form part of a lesson of a course or a program. This is the basic concept of use and reuse that gives flexibility and adaptability to learning objects.

The learning objects are developed by teachers who receive support from a team of specialists who align the draft created by the teacher with the instructional design, technicians who develop the objects in the selected medium, reviewers who evaluate it and the content administrator who load on the system, at a minimum.

Figure 2. Process of instructional material as learning objects.
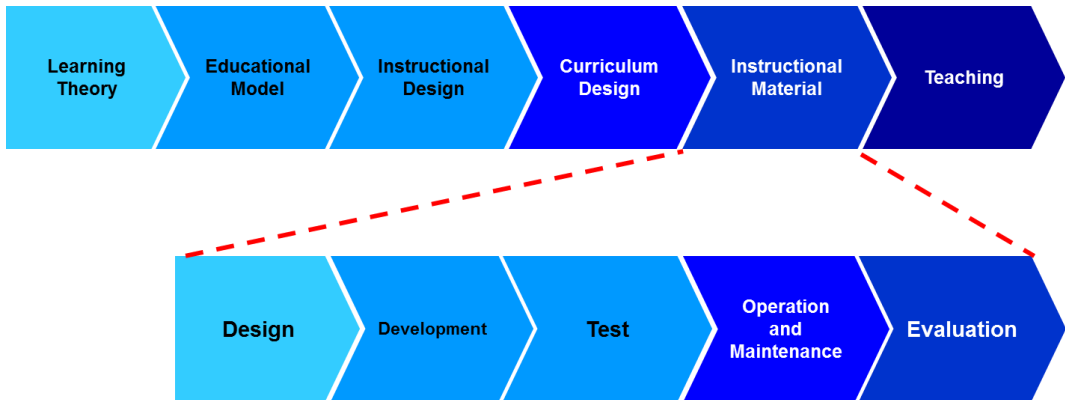
Source: self made.

Since knowledge objects are data / information capsules, it is highly recommended that they align with ISO / IEC 25012: 2008 (2008), which establishes data quality as "the degree to which the characteristics of the data satisfy established and implicit needs when used under specific conditions". This standard establishes a model of 15 characteristics for data quality: (1) accuracy, (2) completeness, (3) consistency, (4) credibility, (5) correctness, (6) accessibility, (7) compliance, (8) confidentiality, (9) efficiency, (10) precision, (11) traceability, (12) understandability, (13) availability, (14) portability and (15) recoverability. Some of these characteristics depend on the data itself (1, 2, 3, 4, 5), others on the system (13, 14, 15), and some of both (6, 7, 8, 9, 10, 11, 12), but in any case they are criteria that must be taken into account in the different stages of development of learning objects.

4. Design

The design of learning objects is based on criteria, learning theories and establishing the learning experience and the means to achieve it, which determines the applicable methods and technologies. Diana Laurillard (2013) establishes five means for an equal number of learning experiences:

Table 1. Five main means to achieve learning experiences (modified from Laurillard, 2013, pp 90).

Learning experience	Media form
Attend, learn	Narrative
Investigate, explore	Interactive
Discuss, debate	Communicative
Experiment, practice	Adaptive
Articulate, express	Productive

These five forms of media remain, but methods and technology continue to change, enriching some and disappearing others, mainly due to the services offered through the internet such as videoconferences, streaming, collaboration systems, electronic libraries, databases, blogs, vlogs, online simulators, social networks and others.

Shantha Fernando (2009) mentions that design should focus on complying with the three "U" that Keen and Sol (2008) point out "usefulness, usability and usage", which in relation to

learning objects mean that they are useful in the content of the course through the tools and methods used in it, that have usability for the people, technology and processes in which they are used and that have usage in terms of flexibility, adaptability and sustainability. Likewise, the author points out that it is not only necessary to develop the learning objects only with the correct practices, but with a new approach, which implies ways of thinking and of support for a different modeling, control and work, which are adapted to the Present and future conditions of the discipline or area of knowledge for which the learning objects are being built. This means that it is not appropriate to apply the same model to all areas or disciplines, because they can be as dissimilar as mining and oceanography, or systems engineering and medicine, requiring different approaches, resources and dynamics.

At this stage, both the pedagogical as well as the technological and operational aspects must be considered, such as the form of the medium, the technology to be used and the scope of the objects. It should be noted that a good design is the key to a good product, because that is where its architecture and engineering are established.

5. Development

Once the means, the strategy, the learning objectives have been determined, a preliminary sketch is built, which specialized technicians or the teacher himself, depending on the resources available, converts into a digital product using author tools.

Authoring tools are applications with which content can be created that are saved in formats compatible with e-learning standards, there are a large number of them those that are installed as complements to electronic presentation software stand out, because they combine the ease of use of the electronic presenter with the deployment and evaluation capabilities of the tool. There are also independent applications, which are not installed on top of other applications, and which include functions to create content and evaluations, saving the material created in some e-learning standard.

When the contents are going to be uploaded to an LMS or an LCMS, they must comply with some e-learning standard in order to be imported by the LMS, so if the product created with the authoring tools is not in a format supported by the LMS / LCMS, the corresponding conversion will have to be made, the same happens when using screen grabbers, video recordings, audio recordings, or any office application such as an electronic presenter, if they are to be uploaded to an LMS or LCMS the necessary conversion will have to be made, for which other software is needed that does "packaging" in the desired standard.

iSpring Solutions (2020) on its website describes the four prevailing standards in e-learning. The oldest standard is AICC (Aviation Industry Computer-Based Training Committee) which uses the HTTP protocol, and although it has not evolved some LMS and some authoring tools still use it. The de facto standard is SCORM (Sharable Content Object Reference Model) which is currently used in two versions, 1.2 and 2004, with some differences between them. A newer standard that allows recording user "experiences", online or offline, and that has capabilities for mobile learning, social learning, offline learning, and collaborative learning is xAPI. Even more recent is cm5, launched in 2016, which brings together the benefits of SCORM and xAPI

in a single standard, which means that content created under this standard can be used on mobile devices and even offline.

The choice of the e-learning standard to use will largely be dictated by the authoring tools and the LMS / LCMS used. As already mentioned, the standard in fact is SCORM, although many of the LMS / LCMS platforms can import content in SCORM or in the other standards mentioned, then the choice would be subject to the objectives set for the type of content and access to these.

6. Storage, Access and Distribution

Learning objects are the storage unit in e-learning systems, such as LMS (Learning Management System) and LCMS (Learning Content Management System), for which they must meet some of the standards established for them. Although the LMS and LCMS systems are the main repositories of the learning objects, external repositories can also be structured to them, for which there is software that links these external repositories with the LMS or LCMS, or simply make it accessible to the user independently of those systems.

Repositories consist of storage systems where files are deposited to be available for access. The construction and location of the repositories are also subject to strategy and evaluation. The location can be on-premise (on storage servers located within the institution), in the cloud (on a third-party storage system) or hybrid (part on-premises and part in the cloud). Determining the location of repositories takes into account performance, cost, security, availability, and all other factors that are taken into account for the location of any information system.

The creation of a repository, in addition to its location, requires careful planning of the structure, access, security, maintenance of the learning objects (updating or correcting them) and their removal when they expire. Although it only seems a technical issue, the creation and feeding of repositories also requires agreements and provision on the part of the teachers who will create the contents, an issue not easy due to the teaching style of each teacher and the recognition of the collaboration and authorship that make these products institutions, which can discourage their creation if they are not recognized.

Another advantage of learning objects being stored and accessible in a repository is that their reuse is facilitated, because they are seen as entities of a digital library that can be "consulted" (used or reused) by various courses and programs even by various institutions when there are agreements to do so, it is therefore very important that they meet standards in order to have interoperability and can be used by various LMS / LCMS.

In large institutions with high instructional content in the form of learning objects, a figure equivalent to the Chief Data Officer can emerge, who is responsible for the use and governance of data in a company. This administrator that we could call COLO (Chief Object Learning Officer) would be in charge of the security, availability, backup and care of the expiration of the learning objects.

Thematic discussion

7. Evaluation

The evaluation of learning objects is generally made on their usefulness, that is, on their content, tools and methods used and their usability for the people, technology and processes

involved. Shantha Fernando (2009, pp 65) proposes the LOEM model (Learning Objects Evaluation Model) applied to usefulness, which it measures considering the specificity of the academic level, field, industry, operability and reusability. This emphasis on specificity refers to the alignment of learning objects with the educational and operational objectives of the field for which they are developed.

The evaluation of the learning objects is carried out considering both the pedagogical as well as the technological and integration aspects. For example, LOBE (Learning Object Evaluation Instrument) from the Indian Institute of Technology Bombay (2020) assesses four dimensions: content quality, pedagogical alignment, design effectiveness and technology integration, using a rubric in which they are scored on a scale of four levels the aspects to be evaluated: missing, inadequate, almost and complete.

Thus, the different models or instruments for evaluating learning objects focus on their specificity, pedagogy, technology and integration.

8. Quality

Joseph M. Juran, one of the three great theorists of quality management, established that quality is suitability for use, although his concept is based on production and service processes, not educational ones, it can also be considered that objects In order to be of quality they must be suitable for use, that is, in addition to fulfilling the three U's, they must also be capable of being reused and that they satisfy their teaching purpose as capsules of information and knowledge.

The quality of education in its different modalities has been a broad subject of study. In particular, e-learning has been studied by educational institutions, companies and governments, each establishing their own evaluation models, many of them derived or inspired by the model of the Swedish National Agency for Higher Education (2008), which considers ten factors in the evaluation of the quality of e-learning: material / contents; virtual structure / environment; communication, cooperation and interactivity; student evaluation; flexibility and adaptability; support (to students and equipment); qualification and experience of the team; institutional vision and leadership; resource allocation; and integrality, which they call the holistic aspect of the system. This model is broad and comprehensive because it considers not only the pedagogical and technical aspects, but also the institutional aspect expressed in the vision, leadership and allocation of resources that it exercises.

Other models agree that the quality of e-learning is determined by the technology, the content, the learning design, the teaching and technical team, so the greater the harmonization between them, the better the quality of the process will be achieved.

Figure 3. Main determinants of the quality of e-learning.
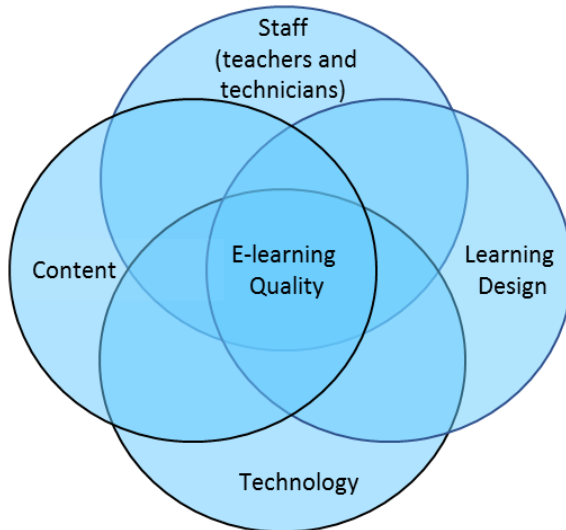
Source: self made.

Undoubtedly one of the greatest demands of society is quality education, but as experts on the subject say: "quality is not measured, it is built", so quality should be one of the purposes in mind in all stages of the process of construction of learning objects.

9. New technologies applied to learning objects

Learning objects use multimedia resources, such as text, audio, still images and videos, and are contained in structures such as HTML, XML, JSON, etc., according to the standard under which they have been developed, but always with the purpose of storing them. in digital repositories, for access and deployment on personal computers or both on personal computers and on mobile devices. Although these technologies are the prevailing ones, there is already application of new technologies in learning, in different stages and with different purposes, among them machine learning and cognitive computing stand out.

Machine learning (ML) is a branch of artificial intelligence (AI) that, through classification, regression and clustering, carried out with statistical and probabilistic methods, is used to identify patterns and relationships between data. ML applied in e-learning platforms can be used to personalize courses, structuring learning objects according to the profile and progress of students, but it can also be used to analyze the learning objects themselves, that is, determine its usage patterns, evaluation results, content quality, and other aspects that provide inputs (insights) for updating, correction or replacement.

John E. Kelly III says that "Cognitive computing (CC) refers to systems that learn at scale, reason with purpose and interact with humans naturally. Rather than being explicitly programmed, they learn and reason from their interactions with us and from their experiences with their environment." IBM, a pioneer in cognitive computing with its IBM Watson system, says (Alfio Gliozzo, et al., 2017, pp 6) that the human being and cognitive computing are complementary, that while the human being is highlighted in common sense, understanding,

imagination , moral, abstraction, generalization and reverie, cognitive computation is useful for locating knowledge, identifying patterns, natural language management, machine learning, elimination of biases and endless capacity, extending the cognitive capacities of the human being. Cognitive computing systems follow a decision process similar to that of humans: they observe phenomena, interpret the evidence and generate a hypothesis, evaluate the hypothesis and decide by selecting the one they consider the best option and act, all on structured data and not structured.

The characteristics of cognitive computing systems can be used in teaching-learning processes, both in teaching itself, as well as in research, problem solving and analytics. Applied to learning objects, it could make deductions about the student's journey through the course, through bots interacting with students, integrating current content relevant to the environment in the learning objects and act as the student's guide or tutor in academic matters.

Conclusions and recommendations

Learning objects are the conjunction of pedagogical and technological aspects, which require a lot of planning and strategy. The rigor that is put into each of its stages will be reflected in the result, the student's learning. The process of construction of learning objects is very similar to that of information systems, only in this case they are capsules of information and knowledge, which also have in common being stored in digital repositories.

The learning objects, the elements that transmit knowledge to the student, cannot be created independently of the educational model, the instructional design, the learning objectives and the technological resources available, nor can they be created outside the institutional framework of the center educational question. A systemic, holistic approach will create the conditions for the construction of relevant and quality learning objects, which meet the expectations of use and reuse in different courses and programs.

The construction of learning objects is not the work of a single person, teacher or technician, it is the multidisciplinary work of teachers, pedagogues and technical team that, applying each of their knowledge, can result in learning capsules that cause a real impact on knowledge of the students.

New technologies, such as machine learning and cognitive computing, will make it possible to personalize learning content according to the profile and progress of students, evaluate trajectories, issue recommendations about progress and the content themselves, but nothing of this will help if the learning objects are not designed, created, tested, used, evaluated and managed with a good strategy as a basis. The idea is not to overload the process with information and communication technologies, but to provide a platform and add value to the different stages of the teaching-learning process.

In this sense, in order to achieve maximum synergy in the conjunction of all the elements set out and discussed above, it is especially advisable to establish continuous monitoring on the

performance of each of the components of the system, as well as on the feedback between the teacher and the student, thus taking the necessary corrective actions in time, if applicable.

References

[1] Barritt, Ch., Alderman F.L. (2004). Creating a Reusable Learning Objects Strategy. Leveraging Information and Learning in a Knowledge Economy. John Wiley and Sons, Inc., San Francisco, CA

[2] Fernando, Shantha (2009). Designing Learning Objects for Adaptive Learning Environments. Delft University of Technology, The Netherlands.

[3] Frantiska Jr, J. (2016). Creating Reusable Learning Objects. Springer International Publishing, Switzerland. DOI 10.1007/978-3-319-32889-8

[4] Gliozzo, A, Ackerson, Ch., Bhattacharya, R., Goering, A., Jumba, A., Yeon Kim, S., Krishnamurthy, L., Lam, T., Littera, A., McIntosh Iain, Murty, S., Ribas, M. (2017). Building Cognitive Applications with IBM Watson Services: Volume 1, Getting Started. International Business Corporation, USA.

[5] Indian Institute of Technology Bombay (2020). LOBE: Learning Object Evaluation. Next-Education Research Lab, Educational Technology, IIT Bombay, Bombay. Retrieved November 15, 2020: http://www.et.iitb.ac.in/labs/pdf/LOBE.pdf

[6] International Organization for Standardization (2008). ISO/IEC 25012:2008. Data Quality Model. Retrieved November 18, 2020: https://iso25000.com/index.php/en/iso-25000-standards/iso-25012.

[7] iSpring Solutions (2020). eLearning Standards Comparison: AICC vs SCORM vs xAPI vs cmi5. https://www.ispringsolutions.com/blog/elearning-standards

[8] Keen, G.W., Sol, H.G. (2008). Decision Enhancement Services: Rehearsing the Future for Decisions That Matter. Delft University Press, The Netherlands.

[9] Kelly, J. III (2015). Computing, cognition and the future of knowing: How humans and machines are forging a new age of understanding. IBM Research, Albany, NY. Retrieved November 9, 2020: https://www.research.ibm.com/software/IBMResearch/multimedia/Computing_Cognition_WhitePaper.pdf

[10] Laurillard, D. (2013). Rethinking University Teaching: A Conversational Framework for the Effective use of Learning Technologies. 2nd. Ed. RoutledgeFalmer, Nueva York, NY

[11] Swedish National Agency for Higher Education (2008). E-learning Quality. Aspects and criteria for evaluation of e-learning in higher education. Report 2008:11 R. Retrieved August 2, 2020: http://www.diva-portal.org/smash/get/diva2:283764/FULLTEXT01.pdf

[12] Wiley, D. Editor (2002). The instructional Use of Learning Objects. Agency for Instructional Technology and Association for Educational Communications & Technology, Bloomington, Indiana.

[13] Wisconsin On-line Resource Center (2020). "About Learning Objects". https://www.wisc-online.com/about-learning-objects. Retrieved: November 11, 2020.

At the Origins of Group 47

Francesca Somenzari

University of Torino, Italy

Abstract

In 1946, after a two-year imprisonment in Rhode Island, Alfred Andersch and Werner Richter (Group 47's future founders) came back to Germany as selected german citizens as a result of their cooperation with the American military authorities. In a short time, Andersch and Richter obtained a publishing license for their newspaper and so they started to act as journalists and writers within the U.S. zone of occupation. Nevertheless, American consideration and support for both of them vanished when they assumed autonomous stances concerning the future of Germany.

Keywords: Zero Hour, Germany, Group 47, Socialism, culture, United States

Introduction

In the so-called Zero Hour Germany, culture was not an element to be underestimated: writers, poets and journalists were initially convinced that they could play a major role in the new emerging society. Ideas, concepts and renewed use of language were the effective weapons at their disposal. Soon after the war, many intellectuals returned to Germany from their twelve year exile: Bertold Brecht, Ernst Bloch, Elias Canetti, Alfred Döblin, Thomas Mann, Robert Musil, Anna Seghers, Arnold Zweig…just to mention the best known names. Some of them chose to live in East Germany, others in the west[1].

In the German cultural scene of these years after the war, the *Trümmerliteratur* (literature of the rubble) and the experience of Group 47 stood out in particular. The *Trümmerliteratur* was expressed both in poetry and in prose and chose as themes the past, the present, resignation, the daily life of the prisoner, the existential condition of the veteran, the difference between generations. This last point is something fundamental and is entirely shared by Group 47: the young generation suffers the consequences of the defeat of a war willed and decided by the old generation, which in the years of Nazism was in power.

In *Bekenntnis zur Trümmerliteratur* Heinrich Böll defined this literature as "Die ersten schriftstellerischen Versuche unserer Generation nach 1945"[2] (Böll, 1952, p. 18) and explained that the rubble was the reality in which all Germans- including writers- were forced to live in the immediate post-war period. Material but also moral and psychological rubble.

As I have already written, also Group 47 played an important role in the cultural landscape of these years: it was a literary movement that- starting from 1947- gathered around itself those

---

[1] On the intertwining of history and literature in twentieth-century Germany, I refer to M. Bonifazio, *La memoria inesorabile. Forme del confronto con il passato tedesco dal 1945 ad oggi,* Artemide, Roma, 2014.
[2] Translation: "The first literary attempts of our generation after 1945".

intellectuals who would later become the most famous German writers of the twentieth century. Werner Richter and Alfred Andersch were the founders of Group 47.

In the context just described, how did the occupying powers pose themselves?

During and after WWII, the United States of America (more than other powers) were the country permitting Europe to get rid of the totalitarian regimes and to recover from war's moral and material ashes.

How were transatlantic relationships sketched out in the postwar period? In other words, did the United States- as champions of democracy and heirs of the Wilsonianism- always give freedom to Europe, mainly to Germany (which was the core of a real Reconstruction)? Or did they impose their vision and points of view by frozing some cultural initiatives? *Der Ruf*'s experience was an impressive example of a wide system of control implemented by the Americans. Indeed culture and information became the two sectors of society more subject to check and censorship[1].

1944, Rhode Island

In 1944 Alfred Andersch and Hans Werner Richter- future founders of the famous Group 47[2]- were chosen by the American military authorities as representatives among those german soldiers captured and carried to prisoners camps in the United States. After being submitted to numerous interrogations useful to test their political reliability and anti-Nazi attitudes, Andersch and Richter became, in U.S. Army's eyes, trusted men to which assign important tasks, such as the composition and coordination of an editorial staff for a newspaper printed in Rhode Island: *Der Ruf. Zeitung der deutschen Kriegsgefangenenen in USA*.

According to Horton,

U.S. officials were keen to determine whether Andersch might be of some special use to the Allied war effort. The earliest available documentation of interrogation results can be found in Basic Personnel Record, a standardized form used by American intelligence officers to catalog "special" prisoners. Several items from Andersch's record are of interest. On the first page of the document, which lists basic information such as height, weight, hometown, and date of capture, Andersch's spouse is listes as "Angelika (sic) Andersch", the half-Jewish women he divorced in 1943 [...]. Authorities recognized quickly that Andersch might be useful to the war effort, as reflected in the note describing him as "talkative, sincere and intelligent" (Horton, 2011, pp. 68-69)

The newspaper was founded with the accurate aim of informing the german prisoners in the United States of what was really happening in Europe, especially the Nazi defeat. Let us read a Provost Marshal General's report concerning the paper's objectives:

a. to create a prisoner of war magazine for the broadest audience possible; b. to provide exact news of all important military and political events; c. to print news from the homeland, good

---

[1] See Gienow- Hecht, J. (1999), *Trasmission Impossible. American Journalism as Cultural Diplomacy in Postwar Germany, 1945-1955*, Louisiana State University Press, Baton Rouge

[2] Heinrich Böll, Paul Celan, Günter Grass, Marcel Reich-Ranicki and Martin Walser are the most well-known members.

reading material and entertainment (March 17, 1945, in *Records of the Office of the Provost Marshal* g. 389/b. 1597, NARA, College Park)

As *Der Ruf*'s organizers and editors, Andersch and Richter proved to be very active.

Two years later in 1946, thanks to their appreciated service in Rhode island, Andersh and Richter were released by the U.S. Army and repatriate to Germany with a special pass guaranteeing their moral integrity: they were explicitly defined "selected citizens" (Reinhardt, 1971, p. 129).

Nevertheless, American consideration for both of them vanished when they assumed autonomous stances concerning the future of Germany.

1946, Bavaria

Once arrived in Germany, at the end of 1946, Andersch and Richter received in Frankfurt a discharge card with 40 marks and some ration badges. On their identity cards the specified profession was "writer".

After a short time, thanks to American backings (Jendricke, 1988), Andersch started to write for *Die Neue Zeitung*,

According to Harold Zink,

Die Neue Zeitung was really not a good example of an 'overt' publication, since it was started as late as October 18, 1945, to represent American military government directly (Zink, 1957, p. 235)

Since April 1946, together with other former prisoners of war, Andersch and Richter planned the foundation of an independent newspaper: *Der Ruf. Unabhängige Blätter der jungen Generation*. Under a regime of occupation, obtaining a license was not simple; as Jessica Gienow-Hecht reports,

According to Directive no 4 of the military government, only people who had openly opposed the Hitler regime were to be employed in the postwar press. Journalistic abilities did not constitute a qualification. Former party members, promoters of racism or militarism, and those who had supported the NSDAP morally or materially were banned from the profession (Gienow-Hecht, 1999, p. 38)

As trusted men of the American military authorities, in 1946 Andersch and Richter were considered journalists worth of respect and attention and so they obtained the publishing license for their "Der Ruf. Unabhängige Blätter der jungen Generation".

Der Ruf. Unabhängige Blätter der jungen Generation: topics and aims

In spite of their above-mentioned initial collaboration with *Die Neue Zeitung,* Andersch and Richter decided to deviate from the ideological approach of that newspaper.

According to Horton,

Der Ruf. Unabhängige Blätter der jungen Generation[1] is a description meant to distinguish the publication from *Die Neue Zeitung* and other official occupation newspapers by making

---

[1] The exact meaning of this title is "The Call. Independent Papers of the young Generation".

potential readers aware that this new publication was not an instrument of the occupation regime (Horton, 2011, pp. 125-126)

Andersch and Richter wanted their newspaper to be completely independent of any political control; topics such as unconditional surrender, German collective guilt, reeducation, Socialism and market economy, Germany's occupation… had to be openly discussed by the media and by the german intelligentsia. On this specific point, Ladislao Mittner clarifies:

Right after the unconditional surrender of Germany, mainly in Richter's opinion the priority was understanding the role of the "defeated generation", whose rebirth depended on a deep soul-searching and on a fair analysis of the situation and events (Mittner, 1978, p. 1581).

As for the organization and the operational level, *Der Ruf. Unabhängige Blätter* was funded by the Nymphenburger Publishing House and had its office in Munich. Besides Andersch and Richter, the editorial staff was composed by journalists and writers such as Walter Kolbenhoff, Kurt Vinz, Julian Ritter, Walter Mannzen, Gustav Renè Hocke, Georg Faber, Carl-Hermann Ebbinghaus, Henry Herrmann, Horst Lange, Peter Donner, Siegfried Heldwein, Anna Maria Sora, Friedrich Minssen, Nicolaus Sombart, Walter Maria Guggenheimer, Walter Bauer, Ernst Kreuder, Heinz Friedrich, Dietrich Warnesius, Friedrich Stampfer, Walter Heist, Klaus Kulkies, Hildegard Brücher and Frank Wischnewski. The history of german literature includes most of them under the so called "Inner Emigration", that is a large group of intellectuals who decided to remain in Germany during the Nazism and to criticize the regime in subtle ways, allegorically or by implication. As Clinefelter observes,

inner emigration was possible only for a very few artists and extremely difficult to negotiate. If their critique of the regime was too hidden, too cryptic, then their message would fail to be heard (Clinefelter, 2014, p. 671)

The term *Inner Emigration* was attributed to Frank Thiess in a controversy with Thomas Mann, who suggested that any literature produced within Nazi Germany should be destroyed. In 1945, in the defence of the authors who hadn't run away from Germany, Thiess stated that "the inner emigrants did not abandon their sick mother Germany" (Thiess, 1946, p. 3).

As regards the newspaper's structure, the first eight pages were dedicated to political issues, whereas the last five ones dealt with culture and literature. The first issue appeared on August 15, 1946.

One of the most important and famous Andersch's articles was written in that first issue with the suggestive title "The young Europe shapes its face": it is an introductory manifesto for the journal. In his article, Andersch promoted the so called "social humanism", that is a moral and political philosophy at the basis of the social democracy. In his opinion, the Allied Powers of World War II should have adopted, all over the Europe, a strong policy of social reforms, such

as a centralized economy and a control over industrial production against the excesses of Capitalism.

In reference to German society, Andersch stressed the need for a cooperation between Allied soldiers and German population (especially the young generations).

At the end of his reflections, he wrote "the young Europe can not exist without a young Germany"[1] (Neunzig, 1976, p. 19).

On the same issue of the newspaper, Andersch published a second article entitled "Essential remarks concerning the Nuremberg Trial": here the author took part in a heated debate about the question of German guilt. In Andersch's vision, by fault of the decisions and political choices of the german old generation, his generation- the young one- was paying a very high prize in terms of consequences. In this regard, it's necessary to remember that both Andersch and Richter had been Communist sympathizers before Hitler's scramble for power. Their position was definitely above suspicion.

Two months later, on October 15, 1946, in "German prisoners of war. Lights and Shadows. A final outcome" Andersch recalled his experience in the United States, especially the *reeducation* program: in the author's opinion, local military authorities in charge of the task of *reeducation* had sincerely believed in its ethical aims, whereas the War Department in Washington D.C. had used the program for propaganda purposes. In this case, Andersch openly critized American policy.

Even Richter's articles had an "explosive charge": he addressed the issue of the young generations in Germany and he didn't agree with the U.S. choices. In the second issue of the newspaper, Richter published "Why are young generations silent?"; in this article, which is primarily a deep psychological analysis, the author explained that his generation had grown between the two World Wars "in the hell of need and hate" (Neunzig ed., 1976, p. 60). As Richter wrote,

In Germany the old generation talks, whereas the young generation is silent […]. The young generation is silent! It is silent because it doesn't want to understand and cannot understand (Neunzig ed., 1976, p. 60)[2]

Nevertheless, in Germany the end of World War II could maybe be an opportunity for the young generation's redemption by assuming a cultural and political role; the destruction of the old generation (that is the ruling class) was one of the most important achievements of the War.

In the seventh issue, on November 15, 1946, Richter openly endorsed the political program of the Social Democratic Party, whose congress had been held in Cologne two months before:

---

[1] Original text: "Das junge Europa [kann] ohne das junge Deutschland nicht existieren".

[2] Original text: "In Deutschland redet eine Generation, und in Deutschland schweigt eine Generation […]. Eine Generation schweigt! Sie schweigt, weil man sie nicht verstehen will; sie schweigt, weil sie nicht verstehen kann"

progressive taxation, socialisation of production and agricultural reform were the new keywords for an effective reorganization of society.

According to Horton,

Drawing from his communist past, Richter further defined his vision of the young generation and its role in establishing a radically different society […]. Richter develops his idea of a new socialist society. Speaking of the young generationas one monolithic entity, much like his colleague Andersch, Richter claimed that they know that socialism has become for them a vital question (Horton, 2011, p. 149)

Conclusions

On April 1947, Andersch and Richter were kicked out of the newspaper staff and of the editorship by decision of the American authorities in Germany. The reason given was "an excess of Nationalism" in the authors' articles.

Der Ruf. Unabhängige Blätter der jungen Generation stopped permanently its publication shortly afterwards.

On the "ashes" of *Der Ruf*, a few months later Richter gave birth to the well-known Group 47, destined to become one of the most influential institutions in the cultural life of the Federal Republic.

References

[1] Arnold, H. (2004), *Die Gruppe 47*, Rowohlt, Hamburg
[2] Bignami, M. (2008), *Antologia del Gruppo 47. Autori tedeschi dal 1947 al 1967,* Aracne, Roma
[3] Böhme, K. (1973), *Die deutschen Kriegsgefangenen in amerikanischer Hand: Europa*, Gieseking, Bielefeld
[4] Böll, H., *Bekenntnis zur Trümmerliteratur*. In Balzer, B. (ed., 1979), *Heinrich Böll. Werke. Essayistische Schriften und Reden 1: 1952–1963,* 31-34, Kiepenheuer & Witsch, Colonia
[5] Boehling, R. (1996), *A Question of Priorities: Democratic Reforms and Economic Recovery in Postwar Germany. Frankfurt, Munich and Stuttgart under U.S. Occupation 1945-1949*, Berghahn, Providence
[6] Bonifazio, M. (2014), *La memoria inesorabile. Forme del confronto con il passato tedesco dal 1945 ad oggi*, Artemide, Roma
[7] Brockmann, S. (2004), *German Literary Culture at the Zero Hour*, Boydell & Brewer, New York
[8] Bürger, J. (2014). Tradition versus Amnesia. *The Germanic Review: Literature, Culture and Theory*, 89, 308-314
[9] Clinefelter, J. (2014). Culture in Dark Times. Reviewed Work. *Central European History*, 47 (3), 670-672
[10] Dahrendorf, R. (1967), *Society and Democracy in Germany*, Doubleday and Co., Garden City
[11] Demetz, P. (1986), *After the Fires: Recent Writing in the Germanies, Austria, and Switzerland*, Harcourt, New York
[12] Diecks, T. (2003). Hans Werner Richter. *Neue Deutsche Biographie*, 21, 530-532
[13] Disanto, G. (2008). 1947-1967: vent'anni d'influenze. Il Gruppo 47 e la costituzione di un canone della letteratura tedesca. *BAIG- Bollettino dell'Associazione Italiana di Germanistica* 1, 78-84

[14] Druffner, F. (2014). Education is Reeducation. Peter Suhrkamp's Programmatic Work in Cooperation with the Military Government in Germany. *The Germanic Review: Literature, Culture and Theory*, 89, 325-333

[15] Ermath, M. (ed., 1993), *America and the Shaping of German Society, 1945-1955*, Berg, Providence- Oxford

[16] Freschi, M. (2017), *La letteratura nel Terzo Reich*, Bonanno, Acireale

[17] Friedrich, C. (1948), *American Experiences in Military Government in World War II*, Rinehart, New York

[18] Gienow- Hecht, J. (1999), *Trasmission Impossible. American Journalism as Cultural Diplomacy in Postwar Germany, 1945-1955*, Louisiana State University Press, Baton Rouge

[19] Goedde, P. (2003), *GIs and Germans: Culture, Gender and Foreign Relations, 1945-1949*, Yale University Press, New Haven

[20] Hastings, J. (1976). Die Akten des Office of Military Government for Germany. *Vierteljahrshefte für Zeitgeschichte*, 24, 75-101

[21] Hermand, J. (2013), *Culture in Dark Times: Nazi Fascism, Inner Emigration, and Exile*, Berghahn Books, New York and Oxford

[22] Horton, A. (2011), *The Long Road Home: Alfred Andersch, Hans Werner Richter and the German Search for Meaning in Catastrophe*, East Tennese State University Press, Johnson City

[23] Horton, A. (2005), *Catastrophe and Identity in Post-War German Literature*, East Tennese State University Press, Johnson City

[24] Jendricke, B. (1988), *Alfred Andersch*, Rowohlt, Amburgo

[25] Jones Mumford H. (1972), *Guide to American Literature and its Backgrounds since 1890*, Harvard University Press, Cambridge

[26] Junker, D. (2004), *The United States and Germany in the Era of the Cold War, 1945-1990*, voll. I-II, German Historical Institute, Washingto D.C.

[27] Kroell, F. (1979), *Die Gruppe 47*, Metzler, Stuttgart

[28] Lettau, R. (ed., 1967), *Die Gruppe 47*, Luchterhand, Berlin

[29] MacDonogh, G. (2009), *After the Reich: the Brutal History of the Allied Occupation*, Basic, New York

[30] Mandel, S. (1973), *Group 47: the Reflected Intellect*, Southern Illinois University Press, Carbondale

[31] Merritt, R. (1995), *Democracy imposed. Occupation Policy and the German Public 1945-1949*, Yale University Press, New Haven

[32] Mittner, L. (1978), *Storia della letteratura tedesca*, vol. III, Einaudi, Turin

[33] Neunzig, H. A. (1979), *Hans Werner Richter und die Gruppe 47*, Nymphenburger, Munich

[34] Neunzig, H. A. (ed., 1976), *Der Ruf. Unhabhängige Blätter für die junge Generation. Eine Auswahl*, Nymphenburger, Munich

[35] Niven, B. (2002), *Facing the Nazi Past*, Routledge, London

[36] Parkes, S. (1986), *Writers and Politics in West Germany*, Croom Helm, London

[37] Parkes, S. & White, J. (eds., 1999), *The Group 47 Fifty Years on a Re-Appraisal of its Literary and Political Significance*, Rodopi, Amsterdam- Atlanta

[38] Pronay, N. & Wilson, K. (eds., 1985)*, The Political Re-Education of Germany and her Allies after World War II*, Croom Helm, London

[39] Reinhardt, S. (1971), *Alfred Andersch: eine Biographie,* Diogenes, Zurich

[40] Richter, H. W. (ed. 1962), *Almanach der Gruppe 47*, Rowohlt, Hamburg

[41] Ritter, G. (1965), *The German Problem: Basic Questions of German Political Life. Past and Present*, Ohio State University Press, Columbus

[42] Robin, R. (2001), *The Barbed-Wire College: Reeducating German POWs in the United States during World War II*, Princeton University Press, Princeton

[43] Schlant, E. & Rimer, T. J. (eds., 1991), *Legacies and Ambiguities: Postwar Fiction and Culture in West Germany and Japan,* Woodrow Wilson Center Press, Washington D.C.

[44] Schwab-Felisch, H. (ed. 1962), *Der Ruf. Eine deutsche Nachkriegszeitschrift*, Dtv, Munich

[45] Schwartz, T. A. (1991), *America's Germany. John Mc Cloy and the Federal Republic of Germany*, Harvard University Press, Cambridge

[46] Smith, J. (1998), *Alfred Andersch's Experiences as a Prisoner of War in America*, UMI, Ann Arbor

[47] Somenzari, F. (2011), *I prigionieri tedeschi in mano statunitense in Germania (1945-1947),* Zamorani, Turin

[48] Somenzari, F. (2013), *8 settembre 1943: gli Stati Uniti e i prigionieri di guerra italiani*, Aracne, Roma

[49] Stern, F. (1974), *The Politics of Cultural Despair: a Study in the Rise of the Germanic Ideology*, University of Carolina Press, Berkeley

[50] Wegner, G. & Fuessl, K. H. (1997). Wissenschaft als säkularer Kreuzzug: Thomas V. Smith und die deutschen Kriegsgefangenen in den USA (1944-1946). *Paedagogica Historica*, 33 (1), 157-182

[51] Wehdeking, V. (1990). Literarische Programme der frühen Nachkriegszeit. *Sprache und Literatur in Wissenschaft und Unterricht, 66,* 2–15.

[52] Zink, H. (1957), *The United States in Germany 1944-1945*, Van Nostrand Co., New York

Cultural Diversity and Its Influence on Role Players in a Full-Service School in Soshanguve: A Wellness Perspective

Ute Steenkamp

Abstract

The purpose of the study was to explore the role cultural diversity plays in a Full-Service School in Soshanguve by means of a wellness perspective lens. The phenomenon at hand was the way that cultural diversity influences role players within a Full-Service School. The study was underpinned by three theories, namely Hettler's Wellness Theory, Cultural-Historical Activity Theory and Ubuntu to generate a comprehensive insight into the role of cultural diversity on role players within a Full-Service School in Soshanguve. The study was premised on a qualitative philosophy using an interpretive paradigm, an ethnographic case study and using various qualitative methods of data collection, analysis and interpretation of data. Only one school participated in this research study as the goal of this research study was understanding the phenomenon from the participants' perspective. The study employed a purposive sampling approach to select diary entries from educators who participated in the semi-structured interviews. Data collection and analysis were precise as the data was collected and transcribed as soon as it was recorded. The researcher consequently decided to use thematic analysis to draw on the theoretical framework of this study. Thematic analysis refers to the identification of themes and patterns of meaning throughout the data in correlation to the research question. Thus, the researcher analysed content by coding specific themes as directed by the research project's theoretical framework. Among the findings was that role players identified that cultural diversity influences the wellness dimensions holistically. One of the recommendations is to establish a cultural awareness model in collaboration with the community within a Full-service school.

Keywords: Full-service School, School Governing Bodies, Cultural-Historical Activity Theory, Education Management, Culture, Ubuntu, Inclusive Education

Introduction

This study explored cultural diversity and its role in a Full-Service School. The increasing cultural diversity in educational institutions forces that role players teach and manage learners and teachers with cultures, languages and backgrounds that are unknown to them. This study focused on the role cultural diversity might play on role players within a Full-Service School.

To understand cultural diversity, the researcher first defined culture and how theorists who studied culture define its many forms. Cultural diversity was then discussed, and the researcher looked at various studies to explore the role it may/may not play in educational environments. Culture is defined as distinct behavioural and social traits related to a certain

group of people with their own religion, values, beliefs, and norms (Arnolds 2003). Matthew Arnolds (2003), who postulated that culture is not a homogenous social phenomenon, but divisible into numerous aspects emphasised the multifaceted, complex, and diverse nature of culture.

Cultural diversity is defined by Danso (2018) as the reality of a diversity of cultural or ethnic groups within a group and/or society. Cultural diversity has a correspondingly diverse impact on different aspects of the functionality of a school, firstly the teaching and learning process. According to Danso (2018) culture can influence the way in which the teachers teach and address cultural issues. In South Africa, teachers must teach and develop the learner as a whole, without considering their cultural heritage (South African Government 2009). Motitswe (2011) suggests that teachers might lead learners to feel excluded when an educator only focuses on one culture or cultural life experiences. Secondly, Motitswe (2011) concluded that culture may also lead to language barriers in the learning process. McMahon et al. (2000) also stated that Full-Service Schools value the concept of cultural sensitivity whereas little progress has been made on devised culture-specific programmes to target ethnic minority learners. McMahon et al.'s study focused on Latin American learners. McMahon et al.'s (2000) study was significant to this research study as it is recognised that the education system should be culture-specific but there seems to be little progress on developing these programmes to target ethnic minority learners.

Harmon and Schafft (2018) stated that to promote the success of each learner, a school must develop a school culture and instructional plan beneficial to student learning and staff proficient growth (Harmon & Schafft, 2018). Burton (1980) identified four types of academic culture as a worldwide establishment: the culture of the profession, the culture of the enterprise, the culture of discipline and finally the culture of the system. As stated by Burton (1980), the researcher focused on the cultural diversity in a school's context and the role thereof.   Therefore, the following research question was posed:

Cultural diversity and its influence on role players in a Full-service School in Soshanguve: A Wellness Perspective?

In answering this question, the study contributes knowledge towards the understanding of cultural diversity and its influence on role players within a Full-service school. The findings of the study will have positive implications for both policy and practice on cultural diversity in schools and how, if necessary, could be improved or maintained.

Conceptualising Cultural Diversity

A Full-Service School is a school which has been developed to accommodate all learners from different backgrounds and cultures and its aim is to assist learners with special needs (Department of Education, 2001). Full-Service Schools are a relatively new phenomenon in South Africa but have gained significant traction and popularity since the 1994 elections (Department of Education, 2001). Apartheid had resulted in significant learner-deficits and great barriers to knowledge between respective cultures and although South Africa is now a free country, South Africans still deal with historical disadvantages that hamper learning.

The research in this study postulates that an individual's culture is the aggregate of everything acquired and experienced during his or her lifetime. Arnolds (1869), however, states that culture is innate to all human beings and something all people inherently possess. The two

theories underscore the contrasting views on how culture could be defined. The characteristics of culture, according to Schein (1984), are as follows: observable artefacts that are visible, values as a level of awareness and underlying assumptions that are usually taken for granted. Hinde's (2004) research aimed to answer the question of how the underlying assumptions of teachers could influence the culture of a school and how change is accepted or objected to culture, thus culture can be theoretically objected to change.

Gay (2013) stress the importance of cultural diversity in a school or educational institution, but they also state how its importance is not recognised and valued as much as it should be. A Full-Service School is established according to the culture of the community, the Department of Education and by educators in the classroom setting. This is informally manifested through people's actions, cooperation, problem-solving and these factors sub-consciously shape the values, culture and norms of a Full-Service School. Ortega-Williams, Crutchfield and Hall (2019) state that culture is identified and characterised by truly embedded values and beliefs – some of which are common across various schools, but some of which are unique and provide a diverse sense of what, how and why things are done at the particular school. These distinct practices and methodologies consequently impel a unique study since no two Full-Service Schools will have the same cultures or location.

Maraña (2010), whose research correlates with Hettler's Wellness Theory (1976), states that cultural diversity can have an impact on all developmental phases. Developmental phases refer to the development of all wellness dimensions within education. From as early as the 1970s, cultural diversity has had an impact on relationships, education, and various other phases of education. Moreover, Matarasso (2007) highlights that culture can grow and develop people in various areas of life and wellness. Matarasso (2007) noted, however, that cultural expressions are true to one's own culture and that culture can unite people and nations and could improve dwindling population figures. Peterson and Deal (1998) posited that culture could also enhance a positive outcome on various areas such as wellness. According to Weeks (2012), there are two ways of learning within a cultural setting of a South African school and old cultural ways of learning are now replaced with social interaction between classrooms, schools and communities. Thus, Full-Service Schools will be the focal point in revealing the culture of learning in a culturally diverse school since these schools are the ideal representation of cooperation among and within different schools (Steenkamp, 2012) and communities.

Research conducted by Lindström and Eriksson (2010) highlighted a case study done by Turnbull (1961,1972) on two different tribes in Africa which revealed a complete loss of cultural identity and rituals by the tribe forced into a modern society as it assimilated and adapted to the Western culture. This is also a pinnacle research point as to how cultural diversity might influence a Full-Service School. Furthermore, Taylor (2008) argue that one cannot discount the remnants of the Apartheid regime still fostered by certain cultures, educators, and learners within the school system in South Africa and how this influences the functionality of schools. Taylor also mentions that a culture of learning, truancy and disciplinary issues is still evident in South African schools, thus influencing the wellness of a school setting. Jenkins (1987), known for research on cultural influences in South African schools, clearly points out the cultural changes within South Africa over time. This cultural

evolution should be investigated to establish the reasoning behind the establishment of the Full-Service School by the Department of Education.

There is a noted gap in the research on cultural diversity within Full-Service Schools and how such diversity is promoted and fostered, which this research may seek to identify and establish.

Three Theories

The Wellness Theory (Hetter 1979) identified six dimensions to support and improve the future wellness of a school. Wellness is a dynamic awareness and teaching aiming for a longer and more successful existence. The model comprises of six dimensions that are physical, emotional, intellectual, social, occupational, and spiritual wellness (Hettler, 1979). The wellness theory seeks the development of the whole person. This is important to understand and to understand how cultural diversity might influence these dimensions of role players within a FSS. Currently, in FSS not enough emphasis is placed on wellness and/or all the wellness dimensions. Without looking at the all wellness dimensions one might leave out pivotal information regarding cultural diversity's role on the wellness of role players. Ubuntu is a widely known and practiced philosophy in South Africa. Ubuntu became popular amongst South Africans in the 1950s and is seen as a concept for enhancing the development of post-apartheid South Africa. Ubuntu as a theoretical framework will provide insight into how various cultures operate within a FSS. Ubuntu will also enhance the deciphering of interviews and observations with participants and it provides a basis for authentic research unique to the South African context. Unfortunately, the current position in schools regarding Ubuntu is seen as a political ideology which endorses equality and human rights for all. Ubuntu as a theory could be used to effectively develop a school culture of Ubuntu as it advocates for the inclusion of all races, diversities and cultures. The Cultural History Activity Theory (CHAT) (Vygotsky 1978) focused on the pivotal role it plays on individuals. This theory is important in this research as the research wants to understand the history of the role players' social culture and how it can be adjusted or improved and that it is the knowledge and familiarity with the culture itself which empowers the reinforcement of a positive cultural norm in a FSS.

Methodology

This qualitative study and the chosen research design was an Ethnographic case study. The aim of the ethnographic case study is to find and connect theory with practice, using one's own knowledge and research as a starting to point to understand people and learning about participants' role and work environment (Fairhurst and Good, 1991). Spradley (1979) stated that an ethnographic case study involves sourcing from participants' words and actions. Through an ethnographic case study the researcher wanted to understand the actions of participants by observing various cultures. According to Maree (2007), a case study can be defined as a first-hand experience of a contemporary phenomenon of the role cultural diversity plays within a FSS. Purposive sampling was used for this study. Only participants who were regarded as "data affluent" (Ames, Glenton and Lewin, 2019) were used. Purposive sampling has been identified by Ames et al. (2019) as selecting certain participants for a specific purpose, which streamlines ease of sampling. The researcher included teachers who have been teaching at the Full-Service School for more than five years. The researcher invited purposely selected participants to participate in the study and the researcher indicated that participation was voluntary. Data was collected through the use of semi-structured

interviews, open-ended questionnaires, documentation and diary entries. In an attempt to obtain rich data on how cultural diversity influences the Full-Service School, the researcher conducted conversational interviews (semi-structured) with teachers and SGB members, and a semi-structured interview was used for the principal. According to Bertram and Christiansen (2020), various African cultural diversities make use of intimate groups to address concerns found in the community. Thus this type of interview fit impeccably with the location of the Full-Service School. In addition to interviews, the researcher used open-ended questionnaires during the study. The open-ended questionnaires focused on uncovering demographic detail and questions relating to cultural diversity and how it is practised in a Full-Service School. An open-ended questionnaire is used to gain an understanding of underlying reasons, opinions, and motivations of role players. It can also provide insights into the research problem. Furthermore, Open-ended questions may yield more candid information and unique insight for researchers as participants may find them less intimidating than scaled questions. Documentation of the school will include the Code of Conduct and the Vision and Mission Statement of the school. Diary entries were used to understand the participants' initial feelings and expectations during the research process. Diaries involve the reader and provide them with a clear picture as to how the participants feel about cultural diversity in the Full-Service School as well as supporting the overall procession of the research.

According to Creswell, Hanson, Clark, and Morales (2007), diaries provide a researcher or reader with a clear picture of emotions during the research process. The diaries consisted of two entries per participant completed before and after the research. After each interview, the researcher transcribed all handwritten information into a final record of interviews. Each interview had details of both verbal and non-verbal responses (Creswell *et al.*, 2007) Details of the interviewee included biographical data and a code assigned for each interviewee. The open-ended questionnaires were read in order to make sense of it. Units were then segmented to sentences and phrases using a marker to point then the units were labelled and the label was writing with an arrow. Possible grouping codes were identified and careful attention was given to make sure the codes were linked to the research questions (Henning, van Rensburg and Smith 2004). The documents were analysed to see whether the school's Code of Conduct reflects the acceptance of different cultures. Only relevant parts of the documents were used to enrich the research study. The researcher then looked for relevant themes by using Hettler's Wellness Dimension. After placing the data into themes, the researcher correlated the themes with the interviews to see whether the documents were implemented according to the participants. The diaries were structured under the headings, feelings and expectations. There were two entries, pre-interview and post-interview.

From the meaning attached to the interpretations of themes, logical conclusions were drawn.

All the ethical procedures were followed with participants informed of their right to voluntarily participate or stop the participation out of free will. The participants were assured

of the confidentiality of data collected and that no reference would be made to their names in the research report.

Findings

The analysis of research data yielded the following results. These results are discussed according to the themes harvested from the data.

Theme 1: Identity and belonging are influenced by cultural diversity on role players in an FSS school.

An initial objective of the research was to interpret the influence of cultural diversity on role players within a FSS. The findings revealed that teachers did not have a set definition for cultural diversity but rather their own interpretations. This was seen in all the participants' responses. The word "different" was mention in various instances and that teachers should customise their teaching to be equal to all. This finding is consistent with that of Hachfeld, Hahn, Schroeder, Anders and Kunter (2015) who revealed that cultural beliefs relate to aspects of learning and progress and that teachers should not focus on treating all students equally but rather focus on cultural differences and ensure that teachers are trained and encouraged to explore various cultural backgrounds. In this sense the findings showed that teachers at this Full-Service School valued cultural diversity and that it promotes a sense of belonging. Supporting literature highlights psychological benefits of experiencing psychological belongingness in school (Ryan and Deci, 2000; Anderman, 2002).

Themes 2: Educator's knowledge on cultural diversity is learning in a diverse world

A further theme that emerged from the findings is that educators' knowledge on cultural diversity is learning in a diverse world. This study found that the educators placed a lot of emphasis on creating the students to have a mindset of learning in a diverse world. As stated by Member 6, "I have taught the learner that they should respect each other's cultural beliefs". The research revealed that educators at this specific Full-Service School valued the teaching of the diverse world and preparing students to become actively involved in their immediate society. Haddix (2017) and Richmond, Bartell and Dunn (2016) highlight that regardless of the background of teachers, teachers struggle to understand and showcase culturally response practices. This was not the case with this Full-Service School. Role players understood the cultures, the way they behave, the way they act and how to effectively address cultural diversity it in their classrooms. Role players within a Full-Service School from this study view their way of delivering a diverse cultural curriculum subjectively, whether it is through sharing experiences, having cultural celebratory days and code switching as examples.

Theme 3: Cultural diversity influences all wellness dimensions holistically

This study found that educators placed a lot of emphasis on creating the students to have a mindset of learning in a diverse world. As stated by Member 6, "I have taught the learner that they should respect each other's cultural beliefs". The research revealed that educators at this specific Full-Service School valued the teaching of the diverse world and preparing students to become actively involved in their immediate society. The findings correlate with Haddix (2017), A strong relationship between Densmore-James and Macfarlane's work (2013) which showed that culture within a rural school setting should view the child in a holistic manner and educators should advocate for the learners holistically. Haddix (2017) and Richmond, Bartell and Dunn (2016) highlight that regardless of the background of teachers, teachers

struggle to understand and showcase culturally response practices. In reviewing the findings this was not the case. Role players understood the cultures, the way they behave, the way they act and effectively addressed it in their classrooms. Role players within a Full-Service School from this study view their way of delivering a diverse cultural curriculum subjectively, whether it is through sharing experiences, having cultural celebratory days and code switching as examples.

Theme 4: Teachers, SGB and the principal experience cultural diversity and its influences as hierarchal in an FSS.

The findings suggest that cultural diversity influences the hierarchal structure within a Full-Service School. The consensus of the findings revealed that role players felt an equal responsibility to address cultural diversity at various levels within a school setting. The findings showed how role players such as teachers adapt their teaching styles to address various cultures within their classrooms. As Member 4 states "I have Zulu speaking learners in my class by adapting and differentiating to be the same level with the learner". This is not seen as a hierarchal structure but rather as a shared vision within this Full-Service School. In agreeance with Letseka (2012) Culture in South Africa, according to Letseka (2012), is seen as a communalistic perspective and not individualistic which is seen as selfish and egocentric.

Theme 5: A community governance framework is proposed to address cultural diversity

An emphasis was placed on the importance of community diversity and Governance. From the findings it became clear that this specific Full-Service School valued the importance of community involvement and taking responsibility as a community to promote cultural awareness and diversity. Viscogliosi *et al*. (2020) researched the importance of participation of indigenous elders in the community. They concluded that indigenous elders contribute to the community by transmission of values, adding to education and contributing to the holistic wellness within a community. The findings agree with Viscogliosi *et al*. (2020) as all role players emphases the importance of the indigenous elders and their contributions to the cultural diversity within this Full-Service School.

Themes from Open-Ended Questionaire

Theme 1: Cultural diversity plays a role on the social acuity of role players in an FSS

According to the study, the behaviour of teachers influences the learners' behaviour. From the findings it became clear that role players within a Full-Service School are being affected in terms of their social wellness due to cultural diversity and the need to address cultural diversity within a Full-Service School. Johann Wolfgang van Goethe highlights this idea perfectly, "Those who know nothing of foreign languages know nothing of their own" (Goethe, 1998:6). In a study completed by Marcellino (2008) revealed that teaching an additional language like English in Indonesia played a huge role not only on the role players within the school but also on the students and in correlation with this study it became evident that there are still language barriers evident in this specific Full-Service School. Marcellino (2008) highlighted that there was a substantial unconstructive influence of the students' cultures and the non-conductive language environment affecting their language acquisition in their study, and this was also evident in this Full-Service School as role players referred to it as being a barrier in the teaching of learners from various languages but it leads to adapting and creative teaching. Interlinked with this findings is a study of Morcom (2017) that showed that social

awareness is significantly important to academic and social outcomes. This Full-Service School and role players within revealed the lack of funds influences the social outcomes to create and maintain different types of languages and cultural programs.

Theme 2: Educators' knowledge of cultural diversity is defined as 'multifaceted' and unique to each role player in an FSS

The findings show that role players subconsciously move away from rigid and structured ways of teaching. This is evident in the findings where participants stated that before they even follow specific guidelines they consider the attitude of others, then they discuss and interrogate before they blindly teach. This shows that cultural diversity enhances the freedom and flexibility as role players move away from rigid teaching methods.

The findings showed how role players adapt their curriculum to provide equal opportunity for all and how they promote freedom in this Full-Service School setting. One member commented on the freedom of religion and that students and various role-players were given the option to not attend religious practises if they didn't feel comfortable. The findings correlate with the findings of McGuire and Bagher (2010), Lee (1991) and Witmer and Thomas (1992) who posited that spiritual freedom in a school setting is pivotal to enhancing cultural diversity and creating a sense of belonging.

Theme 3: Cultural diversity influences the social wellness dimension

The findings revealed that cultural diversity influences the social wellness dimension within this specific Full-Service School. A study by Dukes (2016) highlights that cultural diversity is influenced by various aspects within the social wellness dimension. Longhi (2014) researched cultural diversity and subjective well-being in England and concluded that there is a correlation between social wellness and well-being.

Theme 4: Teachers, SBG and the principal experience cultural diversity and its influences as historically orientated

It was clear from the data analysis that teachers, SGB and the principal experience cultural diversity and its influences as historically. This was evident in the interviews and questionnaires that the members and participants felt the need to address historical influences as a means to address cultural diversity. It became clear that cultural diversity can't be addressed if one doesn't consider the historical context of the community culture. In a report by UNESCO (2009) it was suggested that that teachers view the material they have in classroom and analyse historical narratives to see which voices are missing. Nussbaumer stated that "not only can CHAT explain situations in terms of dynamic relationships but also reveal social resources as they influence changes in human endeavours and educational practice" (Nussbaumer, 2012:46). Moloney and Saltmarsh's (2016) study concluded that there was a knowledge of different types of diversity will lead to creative and holistic teaching and this correlates with the findings of this study. This means that the teachers in a school like this Full-Service School need to have the knowledge of what has happened historically in that specific context in order to effectively teach and know their own learners.

Theme 5: An equality framework is proposed to address cultural diversity

An equality framework is proposed where role players within this Full-Service school clearly valued equal opportunities for all. It was clear from the diary entries that participants felt a

need to make the researcher the researcher understand that equality was valued and promoted at this Full-Service school. The findings showed that role players felt that equality is interlinked with showing respect. These findings correlates with findings from Mahaye (2018), Du Toit-Brits *et al.* (2012) and Schoeman (2012) that equality in education is a defining element of conventional African existence and should therefor guide and direct education and how role players interact with each other.

Themes that Emerged from Document Analysis

Theme 1: The vision, mission and code of conducts show that policies and documents are influenced by cultural diversity on role players within an FSS

The findings revealed that the vision, mission and code of conduct have been adapted to showcase a cultural diverse approach to this Full-Service School. Meier (2009) argues that the decentralisation of education provided racially defined communities the legal means to preserve their privileges, that schools have been much more successful at meeting the demand for racial desegregation than achieving the ideal of social integration and that messages forthcoming from "race" affect black learners more negatively than other learners in South Africa. However, the researcher disagrees with this statement as it is clear that this FSS showcases cultural diversity as holistically integrated. Educational policies produced since 1994 comments within the policy to consider cultural diversity and has practical examples for education, however, Jansen argues that "policy is not practice, and while an impressive architecture exists for democratic education, South Africa has a very long way to go" (Jansen, 2004:126). The findings correlate with stated Mahaye (2018) that Ubuntu stretches one's mind into a school classroom practice and sparks a new look and transformative navigation and innovation required in our 4th industrial revolution for socio-economic development

Theme 2: The vision, mission and code of conduct show that the educator's knowledge on cultural diversity pivotal and should be promoted through teaching

Research by numerous individuals (Pillay 2004; Carrim & Soudien 1999; Vally & Dalamba 1999; Jansen 1998c and Goduka 1998) places doubt on whether attempts at providing equitable and quality education for learners with diverse backgrounds, interests and abilities are successful. The findings revealed in the documentation shows a proactive cultural responsive approach and not an assimilationist approach. Various cultures and histories are shared and encouraged.

Theme 3: The vision, mission and code of conduct show Cultural diversity influences the spiritual wellness dimension in a school setting

The spiritual dimension, as indicated by Hettler (1976), involves the religious dimension in a Full-Service School environment. In South Africa, a culture of different religions is recognised and respected in each school. The social wellness dimension focuses on the way in which one interacts with others in intimate and meaningful relationships and on being an active member in the community (Hettler 1976). Chandler et al. (1992) clearly stated that spiritual wellness is a pinnacle addition to the holistic wellness model and for defining the development of one's spirituality. Miller (2005) defined spiritual wellness musing over the meaning of life, to be tolerant of the beliefs of individuals and to live consistently with our values and beliefs. Furthermore, educators must realise that their role includes being a counsellor and guiding learners to spiritual wellness in the educations system. McGuire and Bagher (2010)

researched the impact of spiritual labour on the emotions and job satisfaction. McGuire and Bagher (2010) concluded in the study that spirituality can be used to develop culture, this was also noted by Lee (2009) and Witmer (2001). It can then be suggested that spirituality can develop culture, while simultaneously influencing spiritual wellness. The theories revealed from McGuire and Bagher (2010), Lee (2009) and Witmer (2001) assisted the researcher to be able to see that spiritual wellness plays an important role in the overall wellness of a Full-Service School. McGuire and Bagher (2010) concluded in the study that spirituality can be used to develop culture, this was also noted by Lee (2009) and Witmer (2001). It can then be suggested that spirituality can develop culture, while simultaneously influencing spiritual wellness. The theories revealed from McGuire and Bagher (2010), Lee (2009) and Witmer (2001) assisted the researcher to be able to see that spiritual wellness plays an important role in the overall wellness of a Full-Service School.

Theme 4: The vision, mission and code of conduct shows teachers, SGB members and the principal should experience cultural diversity as a shared goal

The findings correlate with Murithi (2007) that Ubuntu shows a sense of shared destiny between people. The findings shows that each role player felt that they as a school and individual has a shared vision and mission towards cultural diversity. Ubuntu comprises principles such as, "equity, fairness, reciprocity, inclusivity, sense of shared destiny between peoples" (Murithi, 2007: 282). The findings do not agree with Enslin and Horsthemke (2004) and Eliastam (2015) the Ubuntu has negative connotations to development of a community. The findings reveal that without participants realising it, they embody the term Ubuntu and shared the vision and mission to promote cultural diversity in this FSS.

Theme 5: Practising respect is a framework proposed within the vision, mission and code of conducts to address cultural diversity

Lam and Hui (2010) point out that this could conversely hamper the way teachers deal with discipline as teachers of a respective culture might inadvertently adopt inapposite cultural approaches to dealing with discipline. Mokgoro (1998) the following values are defined as key social values of Ubuntu: group solidarity, conformity, compassion, respect. Ubuntu, is also seen by Dekker and van Schalkwyk (1989) as, "a spiritual idea which directs the life experiences of African" (1989:466) and thus a crucial directional marker for validating the research methodology within an African context.

Themes that Emerged from Diary Entries

Theme 1: Emotional wellness is influenced by cultural diversity on role players in an FSS

Tan, Härtel, Panipucci and Strybosch argue that, "emotions are a crucial factor in cross-cultural interactions and the need to develop both cross-cultural and emotional skills in expatriates is greatest when there is a large cultural gap between the home and host nations" (Tan et al., 2005:4) and further state that culture can direct the emotional state of a person. The findings focuses on cultural diversity and it agrees with Tan et al. (2005) that culture or the topic rather, can have a direct impact on the emotional state of a person. Tan *et al*. (2005) also identifies a decline in emotional wellness in Asia due to work overload and from the findings

correlates with this study as cultural diversity influences the workload of teachers and policy makers to ensure that it/they address and promote cultural diversity.

Theme 2: Educator's knowledge on cultural diversity is seen as everyday practice.

Mokgoro (1998) the following values are defined as key social values of Ubuntu: group solidarity, conformity, compassion, respect. Murithi (2007) and Nussbaum (2003) explain that Ubuntu comprises principles such as, "equity, fairness, reciprocity, inclusivity, sense of shared destiny between peoples" (Murithi 2007: 282). Waghid and Smeyers (2012) states that, a directive of national curriculum policy is that indigenous knowledge systems form part of the broad environments of all school areas and subjects. Maisty and Thakrar's (2012) study suggests, without knowledge of the Ubuntu philosophy one might not develop the social responsibilities required by Ubuntu thus not developing social wellness in the community. Understanding the history of their social culture individuals can adjust or improve their own social cultural history – it is the knowledge and familiarity with the culture itself which empowers the reinforcement of positive cultural norms. This study interprets the knowledge and familiarity with the culture of this Full-Service School and the researcher being familiar with the culture within the community and this was evident in the findings.

Theme 3: Cultural diversity influences the emotional wellness dimension within a school setting

The increasing cultural diversity in educational institutions demands that educators teach and manage learners with different cultures, languages and backgrounds that are unknown to them. This in itself can cause anxiety as it is the 'unknown', however more importantly the findings revealed that in this FSS the educators are from similar cultural backgrounds and understand the learners they teach and can culturally adapt their lessons and way of instruction. However, it is still clear that by adapting and ensuring one addresses all the students' cultural needs the educators' emotional wellness will decline. Du Toit (1995) takes the stance that by opening school to all races doesn't automatically ensure mutual respect and understanding for each others' cultures. This is important because it was evident in the findings that educators play a pivotal role in teaching learners about various cultures.

Theme 4: Teachers, SGB members and principal experience cultural diversity as influencing being worrying

The finding revealed that the topic 'cultural diversity' made the participants feel worried about the topic. This was evident prior to the interviews. In a book written by Mooney, Knox and Schacht (2007) it reveals that journal entries illustrated that when personal topics are discussed it might make the participants uneasy as one would consider the social norm. Participants subconsciously know the politically correct responses, but they might be afraid to express their true feelings. In the current study the findings showed that the post diary entries expressed the satisfaction participants felt after the interview, this correlates with Mooney *et al*. (2007) as one participant said, "I hope I answered it correctly".

Discussion of Findings

This study explored cultural diversity and its role in a Full-Service School. The increasing cultural diversity in educational institutions forces that role players teach and manage learners and teachers with cultures, languages and backgrounds that are unknown to them.

This study focused on the role cultural diversity might play on role players within a Full-Service School.

Findings from the semi-structured interviews revealed that role players' identity and sense of belonging is influenced by cultural diversity. Additionally, the educator's knowledge on cultural diversity is learning in a diverse world and that cultural diversity influences all wellness dimensions holistically. Teachers, SGB and the principal experience cultural diversity and its influences as hierarchal in an FSS and that a community governance framework is proposed to address cultural diversity.

Themes from the open-ended questionnaires revealed that the role players' social acuity is influenced by cultural diversity in an FSS. The educator's knowledge of cultural diversity is defined as 'multifaceted' and unique to each participant. Cultural diversity influences the social wellness dimension at an FSS. Teachers, SBG and the principal experience cultural diversity and its influences as historically orientated. Finally, an equity framework is proposed to address cultural diversity

Themes from the document analysis revealed that the vision, mission and code of conduct shows school policies and documents are adapted to promote cultural diversity, the educator's knowledge of cultural diversity is pivotal and should be promoted through teaching and that cultural diversity influences the spiritual wellness dimension in a school setting. Additionally, the vision, mission and code of conduct show that teachers, SGB members and the principal should strive for cultural diversity as a shared goal. Finally, practising respect is a framework proposed in the vision, mission and code of conducts to address cultural diversity

Findings from the diary entries revealed that the role players' emotional wellness is influenced by cultural diversity in an FSS and the educators' knowledge on cultural diversity is seen as everyday practice. Furthermore it became evident that cultural diversity influences the emotional wellness dimension within a school setting. Finally, teachers, SGB members and the principal experience cultural diversity as influencing their physical wellness and participants proposed a wellness framework to address cultural diversity by establishing a community governance framework, promoting equality and by practising and teaching 'respect'.

Conclusion

Cultural diversity and its influence on role players within a Full-service school from a wellness perspective remains a subject of discussion and from the findings can influence wellness within a Full-service school holistically. All role players were influences by cultural diversity and if not addressed influences the school culture, teaching and learning. Although this article cannot be regarded as generalised on all Full-service School, but it provides a basis for extended research and discussion for role players within Full-service School s in South Africa or in similar context.

Recommendations

Through the voices of the role players, the study recommends that policy makers and education officials give the necessary provision to schools; especially in terms of curriculum adaptation, knowledge and funding.

The study recommends that educators be trained on cultural diversity and Ubuntu and how to effectively teach and celebrate each culture. This can be done through training courses,

workshops, visits and staff development programmes in which they invite people with knowledge and expertise in cultural diversity and or various cultures.

Teachers, SGB and the principal experience cultural diversity and its influences as hierarchal in an FSS and that a community governance framework is proposed to address cultural diversity.

The researcher believes that workshops could be established through the Department of Education to improve the way in which Full-Service Schools view cultural diversity.

An equity framework is proposed to address cultural diversity.

Compliance with Ethical Standards

Conflict of interest Author A declares that he/she has no conflict of interest.

Ethical Approval All procedures performed in studies involving human participants were in accordance with the ethical standards of the institutional and/or national research committee and with the 1964 Helsinki declaration and its later amendments or comparable ethical standards.

Informed Consent Informed consent was obtained from all individual participants included in the study.

References

[1] Ames, H., Glenton, C. and Lewin, S. (2019) Purposive sampling in a qualitative evidence synthesis: a worked example from a synthesis on parental perceptions of vaccination communication. *BMC Med Res Methodol,* 19(26)

[2] Anderman, E. M. (2002). School effects on psychological outcomes during adolescence. *Journal of Educational Psychology*, 94(4), pp. 795–809

[3] Arnolds, Matthews. 1869. *Culture and Anarchy*. London

[4] Bertram, Carol and Christiansen, Iben. (2019). Understanding Research: *An introduction to reading research*. Van Schaik Publishers

[5] Burton, C.R. (1980) Academic Culture. *Institution for social and policy studies*. Yale University: New Haven

[6] Carrim ,N and Soudien, C. (1999) Critical Anti-Racism in South Africa. In S May (ed) *Critical Multiculturalism: Multicultural and Anti-Racist Education*. London: Falmer Press

[7] Chandler, C. K., Holden, J. M., and Kolander, C. A. (1992). Counselling for spiritual wellness: Theory and practice. *Journal of Counselling & Development*, 71, pp. 168–175.

[8] Creswell, J. W., Hanson, W. E., Clark P. V. L. and Morales, A. (2007) Qualitative Research Designs: Selection and Implementation. *The Counselling Psychologist*, 35(2) pp. 236-264

[9] Danso R. (2018) Cultural competence and cultural humility: A critical reflection on key cultural diversity concepts. *Journal of Social Work*, 18 (4), pp. 410-430

[10] Dekker, E. I and Van Schalkwyk, O. J (eds.). (1989) Modern Education Systems. Durban, Butterworths. Densmore-James and Macfarlane's work (2013)

[11] Department of Education. (2001). Education White Paper 6 on Special Needs Education: Building an Inclusive Education and Training System. Department of Education, Pretoria: Government Printer.

[12]   Du Toit, D. (1995) A Sociological analysis of the extent and influence of professional socialization on the development of a nursing identity among nursing students at two universities in Brisbane, Australia. *Jan Leading Global Nursing Research,* 21(1), pp. 164-171

[13]   Du Toit-Brits, C., Potgieter, F.J. and Hongwane, V. (2012) Distance education as a 'we-ness': A case for uBuntu as a theoretical framework. *Progressio*, 34(2), pp. 3-16

[14]   Dukes, H. (2016). "Cultural Effects On Wellness As It Applies To Society And The Individual: An International Comparison Of Germany And The United States Of America", Honors Projects. 568. http://scholarworks.gvsu.edu/honorsprojects/568

[15]   Eliastam, J. (2015) Exploring ubuntu discourse in South Africa: Loss, liminality and hope. *Verbum et Ecclesia.*

[16]   Enslin, P and Horsthemke, K. (2004) Can Ubuntu Provide a Model for Citizenship Education in African Democracies?. *Comparative Education.*

[17]   Fairhurst, A.E., and Good, L.K. (1991) The ethnographic case study: An experiential problem solving approach. In W. Wheatley and G. Gosenpud (Eds.) *Developments in Business Simulation and Experiential Exercise*, pp. 16-18.

[18]   Gay, G. (2013). 'Teaching To and Through Cultural Diversity', *Curriculum Inquiry*, 43(1), pp. 48-70

[19]   Goduka, I. N. (1998). 'Linguistic and cultural diversity implications for learning, educating and curricular transformation'. *South African Journal of Higher Education*, 12 (1), pp. 34-43

[20]   Van Goethe, J. W. (1998):6

[21]   Hachfeld, A., Hahn, A., Schroeder, S., Anders, Y. and Kunter, M. (2015) Should teacher be colourblind? How multicultural and egalitarian beliefs differentially relate to aspects of teachers' professional competence for teaching in diverse classrooms. *Teaching and Teacher Education,* 48, pp. 44-55

[22]   Haddix, M. M. (2017) 'Diversifying Teaching and Teacher Education: Beyond Rhetoric and Toward Real Change', *Journal of Literacy Research*, 49(1), pp. 141–149

[23]   Harmon, H. L. and Schafft, K. (2009). Rural School leadership for collaborative community development. *The Rural Educator*, 30(3), pp. 4-9

[24]   Harmon, Hobart & Schafft, Kai. (2018). 'Rural School Leadership for Collaborative Community Development'. *The Rural Educator.*

[25]   Henning, E., van Rensburg, W., and Smith, B. (2004) *Finding your way in qualitative research* Publisher: Van Schaik

[26]   Hettler, Bill. (1976) "*The Six Dimensions of Wellness.*" National Wellness Institute.

[27]   http://www.hettler. com/sixdimen. htm.

[28]   —1980. Wellness Promotion on a University Campus. *Family & Community Health,* 3(1) pp. 77-95

[29]   —1984. Wellness: Encouraging a Lifetime Pursuit of Excellence. *Health Values,* 8(4), pp. 13-17

[30]   Hinde, E. R. (2004). School culture and change: An examination of the effects of school culture on the process of change. *Essays in Education*, 11.

[31]   Jansen, J. (1998c). Curriculum reform since apartheid: Intersections of policy and practice in the South African transition. *Journal of Curriculum Studies*, 31(1), pp. 57–67

[32]   Jansen, J. (2004) Evaluating transitions. Review essay. *Pedagogy, Culture and Society*, 1(2), pp. 309–312.

[33] Jenkins, J.H. (1987) Culture, emotion, and Psychopathology. In *Emotion and culture* by Kitayama, S & Markus, H, R. (1994). American Psychological Association, Washington.

[34] Lam, S.K.Y. & Hui, E.K.P. (2010) Factors affecting the involvement of teachers in guidance and counselling as a whole-school approach. *Journal of Guidance & Counselling*, 38(2) pp. 219–234.

[35] Lee, J. (2009) 'Not if but when pedagogy collides with culture in Singapore, Pedagogies', *An International Journal*, 5(1), pp. 17-26

[36] Letseka, M.(2012) In Defence of Ubuntu. *Stud Philos Educ* 31, pp. 47–60 (2012)

[37] Lindström, B. and Eriksson, M. (2011) 'From health education to healthy learning: Implementing salutogenesis in educational science', *Scandinavian Journal of Public Health*, 39(6), pp. 85–92.

[38] Longhi, S. (2014) 'Cultural diversity and subjective well-being'. *IZA J Migration* 3, 13

[39] Mahaye, N. E. (2018). *The philosophy of Ubuntu in education*.

[40] Maistry, M. and Thakrar, J. (2012). Educating students for effective community engagement: Student perspectives on curriculum imperatives for universities in South Africa. *South African Review of Sociology*, 43, pp. 58-75

[41] Marana, M. (2010) 'Culture and Development Evaluation and prospect', *UNESCO Etxea*. Working paper No.1.

[42] Marcellino, M. (2008) 'English Language Teaching in Indonesia: A Continuous Challenge in Education and Cultural Diversity', *TEFLIN Journal: A publication on the teaching and learning of English*, 17(1), pp. 19

[43] Maree, K. (2007) *First Steps in Research*. Van Schaik, Pretoria.

[44] Matarasso, F. (2007) Common ground: 'Cultural action as a route to community development'. *Community Development Journal*, 42(4), pp. 449-458

[45] McGuire, D. and Bagher, M. (2010) 'Diversity training in organisations: An introduction', *Journal of European Industrial Training*, 34(4), pp. 93-505

[46] McMahon, T.J., Ward, N.L., Kline Pruett, M., Davidson, L. & Griffith, E.H. (2000) 'Building full-service schools: Lessons learned in the development of interagency collaboratives', *Journal of Education and Psychological consultation*, 11(1): pp. 65–92

[47] Miller, J, G. (2005) 'Essential role of culture in developmental psychology', Special Issue: *New Horizons in Developmental Theory and Research,* 109, pp. 33-41

[48] Mokgoro, Y. (1998) 'Ubuntu and the law in South Africa', *Buffalo Human Rights Law Review*, 15, pp. 1–6.

[49] Moloney, R., and Saltmarsh, D. (2016) 'Knowing Your Students' in the Culturally and Linguistically Diverse Classroom. *Australian Journal of Teacher Education*, 41(4)

[50] Mooney, L. A., Knox, D., and Schacht, C. (2007) 'Understanding Social Problems'. 5th Edition. Thomson Wadsworth. Thomson Higher Education. Belmont, CA: USA.

[51] Morcom, L. A. (2017) 'Self-esteem and Cultural Identity in Aboriginal Language Immersion Kindergarteners', *Journal of Language, Identity & Education*, 16(6), pp. 365-380, DOI: 10.1080/15348458.2017.1366271

[52] Motitswe, J. M. C. (2011) 'Teaching and learning methods in inclusive methods in inclusive classrooms in the foundation phase'. *Master's dissertation*. Pretoria: University of South Africa

[53] Murithi, T. (2007) African approaches to building peace and social solidarity. *African Journal on Conflict Resolution*.

[54] Nussbaum, M. (2003) 'Beyond the Social Contract: Toward Global Justice', *The Tanner Lectures on Human Values*. http://www.tannerlectures.utah.edu/lectures/documents/volume24/nussbaum_2003.pdf

[55] Nussbaumer, D. (2012). *An overview of cultural historical activity theory (CHAT) use in classroom research 2000 to 2009.* Educational Review.

[56] Ortega-Williams, A., Crutchfield, J. and Hall, J. C. (2019) 'The colourist-historical trauma framework: Implications for culturally responsive practice with African Americans', *Journal of Social Work*. doi: 10.1177/1468017319890083.

[57] Peterson, K. and Deal T. (1998) 'How leaders influence the culture of schools'. *Educational Leadership,* 56 (1), pp. 28-30

[58] Hinde, Elizabeth. (2004). 'School Culture and Change: An Examination of the Effects of School Culture on the Process of Change'. 11.

[59] Richmond, G., Bartell, T. and Dunn, A. H. (2016) 'Beyond "Tinkering": Enacting the Imperative for Change in Teacher Education in a Climate of Standards and Accountability', *Journal of Teacher Education*, 67(2), pp. 102–104

[60] Ryan, R. M. and Deci, E. L. (2000) Self-Determination Theory and the Facilitation of Intrinsic Motivation, Social Development, and Well-being. *American Psychologist,* 55(1), pp. 67-78

[61] Schein, E, H. (1984) 'Culture as an environmental context for careers', *Journal of Organizational Behaviour,* 5(1), pp. 71-81

[62] Schoeman, M. (2012) 'A philosophical view of social transformation through restorative justice teachings -a case study of traditional leaders in Ixopo, South Africa'

[63] Spradley, J. P. (1979) 'The ethnographic interview'. New York, Holt, Rinehart and Winston.

[64] Steenkamp, U. 2012. *A retrospective study on transforming a mainstream school into a full-service school*. Masters Degree dissertation: University of Pretoria

[65] Tan, J. A. C., Härtel, C. E. J., Panipucci, D. and Strybosch, V. E. (2005), "The effect of emotions in cross-cultural expatriate experiences", *Cross Cultural Management: An International Journal*, 12(2), pp. 4-15

[66] Kim, H., Sherman, D. and Taylor, S. (2008). 'Culture and Social Support'. *The American psychologist*, 63, pp. 518-26

[67] Turnbull, C. M. (1961). *The forest people*. New York: Simon & Schuster.

[68] Turnbull, C. M. (1972). *The mountain people*. New York: Simon & Schuster.

[69] UNESCO World Report Investing in Cultural Diversity and Intercultural Dialogue Published in 2009 by the United Nations Educational, Cultural and Scientific Organization Vally, Salim & Dalamba, Y. (2002). Racial Integration" and Desegregation in South African Public Secondary Schools.

[70] Viscogliosi, C., Asselin, H., Basile, S. , Borwick, K., Couturier, Y., Drolet, M., Gagnon, D., Obradovic, N., Torrie, J., Zhou, D, and Levasseur, M. (2020). 'Importance of Indigenous elders' contributions to individual and community wellness: results from a scoping review on social participation and intergenerational solidarity'. *Can J Public Health,* 111, pp. 667–681

[71] Vygotsky, L.S. (1978). *Mind in Society: The Development of Higher Psychological Processes*. Cambridge Massachusetts: Harvard University Press.

[72] Waghid, Y. and Smeyers, P. (2012). 'Taking into account African Philosophy: An impetus to amend the agenda of philosophy of education'. *Educational Philosophy and Theory*, 44, pp. 1-5

[73] Weeks, F. (2011). The quest for a culture of learning: a South African schools perspective. South *African Journal of Education*. 32. pp. 1-14

[74] Witmer, J. M. and Thomas J. S. (1992). 'A Holistic Model for Wellness and

[75] Prevention over the Life Span.' *Journal of Counselling & Development,* 71 (2), pp. 140–48

Risk Behavior Versus Self-Care in Adolescents

Františka Petriková

Vladimír Lichner

Eva Žiaková

Abstract

The presented paper is focuses on the issue of self-care as a possible predictor of risky behavior in the target population of of adolescents. The first part of the paper is focused on the theoretical basis of risky behavior and then on the basis of self-care. Within risk behavior, the paper discusses the charakteristics of this concept, the factors influencing the risk behavior of adolescents and also the basic forms of risk behavior in the target group. Within self-care, the paper focuses on defining the basis characteristics of the concept and subsequently on the self-care factors proposed for adolescents and on the self-care as a preventive factor. The second part of the paper focuses on the results of research in the researched issues. The research is focused on demonstrating the differences and relationships between the examined variables.

Keywords: Self-Care, Risk Behavior, Adolescents, the Forms of Risk Behavior, the Factors of Self-Care

Introduction

The concepts of self-care and risk behaviour are interconnected. During adolescence, risk behaviour is more frequent, but self-care can reduce it. The first part of this paper presents a model of risk behaviour with the focus on adolescence. Subsequently, the theoretical background for self-care in adolescence and the components of self-care are explained. Besides general self-care, specific self-care components focused on school and family are also relevant for adolescents. This part of the paper deals with self-care as a risk behaviour prevention factor. The second part of the paper is empirical and presents the research results. A correlation between the variables was discovered, which is important. Statistically significant gender differences were also discovered for both self-care and risk behaviour.

The model of risk behaviour

Identification of risk behaviour as a phenomenon was preceded by a broad range of social and cultural changes. These changes include weakening of the socialising and individual functions of family, urbanisation, impersonal relationships, constant changes in the labour market, and also digitalisation. In relation to these changes, early childhood is no longer the highest-risk stage of life – adolescence is (Kagan, 1991, in: Čerešník, 2019). Adolescents are the highest-risk group because they are undergoing personality changes. Under the social influence of their peers and broader social environment, they change their behaviour and experiment with a variety of addictive substances, or identify with different subcultures (Lichner, Šlosár, 2017). During adolescence, risk behaviour increases, which affects their physical or mental health

(Nielsen, Sobotková et al., 2014). Through risk behaviour, adolescents try to reduce the undesired and achieve the desired, leave the common and familiar, and separate from their family, i.e. they search for ways to saturate their unfulfilled needs and seek people who can provide them with social comfort (Čerešník, 2019). Individual forms of risk behaviour usually involve a compromise between a short-term gain and potential long-term negative consequences (Orosová, Gajdošová, Madarasová-Gecková, van Dijk, 2007).

Risk behaviour is determined by the ratio between risk and protective factors. This ratio further determines whether occasional experimentation turns into a risk behaviour syndrome in adolescence. The protective factors can effectively balance out the influence of the risk factors. It can also be assumed that thanks to the protective factors, problematic behaviour will not develop in adolescents (Jessor, 1991). The function of protective factors is usually understood as their ability to directly influence risk behaviour. The goal of these factors is to affect the consequences of risk behaviour, disrupt the interaction between multiple risk factors, or even prevent the emergence of risk factors in the first place (Orosová, 2007).

There are two basic lines of thinking about risk behaviour. In the broader sense, risk behaviour is defined as a social construct comprising a variety of behaviours, which pose health, social, and psychological risks to an individual as well as their social environment (Siruček, Siručková, Macek, 2007). In the narrower sense, such behaviour puts the adolescent's identity, health, or life at risk; complicates or prevents healthy, standard separation from parents; and damages the adolescent's future self-esteem and self-worth (Kocourková, Koutek, 2003).

The causes and development of risk behaviour are multifactorial, i.e. certain interaction of biological, social, and mental factors comes into play (Vágnerová, 2004). The emergence of risk behaviour in adolescents also depends on individual and environmental factors (places where the adolescent spends their free time; place where they are growing up; school environment; peer environment) (Punová, 2012; Kipping et al., 2012).

Risk behaviour can be divided into the following five basic categories:

intellectual/mental: related to manifesting knowledge and potential in front of the others, which may put the person at risk of alienation from their peers

social: includes changes in the social or peer group; socialisation is very important during adolescence as the person is learning how to join a collective

emotional: manifesting fear; other members of the social group learn about the adolescent's vulnerability

physical: taking risk to achieve a success and win a position among the peers

spiritual: a change in religious beliefs may lead to developing risky spiritual habits (Neihart, 1999)

The aforementioned categories of risk behaviour may have vast consequences for the emergence and increase of socially pathological phenomena in different risk groups. However, it is generally assumed that such increase can be eliminated by means of properly targeted preventive programmes at primary and high schools.

Specialised literature specifies three main areas of risk behaviour symptoms. The first area relates to *addictive substance abuse* (the adolescent is motivated to overuse addictive

substances in order to be included in the peer group); The second area includes *psychosocial manifestations* (antisocial behaviour often referred to as behavioural disorders) and the third area affects *reproductive behaviour* (premature sexual life, promiscuity, risky sexual behaviour) (Jessor, Turbin, 2010; Čerešník, Gatial, 2014; Novotný, Okrajek, 2012). The research presented in this paper focuses on the aforementioned risk behaviour areas. Specifically, they are addressed in the questionnaire of risk behaviour, which was used to collect data on the individual forms of risk behaviour in adolescents.

The main and most frequent forms of risk behaviour in adolescents include delinquency and criminal behaviour, addictive substance abuse, bullying, hostility, risky sexual behaviour, eating disorders, behavioural disorders, self-harm and suicidal actions (Dolejš, 2010; Miovský et al., 2012; Macek, 2003).

The model of self-care in adolescents

Self-care is perceived as a form of protection from undesirable environmental phenomena. The interest in a comprehensive concept of self-care as a means to improve one's health and well-being is recurrent. On the other hand, it can also be used to reduce the negative effects of the environment (El-Osta et al., 2019). Specialised literature defines self-care as a set of activities performed on one's own initiative with the aim to self-regulate their functioning and development (Godfrey et al., 2011; Denyes, Orem, Bekel, 2001). However, no complex framework capturing self-care in its complexity is available so far. The fact that the concept still has not been unified may be hampering its further development.

Self-care comprises four main dimensions:

Self-Care Activities represent the dimension focused on "self". It includes activities related to individual self-development. Appropriate intervention improves the individual's overall health and well-being. During adolescence, it is important to focus on activities that will not affect further development negatively.

Self-Care Behaviours focus on activities promoting positive behaviour in individuals. This dimension is individually oriented but can be extended to a community or society through positive interaction and suitable tools. Positive peer influence during adolescence can reduce risk behaviour at this stage of development.

The *Self-Care Context* as a dimension focuses on the individual's overall reliance on resources. Based on the level of reliance, intervention is targeted at the healthcare system in the country or at supporting the individual.

The *Self-Care Environment* is nation-wide. It depends upon the prevailing cultural and social attitudes. This dimension relates to public health in the whole country (El-Osta et al., 2019).

2.1 The components of self-care in adolescents

The components of self-care in adolescents focus on the specificities of adolescence as a developmental period. The components, which will be specified further on, focus on three areas: psychological, physical, and social, but they also have to do with the environments in

which the adolescent lives (school, family, peers). Specialised literature distinguishes six main self-care components in adolescents.

School self-care strategies – school is considered a space for education, which has a major effect on the individual's formation. The whole system is determined by social relationships (Lee, Bryk, Smith, 1992). The school is a space in which students develop mutual relationships and are subject to social influence; they also form relationships with teachers and authority in general (Obdržálek, 1999; Szijjártóová, Malá, 2008). Besides education, school also fulfils the need for socialisation, therefore, it is perceived as a social institution (Havlík, Koťa, 2002). The school environment creates and maintains complex networks of social relationships and significantly affects thinking, attitudes, and feelings. It also plays a role in the formation of culture, habits, and rituals (Juhásová, Debnáriková, 2016). Inchley et al. (2016) and Zelina (2000) emphasize that good education provides great prevention against behavioural issues, personality disorders, or loss of the meaning of life. External support plays an important role in learning how to perform self-care. Parental support is the most necessary when school-aged children are learning self-care (Kello, Martikainen, Eriksson, 2011).

Social climate in the school environment – the school climate affects the quality of interpersonal interaction, which indicates the level of performance, cooperation, and competition. The overall climate is created by the relationships between teachers, students, school management, and other upbringing factors involved in the process. Social climate can be divided into social climate in the school environment and classroom social climate. Social climate in the school environment is considered an organisational element as it is affected by the school as an organisation. A school that creates healthy environment provides an accepting, supportive, and beneficial climate and builds a quality reputation (Szijjártóová, Malá, 2008). Classroom social climate is created by the students themselves; their relationships, mutual support and cooperation are important.

Deliberate problem-solving strategies – this component focuses on the individual's ability to deal with problems related to school, family, or their own personality. Positive problem-solving strategies enhance learning and school performance, increase creativity and improve understanding of complex situations (Stuchlíková, 2002). In general, *maladaptive* and *adaptive* strategies exist. Maladaptive strategies use ineffective procedures and result in failure, which further decreases the individual's well-being. Adaptive ones are effective and play a specific role in creating psychological well-being, i.e. they are positive determinants.

Universal self-care – refers to day-to-day activities in an adolescent's life. This component involves the individual's level of independence in the self-care activity. In this case, universality refers to prevention of negative behaviour, balanced periods of activity and relaxation, and self-support for proper functioning (Hartweg, 1991). According to Jaarsma et al. (2003), self-care can be universal and it can be invited by health problems or the developmental context.

Adolescents' free time – the ways in which adolescents spend their free time change along with society itself. Over time, the responsibility for the child's free time and the way it is used is transferred from parents to other people (siblings, friends, teachers, tutors...). The individual's scope of interest and activities is broadest during adolescence in comparison with

other stages of life (Sak, 2000). Adolescents' free-time activities can be divided as follows: cultural, extroverted, manual, sport (Kraus, 2006).

Family-oriented personal component – during adolescence, individuals start focusing on themselves and their relationship with people close in terms of age or interests. It is a period of emancipation from their own parents (Macek, Lacinová, 2006; Vágnerová, 2012; Macek, Štefánková, 2006). In family, efforts to gain more equality can be observed while among peers, the adolescent tries to find their place (Macek, 2003). The changing quality of interpersonal relationships during adolescence is one of its basic psychosocial characteristics.

Factors of self-care are determined by the characteristics of an adolescent, self-care as such, but also support provided by parents, school environment, and peers (Kelo, Martikainen & Eriksson, 2011). At the time, the adolescent is in the process of creating their own self-image and self-assessment, i.e. these attributes are not stabilised yet, and the person is also learning self-efficacy (Macek, 2008) – all these aspects affect the factors of self-care.

Self-care as a preventive factor

Self-care can also be considered a preventive factor as it reduces risk behaviour symptoms. If self-care is lacking, the probability that risk behaviour symptoms will occur increases. Self-care as a factor preventing negative phenomena in behaviour works in the following way: early positive intervention in the form of preventive programmes, activities, and methods influences the individual and may reduce or even eliminate their risk behaviour.

Literature distinguishes three basic forms of prevention. They involve activities focused on self-care, which provide proper help, support, and company (Orosová, 2003; Schavel, Číšecký, Oláh, 2010).

Primary (universal) prevention as the first form should be provided at schools before undesirable behaviour occurs. Primary prevention takes the form of workshops, preventive programmes, and lectures given by experts (Emmerová, 2003).

On the other hand, secondary (selective) prevention focuses on tackling a specific, already existing problem (Božeková, 2014; Kulifaj, 2017). It provides early intervention and identifies individual as well as group problems. Secondary intervention is focused specifically on the individual at risk. The goal of this form of prevention is to stop a disorder from developing further (Svetlíková, 2018).

Tertiary prevention aims to reduce risks resulting from socially pathological phenomena and improve individuals' lives. It comes into play if primary and secondary prevention fail. Tertiary prevention can take the form of preventive programmes focused on reducing and removing the existing symptoms of risk behaviour.

The main goal of prevention is to deliberately promote non-risk and socially accepted forms of behaviour instead of the risk ones. Self-care in prevention should influence all areas of individual development as well as the environment in which the adolescent lives. The goal of prevention is not only to temporarily avoid certain negative environmental factors, but also apply appropriate methods and perform activities promoting desirable behaviour. The legislative framework of social prevention specifies it as an inseparable part of social work

(Galáš, 2006). Lack of self-care may trigger the development of socially pathological phenomena in adolescents. To sum up, lack of self-care is a potential risk factor.

3. Research

Self-care is a rather new concept when it comes to the adolescent population. In a broader sense, this study investigates the increased risk behaviour during adolescence.

Specifically, it focuses on the relationship between self-care and reducing risk behaviour in adolescents as a target group, and in this part, the research results will be presented.

3.1 Methods

SCA – questionnaire about self-care in adolescents (Lichner, Petriková, Žiaková, 2020). The questionnaire was designed specifically for adolescents as the target group. The questionnaire consists of 35 items and the participant is asked to express their agreement or disagreement on a 6-point Likert scale; 1=strongly disagree to 6=strongly agree with the given statement. The 6-factor research instrument comprises the following factors: SOS school strategies, social climate in the school environment, deliberate coping strategies, adolescents' free time, and their family. The reliability (internal consistency) of the research instrument was α=0.876. Internal consistency of the individual factors ranged from =.

RBQ – Risk behaviour questionnaire (Lovašová, 2019). The instrument focuses on risk behaviour in adolescents. The questionnaire consists of 28 items and the participant is supposed to express their agreement or disagreement on a 5-point Likert scale; 1=strongly agree to 5=strongly disagree. Again, the questionnaire investigates six factors: xenophobic and aggressive behaviour, virtual reality, risk health habits, internet addiction, self-harm, risk sexual behaviour. The respondent is also supposed to complete "During the last year, the following happened to me…". This instrument focuses on delinquency-related issues during adolescence, sexual risk behaviour, problems related to information technologies, eating disorders, and xenophobia. Internal consistency of the research instrument was α=0.863. Internal consistency of the individual factors ranged from α=0.653 to 0.809.

The questionnaire also collected sociodemographic data (age, gender, place of living, information on relationships with peers and family).

3.2 Research file

The research file consisted of 364 respondents (boys=112; girls=268; 5 respondents did not specify their gender). The mean age was 17 (4 respondents did not specify their age). (SD=0.818; Min=14; Max=19). The selection can be described as stratified random data collection. Selection in the classroom was not random as all the students present at the time participated as a compact group. The research instruments were administered personally during classes. The research sample consisted of high school students in the Slovak Republic. Educational background was divided as follows, 70 participants had studied at a medical high school; 41 at a business academy, 82 at a vocational high school; and 192 had studied at grammar schools.

3.3 Organisation of the research

The research was performed in January 2020. Stratified random selection was used (by drawing lots). Students from several type of high schools across Slovakia were invited to

participate in the research. Specifically grammar schools, vocational high schools, business academies, and medical high schools. The second and third year students were addressed. The research was performed in the following municipalities: Trnava, Prievidza, Nitra, Rakovice, Banská Bystrica, Trenčianske Teplice, Žilina, Martin. The questionnaire was administered in person during the classes and the students had one whole lesson to complete it.

3.4 Research results

In this part of the paper, the selected results of the research performed will be presented. It focused on high school students in the Western part of Slovakia. The research goal was to investigate the relationship between self-care and risk behaviour in adolescents.

Tables 1 and 2 show the internal consistency of the research instruments; the highest value was measured in the "school self-care strategies" component in the questionnaire about self-care in adolescents. The factor with the highest internal consistency in the RBQ questionnaire of risk behaviour in adolescents was the one focused on risk health habits.

Fig. 1 *Internal consistency of the questionnaire of self-care in adolescents*

Self-care components	School self-care strategies	Social climate in the school environment	Deliberate coping strategies	Universal self-care	Adolescents' free time	Family
α	0.796	0.734	0.720	0.744	0.628	0.763

Fig. 2 Internal consistency of the questionnaire on risk behaviour

Risk behaviour components	Xenophobic and aggressive behaviour	Virtual reality	Risk health habits	Internet Addiction	Self-harm	Risk sexual behaviour
α	0.653	0.674	0.809	0.706	0.688	0.689

Fig. 3 Age distribution of research sample

AGE	f	%
14	1	0.3
15	9	2.5
16	94	25.8
17	170	46.7
18	82	22.5
19	5	1.4
Missing	3	0.8
TOTAL	364	100

As can be seen in Table 3, the primary research sample consisted of adolescents studying at high schools. The target group was selected deliberately based on its developmental specificities and increased tendency to risk behaviour. The respondents' average age was 17 years.

The focus was on the relationship between overall self-care and overall risk behaviour in adolescents. The Spearman's rank correlation coefficient (non-parametric statistics) was used for statistical processing.

SCA	RBQ
	r=-0.324
	p(α)=0.000
	N=364

Fig. 4 The correlation between self-care and risk behaviour

*** p<0.001

Table 4 shows a statistically significant correlation between the concept of self-care and the concept of risk behaviour p(α)=0.000. The relationship between the investigated variables is medium strong but negative. Negative correlation indicates that as one variable increases, the other decreases. It means that increased self-care reduces risk behaviour in adolescents.

Subsequently, gender differences were investigated in all self-care components. The differences can be seen in Table 5. Gender differences in self-care components were identified using the Mann-Whitney U test. Based on these results, it can be stated that statistically significant differences were found in two self-care components. Specifically, deliberate problem-solving strategies and adolescents' free time. Other self-care components showed certain gender differences as well, however, none of them statistically significant.

Fig. 5 Gender differences in the self-care components

SCA component	gender	n	X	Med(x)	Z	p(α)
SCA1	Males	102	3.62	3.71	-0.035	0.972
	Females	258	3.62	3.71		
SCA2	Males	102	4.33	4.57	-1.063	0.288
	Females	258	4.23	4.42		
SCA3	Males	102	4.87	5	-3.179	0.001
	Females	258	4.54	4.66		
SCA4	Males	102	5.20	5.43	-1.676	0.094
	Females	258	5.3	5.50		
SCA5	Males	102	3.54	3.60	-1.862	0.063
	Females	258	3.30	3.40		
SCA6	Males	102	4.47	4.66	-0.230	0.818
	Females	258	4.43	4.66		

* * * p<0.001

SCA1 – school self-care strategies SCA2 – social climate in the school environment SCA3 – deliberate coping strategies SCA4 – universal self-care SCA5 – adolescents' free time SCA6 – family

The following table shows gender differences in adolescent risk behaviour. Statistically significant differences in components focused on xenophobic and aggressive behaviour, risk health habits, and self-harm were confirmed. Some differences were found in other components as well, but none of them statistically significant.

Fig. 6 Gender differences in the risk behaviour components

RBQ component	gender	n	X	Med(x)	Z	p(α)
RSI1	Males	102	12.54	12	-3.819	0.000
	Females	258	10.11	9.2		

	Males	102	6.04	4.25	-1.114	0.265
RBQ2	Females	258	5.74	3.25		
	Males	102	14.11	12	-2.474	0.013
RBQ3	Females	258	16.26	16		
	Males	102	22.81	23.58	-1.108	0.268
RBQ4	Females	258	23.8	25		
	Males	102	9.75	9.25	-4.081	0.000
RBQ5	Females	258	12.31	12.25		
	Males	102	5.54	3.25	-1.413	0.158
RBQ6	Females	258	6.71	3.25		

* * * p<0.001

RBQ1 – xenophobic and aggressive behaviour RBQ2 – virtual reality RBQ3 – risk health habits RBQ4 – Internet addiction RBQ5 – self-harm RBQ6 – risk sexual behaviour

The investigation proved gender differences in self-care and risk behaviour within the target group.

Discussion and conclusion

In this part of the paper, the results will be compared with other research focused on similar subject matter. Kirk and Pryjmachuk (2019) researched self-care in adolescents with persistent mental problems. Their research sample consisted of adolescents under 18 years and their main research method was the meta-analysis of research findings. The study showed that self-care improves mental health in adolescents and reduces the consequences of mental disorders. The research also showed that self-care reduces the costs of health care in mentally ill adolescents. Masoumi and Shahhosseini (2019) performed a similar study focused on challenges related to self-care faced by adolescents. Their summarising study analysed a database of previous research. They found that self-care in adolescents differs based on age, gender, and other demographic factors. The main finding was that the expert working with adolescents must be properly acquainted with universal self-care. Besides other factors, the research presented here focused on the gender differences in the individual self-care components. A statistically significant gender difference was confirmed in the component focused on adolescents' psychological attributes (SCA3). Other components showed certain differences, but none of them statistically significant. The findings confirmed that to reduce the probability of risk behaviour, it is necessary for adolescents to perform self-care activities.

Pašková, Stehlíková, Valihorová (2018) performed a study of risk behaviour in early school aged children from the teachers' perspective. The research sample consisted of primary school pupils (N=316) and 20 teachers at the first stage of primary school. The "Risk behaviour in pupils" scale (Mezera et al., 2000) was used to measure risk behaviour and the authors also measured the gender differences in the individual forms of risk behaviour using the Mann-Whitney U test. Results showed significant gender differences in almost all forms of risk behaviour (asocial, antisocial, impulsive, maladaptive, negativistic behaviour). They used the same RBQ questionnaire of risk behaviour (Lovašová, 2019) as this study. The research also confirmed gender differences in the individual areas of risk behaviour in adolescents (xenophobic and aggressive behaviour, virtual reality, risk health habits, Internet addiction, self-harm, risky sexual behaviour). Interestingly, our research revealed a higher rate of risk behaviour in girls than in boys. On the contrary, Pašková, Stehlíková and Valihorová found a higher rate in boys. The discrepancy may result from age differences between the research samples in these two studies.

Selecká, Václaviková, Blatný, and Hrdlička (2017) focused on the typology of antisocial behaviour in adolescents. They used data from the SAHA project and investigated the gender differences in the given type of behaviour. Their results showed that boys and girls differ significantly in almost all aspects of antisocial behaviour and its symptoms (smoking, alcohol, other drugs, sexual activity). The cluster of problem-free individuals in their research file is larger among girls. Again, in our research sample, girls showed a higher rate of risk behaviour than boys.

The presented paper aimed to define self-care in adolescents as a target group. The importance of self-care to reduce risk was confirmed in the research sample. It can be assumed that self-care has a positive effect and reduces risk behaviour symptoms. Based on the presented theoretical and empirical findings, it can be stated that the area of self-care needs to be developed. Its potential could be used positively for preventive and intervention programmes as well as in new methods of working with adolescents as a target group.

References

[1] Božeková, A. 2014. Sociálny kapitál ako prevencia negatívnej agresivity adolescentov. Ostium, vol. 10, no. 4, pp. 1–11.

[2] Čerešník, M., Gatial, V. 2014. Rizikové správanie a vybrané osobnostné premenné dospievajúcich v systéme nižšieho sekundárneho vzdelávania. Nitra: UKF.

[3] Čerešník, M. 2019. Rizikové správanie, blízke vzťahy a sebaregulácia dospievajúcich v systéme nižšieho sekundárneho vzdelávania. SPU Nitra.

[4] Denyes M. J., Orem, D., Bekel, G. 2001. Self-care: a foundational science. Nurs Sci Q. vol. 14, no. 1, pp. 48–54.

[5] Dolejš, M. 2010. Efektívna včasná diagnostika rizikového chování u adolescentů. Olomouc: UP Olomouc.

[6] El-Osta et al. 2019. The self-care matrix: A unifying framework for self-care. SelfCare, vol. 10, no. 3, pp. 38–56.

[7] Emmerová, I. 2003. Primárna prevencia a programy prevencie drogových závislostí v podmienkach ZŠ v Slovenskej republike. Sociální pedagogika – Pedagogická orientace, 4, pp. 73–82.

[8] Galáš, J. 2006. Činnosť Protidrogového fondu a projekty kultúrnych inštitúcií. Kultúra a primárna prevencia závislostí. Národné osvetové centrum.

[9] Godfrey, C. M. et al. 2011. Care of self – care by other – care of other: the meaning of self-care from research, practice, policy, and industry perspective. International Journal of Evidence-Based Healthcare, 9, pp. 3–24.

[10] Jaarsma, T., Strömberg, A., Martensson, J., Dracup, K. 2003. Development and testing of the European Heart Failure Self-Care Behaviour Scale. The European Journal of Heart Failure, 5, pp. 363–370.

[11] Jessor, R. 1991. Risk behavior in adolescence: a psychosocial framework for understanding and action. Journal of Adolescent Health, vol. 12, no. 8, pp. 597–605.

[12] Jessor, R., Turbin M.S. 2010. Problem Behavior and Psychosocial Developpment: The Role of Psychosocial and Behavior Protection Risk. Journal of Research on Adolescence. Medford: Wiley, vol. 20, no. 3, pp. 707–725.

[13] Juhásová, A., Debnáriková, K. 2016. Školské prostredie ako priestor pre prevenciu delikvencie. Univerzita Komenského v Bratislave.

[14] Havlík, R. Koťa, J. 2002. Sociologie výchovy a školy. Praha: Portál.

[15] Kagan, J. 1991. Etiologies of Adolescents and risk. Journal of Adolescent Health, vol. 12, no. 5, pp. 591–596.

[16] Kelo, M., Martikainen, M., Eriksson, E. 2011. Self-care of school-age children with diabetes: an integrative review. Journal of advanced nursing, vol. 67, no. 10, pp. 2096–2108.

[17] Kipping, R. R. et al. 2012. Multiple Risk Behaviour in Adolescence. Journal of Public Health. vol. 34, no. 1, pp. 11–12.

[18] Kirk, S., Pryjmachuk, S. 2019. Self-Care of Young People with Long-Term Physical and Mental Health Conditions. Nursing Children and Young People, vol. 28, no. 7, pp. 20–28.

[19] Kocourkova J., Koutek, J. 2003 Sebevražedné chování. Praha: Portál.

[20] Kraus, B., et al. 2006. Středoškolská mládež a její svět na přelomu století. Brno: Paido.

[21] Kulifaj, P. 2017. Preventívne aktivity. Implementačná agentúra Ministerstva práce sociálnych vecí a rodiny Slovenskej republiky.

[22] Lee, V., E., Bryk, A., S., Smith, J., B. 1992. The Organization of Effective Secondary Schools. Review of Research in Education, 19, pp. 171–267.

[23] Lichner V., Šlosár D. 2017. Problematické používanie internetu u adolescentov v kontextoch teórie a praxe sociálnej práce. Košice: FF UPJŠ.

[24] Macek, P. 2003. Adolescence. Portál.

[25] Macek, P. 2008. Sebesystem, vztah k vlastnimu Ja. In J. Vyrost, I. Slaměnik (Eds.). Sociální psychologie. pp. 181–207. Praha: Grada Publishing. Macek, P., Štefánková, Z. 2006. Vztahy s rodiči a jejich souvislosti s citovou vazbou. Barrister and Principal.

[26] Macek, P. a Lacinová L. 2006. Vztahy v dospívání. Brno: Barrister & Principal, pp. 41–53.

[27] Masoumi, M., Shahhosseini, Z. 2019. Self-Care Challenges in Adolescents: a Comprehensive Literature Review. International Journal of Adolescent Medicine and Health, vol. 31, no. 2, pp. 1–6.

[28] Mezera, A., et al. 2000. Škála rizikového správania. Bratislava: Psychodiagnostika s.r.o.

[29] Miovský, M. a kol. 2012. Výkladový slovník základních pojmů školské Prevence rizikového chování. Praha: Togga.

[30] Novotný, P. S., Okrajek P. 2012. Vliv vybraných charakteristik rodinného prostředí na rizikové chování 15tiletých adolescent [online]. [cit. 2019-12-12]. In: Psychologie. Elektronický časopis ČMPS. Available at:http://www.vyzkummladez.cz/zprava/1347014675.pdf. ISSN 1802-8853.

[31] Neihart, M. 1999. Systematic risk-taking. In Roeper Review, vol. 21, no. 4, pp. 289–292.

[32] Nielsen Sobotková, V. et al. 2014. Rizikové a antisociální chování v adolescencii. Praha: Grada.

[33] Obdržálek, Z. 1999. Škola, školský systém, ich organizácia a riadenia. Bratislava: Polygrafické stredisko UK.

[34] Orosová, O. 2003. Pomoc – Prevencia – Rovesníci alebo „Preventívne nie nepoškodí": inovatívne metódy v prevencii drogových závislostí v školskej praxi. Košice: Filozofická fakulta Univerzity Pavla Jozefa Šafárika v Košiciach.

[35] Orosová, O., Gajdošová, B., Van Dijk J. P. 2007. Rizikové faktory užívania drog dospievajúcimi. In Československa Psychológia, vol. 51, no. 1, pp. 32–47.

[36] Orosová, O. - Gajdošová, B. - Salonna, F., 2007. Prevencia a prediktívne faktory užívania drog. Košice: Harlequin quality.

[37] Pašková, L., Stehlíková, J., Valihorová, M. 2018. Rizikové správanie žiakov mladšieho školského veku z pohľadu učiteľov primárneho vzdelávania. Psychologie a její kontexty, vol. 9, no. 1, pp. 15–28.

[38] Punová, M. 2012. Resilience v sociální práci s rizikovou mládeží. In Sociální práce /Sociálna práca, vol. 4, no. 2, pp. 90–104.

[39] Sak, P. 2000. Proměny české mládeže. Praha: Petrklíč.

[40] Selecká, L., Václaviková I., Blatný M., Hrdlička, M. 2017. Typológia antisociálneho správania: Špecifiká prejavov adolescentných chlapcov a dievčat vo vzťahu k rizikovému sexuálnemu správaniu. Česká a Slovenská Psychiatrie, vol. 113, no. 6, pp. 258–267.

[41] Schavel, M., Číšecký, F., Oláh, M. 2010. Sociálna prevencia. Vydavateľstvo: Prohu.

[42] Stuchlíková, I. 2002. Základy psychologie emocí. Praha: Portál.

[43] Svetlíková, S. 2018. Sociálna prevencia a jej význam. Fakulta sociálnych vied, Katedra sociálnych služieb a poradenstva UCM Trnava.

[44] Szijjártová, K., Malá, D. 2008. Učebný a sociálny proces v triede. Nitra: CCV PF UKF.

[45] Širůček, J., Širůčková, M., Macek, P. 2007. Sociální opora rodičů a vrstevníků a její význam pro rozvoj problémového chování v adolescenci. Československá psychologie, vol. 51, no. 5, pp. 476–488.

[46] Vágnerová, M. 2004. Psychopatologie pro pomáhajúcí profese. Praha: Portál.

[47] Vágnerová, M. 2012. Vývojová psychologie. Portál.

Risk Behaviour on the Internet in the Context of Loneliness in Adolescents

Andrea Vašková

Soňa Lovašová

Pavol Jozef Šafárik University in Košice

Abstract

The aim of this paper at the theoretical level was to characterize risk behaviour on the Internet including its forms. In the theoretical part of the paper, the authors clarified, among other things, the issue of loneliness and outlined the most common causes of loneliness. The authors defined loneliness from the viewpoint of adolescence as a developmental period. At the empirical level, the aim of the authors was to identify differences in the incidence of risk behaviour on the Internet in adolescents in terms of their socio-demographic characteristics. Another goal was to point out the correlations between risk behaviour on the Internet and loneliness.

Keywords: Risk Behaviour on the Internet, Internet, Loneliness, Adolescence, Adolescents, Forms of Risk Behaviour on the Internet

Introduction

The Internet and the risks it poses globally cannot be considered brand new, but they remain highly topical. Most research focused on experiencing loneliness so far has indicated that risk behaviour on the Internet may occur as a result of individual loneliness, which represents a predictor of risk behaviour and risky use of the Internet (Caplan, 2007; Ceyhan a Ceyhan, 2008; Kim, LaRose a Peng, 2009; Morahan a Schumacher, 2003). Only few studies have investigated the relationship between loneliness and risky use of the Internet from the opposite direction. Some studies focused on specific forms of risk behaviour as a predictor of experiencing loneliness (Yoder, Virden and Amin, 2005). Banerjee and Rai (2020) have pointed out that significant social-economic, political, and psychosocial impacts from the current situation can be observed. Billions of people were quarantined to contain the infection. However, social isolation leads to chronic loneliness and boredom, which may have negative effects on physical and mental well-being (Banerjee and Rai, 2020). In such situations, an individual seeks substitute resources to eliminate loneliness. The Internet belongs among these resources as an inseparable part of not only adults' but also adolescents' lives today. These times are marked with changes, which affect everyone. COVID-19 is being addressed not only in medicine, but also in humanities and social sciences. It is because COVID-19 is closely connected with social isolation. Adolescents had to adapt to the online environment in education and started using the Internet even more than before. The information and communication technologies (ICT) have truly become an inseparable part of their everyday life. Social interaction with teachers, classmates and friends shifted suddenly and unexpectedly moved to the Internet. What is the impact of this change on adolescents' mental health and the development of their personal identity? This paper clarifies the relationship

between risk behaviour on the Internet and loneliness. The level of loneliness experienced before the COVID-19 pandemic started will be described in the discussion. Other changes related to the current situation will be pointed out and this study will be compared with previous research.

Risk behaviour on the Internet

Risk behaviour on the Internet in the context of adolescence can be described as participation in situations, which increase the probability that the adolescent's personality or other people will be negatively affected. These negative effects include emotional issues, victimisation, deterioration of social or academic performance (Valcke et al., 2011).

Risk behaviour on the Internet can be addressed from a number of viewpoints as the Internet provides a broad variety of possible uses. It means that adolescents can engage in risk behaviour in a range of areas on the Internet. All these areas would be impossible to address in a single study. Therefore, this research focused on the activities performed most frequently by adolescents on the Internet that pose a potential risk. Hamburger and Artzi (2003) have pointed out that people use the Internet in different ways based on their personal preference.

The research performed by Gregusová, Tomková and Balážová (2010) has identified gender differences in the activities performed by adolescents on the Internet. They found that girls prefer to chat and engage in social networks while boys prefer playing online games. In terms of risks, boys may be more at risk from online game or pornography addiction as well as online shopping scams. Girls are more at risk from interaction with other people on social networks. Such risks include sexual harassment and contact with sexual aggressors. Benkovič (2007) has stated that the most frequently visited websites relate to gambling and dating.

Types of risk behaviour on the Internet

From the psychopathological point of view, risk behaviour can be divided into these categories:

behavioural disorders

mental disorders and behavioural disorders caused by the use of psychoactive substances

habit and impulse disorders

non-addictive substance abuse

disorders related to sexual object preference (Čerešník a Gatial, 2014)

However, this categorisation is not ideal, as some potential risk behaviour areas are missing. For example, non-substance addiction such as Internet addiction, social network addiction, shopaholism, etc. These issues pose mainly a social and interactional risk (Čerešník a Gatial, 2014).

Another risk behaviour categorisation specifies two basic groups. The first one includes behaviour causing mental and physical issues in adolescents, and the second one is related to the influence created by other people and often associated with social risk (Macek, 2003).

The concept of risk behaviour usually includes non-substance addictions such as gambling, ICT misuse, etc. (Miovský et al., 2010). Besides general divisions, ICT-related categorisations have been emerging recently. The "new" forms of risk behaviour have been defined. They

result from modern communication addictions which represent the primary consequences of this type of risk behaviour (Lichner and Šlosár, 2017). Young (1999) has determined four categories of specific Internet addiction forms: They include virtual sex addiction, virtual relationship addiction, online gambling and shopping addiction, information addiction, and computer addiction.

The basic characteristics of non-substance addictions are very similar to the best known non-substance addiction so far, a habit and impulse disorder – pathological gambling. It includes these symptoms:

strong desire for pleasant experience and deep involvement

difficulty controlling the activity

preferring the activity to other activities

performing the activity despite emerging problems (Benkovič, 2007)

The progress in society reflecting the development of ICT along with premature adolescence should not be used as an apology or explanation for the adolescent's failures. Instead of creating specific primary prevention programmes focused on a single problem, it is necessary to focus on development and support of the adolescent's personality. Proper attention should be paid to developing social skills so that the adolescent learns to realize they are responsible for their own behaviour (Madro a Kohút, 2016).

For this research, Blinka's categorisation (2015) of the Internet areas in which problems may arise will be used

virtual sexuality

virtual relationships

information

social networks

computer addiction

These components cannot be referred to as risk behaviour on the Internet as such since, they merely refer to categories that pose a risk. However, their individual characteristics integrate the symptoms of risk behaviour on the Internet. **Virtual sexuality** as such is not considered risk behaviour on the Internet, but some of its manifestations are. For example, the overuse of pornographic websites, sharing nudes in private messages or publishing them on public websites. Risk behaviour in **virtual relationships** may manifest as complete involvement, preferring them to real-life relationships and the inability to see the difference, or using a false identity to establish virtual friendships. **Information**-related risks include the urge to constantly look for information, trust in disinformation, misusing information for one's own benefit, etc. The main point of **social networks** is to facilitate communication. In this area, risk behaviour includes excessive communication in the virtual environment at the expense of real-life, aggressive, vulgar, and other negative forms of communication. **Internet compulsions** are also an interesting phenomenon in the virtual environment; this term refers to excessive online gaming, unregulated online shopping, etc. (Blinka 2015, Young 1999).

Risk behaviour on the Internet also includes cyberbullying and real-life meetings with people met in the online environment (Guadix-Gámez, Borrajo a Almendros, 2016). Paluckaitė and Matulaitienė (2016) have divided risk behaviour on the Internet into five basic forms: risky sexual behaviour, communication with strangers, sharing personal information, cyberbullying, and access to age-inappropriate websites.

To sum up, specialised literature offers numerous categorisations of risk behaviour on the Internet. Some of them overlap while some do not. However, all of them share one attribute – the presence of negative phenomena frequently faced by adolescents. A negative phenomenon refers to any negative content or behaviour across which the adolescent may come in the virtual environment.

Loneliness in adolescents

Today, adolescents can use a variety of ways to interact with other people. They can use anything from text messages and online social networks to extracurricular activities to socialize. However, their feelings of loneliness and isolation are increasing. Many adolescents have stated that they feel lonely even in the presence of their family and friends (Margalit, 2011).

Peplau and Perlman (1982) have characterised loneliness using three characteristics:

loneliness is subjective – it results from our own interpretation of events

loneliness can be seen as a consequence of certain deficiencies in interpersonal relationships

loneliness is unpleasant

Intense physical, cognitive, or emotional developmental experience, an identity crisis, or the need for individualisation and autonomy may lead the adolescent to experience loneliness. There are also individual attributes that may enhance loneliness. For example, low self-respect, deficient social skills or self-confidence, unrealistic expectations from social relationships, and frequent conflicts with parents (Tabak and Zawadzka, 2017).

A partial goal of this study is to seek appropriate intervention to eliminate loneliness resulting from risk behaviour on the Internet. It is of key importance to find out why the adolescent escapes into the virtual environment in the first place, because their reasons are the primary factors affecting the emergence of further issues resulting from the adolescent's decisions.

Research

The primary goal of this research was to empirically identify the correlation between risk behaviour on the Internet and loneliness. It also aimed to identify the differences in incidence of risk behaviour on the Internet in terms of sociodemographic characteristics of adolescents. Last but not least, the research focused on identifying predictions for risk behaviour on the Internet related to loneliness in adolescents.
This part of the paper describes the research performed and the methods applied.

Methodology

The research was performed using quantitative methodology. A questionnaire was used to perform quantitative research. The questionnaire battery consisted of multiple parts. The first part aimed to collect data on risk behaviour on the Internet, the second part identified the level

of loneliness, and the third part focused on demographic data and other information necessary for the research.

A Risk Behaviour on the Internet (RBI) questionnaire created by the authors themselves (Vašková and Lovašová, 2020) was used to identify the incidence of specific forms of risk behaviour on the Internet. The respondents were asked to mark their answer on a 6-point scale (1–Never to 6–Always). The Cronbach's alpha of the RBI questionnaire was 0.885. It consists of 37 items divided into 3 basic dimensions. The three dimensions integrate different forms of risk behaviour on the Internet.

Virtual sexuality – overuse of pornographic websites, sharing nudes in private messages or publishing them on public websites. (Cronbach's alpha=0.785)

Social networks – excessive communication in the virtual environment at the expense of real-life, aggressive, vulgar, and other negative forms of communication. (Cronbach's alpha=0.796)

Internet compulsions – excessive online gaming, unregulated online shopping. (Cronbach's alpha=0.783)

The standardised UCLA loneliness scale (Russell, 1996) was used to identify the level of loneliness experienced in adolescents. The scale consists of twenty statements measuring the subjective feeling of loneliness and social isolation. Half of the statements reflect satisfaction with social relationships and half reflect dissatisfaction. The respondents can mark the answer on a 4-point scale (1–Never to 6–Always). The Cronbach's alpha of the original UCLA scale was 0.89–0.94. The Cronbach's alpha measured by the research team was 0.89.

The questionnaire battery also included sociodemographic characteristics necessary for the purpose of the research.

Research file characteristics

The research sample consisted of 200 respondents. 124 female and 76 male respondents participated. The respondents were selected using cluster random sampling. The gender distribution of the research sample can be seen in the chart below.

Female   Male
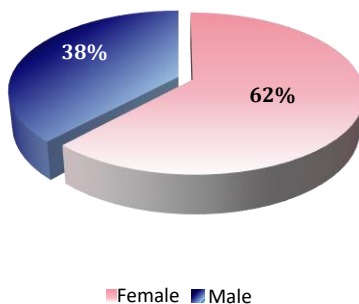
The sample was also divided according to age. The research file included adolescents in middle to late adolescence, i.e. 13–21 years of age. The age distribution can be seen in Table 1. The average age of the research sample was 16.62 years.

Age	f
13	1
14	14
15	28
16	57
17	45
18	35
19	14
20	4
21	2

Statistical processing of the results and their interpretation

In this part of the paper, the research will be presented. It focused on (1) gender differences and (2) age differences in the behaviour on the Internet. Besides differences, correlations between loneliness and individual dimensions of risk behaviour on the Internet were investigated. A combination of correlation and causal-comparative research methodology was used and the results were processed using the SPSS statistical program. Results can be seen in the tables below.

The first part of the questionnaire aimed to identify the rate of risk behaviour on the Internet in adolescents using the authors' own RBI questionnaire. The respondents with higher scores showed higher rates of risk behaviour on the Internet. The respondents with lower scores showed lower rates of risk behaviour on the Internet. The maximum and minimum scores were 222 and 37 respectively. The average value of the answers on the scale from 1–Never to 6–Always in the research sample was 1.94.

The second part of the questionnaire aimed to identify the level of loneliness in adolescents. The maximum and minimum scores were 80 and 20 respectively. The higher the score, the higher the level of loneliness. The average score in the questionnaire focused on the subjective feeling of loneliness was 2.18.

Gender differences in the incidence of risk behaviour on the Internet

The Mann-Whitney U test for two independent samples (Z=-0.329) was used to identify gender differences in the **incidence of risk behaviour on the Internet.** The table below shoes that p(α)=0.742, therefore no statistically significant difference in terms of gender could be observed. Females in this research demonstrated more risk behaviour on the Internet than males, but the difference is insignificant. It can be stated that there are no statistically significant gender differences in risk behaviour on the Internet, although certain differences can be observed.

	Gender	N	Med(x)	X	U	Z	p(α)
Risk behaviour on the Internet	Female	124	0.47	1.95	4581.5	-0.329	0.742
	Male	76	0.38	1.92			

Age differences in the incidence of risk behaviour on the Internet

Besides gender differences, age differences in risk behaviour on the Internet were also investigated using the Kruskal-Wallis test for multiple samples. Age differences in the incidence of risk behaviour on the Internet do exist as shown by this research, $p(\alpha)=0.034$ indicates a statistically significant difference. The results indicated the highest rate of risk behaviour in fourteen year old (X=2.41) and the lowest rate in twenty-one year old adolescents (X=1.56). It could be explained by the fact that at the point when early adolescence turns into middle adolescence at 14, major puberty-related changes are taking place. During this period, the interest in peers of the opposite sex increases and cognitive processes are developing. Erikson (in Langmeier and Krejčířová, 1998) has stated that at this time, adolescents face feelings of insecurity, self-doubt and doubt their place in society. In the context of fighting these feelings of insecurity and self-doubt, the adolescent may think the Internet the most suitable place to solve their problems. On the other hand, in 21-year-old adolescents, the social aspect of their identity is significantly enhanced.

	age	N	Med(x)	X	χ	$p(\alpha)$
Risk behaviour on the Internet	13	1	2.02	2.02	16.66	0.034
	14	14	1.94	2.41		
	15	28	1.90	1.91		
	16	57	2.02	2.02		
	17	45	1.91	1.86		
	18	35	1.78	1.80		
	19	14	1.75	1.85		
	20	4	1.61	1.80		
	21	2	1.56	1.56		

The correlations between loneliness and individual dimensions of risk behaviour on the Internet

For the purpose of investigating the correlations between loneliness and the "social networks" dimension, the Spearman's rank correlation coefficient for non-parametric statistics was used. The value of the correlation coefficient (r=0.183) indicates there is a weak correlation between loneliness and the "social networks" dimension. The correlation is statistically significant as shown by $p(\alpha)=0.009$. It means that the higher the level of loneliness experienced by the adolescents, the higher their risk of risk behaviour on social networks. The relationship works vice versa as well: The more risky the adolescents' behaviour on the Internet, the lonelier they feel.

	N	r	$p(\alpha)$
Loneliness	200	0.183	0.009**
Social networks			

**$p(\alpha)<0.01$

In the context of this result, further differences identified in loneliness experienced in relation to the time spent by the adolescents on the social networks can be pointed out. The Mann-

Whitney U-test (Z=-3.065) shows there are statistically significant differences (p(α)=0.002) in loneliness depending on the amount of time spent on social networks. The averages show that adolescents who spent more than 6 hours on the social networks a day (X=2.34) score higher in loneliness, i.e. they feel lonelier. The more time adolescents spend on social networks, the more time to share their emotions and thoughts in the form of posting they have. The more time for posting they have, the more the risk that they will start behaving in a risky manner increases. These activities can be perceived as a way to compensate for their loneliness using Internet social networks.

	Amount of time spent on social networks	N	Med(x)	X	U	Z	p(α)
Loneliness	less than 6 hours	133	2.10	2.11	3108.0	-3.065	0.002**
	more than 6 hours	64	2.40	2.34			

**p(α)<0.01

Another goal was to investigate whether there was a significant correlation between loneliness and the "Internet compulsions" dimension. The correlation coefficient indicates a weak correlation, however, statistically significant. It can be stated that there are statistically significant correlations between loneliness and the "Internet compulsions" dimension. Kolibová (2013) has stated that Internet compulsions undoubtedly relate to the amount of time adolescents spend on the Internet, which can also be considered a risk factor.

Internet compulsions usually takes the form of unregulated online shopping or online gaming. In this research, 14-year old adolescents spent time gaming the most frequently – 4.79 hours daily on average. As for online shopping, 14-year old adolescents also scored the highest – 2.07 hours daily on average. Toporcerová (2019) has claimed that playing videogames and using new technologies illustrate how lonely and vulnerable the young people are when they are exploring the digital world.

Intensive and long-term online gaming leads to addiction, and in turn, loneliness.

	N	r	p(α)
Loneliness	200	0.214	0.002**
Internet compulsions			

**p(α)<0.01

Loneliness and Risk Behaviour on the Internet

Last but not least, this research investigated whether there were any significant correlations between loneliness and risk behaviour on the Internet. A weak correlation was found between these two variables (r=0.205), however, statistically significant (p(α)=0.04). The results indicate that the lonelier the adolescent feels, the more risky their behaviour on the Internet. There are multiple reasons, e.g. if the adolescents feels lonely in real life for some reason, they seek resources to compensate this deficiency elsewhere. These resources can often be found on the Internet, which offers seemingly quick and effective solutions to the adolescent's problems. The results also indicate that the more risky the adolescent behaves on the Internet, the lonelier they feel. It can be cause by complete involvement in the virtual world, which is a form of risk behaviour on the Internet. On the other hand, loneliness resulting from risk behaviour on the Internet may also relate to exclusion from the peer group that does not agree with the individual's behaviour on the internet.

	N	r	p(α)
Loneliness	200	0.205	0.04*
Risk behaviour on the Internet			

*p(α) <0.05

Discussion – Loneliness in Adolescents (and COVID-19)

Križanová and Verešová (2020) researched experiencing loneliness in adolescents in the context of attachment to their parents and peers. The research file consisted of 305 respondents; 171 females and 134 boys aged 15–20. The goal of their research was to identify the relationship between loneliness experienced by adolescents and their attachment to parents and peers. The UCLA loneliness scale was used to measure loneliness. Qualitatively, the scores in loneliness experienced were divided as follows: 20–30: none to low loneliness; 31–42: moderate loneliness; 43–51: high loneliness; 55–67: very high loneliness; 68–80 extreme loneliness. The minimum and maximum scores on the UCLA scale were 24 and 73 points respectively. The average score was 41.41 points. Therefore, on average, moderate loneliness was measured. On the other hand, in this research the minimum and maximum scores in the same loneliness scale were 22 and 72 points respectively. The average loneliness score in this research was 43.6 points. Moderate average loneliness was identified in this research as well. Both studies were performed at roughly the same time. Lichner's (2018) research aimed to identify how loneliness affects risk behaviour in both traditional and new forms and predict how loneliness and risk in adolescents are correlated. Lichner's research used the UCLA loneliness scale, and the minimum and maximum scores in the study were 20 and 75 respectively. The average loneliness score was 37.41 points.

To sum up, three studies focused on loneliness have been reviewed with the following average loneliness scores: 41.41; 43.6; and 37.41. The higher scores in the first two studies may result from the fact that both were performed in 2020 when the COVID-19 pandemic started. Lichtner's research was performed before the pandemic. The individual differences are also interesting. As mentioned in the introduction, the COVID-19 pandemic is connected with individual isolation from the surrounding world, which may gradually increase loneliness. Although the differences in average loneliness scores are big, they need to be interpreted with the context in mind. The longer the individual isolation, the bigger the differences may become.

Conclusion

Every adolescent needs a safe and secure space in their life when they face problems they cannot solve on their own. Usually, adolescents seek help in their family. Deep and stable emotional family relationships help the adolescent maintain emotional balance. Besides family, school is also important given the amount of time the adolescent spends there. To feel emotionally stable, the adolescent needs proper conditions, which will support them in developing a healthy identity. Peer relationships also play an important role in this respect. If these components are working properly, problems arise. These can take the form of loneliness since the adolescent's needs are not saturated. The Internet offers lots of opportunities but a sensible approach to its use is necessary otherwise the adolescent may start engaging in risk behaviour.

This research proved certain correlations between risk behaviour on the Internet and loneliness. Statistically significant correlations between loneliness and individual dimensions of risk behaviour on the Internet were found. Therefore, it is of key importance to investigate the factors that cause adolescents to start engaging in risk behaviour on the Internet to select appropriate and effective tools for the elimination of such behaviour. These factors should be further researched.

Bibliography

[1] Banerjee, D., Rai, M. 2020. Social isolation in Covid-19: The impact of loneliness. International Journal of Psychiatry. vol. 66, no. 6, pp. 525–527.

[2] Benkovič, J. 2007. Novodobé nelátkové závislosti. Psychiatria pre prax. vol. 8, no. 6, pp. 263–266.

[3] Blinka, L. et al. 2015. Online závislosti. Praha: Grada Publishing.

[4] Caplan, S. 2007. Relations among loneliness, social anxiety, and problematic Internet use. In: CyberPsychology. Behavior, and Social Networking. vol. 10, no. 2, pp. 234–242.

[5] Čerešník, M., Gatial, V. 2014. Rizikové správanie a vybrané osobnostné premenné dospievajúcich v systéme nižšieho sekundárneho vzdelávania. Nitra: Pedagogická fakulta Univerzity Konštantína Filozofa v Nitre.

[6] Ceyhan, A. A., Ceyhan, E. 2008. Loneliness, depression, and computer self-efficacy as predictors of problematic internet use. CyberPsychology. vol. 11, no. 6, pp. 699–701.

[7] https://www.iuventa.sk/files/vyskumna_sprava_sk.pdf

[8] Hamburger, A. Y. & E. B. Artzi, 2003. Loneliness and Internet use. Computers in Human Behavior. vol. 19, no. 2003, pp. 71–80.

[9] Kim, J. H., Larose, R., Peng, W. 2009. Loneliness as the Cause and the Effect of Problematic Internet Use: The Relationship between Internet Use and Psychological Well-Being. Cyberpsychology & behavior: the impact of the Internet, multimedia and virtual reality on behavior and society. vol. 12, no. 4. pp. 451–5.

[10] Kolibová, D. 2013. Virtuálny svet a jeho dopad na psychiku mladého človeka. In: kniha 2013: Výchova a vzdelávania ako nástroj (de)formovania hodnotového systému spoločnosti III. Ružomberok: Verbum, pp. 25–41.

[11] Križanová, S., Verešová, M. 2020. Pripútanie sa k rodičom a rovesníkom a prežívaná osamelosť u adolescentov. In: Konvergencie vedeckej činnosti študentov a učiteľov. Nitra: PF UKF.

[12] Langmeier, J., Krejčířová, D. 1998. Vývojová psychologie.

[13] Lichner, V., Šlosár, D. 2017. Problematické používanie internet u adolescentov v kontextoch teórie a praxe sociálnej práce. Košice: Univerzita Pavla Jozefa Šafárika v Košicicach, Filozofická fakulta.

[14] Lichner, V. 2018. Prežívanie osamelosti ako predictor rizikového správania adolescnetov. Fórum sociální práce. vol. 2 no. 10, pp. 25–39.

[15] Macek, P. 2003. Adolescence. Praha: Portál.

[16] Madro, M., Kohút, M. eds. 2016. Virtuálna generácia neexistuje. Zborník Medzinárodnej vedeckej konferencie VIRTUÁLNA GENERÁCIA.

[17] Margalit, M. 2011. Lonely Children and Adolescents. Israel: Tel-Aviv University.

[18] Miovský, M. et al. 2010. Primární prevence rizikového chování ve školství. Praha: TOGGA.

[19] Morahan-Martin, J., Schumacher, P. 2003. Loneliness and social uses of the Internet. Computers in Human Behavior. vol. 19, no. 2003, pp. 659–671.

[20] Paluckaitė, U., Matulaitienė, K. Ž. 2016. Students´ Engagement in Risky Online Behaviour: The Comparison of Youth and Secondary Schools. The European Proceedings of Social & Behavioural Sciences. vol. 2016, no. 13, pp. 266–273.

[21] Peplau, L. A., Perlman, D. 1982. Theoretical approaches to loneliness. In: L. A. PEPLAU & D. PERLMAN, eds. Loneliness. A sourcebook of Current Theory, Research and Therapy. Wiley.

[22] Russell, D.W. 1996. UCLA Loneliness Scale (Version 3): Reliability, Validity, and Factor Structure. Journal of Personality Assesment. vol. 66, no. 1, pp. 20–40.

[23] Tabak, I., Zawadzka, D. 2017. Loneliness and Internet addiction of Polish adolescents. Psychiatria i Psychologia Kliniczna. vol. 17, no. 2, pp. 104–110.

[24] Toporcerová, D. 2019. Živoffline! Príručka pre animátorov a vedúcich spoločenstiev ZKSM v rámci prevencie kyberšikanovania a nadmerného užívania internetu u detí a mládeže. Spišská Nová Ves: Združenie kresťanských spoločenstiev mládeže.

[25] Valcke, M. et al., 2007. Primary school children´s safe and unsafe use of the Internet at home and at school: An exploratory study. Computers in Human Behavior. vol. 23, no. 6, pp. 2838–2850.

[26] Yoder, C.V., Virden, T. B., Amin, K. 2005. Internet Pornography and Loneliness: An Association. Sexual Addiction & Compulsivity. vol. 12, no. 1, pp. 19–44.

[27] Young, K. S. 1999. The research and controversy surrounding internet addiction. Cyber Psychology and Behavior. vol. 2, pp. 381–383.

Families Face Pandemic – A Review of Psychological Suggestions and Empirical Findings Regarding the Covid-19 Pandemic

Krisztina Törő

Gábor Csikós

Károli Gáspár University of the Reformed Church in Hungary Psychology Institute

Abstract

Aims. Even though child psychology researches related to a pandemic are extensive, the knowledge of practitioners about interventions and practices is still very limited. The complete novelty of such an epidemic situation in Europe, the diversity of terminology and methods are factors that make results hard to interpret. Therefore, the current study aims to give an overview of the psychological literature of the family aspects of the Covid-19 pandemic. **Methods**. A search was executed in four databases (Science Direct, Medline, Scopus, Google Scholar) using the following keywords: pandemic, Covid 19, family, children, adolescents, anxiety, depression. Our review focuses only on English language literature. **Results**. The majority of the articles focus on non-pathological phenomena and draws attention to the behavior of healthy populations (increase in internet use, the decline of concentration). Methods were dominated by online surveys. These surveys were mainly constructed ad-hoc and they preferred to address parents. Direct child investigations are underrepresented, but several suggestions were formulated for their optimal functioning. **Conclusion:**. Researches focusing on psychopathology emphasize the growth in the prevalence of disorders. However, other researches are needed to explore the psychodynamics of the pandemic on the family level. Our study aimed to contribute to the field by summarizing the main findings, suggestions, and interventions hoping that it might be a useful tool for practitioners and reduce the territory of the unknown.

Keywords: Pandemic, COVID 19, anxiety, depression, psychology, families, children

Introduction

Experts formulated suggestions at the very beginning of the coronavirus pandemic. These recommendations focused on efficient coping with the psychological challenges of the global epidemic. Notwithstanding the absence of such an epidemic in Europe these suggestions were created on a practical basis using the lessons of former Asian (SARS-1) or African (Ebola) epidemics. However, regional differences cannot be neglected that might be shaped by both former experiences (e.g. Singapore; Ho et al 2020) and cultural patterns in obeying rules.

The current coronavirus pandemic is not only a health issue. There are also significant effects on social and economic processes that heavily influence the daily life of even the smallest units of society, the families, and especially children. (Prime et al 2020) Cognitive maturity, personal characteristics, coping mechanisms, and resilience have a great impact on the child's

psychological responses, but the interactions within the family should be also taken into consideration. (Parsons 2020)

The long-term effects of the pandemic are unknown and there is only a small amount of research even on the normal population (Lee 2020) this review aims to 1) collect the suggestions made by experts for effective coping with the current challenges, and to 2) summarize the main findings on families.

Recommendations:

Possible factors that carry risks for adolescents were formulated at the very early phase of the pandemic. At that time little was known about the pandemic but previous experiences of natural catastrophes (see: e.g. Pisano et al 2020) or local epidemics (e.g. Remmeswaal – Murris, 2011) could be used.

The effects of the suddenly-imposed lockdown and especially the closure of schools reshape everyday life for teenagers. Missing daily routine and live peer-relations, the unpredictability due to the abrupt of (university entrance) exams, or the extra burdens of online education could turn to be the pivotal stressors for children. (Sharma et al 2020; Dubey et al 2020, Ghosh et al 2020) Experts agreed that the greatest difficulty for the children would be sudden student life changes due to school closures. (Sharma et al 2020) Some even labeled this as "disruptive exogenous shock" (Huebener et al 2020). Furthermore, the adherence to social distancing rules might be challenging for the young for their high need for social connection, their heightened sensitivity to peer influence and risk-taking. (Andrews et al 2020). Excessive social media use also contains possible dangers for adolescents (Sharma et al, 2020) as the messages of the media influences their fears, and in-middle term it might contribute to posttraumatic stress syndrome (PTSD) or phobias. So, not surprisingly besides pandemic researches also mention infodemic as a risk towards (mental) health. (Dubey et al 2020)

Recommendations drew attention to dynamics within the family. Children's emotion and cognitive regulation system are more vulnerable than adult's, so they might display impatience and annoyance, which may cause them suffering from physical and mental violence by overwhelmed parents. (Dubey et al 2020, Ghosh 2020) Intensified workload and fear of uncertainty might also hinder the parents' effective coping. (David et al 2020) Stressful family members can create a distressing family atmosphere that exposes children to secondary traumas. (Zhou et al 2020)

Plus, there are certain risk groups within the adolescent/children population who face greater challenges than their peers.

Ethnic minorities, refugees, and other marginalized groups within the society (Prime et al 2020, Ghosh et al 2020)

Institutionalized children. The deinstitutionalization of the children raises the risk of contagion. However, on the other hand, restricting the visits could reduce social support and makes harder the coping with stress (Goldman et al 2020)

Children with disabilities, including intellectual disabilities, (Ghosh et al 2020) autism and mental health disorders. For those who battle with depression, a daily routine is particularly important that might be disturbed by sudden life changes related to the pandemic. (Lee 2020)

Children of health care workers (Ghosh et al 2020; Dubey et al 2020) whose parents face a higher chance for contagion.

People diagnosed with Covid-19. (Dubey et al 2020) Quarantine increases the prevalence of post-traumatic stress syndrome and in long term, it also raises the occurrence of psychosis or suicide in adulthood. (Liu et al 2020)

For getting the full picture some other approaches are worth mentioning which focused on the possible positive effects of the pandemics. Inspired by positive psychology these suggestions highlighted that increased proximity within the family provides opportunities for promoting positive relationships by engaging in collaborative activities. Plus, adolescents may find themselves to be experts of the household technology expert that might raise their self-esteem and agency. (Dvorsky et al, 2020; Bruining et al 2020) However, these suggestions represent a minority compared to those that emphasize risks and threats.

Suggestions

Suggestions concentrated on 1) children/adolescents or 2) parents and family and finally, on 3) broader social context.

Recommendations focusing on adolescents generally highlight the importance of daily routine (Lee et al 2020, Parsons et al 2020) and a sufficient amount of sleep and physical activity. (Király et al 2020, Davis et al 2020). Coping with a stressful situation might be facilitated by information acquiring and the use of stress-reducing techniques. (Király et al 2020, Zhou et al 2020).

Another group of suggestions focuses on the family as a microsystem. This draws attention to the value of maintaining communication among family members (Király et al 2020). Family can function as a buffer for children regarding negative impacts. Family members might perceive the unpredictable events as threatening that promote anxiety. But, speaking openly about their feelings and thoughts can reduce stress effectively. (Dalton et al 2020) However, stress raises the prevalence of authoritative parenting or even domestic violence which hinders this type of communication. (Usher et al 2020; Cambell 2020; Prime et al 2020) Parents can reduce the stress of their children by 1) looking after their own mental wellbeing 2) providing age-appropriate information 3) reducing exposure to news and social media related to Covid-19 4) maintaining routines 5) involving children in a family plan to mitigate risk and promote mental and social wellbeing (Parsons 2020)

Parents also function as role models for the children (Király et al 2020) The parental experiences and perceived stress can raise the stress of their children due to secondary traumatization. For that reason, it seems important to provide support for parents in managing stress. (Zhou et al 2020,

In a broader context, the importance of social experiences should be also mentioned. Peer-influence is strong among adolescents and this can be even useful in promoting risk-avoiding behavior. It would be beneficial to involve teenagers in health campaigns for they convince their peers more effectively in e.g. prosocial behavior or physical activity. (Andrews et al 2020; Davis et al 2020) Experts also highlight the responsibility of the whole society. The Childcare system, school, and other institutions of the social sector should also provide psychological help both for children and adults who work with families (including teacher and child care workers) Teachers and parents should be trained not only in improving their self-help skills

but also in detecting early signs of risks and disorders among children. (Liu et al 2020) There is also an urgent need for a supporting network that can concentrate on the families as wholes. (Goldman et al 2020; Zhou et al 2020)

Empirical findings

In the following, those researches are collected that was focusing on how the life of children/adolescents affected by the pandemic. Researches could acquire data by

(1) investigating the children/adolescents themselves

(2) asking parents about the psychological status of their children

(3) investigation of the family as a microsystem

(1) Studies examining adolescents directly

In accordance with the expectations formulated by the expert previously the greatest challenge for children was the school closures. Over 90% of enrolled learners worldwide were out of education (Lee 2020; Ellis et al 2020) First findings of Chinese research on a sample of 1210 persons pointed students as members of a risk group due to experiencing a high level of psychological distress. (Ho et al 2020) As in many countries, university entrance exams were postponed late adolescents faced a lot of uncertainty. According to a poll by a student counseling group in Hong Kong one-fifth of the 757 candidates said their stress levels were at a maximum 10 out of 10. In the United Kingdom, 83% of the participants in a survey that included young people up to 25 years with mental illness history reported the worsening of their living conditions due to the pandemic. (Lee 2020)

Qualitative research was carried out in Spanish research that highlighted the importance of feeling guilt which can be a marker for post-traumatic stress symptoms. This study detected boredom, anger, tiredness, and loneliness among children on one hand, but also found several signs of positive sentiments including joy and happiness for the increased amount of shared activities by the family members. So, it should be noted that families were doing great work in creating safe and pleasant spaces for the youngest. (Idoiaga et al 2020) For the descriptive statistics of the researches mentioned here, see Table 1.

sample	surveys	source
n= 228 Mage = 7.14±2.57	free association exercise	Idoiaga et al 2020)
n = 1,054 Mage = 16.68±0.78	Covid-19 Test, Social Media Use, Time in daily activities, Brief Symptom Inventory (Depression), Loneliness Scale, Physical Activity	Ellis et al 2020
N1= 86, N2= 196, N3= 54 undergraduate students	perceived stress scale, GCES Depression Scale, Anxiety Disorder 7 Scale, UCLA Loneliness Scale,	Elmer et al 2020
n= 683 Mage = 16.35±1.13	Patient-Reported Outcomes Measurement Information System (PROMIS)anxiety scale; Interpersonal Needs Questionnaire	Oosterhoff et al 2020

Table 1: Descriptive statistics of some major research with a focus on the experiences of the adolescents

Focusing on youth in their middle – or late adolescence research found the virus, the schooling, and peer relationships as the greatest subject of concern in Canada. Those who spend more time on social media reported a higher level of loneliness and depression. Physical activity and

family time correlated with a lower level of depression while connecting to friends virtually raised its prevalence. (Ellis et al 2020)

The surveying of undergraduate students revealed that friendship networks remained relatively stable, while informational and emotional support nominations slightly increased. They reported that personal problems affected them more than usual. Students felt more socially isolated, and they were more worried about family and friends, the economy, and their future carrier. Surprisingly, they were only slightly more worried about their own health or their financial situation. (Elmer et al 2020) Taking personal responsibility for others proved to be a center motivation for adolescents in other researches too. Teenagers most commonly named prosocial motivation in their engagement towards social distancing. Social responsibility (78,1%), not wanting others to get sick (77,9%) were the core elements in their responses. Not wanting to personally get sick remained underrepresented (57,8%) comparing to prosocial reasons. (Oosterhoff et al 2020)

(2) Research examing children through parental perception

Experts in their recommendation highlighted that the absence of hostile parenting patterns and parental wellbeing plays an important role in maintaining the children's social and emotional wellbeing. (Parsons 2020) Therefore, the investigation of parental responses to the challenges might contribute to a better understanding of the children's psychological state too. For the descriptive statistics of the studies mentioned here, see Table 2.

Chinese preliminary research found that children were more likely to show inattention, irritability, clinging, and persistent inquiry.   The rates of fear, anxiety, and other emotions were higher in children residing in highly epidemic areas; however, the differences between areas identified by different levels of epidemic risk were not statistically significant. (Jiao et al 2020) Children seem more likely to develop symptoms of depression and anxiety (Xinjan et al 2020) and are also more likely to experience regression, fear, irritability, and sudden changes in mood than they were before the COVID-19 pandemic (Pisano et al 2020).

parent population	children's age	surveys	source
N=183 Mage = 35.37±7.30 female: 89,6%	under 18	COVID-19 risks, General Anxiety Disorder-7, Parent-Child Relationship Inventory, Perceived Stress Scale, Perceived Control Over Stressful Events Scale, Cognitive Emotion Regulation Questionnaire	Brown et al 2020
N= 1114 Mage = 42.3±6.17 female: 47,5%	Mage = 9.08±4.22	sociodemographics of parents and children, parental perception on how quarantine emotionally affects children through 31 symptoms ranging from 1 (much less compared to before quarantine) to 5 (much more compared to before quarantine), parent´s perception of family coexistence during quarantine, the severity of the situation caused by coronavirus for the family well-being, and parents stress, on a five-point scale, and children routines: time of screen use, physical activity, and hours of sleep during quarantine compared to before	Orgiles et al 2020
N = 854 female: 797 mothers: Mage = 38.96±6.02 fathers Mage = 41.9±6.75	Mage =7.14±3.38	Home Environment Risk Index (ad hoc); Quarantine Parent Risk Index; Parenting-Stress Index Short Form (PSI); Depression Anxiety Strss Scale, DASS;Strengths and Difficulties Questionnaire (SDQ)	Spinelli et al 2020

Table 2: Descriptive statistics of some major research with a focus on the parental perception

In an Italian Spanish comparative study, only 11,4% of the children perceived family coexistence during the quarantine difficult or very difficult. On the other hand, approximately one-third of the parents reported being stressed or very stressed. Those parents who perceived themselves as more stressed tended to report that their children were more worried, anxious, uneasy, and reluctant. They also experienced that their children cry more and have difficulty with sleeping alone. Unexpectedly, no differences were observed in how serious the current situation caused by the coronavirus is for their well-being and the level of parental stress. (Orgilés et al 2020)

The role of parental perception of difficulties is demonstrated in other studies too. This perception seems to be a pivotal factor in both the children's and parents' wellbeing as the impact of the quarantine' on children's behavioral and emotional problems is mediated by parent's individual and dyadic stress, with a stronger effect from the latter. Parents who reported more difficulties in dealing with quarantine show more stress. (Spinelli et al 2020) High anxiety and depressive symptoms are correlated with higher parental perceived stress which raises the prevalence of child abuse. However, findings suggest that although families experience stressors from COVID-19, providing parental support and increasing perceived control may be promising in an intervention. (Brown et al 2020)

The inner psychological mechanisms beyond successful adaptation were explored by a study of Pisano (Pisano et al. 2020) Despite the fact that the majority of the children (92%) seemed able to adapt to the restrictions, half of them showed increased irritability, intolerance to rules and excessive demands. Regressive symptoms could be also recorded and many withdrew from activities they were undertaking before the pandemic. 942 out of 5543 children manifested fears that they did not display before. So, distress can be detectible even in their cases. (Pisano et al 2020)

(3) Research examining family system

The structure of families (individuals, dyads, whole families) seem to function as key mediating effects in modifying risk emanating to the individual (Prime et al 2020) Despite the fact that the importance of this approach is articulated by some experts the amount of such research is still relatively low. In a Hungarian online research perceived stress level, resilience, and well-being of 346 adolescent–parent dyads were examined. The level of perceived stress was high. A surprising finding was that the parent's resilience directly reduced their child's well-being. However, a higher level of parental wellbeing (that is affected by their resilience) altogether leads to a higher level of well-being among the children too. (Csikós et al 2020)

Conclusion

The aforementioned studies emphasize the importance of parents coping with the challenges created by the pandemics. Relaxation techniques could be useful tools for decreasing stress and preventing depression. Methods of cognitive-behavior therapy also seem to be applicable in managing stress and reducing maladaptive coping mechanisms like avoidance or self-accusation. However, the effectiveness of personal resilience seems to be fragile in these exceptional times (Ho et al 2020) Adolescents are even more vulnerable and require careful consideration by caregivers and the social system for mental health support. Research on adolescent psychiatric disorders is also necessary, as such a global situation could be prolonged or repeated. (Guessoum, et al 2020, (Racine et al 2020) So, health systems and the

social sector should also be prepared both for helping adolescents and family structures by free counseling (Sharma et al 2020)

Acknowledgments

References

[1] Andrews Jack L Lucy Foulkes Sarah-Jayne Blakemore: Peer Influence in Adolescence: Public-Health Implications for COVID-19 Trends in Cognitive Sciences Volume 24, Issue 8, August 2020, Pages 585-587

[2] Brown SM, Doom JR, Lechuga-Pẽna S, Watamura SE, Koppels T, Stress and Parenting during the Global COVID-19 Pandemic, Child Abuse and amp; Neglect (2020), doi:https://doi.org/10.1016/j.chiabu.2020.104699

[3] Bruining, H., Bartels, M., Polderman, T.J.C. et al. COVID-19 and child and adolescent psychiatry: an unexpected blessing for part of our population?. Eur Child Adolesc Psychiatry (2020). https://doi.org/10.1007/s00787-020-01578-5

[4] Campbell Andrew M 2020: An increasing risk of family violence during the Covid-19 pandemic: Strengthening community collaborations to save lives. Forensic Science International: Reports. Volume 2, December 2020 https://doi.org/10.1016/j.fsir.2020.100089

[5] Csikós, Gábor; Törő, Krisztina; Rózsa, Sándor; Hadházi, Éva; Kövesdi, Andrea; Földi, Rita 2020: Psychological factors in Hungarian families under the coronavirus pandemic: The effects of resilience and stress on the wellbeing of adolescents, their interconnections within the family In Alison, Taysum; Siavash, Bakhtiar; Sophio, Moralishvili; Ahmet, Ecirli (eds) ICMS XXIII Proceedings Book Volume 1: 23rd International Conference on Multidisciplinary Studies: "Resilience for Survival" European Center for Science Education and Research (EUSER) pp. 11-18

[6] Dalton Louise – Rapa Elizabeth – Stein Alan: Protecting the psychological health of children through effective communication about COVID-19. The Lancet Child & Adolescent Health VOLUME 4, ISSUE 5, P346-347, MAY 01, 2020

[7] Davis, Courtney; Ng, Kee Chong; Oh, Jean Yin; Baeg, Amerie; Rajasegaran, Kumudhini; Chew, Chu Shan Elaine (2020): Caring for Children and Adolescents With Eating Disorders in the Current Coronavirus 19 Pandemic: A Singapore Perspective. J Adolesc Health ; 67(1): 131-134

[8] Dubey Souvik – PayelBiswasbRitwikGhoshcSubhankarChatterjeedMahua JanaDubeyeSubhamChatterjeefDurjoyLahirigCarl J.Lavieh 2020: Psychosocial impact of COVID-19. Diabetes & Metabolic Syndrome: Clinical Research & Reviews Volume 14, Issue 5, September–October 2020, Pages 779-788

[9] Dvorsky, M.R., Breaux, R. & Becker, S.P. Finding ordinary magic in extraordinary times: child and adolescent resilience during the COVID-19 pandemic. Eur Child Adolesc Psychiatry (2020). https://doi.org/10.1007/s00787-020-01583-8

[10] Ellis, W. E., Dumas, T. M., & Forbes, L. M. (2020). Physically isolated but socially connected: Psychological adjustment and stress among adolescents during the initial COVID-19 crisis. *Canadian Journal of Behavioural Science / Revue Canadienne des sciences du comportement, 52*(3), 177-187. http://dx.doi.org/10.1037/cbs0000215

[11] Elmer T, Mepham K, Stadtfeld C. Students under lockdown: comparisons of students' social networks and mental health before and during the COVID-19 crisis in Switzerland. PLoS ONE. (2020) 15:e0236337. 10.1371/journal.pone.0236337

[12] Ghosh, Ritwik – Dubey, Mahua – Chatterjee, Subhankar – Dubey, Souvik: Impact of COVID-19 on children: Special focus on psychosocial aspect. Minerva Pediatrica 72(3):226-235 DOI: 10.23736/S0026-4946.20.05887-9

[13] Goldman Philip S - Marinus Hvan IjzendoornbEdmund J SSonuga-Barkec 2020: The implications
      of COVID-19 for the care of children living in residential institutions The Lancet Child & Adolescent
      Health. Volume 4, Issue 6, June 2020, Page e12

[14] Guessoum, S. B., Lachal, J., Radjack, R., Carretier, E., Minassian, S., Benoit, L., & Moro, M. R.
      (2020). Adolescent psychiatric disorders during the COVID-19 pandemic and lockdown. Psychiatry
      Research, 291, 113264. https://doi.org/10.1016/j.psychres.2020.113264

[15] Ho CS, Chee CY, Ho RC. Mental Health Strategies to Combat the Psychological Impact of COVID-
      19 Beyond Paranoia and Panic. Ann Acad Med Singap. 2020 Mar 16;49(3):155-160. PMID:
      32200399.

[16] Huebener Mathias & Waights Sevrin & Spiess C. Katharina &. Siegel Nico A &. Wagner, Gert G
      (2020). "Parental Well-Being in Times of Covid-19 in Germany," CESifo Working Paper Series
      8487, CESifo.

[17] Idoiaga N., Berasategi N., Eiguren A., Picaza M. (2020). Exploring children's social and emotional
      representations of the Covid-19 pandemic. Front. Psychol. 11:1952. 10.3389/fpsyg.2020.01952

[18] Jiao WY, Wang LN, Liu J, Fang SF, Jiao FY, Pettoello-Mantovani M, et al. Behavioral and
      Emotional Disorders in Children during the COVID-19 Epidemic. J Pediatr. 2020;221:264–6.e1

[19] Király, Orsolya; Potenza, Marc N.; Stein, Dan J.; King, Daniel L.; Hodgins, David C.; Demetrovics,
      Zsolt (2020) Preventing problematic internet use during the COVID-19 pandemic: Consensus
      guidance. COMPREHENSIVE PSYCHIATRY, 100. pp. 1-4. ISSN 0010-440X

[20] Lee 2020: Mental health effects of school closures during COVID-19 The Lancet Child &
      Adolescent Health Volume 4, Issue 6, June 2020, Page 421

[21] Liu Jia Jia – Yanping Bao – Xiaolin Huang Je Shi 2020: Mental health considerations for children
      quarantined because of COVID-19. The Lancet. Child and Adolescent Health. VOLUME 4, ISSUE
      5, P347-349, MAY 01, 2020

[22] Oosterhoff, B., Palmer, C., Wilson, J., & Shook, N. (2020, April 6). Adolescents' Motivations to
      Engage in Social Distancing during the COVID-19 Pandemic: Associations with Mental and Social
      Health. https://doi.org/10.31234/osf.io/jd2kq

[23] Orgilés, Mireia, Alexandra Morales, Elisa Delvecchio, Claudia Mazzeschi, and José P. Espada.
      2020. "Immediate Psychological Effects of the COVID-19 Quarantine in Youth from Italy and
      Spain." PsyArXiv. April 21. doi:10.31234/osf.io/5bpfz.

[24] Parsons J. (2020): COVID-19, kids, and anxiety in 2020. Aust J Gen Pract 2020;49 Suppl 27. DOI:
      10.31128/AJGP-COVID-27.

[25] Pisano, Luca, Domenico Galimi, and Luca Cerniglia. 2020. "A Qualitative Report on Exploratory
      Data on the Possible Emotional/behavioral Correlates of Covid-19 Lockdown in 4-10 Years
      Children in Italy." PsyArXiv. April 13. doi:10.31234/osf.io/stwbn.

[26] Prime, H., Wade, M., & Browne, D. T. (2020). Risk and resilience in family well-being during the
      COVID-19 pandemic. American Psychologist, 75(5), 631-643.
      http://dx.doi.org/10.1037/amp0000660

[27] Racine, N., Cooke, J. E., Eirich, R., Korczak, D. J., McArthur, B., & Madigan, S. (2020). Child and
      adolescent mental illness during COVID-19: A rapid review. Psychiatry Research, 292, 113307.
      https://doi.org/10.1016/j.psychres.2020.113307

[28] Remmerswaal D, Muris P. Children's fear reactions to the 2009 Swine Flu pandemic: the role of
      threat information as provided by parents. J Anxiety Disord. 2011 Apr;25(3):444-9. DOI:
      10.1016/j.janxdis.2010.11.008. Epub 2010 Nov 19. PMID: 21159486.

[29] Sharma Vinita Ph.D., M.P.H.MiguelReina OrtizM.D., Ph.D., C.P.H.NanditaSharmaPh.D.: Risk and
      Protective Factors for Adolescent and Young Adult Mental Health Within the Context of COVID-19:
      A Perspective From Nepal Journal of Adolescent Health Volume 67, Issue 1, July 2020, Pages
      135-137

[30] Spinelli Maria, Lionetti Francesca, Pastora Massimiliano, Fasolo, Mirco 2020: Parents' Stress and Children's Psychological Problems in Families Facing the COVID-19 Outbreak in Italy Frontiers in Psychology, | https://doi.org/10.3389/fpsyg.2020.01713

[31] Usher, K., Bhullar, N., Durkin, J., Gyamfi, N., Jackson, D. (2020). Family violence and COVID-19: Increased vulnerability and reduced options for support. International Journal of Mental Health Nursing. https://doi.org/10.1111/inm.12735

[32] Xinyan Xie, Qi Xue, Yu Zhou, et al. 2020: Mental Health Status Among Children in Home Confinement During the Coronavirus Disease 2019 Outbreak in Hubei Province, China. Jama Pediatrics.

[33] Zhou, X. (2020). Managing psychological distress in children and adolescents following the COVID-19 epidemic: A cooperative approach. *Psychological Trauma: Theory, Research, Practice, and Policy, 12*(S1), S76-S78. http://dx.doi.org/10.1037/tra0000754

Exploring the Use of Youtube by Symphonic Orchestras as An Educational Platform During the Pandemic of Covid-19

Emine Serdaroglu

Dr., Bogazici University, Turkey

Abstract

The use of various digital platforms and social media applications has significantly been rising worldwide in the recent years. In 2020, during the covid-19 pandemic, many of these online platforms became important tools to support the distance learning especially for children, hence, underlying the need for authentic, safe, reliable, and easily accessible online resources of information. Before the pandemic, most of the renown symphonic orchestras have been offering to their community a wide range of educational music programs designed for various age groups from toddlers to adult listeners. Most of these orchestras also support official YouTube channels to self-promote and connect with a wider audience. YouTube is a popular social media application offering a rich selection of uploaded music video content which may be utilized as an easily accessible tool for music education. The aim of this research is to explore whether the symphonic orchestras share their expertise and educational content on their official YouTube channels to create safe and trustworthy resources designed particularly for children, thus supporting the online music education during the time of the covid-19 pandemic.

Keywords: music, online, education, orchestra, YouTube, technology, covid-19

Introduction

In modern society, people of all ages regularly use their smart phones, tablets, and computers. It is common to see a family dinner where children are watching videos using a tablet or to see people in coffee houses working on their laptops. Online applications became trendy and acceptable outlets allowing people to share their ideas and interact with one another (West, 2012). In recent years, the worldwide use of online platforms increased significantly. YouTube, visited each month by over 2 billion logged-in users, is certainly one of the most popular social media applications (YouTube Press, n.d.). Unlike some of the other social media platforms with age restrictions, YouTube is not only accessed by adults but also by children of various age groups. A research regarding the use of YouTube among parents of children between 16 to 36 months of age, indicates that most parents use YouTube, even with their toddlers (Ko, 2018).

Social media applications do not only change the way people communicate with one another, but they also transform conventional learning systems. They assist informal learning which is the act of learning outside of the formal school setting (Bull et al., 2008). In 2020, during the covid-19 pandemic, many of these online platforms became important tools to support the distance learning. YouTube emerges as one of the main sources for informal learning since it

provides a broad selection of easily accessed videos. In previous years, numerous academic researches about the educational value and the possible applications of YouTube as part of K-12 curriculum were conducted. In her doctoral dissertation, Rossini (2016) provides a comprehensive literature review taking into consideration teachers blending formal K-12 education structure with informal learning structures using social media tools. YouTube turns into a helpful tool also for teachers to create lesson plans, to find educational materials that support the concepts studied in the classroom and to better engage the students (Jones & Cuthrell, 2011).

YouTube, with its extensive music content and endless repetition options helps music education as well (Cayari, 2011). In recent years, numerous studies were conducted to analyze the impact of YouTube on music. In some of these researches, the content listed under the category of music education is examined (Whitaker et al., 2014); the various ways virtual music communities use YouTube to enhance informal music learning are also studied (Kruse & Veblern, 2012). Several of these researches concentrate on the role of YouTube regarding the musical learning experiences of younger children. It is suggested that audio and video recordings may be used as a tool to enhance child-centered music teaching curriculum, giving the young students the opportunity to re-listen and re-watch the activities previously done in classroom (Niland, 2009). In a research conducted among parents of toddlers, YouTube is perceived as beneficial in developing children's music skills (Ko, 2018). However, it is difficult to navigate among the vast number of available music videos. Many parents are concerned about the inappropriate material their younger children may be exposed to while watching YouTube unattended (Ko, 2018). In the early months of 2020, most schools had to shut down across the world due to covid-19 pandemic and had to continue education using various forms of online learning. This sudden change in the educational system emphasized the need for authentic, safe, reliable, and easily accessible online educational resources designed especially for children.

Symphonic orchestras are prominent and historic music institutions. As the famous conductor Alan Gilbert (2015) states in the Guardian article, symphonic orchestras play a significant role as providers of music education. Before the onset of covid-19 pandemic, most of the renown symphonic orchestras have been offering to their community a wide range of educational music programs designed for various age groups from toddlers to adult listeners. Majority of these programs are designed to educate children of their community and to develop the love and appreciation of music from an earlier age. Most of these orchestras also support official YouTube channels to self-promote and connect with a wider audience. The purpose of this research is to explore whether the symphonic orchestras share their expertise and educational content on their official YouTube channels, to create safe and authentic online sources designed particularly for children, thus supporting the distant music education during covid-19 pandemic.

Methodology

Google search is one of the first mediums people go to while they are in quest of information. Most parents and students looking for information supporting the music learning would most likely do their initial inquiries online. A similar approach is used to access the available online information. Firstly, Google searches are conducted to find symphonic orchestras from various countries offering educational programs to their community. The official websites of over forty internationally recognized symphony orchestras from Europe, the USA, Canada, China,

and Austria, are reviewed considering the type of educational programs they offer to their community. The common approaches and exceptions among these programs are examined. During this research, only websites in English, French and Turkish languages are taken into consideration. Secondly, YouTube channels of these symphonic orchestras are explored, focusing mainly on the uploaded educational content, especially after the onset of covid-19 pandemic in March 2020. Among the large number of symphonic orchestras studied, the ones offering a wide and exemplary range of music education programs and having over 65.000 official YouTube channel subscribers are presented in this paper in alphabetical order.

Berliner Philharmoniker (Berlin, Germany)

Berliner Philharmoniker, dating back to 1882, is one the prominent orchestras of the world (History of Berliner Philharmoniker, n.d.). The orchestra offers a variety of educational activities including family and children's concerts, open rehearsals, choral projects, lectures as well as workshops for children and young musicians with the aim of making music accessible to as many people as possible in their community. These projects, initiated by Sir Simon Rattle and financially supported by Deutsche Bank, are designed to encourage people of all ages to engage in music and to learn to listen with refined ears (The Education Programme, n.d.). During 2020-2021 season, because of the ongoing covid-19 pandemic, Berliner Philharmonic announced only a limited number of live educational concerts on its web page. Nevertheless, 60 videos from selected educational projects are uploaded to "Media Library" located under the "Education" section of the official web page providing online educational resources. Berliner Philharmoniker offers another online service titled "Digital Concert Hall" (www.digitalconcerthall.com) where registered subscribers may listen and watch the most celebrated concerts of the orchestra digitally. Some of the previously recorded educational programs may be accessed on this platform free of charge and upcoming educational concerts may be accessed by subscribing to the channel.

The YouTube channel of Berliner Philharmoniker launched on January 19, 2009, with its 367.000 subscribers is an actively used online platform (Berliner Philharmoniker, n.d.). Extensive playlists of composers, conductors, soloists, concert seasons, popular uploads, and information about the orchestra's recordings as well as masterclasses are created for viewers. However, the rich educational programs offered by the orchestra are not shared on the official YouTube channel.

Chicago Symphony Orchestra (Chicago, IL, USA)

Founded in 1891, the renown Chicago Symphony Orchestra, reaches a wide audience with its seasonal concerts, national and international tours as well as best-selling recordings (About the CSO & Symphony Center, n.d.). The Chicago Symphony Orchestra also provides several different educational programs for people of all ages and various backgrounds under the roof of the Negaunee Music Institute. "Once Upon a Symphony" intended for children between ages 3 to 5 and "CSO Family Matinee Series" for children 5 years and older are inspirational events designed as introductions to live music performances. Special concerts such as "Vienna Boys Choir" and "Merry, Merry Chicago!" are created for children 5 years of age or older. In addition to these projects, "School Concerts" are arranged to introduce K-8 grade students to symphonic music. Furthermore, open rehearsals are organized for students in high school (Negaunee Music Institute, n.d.). According to the announcement accessed in October 2020 in the "Tickets & Events" section of the official web page (https://cso.org/20-21), Chicago

Symphony Orchestra cancelled all scheduled programs between September 2020 and March 2021 due to the ongoing covid-19 pandemic. Since live performances are cancelled, the orchestra created "CSO for Kids" section on their website, which aims to provide fun and educational remote learning sources for children of various ages (CSO for Kids: Remote Learning Resources, n.d.). The orchestra also provides music lovers with the opportunity to watch the performances via the online platform of "CSOtv" which may be accessed via https://cso.org/csotv/welcome/. In CSOtv, "CSO for Kids" section is created to provide free access to music related videos designed for children.

The Chicago Symphonic Orchestra's official YouTube channel was launched on April 11, 2007. The channel which has 122.000 subscribers, presents a rich selection of playlists including season trailers, interviews with guest artists, and with members of the symphony as well as clips of performances (Chicago Symphony Orchestra, n.d.). "Video Program Notes" presenting information about the pieces to be performed in the concerts and "Music NOW" about the acclaimed new-music series are two of the interesting playlists. "Virtual Recitals 2020/2021" and "Virtual Day of Music 2020" are some of the newer additions. "Negaunee Music Institute" playlist includes 36 uploaded videos providing an insight to the educational programs offered by the Institute. Family oriented Christmas programs are also advertised in short videos. Although some of the educational content is added to the YouTube channel, the extent of the educational children's programs is not yet presented.

London Symphony Orchestra (London, UK)

The London Symphony Orchestra, Britain's first independent and self-governing orchestra which gave its first concert in June 1904, is now considered as one of the leading orchestras of the world (Chronology: 1900s, n.d.). London Symphony Orchestra is also esteemed for its educational programs. "Concerts for Under-5s", "Family Concerts" suitable for ages 7 to 12, "Monday Morning Music Workshops" for babies and for children under the age of 5 as well as workshops for parents and babies from newborn to 6 months are counted among many educational activities. These interactive, creative, and fun activities are geared towards creating interest and early knowledge in children about music, orchestra, and instruments. LSO Discovery recently created an online resource providing a variety of music activities to support learning at home as well as at the school. These activities may be accessed on the "LSO Discovery" section of the official web page (About LSO Discovery, n.d.).

The YouTube channel of London Symphony Orchestra launched on May 19, 2006, with its 120.000 subscribers is one of the most popular orchestral YouTube channels (London Symphony Orchestra, n.d.). It offers clips of concerts, backstage interviews with the performers of the orchestra, conductors, and soloists as well as behind the scenes videos. Playlists include A-Level seminars, behind the scenes, favorites, and a variety of informative selections about the compositions. Masterclasses and video clips from the performances of modern compositions are also added. Listeners may also access live performances via the channel. "Coffee Sessions" playlist including the performances of orchestra members was added during the covid-19 lockdown in April 2020. The London Symphony Orchestra also plans to share some of the concerts on their YouTube channel during the Autumn season of 2020. Although new additions were done to the playlists since the beginning of the covid-19 pandemic, the extensive educational programs are not yet added to the YouTube channel.

New York Philharmonic Orchestra (New York, NY, USA)

The New York Philharmonic founded in 1842 is the oldest symphony orchestra in the United States and is one of the most celebrated orchestras in the world (History, n.d.). The New York Philharmonic reaches a wide audience with live concerts and with broadcasts on television, radio and online. The orchestra also organizes numerous educational programs and activities for its community. "Young People's Concerts" incorporate a wide range of concerts designed for children of all ages. These concert series, with the addition of games, various activities, storytelling, and interactive encounters become delightful, fun, and educational experiences (Young People's Concerts, n.d.). Long term partnership of the New York Philharmonic Orchestra with various education institutions in New York and around the world is realized under the "Learning Communities" and "Partnerships" programs (Partnerships, n.d.). These programs help orchestra members share their knowledge and experience with teachers and students. New York Philharmonic recently added "NY Phil Learning @ Home" to their official web page to support remote online music learning at home (NY Phil Learning @ Home, n.d.). This section offers various online sources including concert and lessons to engage young audiences, families, and teachers.

The official YouTube channel of the New York Philharmonic Orchestra is activated on January 8, 2008. With 68.400 subscribers, it is an actively used channel providing a wide selection of playlists (New York Philharmonic, n.d.). Performances, rehearsals, seasons selections and tours are some of the popular playlists offered. Playlists dedicated to specific performers and composers are also presented. Until March 2020, only a few videos about the educational programs offered by the New York Philharmonic Orchestra were uploaded. Following the lockdown due to Covid-19 pandemic, new playlists such as "NY Phil Plays On" and "We Are NY Phil @ Home" were created. "Very Young People's Concerts @ Home" and "Young People's Concerts @Home" playlists which are designed specifically for children are also added to the channel.

Royal Concertgebouw Orchestra (Amsterdam, Netherlands)

The idea of building a new concert hall in Amsterdam was put on motion in 1881, the Concertgebouw was opened in April 1888 (History, n.d., Concertgebouw). Since then, the Royal Concertgebouw Orchestra continues to give concerts as one of the most celebrated orchestras in the world (Meet the Orchestra, n.d.). In the Concertgebouw, a wide variety of age specific concerts are offered for children. "Baby Concerts" for up to 16-month-old, "Toddler's Concerts" for children from 2 to 4 years old, "Beethoven's Birthday!" for 6 years old and older, "Be Bach" for 8 years and older audience are some of the exemplary concerts that are offered under "Family Concerts" (Family Concert, n.d.). During "RCO Meets Europe" project, the Royal Concertgebouw Orchestra performed side by side with 28 European youth orchestras and gave masterclasses in several countries sharing their experience and knowledge (RCO Meets Europe, n.d.). Live educational concerts are programmed for 2020-2021 season while taking the necessary health measures for covid-19.

The official YouTube channel, launched on March 29, 2007, supported by 65.900 subscribers, includes playlists presenting information about concert seasons, excerpts from concerts, behind the scenes videos and masterclasses (Concertgebouworkest, n.d.). "Complete Works" playlist gives access to recordings of the Royal Concertgebouw Orchestra. "Historic Footage" playlist including excerpts from historic concert recordings from 1930s to 1960s is also

interesting. The playlist titled "Young" includes rehearsals and interviews with members of "Concertgebouworkest Young" which is the international youth orchestra formed of European musicians between the ages of 14 to 17. However, consisted only of 28 videos, this playlist offers a limited insight. Short video selections from "RCO Meets Europe" project is also presented in the YouTube channel. A playlist title "Zwitsal Slaapliedjes" (Sleep Songs) including 6 videos consisting of performances of short classical compositions is added in July 2020 for children. However, the wide selections of concerts that are organized specifically for children of all ages are not uploaded to the channel yet.

Discussion and Conclusion

The potential of YouTube as an educational tool emerges as the subject of numerous studies. Many of these researches agree with J. Waldron (2013) who supports the idea that YouTube videos, promoting a participatory culture, fulfills a significant teaching role. YouTube may contain valuable material regarding music instruction, but it also contains an abundance of videos without any educational value. Since being able to choose the appropriate and high-quality material among the large number of videos requires music literacy, it is difficult for most parents and students to get hold of the accurate and useful information (Spearman, 2000). Thus, it is important for trusted establishments, such as symphonic orchestras to provide high quality educational content on YouTube to provide easy and safe access to educational material.

Symphonic orchestras invest time, money, and knowhow to promote music education in their community. They put special emphasis on creating programs such as children's concerts, family concerts, school concerts, open-rehearsals and masterclasses which are specifically designed for children of various ages. These orchestras also invest in creating official YouTube channels to self-promote and to connect with a wider audience. These channels commonly include video selections from concerts, rehearsals, tours as well as season previews, interviews with orchestra members, conductors, guest performing artists and composers. Videos providing background information about the compositions performed during the concert season are also uploaded. However, videos containing their prolific and creative educational programs designed for children are not shared at all or briefly shared in the official YouTube channels.

Symphonic orchestras may take advantage of YouTube to boost the impact of their educational programs by reaching a much larger community. Music education programs of symphony orchestras are generally planned as community service and are not intended for financial profit. In this light, symphonic orchestras may upload previously recorded family and children's concerts to their YouTube channels. They may create various playlists intended for different age groups creating easy access for parents and children. They may also program live YouTube broadcasts re-creating some of the interactive programs previously put on stage in front of a live audience. Symphonic orchestras may significantly expand their community reach by using their official YouTube channels more effectively. Thus, they would emphasize their role as one of the significant contributors of music education by providing high quality, safe and well-constructed informative content for families, teachers, and children.

The recent covid-19 pandemic forced most of the K-12 schools to abruptly switch to remote education worldwide. This sudden change underlined the need for trustworthy and easily accessible online educational resources and urged many institutions to create these necessary

online sources. Since March 2020, it is observed that symphonic orchestras also started to add new educational materials designed for children to their official web pages and to their official YouTube channels to support online music learning. It may be predicted that in near future YouTube will be used more often to support formal and informal music education. Thus, future research may be conducted about the most efficient, systematic, and inspiring ways of presenting the educational material already prepared by the symphonic orchestras in their official YouTube channels, expanding their sphere of influence and creating high quality, reliable, safe, authentic and easily accessible music education sources for children.

References

[1] *About LSO Discovery* (n.d.). London Symphony Orchestra. Retrieved March 14, 2020, from https://lso.co.uk/lso-discovery/about-lso-discovery.html.

[2] *About the CSO & Symphony Center* (n.d.). Chicago Symphony Orchestra. Retrieved March 12, 2020, from https://cso.org/about/

[3] *Berliner Philharmoniker* (n.d.). YouTube. Retrieved October 20, 2020, from https://www.youtube.com/channel/UCtRkmSO4PrhJ4TzNOmFIwjw

[4] Bull, G., Thompson, A., Searson, M., Garofalo, J., Park, J., Young, C., & Lee, J. (2008). Connecting informal and formal learning: Experiences in the age of participatory media. *Contemporary Issues in Technology and Teacher Education*, *8*(2), 100-107.

[5] Cayari C. (2011). The YouTube effect: How YouTube has provided new ways to consume, create, and share music. *International Journal of Education & the Arts*, *12* (6), 1-30. http://www.ijea.org/v12n6/

[6] *Chicago Symphony Orchestra* (n.d.). YouTube. Retrieved October 20, 2020, from https://www.youtube.com/channel/UCl2Sa1BW9yF55yjqwSLro6Q

[7] *Chronology: 1900s* (n.d.). London Symphony Orchestra. Retrieved March 14, 2020, from https://lso.co.uk/orchestra/history/chronology-alt/1900s.html

[8] *Concertgebouworkest* (n.d.). YouTube. Retrieved October 20, 2020, from https://www.youtube.com/user/rcolive/featured

[9] *CSO for Kids: Remote Learning Resources* (n.d.). Chicago Symphony Orchestra. Retrieved October 3, 2020, from https://cso.org/cso-from-home/cso-for-kids

[10] *Family Concert* (n.d.). Concertgebouw. Retrieved March 15,2020, from https://www.concertgebouw.nl/en/concerts-tickets/genre=Family+Concert

[11] Gilbert, A. (2015, April 15). Orchestras in the 21st Century - a new paradigm. The Guardian: International Edition. https://www.theguardian.com/music/2015/apr/15/alan-gilbert-orchestras-in-the-21st-century-a-new-paradigm

[12] *History* (n.d.). Concertgebouw. Retrieved March 15, 2020, from https://www.concertgebouw.nl/en/history

[13] *History* (n.d.). New York Philharmonic. Retrieved March 15, 2020, from https://nyphil.org/about-us/history?clicklocation=main_nav_history.

[14] *History of the Berliner Philharmoniker* (n.d.). Berliner Philharmoniker. Retrieved March 12, 2020, from

[15] https://www.berliner-philharmoniker.de/en/history/beginning/#event-establishment-of-a-new-orchestra

[16] Jones, T. & Cuthrell, K. (2011). YouTube: Educational potentials and pitfalls. *Computers in the Schools*, *28*(1), 75-85. https://doi.org/10.1080/07380569.2011.553149

[17] Ko, M. Y. (2018). *YouTube as an early childhood music education resource: Parental attitudes, beliefs, usages, and experiences* [Doctoral dissertation, University of Missouri-Columbia]. ProQuest Dissertations & Theses Global.

[18] https://search.proquest.com/docview/2278078269?accountid=9645

[19] Kruse, N. B., & Veblen, K. K. (2012). Music teaching and learning online: Considering YouTube instructional videos. *Journal of Music, Technology & Education*, *5*(1), 77–87. https://doi.org/10.1386/jmte.5.1.77_1

[20] *London Symphony Orchestra* (n.d.). YouTube. Retrieved October 20, 2020, from https://www.youtube.com/channel/UCY1yTli-DaxPbNtLCnwAM1g

[21] *Meet the Orchestra* (n.d.). Concertgebouworkest. Retrieved March 15, 2020, from https://www.concertgebouworkest.nl/en/the-orchestra

[22] *Negaunee Music Institute* (n.d.). Chicago Symphony Orchestra. Retrieved March 12, 2020, from https://cso.org/institute/

[23] New York Philharmonic (n.d.). YouTube. Retrieved October 20, 2020, from https://www.youtube.com/user/NewYorkPhilharmonic

[24] Niland, A. (2009). The power of musical play: The value of play-based, child-centered curriculum in early childhood music education. *General Music Today, 23*(1), 17–21. https://doi.org/10.1177/1048371309335625

[25] *NY Phil Learning @ Home* (n.d.). New York Philharmonic. Retrieved on June 3, 2020, from https://nyphil.org/education/learning-at-home

[26] *Partnerships* (n.d.). New York Philharmonic. Retrieved March 15, 2020, from https://nyphil.org/education/partnerships

[27] *RCO Meets Europe*, n.d. Concertgebouworkest. Retrieved March 15, 2020, from https://www.concertgebouworkest.nl/europe

[28] Rossini, E.M. (2016). *Administrators' Perceptions of Using Social Media as a Tool for Learning* [Doctoral dissertation, Virginia Polytechnic Institute and State University]. VTechWorks. https://vtechworks.lib.vt.edu/handle/10919/82345

[29] Spearman, C. E. (2000). How will societal and technological changes affect the teaching of music? In C. K. Madsen (Ed.), *Vision 2020: The Housewright Symposium on the Future of Music Education* (pp. 153-184). Music Educators National Conference, Reston, VA

[30] *The Education Programme of the Berliner Philharmoniker* (n.d.). Berliner Philharmoniker. Retrieved March 12, 2020, from https://www.berliner-philharmoniker.de/en/education/

[31] Waldron, J. (2013). YouTube, fanvids, forums, vlogs, and blogs: Informal music learning in a convergent on-and offline music community. *International Journal of Music Education, 31*(1), 91-105. https://doi.org/10.1177/0255761411434861

[32] West, D. M. (2012, April 24). *How blogs, social media, and video games improve education*. Governance Studies at Brookings. https://www.brookings.edu/research/how-blogs-social-media-and-video-games-improve-education/

[33] Whitaker, J. A., Orman, E. K., & Yarbrough, C. (2014). Characteristics of "music education" videos posted on YouTube. *Update: Applications of Research in Music Education*, *33*(1), 49-56. https://doi.org/10.1177/8755123314540662

[34] *Young People's Concerts* (n.d.). New York Philharmonic. Retrieved March 15, 2020, from https://nyphil.org/education/young-peoples-concerts

[35] *YouTube for press* (n.d.). YouTube Press. Retrieved October 3, 2020, from https://www.youtube.com/intl/en-GB/about/press/

Undergraduate Students' Perceptions of Virtual Teaching

Pinelopi Krystalli

Aristotle University of Thessaloniki, Thessaliniki, Greece

Abstract

Following the first Covid-19 cases in Greece, the Ministry of Education decided to close all educational institutions on 10 March 2020. On 12 March, the Chancellor of Aristotle University of Thessaloniki, where the author currently teaches, urged the academic community to create virtual classrooms and begin distance learning. The purpose of this contribution is to investigate undergraduate students' perceptions of virtual classrooms and distance learning. To this end, a qualitative research was conducted, including 50, third year undergraduate students of the Department of French Language and Literature. Students' perceptions, were investigated through a mini-interview. Responses were recorded, transcribed and categorised according to specific criteria. Students compared in-person and distance lessons, referred to the pros and cons of both types of teaching to support their arguments focusing on the content of the lecture or seminar, the type of activities as well as the lecturers' ability to use technology. Finally, in this paper a section of lessons learned from the teacher's point of view are included.

Keywords: virtual teaching, virtual classroom, students' perceptions, distance education

Introduction

The COVID-19 pandemic caused the most significant disruption to global education systems in history. The impact of this crisis on the quality and conditions of learning has been immense (Unesco, 2020). Educational institutions of all levels which were based only on face-to-face lectures had to swift entirely to online teaching and learning. Subsequently, educators were forced to create virtual classrooms so as to guarantee pedagogical continuity. Following the first Covid-19 cases in Greece, the Ministry of Education and Religions decided to close all educational institutions and University campuses on 10 March 2020. Accordingly, the Aristotle University of Thessaloniki (AUTh) as most universities in Greece resumed the spring semester in the e-learning mode. After the suspension of the university's educational operations, in the framework of the measures to prevent the spread of the coronavirus, the Rectorate Authorities of the AUTh invited, on 12 March, the members of the teaching and research staff to use the available digital tools to create virtual classrooms ensuring an uninterrupted process of education : « Distance courses: to be taken care of by the Presidents of the Departments and the Directors of the Sections, in order to exhaust all the possibilities for the distance learning of the courses. These courses will be considered equivalent to face to face ones and will be counted in the weeks of teaching provided by law. » [1]

---

[1] https://www.auth.gr/news/anouncements/27819

As for the tools and platforms, the distance learning was initially implemented through the use of either the Skype for Business service or the BigBlueButton. The aforementioned services were available to all members of the AUTh -students and teaching staff- through a relevant institutional agreement. Both tools are useful for teaching remote students online and provide real-time sharing of audio, video, slides, chat, and screen. BigBlueButton is available via an MLS system, the elearning.auth.gr, platform that hosts electronic courses of all the AUTh Departments within the undergraduate and postgraduate study cycle. Access is possible only for members of the Aristotle University of Thessaloniki as well as for external users who are certified external collaborators. The Service is supported by the IT-Center and the Library & Information Center of AUTh. Later during the semester, for the courses with large audiences and especially for exams the ZOOM application was used.

Switching lectures from a face -to- face to a virtual one may be challenging as it demands a great deal of effort. Teachers had to revise not only the structure of their course but also the teaching and the assessment's methods. For this reason, trainings were held by the IT-Center of AUTh which also provided both professors and students with video and tutorials to facilitate the use of the available tools and online systems and platforms. Distance courses, introducing components of systematic synchronous and asynchronous learning, at the Department of French Language and Literature, where the author teaches, began on 16 March. The majority of the teaching staff in ~~this~~ Department initially chose BigBlueButton. However, the author decided to choose Skype for Business to conduct her virtual classes.

The teaching of all the courses up to that moment in the Department was done exclusively face -to-face. However, the students who participated in the research had experience from asynchronous e-learning as many lecturers of the Department use https://elearning.auth.gr/ to upload teaching materials and tasks. During the lockdown this platform also used for different kind of online assessments as well as for the exams. The present study was conducted between May 2020 and June 2020 following two months of synchronous online classes. The evolution of synchronous communication and the generalization of the mobile devices would make it possible to reach the learner everywhere but also immediately and anytime and to combine both the benefits of face-to-face and virtual teaching. However, despite the benefits mentioned in the literature, we found it useful to investigate whether this was a positive experience for our students and what exactly were their perceptions of this type of teaching.

Specifically, in this article we aimed to answer the following key questions:

1. How do undergraduate students perceive their virtual teaching experiences during the COVID-19 Pandemic?

2. What aspects of virtual teaching do the students perceive as beneficial?

3. What are the limitations of virtual teaching and learning in the students' point of view?

2. Distance learning and Virtual Classroom

Distance education, since the middle of the 19th century until today, has made significant steps, based on the means of education offered at all times. Actually, thanks to the integration of digital technologies, distance education fully meets the profile of our students who, as digital natives are flooded every day by network and digital applications. Thanks to this relationship with the digital technologies, distance education or distance learning is also called e-learning or online learning.

The European Commission (2000) defines e-learning as "the use of new multimedia technologies and the Internet, to improve the quality of learning by facilitating access to resources and services, as well as remote exchanges and collaboration".

According to Horton (2006) there many forms of e-learning :

Standalone courses taken by a solo learner.

Learning games and simulations, i.e. learning by performing simulated activities that

require exploration and lead to discoveries.

Embedded e-learning, i.e. e-learning included in another system, such as a computer

program, a diagnostic procedure, or online Help.

Blended learning i.e. using of various forms of learning to accomplish a single goal.

Mobile learning.

Knowledge management which includes broad uses of e-learning, online documents, and

conventional media.

Virtual-classroom courses. Online classes structured much like a classroom course. Virtual classroom courses may or may not include synchronous online meetings.

Consequently, e-learning refers to a set of educational environments which make it possible to solve the problem of the spatiotemporal distance, thanks to the use of synchronous and asynchronous modes of communication supported by web tools which are integrated into educational platforms. Additionally, these tools offer the possibility of promoting social interactions between the different actors in these environments (Jézégou, 2010).

A virtual classroom, as Horton (2006) argues, is a special web application that allows users to connect to a common environment using collaboration and communication tools combining image, sound, text, presentations, and various other tools.

For Yang & Liu (2007) the virtual classroom is a modern online learning environment, which can not only be used to deliver educational materials, but also provide an interactive environment for learners.

Virtual classes are the only way to create a bridge between face-to-face and distance learning. When used wisely, virtual classrooms make it possible not to lose the advantages of the teacher-learner relationship.

Diemer (2012) mentions three important advantages of virtual classes: a. they make it possible to visualize the teacher-learner relationship. Maintaining the teacher's posture

continues to provide tangible benchmarks to learners (this is a characteristic of the webcam); b. they are presented as self-learning and self-training modules (synchronous and asynchronous classes); c. they register learning over time (training is a process in which the learner evolves at his own pace).

The International Baccalaureate Organization (2020) argues that for an effective virtual course that ensures equal opportunities among learners, learners should have access to the following resources:

Access to devices, including mobile devices, appropriate for online learning.

Internet access and adequate bandwidth as poor bandwidth can make many synchronous activities very difficult.

Effective, immediate and valuable feedback through quizzes and intelligent tutors as well as direct comments or discussion from peers and teachers.

Opportunities for independent learning through learning activities and discussions that capture students' engagement.

Meaningful screen time and conferencing.

According to Yang and Liu (2007) a successful and efficient virtual classroom depends on self-paced learning, interaction between teachers and learners, contextual learning and discussion and, live, spontaneous learning resources.

Researchers also argue that the teacher's ability to help students become autonomous and to enhance and maintain motivation for learning are important factors that influence distance virtual teaching (Hurd, 2006, Lo Presti, 2020).

Several arguments are listed in favor of virtual teaching such as accessibility, affordability, flexibility, learning pedagogy and life-long learning (Dhawan, 2020).

According to Horton (2006) in a virtual class the teacher has the possibility to adapt learning to learners and adjust content immediately in response to feedback from learners. Learning can be flexible and active because virtual classes combine lecture, visual and oral interaction, individual and team activities. In addition, he argues that the virtual class provides the discipline some learners need, as face-to-face contact with the instructor and peer pressure combine to keep learners on schedule.

3. Methodology

3.1 Research Design

In order to collect in-depth information about students' views in virtual teaching, discussion and individual semi-structured interviews were conducted to collect the data. The interviews took place via Skype for business because of the confinement after a three-month experience in virtual classrooms. The individual interview provided students with the occasion to describe their experience in their own words. Interviews lasted approximately 3 minutes and were recorded, transcribed and categorized according to specific criteria.

3.2 Participants of the study

A total of 50 third undergraduate students participated in the research. The participants, were students in the Department of French and Literature, of Aristotle University that attended the French Language course: *Oral Speech Skills Development* during the spring semester 2020. These students had not previously participated in a synchronous distance education experience. The researcher, as a teacher of this course, observed changes in students' behaviors compared to in-person seminars and subsequently decided to explore students' opinions about the virtual classroom. During the semester, these students attended an average of 8 distance synchronous learning courses using Skype for busines or BibBlue Buttom. During the mini-interview the participants were asked to answer the following questions:

What is your opinion about virtual classrooms? Do you appreciate them or do you prefer the face-to-face courses?

Could you give specific examples from your personal experience highlighting the pros and cons of virtual teaching?

3.3. Data Collection and Analysis

The data analysis was done in several phases. During the first phase, the recorded interviews were transcribed. A series of reviews and analysis followed. The first review aimed to remove elements that were not directly related to the research topic. In other words, this was a first reduction of the data. In the second phase, answers were recorded including the answers that were in favor of virtual classroom and distance learning, the answers that were against and those that considered both types of teaching to be equally effective. In the next phase, following in-depth analysis, the answers were grouped into either one of two main categories: a) aspects of virtual teaching that students perceive as beneficial and b) the virtual teaching and learning limitations.

3.4 Findings

Findings from the analysis of qualitative data are presented in this section.

3.4.1 Students' overall perceptions of their virtual classrooms experience

Although the participants think virtual teaching offer new ways of learning and was the best solution during the confinement as to not miss the semester, the majority of the participants answered they prefer face-to-face teaching (38 out of 50). Seven participants argued that virtual teaching can be as effective as the face-to face one if there is interaction and if the teacher is comfortable handling the tools offered by the platform. Virtual teaching generated positive impacts for only five participants. Examples of students' comments are found below:

- *Virtual classrooms are somewhat effective, but I do not think they can substitute the traditional face-to-face course.*

- *Distance learning even when synchronous is incomplete and ineffective.*

-*Some teachers are very familiar with the technology. This resulted in some virtual classes to be highly interactive and motivating as they required the active engagement of students.*

-*Virtual classrooms gave me the opportunity to learn in different ways.*

- I prefer the virtual classroom because I feel more comfortable. In contrast to the traditional classroom, I do not hesitate to ask things in front of everyone.

- Virtual classrooms *were a very good experience. I think we worked as well as in the traditional classroom.*

3.4.2. Perceived Benefits of virtual teaching

Even though, the majority of students prefer face-to-face courses, they believe that the virtual classroom has several significant benefits. First of all, the participants, especially those who had a positive attitude towards virtual teaching, appreciated the design of the virtual environment and flexibility of the collaboration tools. Participants argued that collaborative tools enhanced their interactions with peers and teachers and provided opportunities for discussion and effective collaboration. Moreover, participants claimed that collaborative tools such as the chat and breakout rooms helped them overcome the shyness or the fear of asking questions. They were now more eager to make comments or give answers expressing themselves freely. Examples of students' comments are found below:

I never contribute in the discussion in face-to-face classes because I am shy. In the virtual classroom however, I managed to make comments in the chatbox without feeling embarrassed.

Breakout rooms gave me the opportunity to interact with my teammates and motivated me to work harder.

-I certainly prefer to interact in the virtual space. I used the chatbox to communicate with my classmates and to make queries to the teacher.

When I make a face-to-face presentation in class, I get stressed, however when using the screen and the microphone I perform better.

I had never taken distance courses before. Now, that I am used to the tools, I prefer virtual teaching.

Participants also argued that in some virtual courses, especially in language and translation courses, teachers used creative online tasks and activities that increased engagement, motivation and participation. Furthermore, they argued that the courses where teachers flipped their classrooms presenting content asynchronously through videos and online activities, resulting in spending more time collaborating with one another during the virtual classroom and gave time for discussions. Examples of such comments are found below:

In some language courses teachers focused on sharing knowledge and information which resulted in the course being more engaging and interesting.

In some courses we had to complete tasks and activities asynchronously. Thus, the teacher had more time to group potential problems and give explanations during the virtual classroom.

When the teacher flipped the classroom, I could study the theory before and ask questions in the synchronous teaching.

Other benefits mentioned by the majority of participants, were that, by selecting the study location, they saved time and money since the need for expensive and time-consuming traveling was eliminated. They also pointed out that the stress caused by moving to and from university has been reduced. Comments below:

My family's finances have been worsened during the pandemic. Saving money from travel and other living expenses helped my family.

Before the pandemic, I spent an hour every day on the bus to go to University. With virtual classrooms, I spent this time studying.

I used to have a part-time job to cover my living expenses. During the pandemic, I lost my job but it did not bother me because I had no travel and accommodation expenses.

Finally, more than half of the participants, even those who were unfavorable, argued that distance learning helped them develop time management skills, increase self-confidence and become autonomous learners. Examples of such comments are found below:

I think that distance learning, during the pandemic, helped me improve my organizational skills. It was a challenge for to do homework assignments in time.

In the past three months since the covid-19 outbreak, I became more responsible and learned how to plan my day more effectively. I have no reason not to do. I was home all the day.

The immediate feedback from the online quizzes and activities helped me to improve my grades and my linguistic skills.

The following table summarizes the benefits that positively affected students' opinions in relation to the factors related to virtual teaching.

Table1.Perceived benefits of virtual teaching

Factors	Benefits
Flexibility of the communication and collaboration tools	Interaction, collaboration, active participation
Content of the course, Method adopted by the teachers	Interaction, engagement and motivation
Choosing location	Saving time and money Less stress
Distance learning	Time management skills, self-confidence and autonomy

3.4.3. Perceived limitations of virtual teaching

Several limitations derive from the interviews and the discussion. These can be grouped as follows: technical problems, the lack of technological literacy of both students and teachers, as well as the lack of efficient teaching methods. the lack of face-to-face communication.

A primary negative element of virtual teaching was that the majority of participants reported problems with internet connection and therefore poor sound and screen image quality, lack of personal equipment (camera, headphones) and network speed and bandwidth at home. Examples of students' comments are found below:

-In the area where I live, we have poor internet speed. This was aggravated especially during the confinement where the whole family was using the internet.

- Without headphones, the noise from the street and the bad connection prevented me from listening to the teacher.

- During the first month, the platforms were overloaded and we had to keep the camera off, so I had no eye contact with either the teacher or my classmates. Because of that, I was completely demotivated.

- The frequency of disconnections, distracted me significantly.

- With the camera off, without eye contact and poor volume levels, I felt alone at times.

Moreover, participants highlighted that inadequate pedagogical or ICT skills of the online lecturers demotivated them. According to students, for some lecturers it was very difficult to adjust their methods to the virtual environment and to use effectively the integrated collaborative tools. That affected negatively their engagement and motivation.

Furthermore, a small number of participants, pointed out that they were unfamiliar with the new technologies. Hence, it was very difficult for them to use the tools especially when they were presenting something to the class themselves. Examples of such comments are found below:

-I use the technology for Facebook or insta but during the virtual class I had many difficulties.

- Watching a power point for three hours and listening to the lecturer speak without giving an example on the board was really boring!

- If the virtual class is a continuous monologue, I certainly prefer the traditional one.

- If I had the choice I would never be enrolled on distance literature courses. The lack of interaction in some cases demotivated me.

Finally, participants argued that even a well-designed virtual classroom cannot substitute completely the face -to -face lectures. They also argued that the large number of hours spent in front of the screen, resulted to health issues. Examples of such comments are found below:

-Even though we had no choice and we had to complete the semester virtually, I missed the communication with my classmates before and after classes.

- The lack of in-person teaching, resulted in lack of communication or interaction before and after lectures. Therefore, I believe that distance education has a negative impact on social relations.

- the large number of hours spent in front of the computer every day, increased my myopia and led to back pains.

Table2. Perceived limitations of virtual teaching

Factors	Benefits
Technical problems Poor network speed and bandwidth	Distraction and lack of motivation
Inadequate teaching materials and methods ICT skills	Lack of engagement and motivation
Distance	Limited interaction and communication with peers and lecturer
Duration of virtual teaching and learning	Health problems

4. Discussion and Conclusion

This article aimed to examine students' perceptions of virtual teaching after their experience during the pandemic. As it emerged from the interviews and the discussions the majority of the students who participated in the research were not in favor of virtual classrooms. According to the findings, the most important factors that significantly influence students' perceptions of the virtual classroom are as follows: the use of the integrated communication and collaboration tools, the content of the course and the pedagogical methods used by the lecturers, the ICT skills of the users, lecturers as students as well, technical problems and lack of equipment and of course the distance. Students argued that some modules, such as literature, are not appropriate for the synchronous distance education. In fact, the course design and structure can either enhance student's engagement and motivation or demotivate them (Hartnett, St. George, & Dron, 2011). The findings showed that in some course's long duration and the lack of interaction affect the students negatively. Students complained about technical problems, such as slow and unreliable internet connectivity. Students also pointed out that they missed in-person tutoring and human interaction with their teachers and peers.

At AUTh undergraduate courses are traditionally take place in-person, so the virtual classroom was not a choice but a necessity imposed by the pandemic. Consequently, some lecturers were not prepared to face the challenges of the virtual teaching. Furthermore, there was no time for training and familiarization with the platforms and tools and the updating of teaching methods and materials. The lack of ICT skills of both teachers and students negatively affected the degree of students' satisfaction of virtual teaching. Consequently, to conduct effective virtual classrooms the teaching staff should be trained. Furthermore, the students must be helped to develop their skills in digital literacy.

To conclude, the author believes that the virtual classroom can be as effective as the traditional one as long as it is designed properly and the teaching materials are suitable and adequate for this type of teaching. Thus, we can enhance students' motivation and engagement.

Therefore, further research might explore the correlation between students' and lecturers' perceptions of virtual teaching. Research also could focus on criteria for motivational and engaging learning activities in virtual classrooms as well as on the effective use of the collaborative tools. In fact, it would be helpful to look for design criteria in a virtual classroom that can increase students' engagement and enhance students' motivation.

References

[1] Bonk, C., Wisher, R., & Lee, J. (2004). Moderating Learner-Centered E-Learning: Problems and Solutions, Benefits and Implications in Tim S. Roberts Online Collaborative Learning: Theory and Practice, European Commission,

[2] Dhawan, S. (2020) Online Learning: A Panacea in the Time of COVID-19 Crisis, Journal of Educational Technology Systems, 1-18.

[3] DIEMER, A. (2012) Formation de formateurs dans le milieu de l'entreprise, des collectivités et des services : Comment concilier projet pédagogique et offre de formation à distance dans l'espace francophone?, IN T. Karsenti, R. P Garry, A., Benziane, B.B., Ngoy-Fiama & F. Baudot (Eds), La formation de formateurs et d'enseignants à l'ère du numérique : stratégies politiques et accompagnement pédagogique, du présentiel à l'enseignement à distance. Montréal : Réseau international francophone des établissements de formation de formateurs (RIFEFF) / Agence universitaire de la Francophonie (AUF).

[4]   Hartnett, M., St. George, A., & Dron, J. (2011). Examining motivation in online distance learning environments: Complex, multifaceted and situation-dependent. The International Review of Research in Open and Distributed Learning, 12(6), 20-38. https://doi.org/10.19173/irrodl.v12i6.1030

[5]   Horton, K.W. (2006). E-Learning by Design. San Francisco, CA: Pfeiffer.

[6]   Hurd, S. (2006). Towards a better understanding of the dynamic role of the distance language learner: learner perceptions of personality, motivation, roles, and approaches. Distance Education, 27(3), pp. 303–329.

[7]   International Baccalaureate Organization (2020), Online learning, teaching and education continuity planning for schools, [Online] Available: https://www.ibo.org/globalassets/news-assets/coronavirus/online-learning-continuity-planning-en.pdf.

[8]   Jézégou, A. (2010). Créer de la présence à distance en e-learning: Cadre théorique, définition, et dimensions clés. Distances et savoirs, vol. 8(2), 257-274.

[9]   Lo Presti, M. V. (2020). Second Language Distance Learning: The Issue of Language Certification in the Time of COVID-19. **European Journal of Education,** [S.l.]v. 3, n. 2, pp. 89-102.

[10] Yang, Z., & Liu, Q. (2007). Research and development of web-based virtual on-line classroom. Computers & Education, 48, 171–184.

Does "Microteaching" Meet Pre-Service Teacher's Expectations?

Zinovia Masali

Marina Kougiourouki

Abstract

Practically every academic institution and official body that is involved in the preparation of teachers of every educational grade and orientation regarding didactic practice in class, has included "Microteaching" in its academic curriculum as a basic subject. However, what is the attitude of students themselves towards this subject? What are their expectations? Does it eventually meet these expectations? What kind of knowledge and skills does it provide them with? This current research attempts to give insight to such queries, as it aims at researching the views of 115 student teachers on the subject "Microteaching". These views have been documented in short texts that students were asked to produce both in the beginning of the academic semester-after receiving initial information – and in its end - after their training was completed. This study makes use of a double perspective: it focuses on the one hand on their expectations from this subject, while on the other on their critical overall assessment, in order to formulate a thorough and rounded picture regarding the subject "Microteaching" through the viewpoint of the students who are trained in it.

Keywords: teaching strategies, microteaching, elementary pre-service teacher education, teacher skills

Introduction

Every academic institution takes special care in studying and designing the curriculum to be attended by its prospective students, so that they become multilaterally trained in the required skills and knowledge and they are rendered qualified in exercising their future profession. More specifically, in Greece – but also worldwide - most university departments, as well as other education and training bodies that prepare future educators of every level and orientation on the educational practice in class, have included in their curriculum "Microteaching" as a fundamental subject (Fykaris & Papaspyrou, 2014, McKnight, 1971).

"Microteaching" as a method of training future teachers has a long history (Allen, 1967, 1970) and a broad spectrum of applications (Dayanindhi & Hegde, 2018, Chatzidimou, 2013). It is defined (Fortune et al., 1965, p. 389, Perlberg, 1987, p. 715) as the technique which can aid future teachers to exercise teaching skills either already gained or (even) new, in safe and simplified teaching conditions, keeping a distance from the environment of a natural class, which is complicated, full of unforeseen events and stressful to them. It is generally evaluated as a method of many advantages (Reddy, 2019, Chatzidimou, 1997), but this should not mean that certain negative parameters are not pointed out (Gibbs, 1980, Luaran et al., 2016).

However, how is this subject regarded by the trainees themselves? What do they expect from it? Are their expectations finally met? What knowledge and skills are they provided with, in

their opinion? Such are the queries attempted to be answered by this present research, whose **aim** is to investigate the views of 115 future educators on the "Microteaching" course, as these views have been illustrated in short texts that they were asked to write anonymously.

Methodology

The research was conducted among second-year students of the Department of Primary Education during the spring semester of the academic year 2018-2019. The subjects of the research were asked to write anonymously a short text in two-time phases: a) in the beginning of the academic semester, after receiving initial information regarding the practical Microteaching course and b) in the end of the academic semester, after having completed their practice using the Microteaching method. In the initial phase 115 texts were collected, while in the second 92.

To conduct this specific research, "content analysis" was considered to be the most appropriate method and was consequently used (Vamvoukas, 1988, Palla, 1992, Gall, Bory & Gall, 1996). This is a technique that was initially developed in the US in the beginning of the previous century (Lazarsfeld, Berelson, & Gaudet, 1948) and constitutes the most appropriate method for the objective and systematic description, processing and interpretation (qualitative and quantitative) of the denoted content of the communication whether in written or oral speech, as it allows for making replicable and valid inferences from texts to the contexts of their use (Berelson, 1952, Krippendorf, 2004).

This specific survey was conducted in the following stages:

Decoding: at this first stage, after careful and multiple readings of the students' texts, we decoded all the references related to the Microteaching course. For the decoding, the "topic" was chosen as an analysis and measurement unit. An "inference unit" (i.e. the text environment in which every subject is found) was defined to be a unit ranging from a word to an entire phrase. In total, 483 excerpts emerged from the first group of texts using this process, whereas for the second group 487 excerpts.

Choice of categories: after compiling the material and after careful and successive readings, the choice of categories was made on grounds of fulfilling the rules of objectivity, universality, thoroughness and mutual exclusion (Vamvoukas, 1991). The general categories which have emerged through restructuring of data (Papadopoulou, 2000) were coded (Bücker, 2020) as follows:

Chart 1. Categories - coding

CATEGORY	CODE
Microteaching course in the Department of Primary Education	A
The impact of Microteaching on the academic and professional course of future teachers	B
Acquisition of knowledge and skills through Microteaching	C
Verification of expectations on the Microteaching course[1]	D

---

[1] The category "Expectations" emerged only during the decoding of references in the texts that students wrote after their practice in Microteaching.

Categorisation: the next stage was the classification of references in categories. Care was taken so that each reference would be placed in only one category. The references that emerged from the decoding were finally distributed in the categories as follows:

Chart 2. Distribution of references in categories

CATEGORY	CODE	Texts before practice in M/T		Texts after practice in M/T	
		N	%	N	%
Microteaching course in the Department of Primary Education	A	150	31,06	173	35,52
The impact of Microteaching on the academic and professional course of future teachers	B	131	27,12	91	18,69
Acquisition of knowledge and skills through Microteaching	C	202	41,82	194	39,84
Verification of expectations on the Microteaching course	D	-	-	29	5,95
Total references		483	100	487	100

Analysis

Through this categorization we subsequently attempt the quantitative analysis and processing of the material so that the statements of students regarding their expectations from the Microteaching course are approached and evaluated in the most comprehensive way.

In the first stage of the research 27 male future teachers (23,5%) and 88 female future teachers (76,5%) participated, while in the second stage the data was 21 (22,8%) and 71 (77,2%) respectively. What is, thus, observed is a female gender dominance, a common phenomenon for university departments that trains teachers, but also a decrease in the participation of students, which can be interpreted by the usual practice of attending more willingly in the beginning of the semester rather than in its end.

Assessing the percentages of the references in the above-mentioned categories (chart 2), we discover that the highest percentages for both groups of texts are gathered by the category that pertains to the knowledge and skills with which Microteaching provides its trainees. Following in second position – with a relatively small deviation, especially in the second text group – is the category of Microteaching as a subject in itself, while third position is held by the category regarding the impact of Microteaching on the academic and professional course of future teachers. Finally, concerning the second text group, the category related to verification of initial expectations, i.e. whether these were fulfilled or not, holds last position.

From the quantitative analysis of the separate thematic units, as well as their sub-categories (A-D), the following emerge:

Chart 3. Category A: The Microteaching course in the Department of Primary Education

The Microteaching course in the Department of Primary Education	A	Texts before practice in Microteaching		Texts after practice in Microteaching	
		N	%	N	%
Value of Microteaching course	A1	35	23,33	61	35,26
Microteaching as classroom simulation	A2	36	24,00	39	22,54
Opportunity for practice	A3	3	2,00	14	8,09
Potential for familiarization	A4	16	10,67	5	2,89
Acquaintance with the role of teacher	A5	17	11,33	9	5,20
Microteaching course as stressful	A6	5	3,33	3	1,73

Acquaintance and interaction with fellow-students	A7	38	25,33	42	24,28
Total references		150	100,00	173	100,00

By analysing the thematic unit that pertains to the Microteaching course in the Department of Primary Education, we concluded that the relevant references can be divided in seven sub-categories. It is worth mentioning that in both text groups the highest percentages of references (chart 3) are found in the same three sub-categories: "value of Microteaching course", "Microteaching as classroom simulation" and "Acquaintance and interaction with fellow-students". The only thing that differs is their ranking.

In the first text group, the highest percentage is held by the sub-category which collects student references on how important the course has been for them to get acquainted with their fellow-students, to cooperate with them, to interact and to contribute to each other's academic/professional evolution, while in the second text group it holds second position (chart 3). This can be possibly explained by the fact that during the first year of studies, future teachers mostly attend courses of general orientation in plenary, that is, they have not found themselves in smaller classes or groups that allow for dialogue, interaction, development of relationships and ties among them.

The sub-category that comes second in percentage of references in the first text group is the one whose references speak about the opportunity that future teachers had to experience the classroom for the first time, to participate in a simulation of school reality, while in the second text group it falls in third place (chart 3). A possible explanation for this-otherwise small-quantitative differentiation could be that the anticipation of the experience of Microteaching makes them assign it special value, which is slightly moderated when this has been fulfilled.

Third in percentage in the first text group comes the sub-category that refers to the value of the Microteaching course and which also collects the expectations and the evaluation of students for the course when still in its initial stages. This sub-category "shoots" in first place in the second text group (chart 3). It is highly likely that, the future teachers, having completed their practice in microteaching, have a complete overview on the course and therefore feel more comfortable and more at ease to assess it properly.

The sub-categories referring to the potential that Microteaching offers to practice skills, to familiarize oneself with teaching factors and to experience the role of teacher, alternate in the next positions in the students' texts in both groups, while the sub-category related to references characterizing the course as stressful, comes in last position. We could, therefore, cautiously reach the conclusion that future teachers draw such positive experiences from Microteaching that they manage to override any negative emotions of fear or stress that their "virgin" teaching session might bring, together with the subsequent critique from their fellow-students and their professor.

Chart 4. Category B: Impact of Microteaching in professional teaching course

		Texts before practice in M/T		Texts after practice in M/T	
Impact of microteaching in professional course as teacher	B	N	%	N	%
Interesting and pleasant teaching	B1	9	6,87	4	4,40
Effective teaching	B2	18	13,74	6	6,59
Contribution in future academic and professional course	B3	28	21,37	9	9,89
Self-assessment and personal evolution	B4	34	25,95	23	25,27
Acquisition of self-confidence and stress management	B5	42	32,06	49	53,85
Total references		131	100,00	91	100,00

When studying the thematic unit of references focusing on the impact of Microteaching on the future professional course of undergraduate students as teachers, we noted that in both text groups the sub-category that brings out the contribution of the course in causing the research subjects to gain self-confidence and manage their stress effectively collects the highest percentage in references (chart 4). Moreover, we observe that in subsequent texts this percentage has significantly increased, clearly displaying that the experience in Microteaching has seriously boosted future teachers' confidence in their own powers and has helped them overcome -in part - their stress and anxiety in the face of the teaching procedure. Second position is held - equally before and after their practice in microteaching –by the sub-category that refers to the course contribution towards their self-assessment, recognition of their mistakes and personal development related to teaching actual students, with almost similar percentages (chart 4). Following in next place in both text groups is the sub-category on the contribution of this course in the academic and professional course of future teachers. It is, however, worth noting that in this case, the percentages show a great discrepancy, evidently surging – as it happens with the other categories - towards the sub-category that collects references on subjects' forming a positive self-image thanks to Microteaching. In the last positions of the thematic unit one finds the sub-categories that speak about the success of an effective and interesting/pleasant teaching with the aid of Microteaching bearing similar percentages (chart 4).

Chart 5. Category C: the contribution of Microteaching in skills and knowledge acquisition

Texts before practice in Microteaching						
SKILLS/KNOWLEDGE ACQUISITION	C	N	%	N	%	% of total
COGNITIVE LEVEL	C1	51	25,25			
ICT	C1A			13	25,49	6,44
Knowledge and skills	C1B			38	74,51	18,81
					100,00	
TEACHING METHODOLOGY	C2	94	46,53			
Organizing and Planning a Session	C2A			35	37,23	17,33
Teaching Preparation	C2B			9	9,57	4,46
Time Management	C2C			10	10,64	4,95
Methodology and Teaching Principles	C2D			10	10,64	4,95
Teaching Means	C2E			7	7,45	3,47
Teaching Implementation	C2F			0	0,00	0,00
Teaching Models and Techniques	C2G			23	24,47	11,39
					100,00	
PEDAGOGIC HANDLINGS	C3	57	28,22			
Mistakes and queries' management	C3A			11	19,30	5,45
Pedagogic atmosphere and Class management	C3B			36	63,16	17,82
Movement and Body Posture	C3C			6	10,53	2,97
Teaching Style and Poise	C3D			4	7,02	1,98

| | | | | | *100* | |
| Total references | | 202 | 100 | 202 | | 100,00 |

Texts after practice in Microteaching						
SKILLS/KNOWLEDGE ACQUISITION	C		%		%	% of total
COGNITIVE LEVEL	C1	54	27,84			
ICT	C1A			13	24,07	6,70
Knowledge and skills	C1B			41	75,93	21,13
					100	
TEACHING METHODOLOGY	C2	100	51,55			
Organizing and Planning a Session	C2A			68	68	35,05
Teaching Preparation	C2B			14	14	7,22
Time Management	C2C			5	5	2,58
Methodology and Teaching Principles	C2D			2	2	1,03
Teaching Means	C2E			1	1	0,52
Teaching Implementation	C2F			6	6	3,09
Teaching Models and Techniques	C2G			4	4	2,06
					100	
PEDAGOGIC HANDLINGS	C3	40	20,62			
Mistakes and queries' management	C3A			2	5	1,03
Pedagogic atmosphere and Class management	C3B			30	75	15,46
Movement and Body Posture	C3C			8	20	4,12
Teaching Style and Poise	C3D			0	0	0,00
					100	
Total references		194	100	194		100,00

The first thematic unit which collects students' comments on knowledge acquisition and skills owing to the Microteaching course, offers rich material for analysis. This rich material is distributed in three separate sub-units and they, in turn, in other sub-categories. First position (chart 5) in both text groups is held by the sub-unit that concerns the acquisition of Teaching Methodology knowledge and skills, in which Microteaching trains future teachers (46,53 και 51,55%). The other two categories alternate for second and third position: in the first text group, the sub-unit that talks about learning pedagogic handlings is preceding (28,22%), whereas in the second group the sub-unit that refers to the enrichment of cognitive background of students is preceding (27,84%). It is obvious that the subjects of this research anticipate to delve into topics of Teaching Methodology and assess this delving as the basic benefit to be gained from this course. Moreover, they initially wish to get acquainted with various pedagogic handlings which will help them in the educational process, but eventually seem to appreciate more the enrichment of their cognitive "gear", possibly because they understand that their instruction in issues of Teaching Methodology fortifies them also in the level of pedagogic handling of their students.

Upon examination of the separate categories of the sub-units (chart 5), it can be observed that:

In the sub-unit "Skills and knowledge acquisition", the reference to "skills and knowledge" prevails in reference percentage in both groups (74,51 και 75,93 %), however the percentage of references that depicts student expectation to train in ICT is not negligible (25,49%), nor is the certainty that this has been achieved (24,07%), a remarkable fact for a course of non-technical orientation.

In the sub-unit "Teaching Methodology", the references on training in course planning and organization prevail in percentage (68%), proving the importance that students place in this factor of the educational process, both before the start of the Microteaching (37,23%) and especially after its end (68%), when they have been convinced of its crucial role. In the first text group, what follows in second position is the references on expectation to learn models and techniques for teaching (24,47%), while the references on practicing in time management and training in methodology and teaching principles tie for third place (10,64%). In the second text group, in second position we encounter the references on teaching preparation (14%), and in third place references on teaching implementation (6%)[1]. Besides the shift in topics which students refer to after the implementation of Microteaching, it is also worth noting the exceptionally low percentage that these two categories share, compared to the corresponding in the first group. This perhaps reveals the different estimation of teaching factors on behalf of the research subjects after their classroom experience.

In the sub-unit "Pedagogic Handling", prevalent in percentage in both text groups are the references on skills that contribute to pedagogic atmosphere and class management (63,16 and 75%), whereas second position is held in the first text group by references on mistake and student query management skills (19,3%), while in the second group by those one teacher's choice of movement inside the classroom and proper body posture when teaching (20%), leaving thus in last position – in both cases – the references on style and teaching poise. It is rendered obvious that students are concerned and stressed about their coexistence with pupils in class as well as the appropriate ways to maintain a healthy and beneficial to them pedagogic atmosphere.

In attempting an analysis of the separate categories at the level of percentage within the broader thematic unit (Skills and knowledge acquisition), we discover an entirely different distribution between the two text groups. The sub-category that pertains to the skills and knowledge that microteaching cultivates in the first group holds first place with a percentage of 18,81%, while in the second group it falls second (21,13%). Following comes in the first group the sub-category referring to pedagogic atmosphere and class management (17,82%), which ranks third in the second group (15,46%). Finally, in the first group, what comes after is the sub-category on planning and organizing a session (17,33%), which in the second group scores the highest percentage of references (35,05%). This reversal possibly reflects the change in views and attitudes that practice through Microteaching has brought about, and the subsequent shift of attention of students from a theoretical address to teaching towards a more practical and technical approach to it.

Chart 6: Category D: Expectations from the Microteaching course

Texts after practice in M/T			
EXPECTATIONS	D	N	%

---

[1] This sub-category had zero percentage in the first text group.

Verification of expectations	D1	21	72,41
Falsification of expectations	D2	8	27,59
Total references		29	100

Only in the second text group do we find – as would be expected – references which discuss either the anticipated or the non-confirmed expectations that had been formulated and had – perhaps – been noted in initial texts by the subjects of the research in the beginning of the academic semester. The greatest part (72,41%) is occupied by the sub-category with references that speak about verification of initial positive expectations, while the sub-category bearing references that inform us on refutation) of initial expectations comes after with a percentage of 27,59%, whether these (refutation) appear in a negative, or positive way, enhancing thus the positive value that is attributed to the Microteaching course (chart 6).

Discussion and Conclusions

The quantitative display of the content analysis of the texts that students wrote as much in the beginning of the academic semester, before practicing in Microteaching, as after its completion, is revealing of the expectations they had from this course, but also of what they finally gained from it.

By prioritizing among their expectations from the Microteaching course, as well as its subsequent evaluation, the acquisition of knowledge and skills, they express their positive attitude towards their studies and their effort to qualify themselves on many aspects, so that in the future they will be able to live up to the demands of the teaching profession (Parylo et al., 2015, Ilie, 2015).

This is the reason why, when speaking a posteriori about this specific course in the Department of Primary Education, they mainly refer to its gravity and usefulness in the framework of the curriculum of the Department where they study (Deniz, 2010), when initially they had considered as most important benefit the opportunity it gave them to socialize with fellow students they did not know up to that time.

An important success of the Microteaching course is considered to be its contribution to the boosting of their self-confidence, as well as their stress management related to teaching before an audience, something that seemed to be of special concern to them from the very start, related to their future educational course, as it appears in their initial texts. Moreover, they emphatically claim – as much before as after the course – that the specific course helps them to get better acquainted with their own potential and to improve any weaknesses they may have, so that they evolve into efficient educators (Saban & Çoklar, 2013, Elias, 2018).

At the level of course content, future teachers steadily consider as fundamental contributor to the value of Microteaching, skills in which they train in the framework of their practical exercises, such as planning, organizing and implementation of teaching, utilizing relevant principles and means, time management etc. That is to say, teaching methodology seems to bear gravity for their pedagogic training in general (Mahmud & Rawshon, 2013).

To summarise, the future teachers of the Department of Primary Education view the Microteaching course from the start as a promising course that will provide them with the opportunity to develop academically on the one hand, and professionally on the other, but that will also broaden their horizons and their potential in the implementation of a teaching

session. This view is verified to a great extent and thus the Microteaching course proves to be a catalytic factor for the exercise of their educational work (Kougiourouki, 2003, 2013).

The above conclusions allow us to highlight – as many have done before us – how important it is for this course to be included in the curricula of all academic departments/schools and bodies that prepare educators and trainers of all grades and orientations, even in digital form (Ledger & Fischetti, 2016). The Microteaching course is almost always considered worthy in the conscience of future teachers and constitutes an experience that remains indelibly imprinted in their conscience.

References

[1] Allen, D. W., & Cooper, J. M. (1970). *Microteaching. PREP-17*. Distributed by ERIC Clearinghouse. Washington, D.C.

[2] Allen, D. W., & Stanford Univ., CA. (1967). *Micro-teaching, a description*. [Washington, D.C.]: Distributed by ERIC Clearinghouse. Retrieved from: https://eric.ed.gov/?id=ED019224

[3] Berelson, B. (1952). *Content analysis in communication research.* Michigan: Free Press.

[4] Bücker, N. (2020). How to Code Your Qualitative Data—A Comparison Between Grounded Theory Methodology and Qualitative Content Analysis. *Forum Qualitative Sozialforschung / Forum: Qualitative Social Research, 21*(1). http://dx.doi.org/10.17169/fqs-21.1.3389

[5] Chatzidimou, D. (1997). *Micro-teaching in teacher education. A theoretical and empirical approach*. Thessaloniki: Kyriakidis Bros.

[6] Chatzidimou, K. (2013). Microteaching in Teacher Education through the Students' Perspective. In: P.M. Pumilia-Gnarini, E. Favaron, E. Pacetti, J. Bishop & L. Guerra (eds.), *Handbook of Research on Didactic Strategies and Technologies for Education: Incorporating Advancements*. Vol. II. (pp. 620-631). Hershey PA: IGI Global.

[7] Dayanindhi, V. K., & Hegde, S. P. (2018). Effectiveness of microteaching as a method of developing teaching competence among in-service medical teachers. *Journal of advances in medical education & professionalism*, 6(4), 155–161.

[8] Deniz, S. (2010). Implications of Training Student Teachers of Preschooling through Micro-Teaching Activities for a Classroom with Mentally-Disabled Students, *Educational Research and Reviews*, 5(6), 338-346. Retrieved from: https://academicjournals.org/journal/ERR/article-full-text-pdf/E1695C74092

[9] Elias, S.K. (2018). Pre-Service Teachers' Approaches to the Effectiveness of Micro-Teaching in Teaching Practice Programs. *Open Journal of Social Sciences*, 6, 205-224. https://doi.org/10.4236/jss.2018.65016

[10] Fortune, J. C., Cooper, J. M., & Allen, D. W. (1967). The Stanford Summer Micro-Teaching Clinic, 1965. *Journal of Teacher Education, 18*(4), 389–393. https://doi.org/10.1177/002248716701800402

[11] Fykaris, I., & Papaspyrou, G. (2014). Intertemporal evolution and structural meaning of "microteaching" in the didactic functionality of the Pedagogic Departments of Greece. In: Proceedings of the 7th Scientific Conference of History of Education with International Participation: *Which knowledge has the highest value? Historical-Comparative Approaches.* Retrieved from: https://eriande-elemedu.e-millescreations.com/art/uploads/prgrammata_anoteras2.pdf

[12] Gall, M. D., Borg, W. R., & Gall, J. P. (1996⁶). *Educational research: An introduction*. White Plains, N.Y: Longman Publishers USA.

[13] Gibbs, I. (1980). Initial Caution among Students towards Micro-teaching. *Research in Education, 24*(1), 45–56. https://doi.org/10.1177/003452378002400104

[14] Ilie, V. (2015). Attitude towards pedagogical and methodological training and development – a comparative analysis. *Procedia – Social and Behavioral Sciences*, *180*, 820-827. https://doi.org/10.1016/j.sbspro.2015.02.217

[15] Kougiourouki, M. (2003). *The role of Microteaching in the framework of teachers' Education and Training*. Thessaloniki: Kiriakidis Bros.

[16] Kougiourouki, M. (2013). The contribution of microteaching in the teaching readiness of the educator: students' views. In: M. Kougiourouki, P. Stravakou, & K. Chatzidimou (eds.), *Pedagogic and teaching research studies. Honorary tribute to professor Eleni Ev. Taratori-Tsalkatidou* (pp. 143-162). Thessaloniki: Kiriakidis bros publishing house.

[17] Krippendorff, K. (2004^{2nd}). *Content analysis. An introduction to its methodology.* London: Sage.

[18] Lazarsfeld, P., Berelson, B., & Gaudet, H. (1948). *The people's choice.* New York: Columbia University Press.

[19] Ledger, S., & Fischetti, J. (2020). Micro-teaching 2.0: Technology as the classroom. *Australasian Journal of Educational Technology*, *36*(1), 37-54. Retrieved from: https://ajet.org.au/index.php/AJET/article/view/4561/1603

[20] Luaran, J.E., Rom, K.B.M., & Jain J. (2016) Attitude on Microteaching: A Study on Third and Fourth Year Science Student Teachers of the Faculty of Education, UiTM. In: C. Fook, G. Sidhu, S. Narasuman, L. Fong, S. Abdul Rahman (eds.), *7th International Conference on University Learning and Teaching (InCULT 2014) Proceedings*. Springer, Singapore. https://doi.org/10.1007/978-981-287-664-5_5

[21] Mahmud, I., & Rawshon, S. (2013). Micro Teaching to Improve Teaching Method: An Analysis on Students' Perspectives. *IOSR Journal of Research & Method in Education*, *1*, 69-76. https://doi.org/10.9790/7388-0146976

[22] Mcknight, P. C. (1971). Microteaching in Teacher Training. *Research in Education, 6*(1), 24–38. https://doi.org/10.1177/003452377100600103

[23] Palla M. (1992). Content analysis. *Philologos*, *67*, 45-54.

[24] Papadopoulou, Ch. (2000). Qualitative data analysis in educational research. *Makednon*, *7*, 143-155.

[25] Parylo, O., Süngü, H., & Ilgan, A. (2015). Connecting Attitudes Toward Teaching and Pedagogical Formation Courses: A Study of Turkish Pre-Service Teachers. *Australian Journal of Teacher Education*, *40*(5). Retrieved from: http://ro.ecu.edu.au/ajte/vol40/iss5/5

[26] Perlberg, A. (1987). Microteaching: Conceptual and Theoretical Bases. In: M. J. Dunkin (ed.), *The International encyclopedia of teaching and teacher education* (pp. 715-720). Oxford [Oxfordshire]; New York: Pergamon Press.

[27] Reddy, K. (2019). Teaching How to Teach: Microteaching (A Way to Build up Teaching Skills). *Journal of Gandaki Medical College-Nepal*, *12*(1), 65-71. https://doi.org/10.3126/jgmcn.v12i1.22621

[28] Saban, A. & Çoklar, A. N. (2013). Pre-Service Micro -Teaching Method in Teaching Practice Classes. *The Turkish Online Journal of Educational Technology*, *12(2)*, 234-240. Retrieved from: https://files.eric.ed.gov/fulltext/EJ1015454.pdf

[29] Vamvoukas, M. (1991^2). *Introduction in psychopedagogic research and methodology.* Athens: Grigoris.

Countermovement Jump with the Help of Wings in 16-Year-Old Volleyball Players

Junida Pogoni

Artan Pogoni

PhD, Sports University of Tirana, Faculty of Physical Activity and Recreation, Department of Movement and Health

Abstract

Vertical jump is combined with the assessment of the strength and strength of the muscles of the lower extremities that are fundamental components of the volleyball game's work.The Countermovement Jump with arm (CMJA) test as a specific specifically for the assessment of the offensive force of volleyball players.Methods: Female (F) & Males (M) average volleyball players were tested in CMJA at the GFRP; Force(F max), Power(P max) and gravity shift relationship Jump Height(JH). Anthropometric measurements of volleyball players were also developed; Body Height (BH cm), Body Mass (BMI% kg/m^2), Body Weight (BW kg). Results: The differences between the two groups found in the study resulted in significant differences in BH cm (F-172, M-187.3), BW kg (F- 62.2, M -79.3), BMI kg / m^2 (F-21.1, M -22.6), Jump place in JP cm (F-266, M-310), Jump Attack in JA cm (F-274, M-321). But even the data captured by the Leonardo platform in the CMJA test gives us a noticeable difference between the two groups; (F-6.4,M-4.5), P max (F-3.08, M-4.78) and diff P max Left & Right(F-2.59,M-0.56),V max m/%(F-5.2,M-4.4). Conclusion: The results obtained suggest changes to the performance of volleyball players in "vertical jump" in the parameters of force, speed, and power. These indicators are valid for any trainer or volleyball player to implement a detailed and specific training program for the further development of the physical qualities of volleyball players, especially vertical tipping in gaining the lower extremity muscular power.

Keywords: volleyball, jump, players, countermovement

1. Introduction

The studies that I've done have consistently been the basis for the volleyball sport in the new age of 16-17years old. Achieving high levels of modernity requires a great deal of study, a research work to develop and perfect physical performance in professional sports. The important tendency in world volleyball, in addition to improving the body height of players, is the increase in the vertical jump level. In collective sports as volleyball, football, basketball besides other technical elements that these kind of sports contain it is seen even the functioning of the element "vertical jump". The best perfection of a vertical jump is achieved with a purposeful training to increase the jump height, the high degree of muscular activity achieved with a specific training program. Plyometric exercises use the stretch-shorten cycle to train the muscles to perform and perform greater work in the shortest possible time (9).

Plyometric is a form of resistance exercise that refers to the stretch-shortening cycle (SSC) such as jumps or doing vertical or horizontal jumps (10). With vertical jump, we understand the athlete's ability to elevate his body's gravity center with the help of dynamic muscular work of lower extremities. Physiological studies on this discipline have shown how a volleyball player should possess and increase, through training, the ability to develop explosive strength and to reuse elastic energy. Any physical exercises, they may be defined by means of the volume expressed by work performed during jumps (2) or by the number of jumps (3) as well as by intensity, which is usually defined by such parameters as ground reaction forces (GRFP) and the rate of force development (4, 5). The main purpose of this study is to evaluate the changes and the effects that training in volleyball player's female & male using the tests countermovement jump with arm (CMJA).

2. Methodology

The subjects of this study were 12 Female & 12 Male volleyball player participating in the championship of volleyball in Albania. The main objective is to see to these volleyball players aged 16 years old differences in changes in the measurements of some functional parameters. It will be possible to see the state of the level of volleyball player's in our country through measurement and data analysis.

Table.1. Anthropometric measurements volleyball players.

Groups	FEMALE(F)	MALE(M)
Mean Age	Age	Age
Body Height	(BH) cm	(BH) cm
Body Wight	(BW) kg	(BW) kg
Body Mass	BMI% kg/m²	BMI %kg/m²
Jump Place	JP	JP
Jump Attack	JA	JA

2.1. Protocols of the Test Performed

Tests protocol that we used in this experiment was designed to assess the capacity of all parameters of vertical jump height. These tests called Bosco tests describe the method used to measure the power, the strength of the lower extremities. Tests are performed on laboratory equipment platform Leonardo® system Ground Reaction Force Plate (GRFP) .Countermovement jump test with the help of Arm- CMJA; Jump against action (move) without the aid of the arms CMJ, but the athlete begins testing position at attention and takes off refractive limbs bottom up to 90º with the help of the arm to pick up momentum to jump in platform GRFP. This test assesses the strength of the energy reuse explosive elastic (6). The use of wings in the vertical jump indicates the duration of an impulse.

3. Results

The following table 2 and graphic1 presents the average data of the two groups from field measurements. There are visible differences between the sexes.

Tab, 2. Measurements volleyball players in ground

Nr	Group	Age	BH cm	BW kg	BM Kg/m²	Jump Place cm	Jump Attack cm

| 12 | FEMALE | 16.9 | 172 | 62.2 | 21.1 | 266 | 274 |
| 12 | MALE | 16.8 | 187.3 | 79.3 | 22.6 | 310 | 321 |

Graphic.1. Measurements volleyball players.
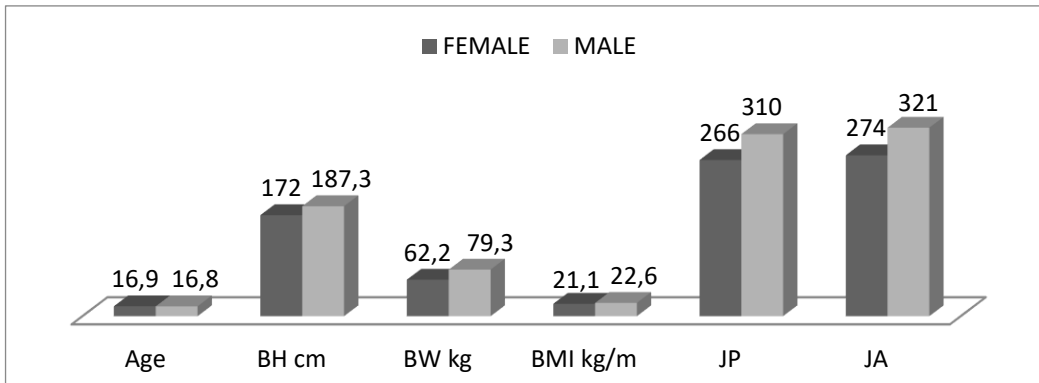
The results obtained from the GRFP platform of the specific tests developed by the groups given in the study will be presented below in separate tables 3 and graphic 2. The average values of the groups taken in the anti-action test of the CMJA are presented.

Tab, 3. Measurements CMJA tests in "Leonardo" platform Female&Male

Nr	Group	Jump Height m	Vmax m/s	Fmax kn	diff.Fmax Left-Right%	Pmax kw	diff.Pmax Left-Right %
12	FEMALE	0.45	2.59	1.42	6.4	3.08	5.2
	Max	*0.98*	*6.4*	*2.49*	*4.78*	*2.36*	*2.43*
	Min	*0.72*	*4.05*	*2.34*	*3.08*	*1.53*	*1.55*
12	MALE	0.56	2.95	1.93	4.05	4.78	4.42
	Max	*0.98*	*6.4*	*2.49*	*6.4*	*3.08*	*5.2*
	Mini	*0.45*	*2.59*	*1.42*	*3.08*	*1.53*	*1.55*

Graphic 2.Measurements CMJA tests in "Leonardo" platform Female&Mal
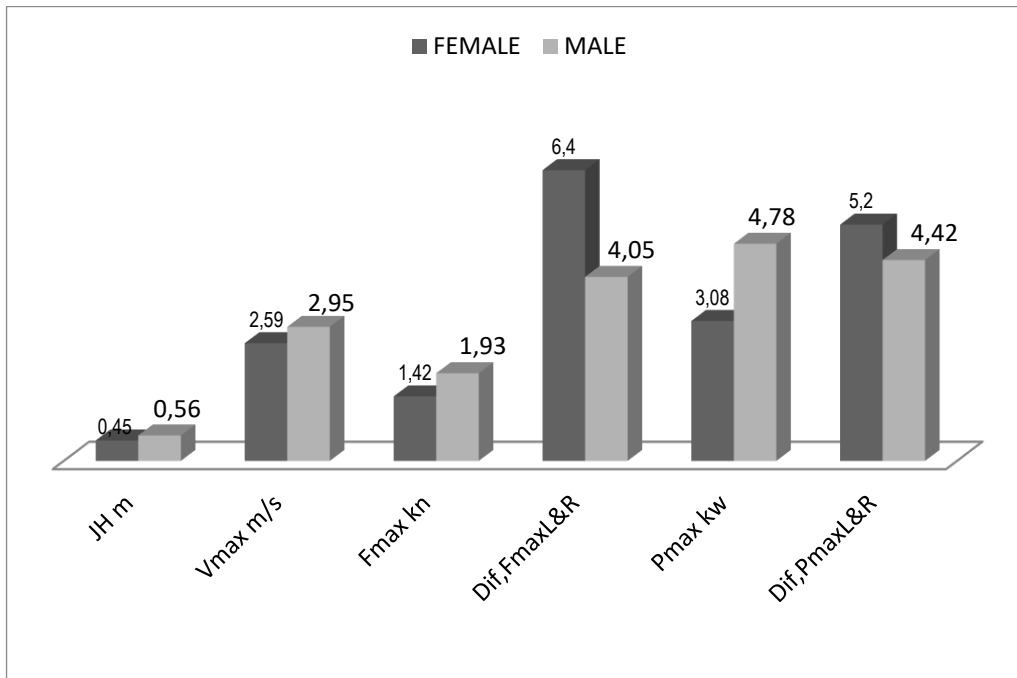
4. Analyses

Max force (F max) and max power (P max) are relatively poor values (low) compared with the results that a volleyball player should have during a vertical jump.The table shows the data of Male &Female volleyball players in the tests done in "Leonardo" platform and the average data of the two groups from field measurements.. Volleyball players according to a study [1,44-45] reports that the vertical jump height is within the range of 75-90cm which reflects the fact that the excessive increase of the maximum strength of the lower extremities results in a reduction in the speed of the movement, namely the reduction the level of volleyball dance from the ground.Specifically from what is presented above in Table 3 of the descriptive analysis values obtained from GFRP in Jump height Female 0.45 <Male 0.56, Vmax was detected Female 2.59 <Male 2.95, Fmax was detected for Female 1.42 <Male 1.93 kN . The left and right footing differences on the leftforms were for Female 6.4%> Male 4.05%. The power ratings obtained on the platform are Female 3.08 <Male 4.78 and the differences between left and right foot Female 5.2%> Male 4.42%. From the control of difference averages results that women do not have a good development of vertical dance performance through the CMJA test. The t-test result shows that the differences between the two groups were statistically significant (sig = 0.035).

5. Discussion

Many researchers and practitioners are encouraged to consider this methodology and these variables as valuable and reliable measures to determine athletes' ability to perform in vertical dance. The main purpose of the CMJA test at volleyball players of these new age groups was to determine the reliability measurement of the main performance measures commonly used to determine the CMJ strength capacity qualities from GRFP data.. The long-term CMJ test is

supposed to provide a measure of muscle elasticity, whereas today it is found that this test provides the mass of rapid jump force (7)where the differences between the CMJ and SJ tests proposed the "elasticity "Of athletes in the team using the concept" elasticity index "coming from the difference of these two tests. The good capacity used by elastic energy corresponds to 8-10cm. The difference between these two tests is called the fast power index. The elasticity coefficient of formula (CMJ-SJ) x100 / CMJ expressed in% is an index of accumulated energy capacity as a result of elastic muscle extension preceding muscular contraction and meanwhile from the data presented to the team Volleyball in Albania has reported a low percentage of elastic energy as a result of a poorly recommended exercise to develop this quality. The vertical jump performed by the two study groups in the CMJA test that provides the mass of the rapid jump force has been shown that volleyball players with these values are at the levels of the capacity of the low-speed force. A comparison of body height during CMJ and body weight also allows the assessment of the start of the test threshold coordination and the end of the jump stage according to GRFP (P <0.01, force p ≤ 0.05), CMJ (p <0.01, force p <p 0.01), for 8 weeks (8).

6. Conclusion

The team's female & male in the study had significant differences between them in the technical element of jumping and its processing.The data from this study will be available for coaches who want to improve their vertical jump performance to players. The ability to jump is an important factor of success in this sport, but it is associated with the general and specified training for the development of its performance regardless of gender players. Interpretation of the data suggests that young volleyball players are indispensable to apply the exercises that improve the dance performance as an important element in this sport. The results of this study illustrate the importance of recognizing the impact of rapid force, emphasizing the need to understand that specific assessment techniques that will identify in individual components the strength and strength qualities that affect the performance of the jump.

References

[1]   Bosco,C., Komi PV. (1981).Influence of countermovement amplitude in potentiation of muscular performance. In: Biomechanics VII-A. Morecki A, Fidelis K, Kedzior K, Wit A, eds. Baltimore, MA: University Park, 129- 135.

[2]   Chelly, MS, Hermassi, S, Aouadi, R, dhe Shephard, 2014. Effects of 8-week plyometric season on the progress of upper and lower limbs adolescent elite handball players. RJ Forca J Cond Res 28 (5): 1401-1410.

[3]   De Villarreal E.S., Kellis E., Kreamer W.J., Izquierdo M. Determining variables of plyometric training for improving vertical jump height performance: a meta-analysis. J. Strength Cond. Res. 2009;23:495-506pp.

[4]   Fleck, S. J., & Kraemer, W. J. (2004). Advanced training strategies. In S. J. Fleck & W. J. Kraemer (Eds.), Designing Resistance Training Programs (3rd ed., pp.209-239). Champaign, IL: Human Kinetics.

[5]   Gilles Cometti,Dominique Cometti;"La Pliometria(origini,teorie,allenamento) 2a edizione italiana (Tivoli 2009)Capitolo V; I TEST. Test di Bosco fq60-78.

[6]   Holcomb William R.; Lander, Jeffrey E.; Rutland, Rodney M.; Wilson, G. Dennis. Journal of Strength and Conditioning Research: May 1996 - p 89-92 .

[7]   Jensen R.J., Ebben W.P. Quantifying plyometric intensity via rate of force development, knee joint, and ground reaction forces. J. Strength Cond. Res. 2007;21:763-767pp.

[8]   Lin J., Chao Ch., Liu Y. The comparison of work intensity and exercise performance between short-stretch and long-stretch drop jump. In: Y. Hong, D.P. Johns, R. Sanders (eds.) Proceedings of the 18th International Symposium on Biomechanics in Sports. Hong Kong, China: International Society of Biomechanics in Sports Newsletter. Hong Kong 2000;pp.58-61pp.

[9]   V.Rizvanolli. 1997. Kërcimi në Volejboll. Fq.44.

[10] Walsh M., Arampatzis A., Schade F., Brüggeman G.P. The effect of drop jump starting height and contact time on power, work performed and moment of force. J. Strength Cond. Res. 2004;18: 561-566pp.

Engineering Students' Perceptions when Working with Narratives in a Humanities Course

Edgardo Leopoldo Maza-Ortega

Universidad del Bío Bío, Chile

Carmen Cecilia Espinoza-Melo

Universidad Católica de la Santísima Concepción, Chile

Abstract

This research reveals the change that occurs in a university course when using narratives, which allows facing monumentalism in the classrooms, considering that, in most of them, classes are still being held in a traditional way without taking into account what the students think about the topics covered in the courses. The research is within the qualitative method. The results obtained allow to establish the influence of the course on the learning strategies used by the students, as stable learning indicators, two networks are presented: one corresponding to the use of narratives, and the second, incorporation of the question. Students are motivated to work collaboratively and have a favorable opinion of implementation.

Keywords: narratives, engineer training, humanities education, collaborative work, qualitative research.

Introduction

The importance of complementary training in engineering studies has been recognized in most of the world's universities, and traditionally, it has been covered by requiring one, two or three subjects that deal with specific topics of humanism (Belandría, 2011. p.17)

Likewise, some students state that they lack interest or vocation for these subjects. Obviously, the consequence of this situation is apathy, a reluctance for humanism and a deep immersion of the students in the realm of mathematics, physics, chemistry and engineering techniques. (Belandría, 2011. p.18)

Likewise, the field of action of the engineer is not related only to the scientific and technological, but is immersed in a complex reality that he must understand and know in its entirety to optimize the exercise of his profession based on the integral well-being of society and the natural environment where he develops. This requires knowing the society and the environment that it transforms, understanding its cultural and natural diversity, being aware of the needs of the human being and for this he needs to be sensitive and aware of his social function as a person, as an engineer and as an agent of progress, change and development (Belandría, 2011. p.18)

According to the Organization for Economic Cooperation and Development (OECD), a large number of Chileans (53% of adults, but 84% of the country) do not understand what they read,

thus they become functionally illiterate, moving away from the understanding of their social, cultural and historical environment. This is not new or local, on the contrary, it has been happening in different countries for at least thirty years. Today, prominent economists, such as the Spanish Joan Antoni Melé, propose concepts such as "ethical banking" or Edmund S. Phelps, Nobel Prize in Economics, quoted by Nuccio Ordine (2018) says:

(…) Today economies lack the spirit of innovation. Not only do labor markets need more technical skills, they require an increasing number of soft skills, such as the ability to think imaginatively, to come up with creative solutions to complex challenges, and to adapt to changing circumstances and new constraints. (…) A necessary first step is to reintroduce humanistic subjects in schools and in university curricula. The study of literature, philosophy and history will inspire young people to seek a fulfilling life, a life that includes making creative and innovative contributions to society. (p. 23)

Certainly, knowledge of history will make people better understand how society has arrived at the present moment. Experiencing the feelings and teachings of literature and the arts will make citizens more aware and sensitive to reflect on the decisions to be made, as opposed to the excessive use of reason, which can lead to misleading the correct direction of that society. Possessing knowledge of philosophy will make society develop fundamental critical thinking that will help choose the path to the destiny of the country.

In The Utility of the Useless, Nuccio Ordine speaks of the marginalization of the humanities in this technological age, highlights the importance of the humanities in the training of citizens and criticizes the commercial use that has been made of education. These areas (literature, philosophy, history) have a value in themselves and are decisive in our human and civic education, or in the development of our critical and at the same time compassionate thinking, capable of keeping that humanity in mind, and that it implies being the same and different. In many universities, from different countries, the idea that these, only, should work with mercantilist principles and should be oriented with the postulates of profitability, effectiveness, efficiency and competitiveness typical of the market economy has been installed. Ordine expresses concern that students are considered clients, and since the client is always right, the quality of teaching suffers in favor of the speed with which a degree is sought. On the other hand, according to Terry Eagleton (2017):

Academic institutions, in the past areas of critical reflection, are being increasingly reduced to market bodies (…). For the most part, they are in the hands of technocrats (…). The work of the new intellectual proletariat of academics is evaluated according to whether their lectures on Plato or Copernicus help to stimulate the economy. (p. 169)

Nothing could be more wrong, according to Nuccio Ordine (2018), when he talks about humanistic knowledge or those that do not produce an immediate economic benefit. "These are an end in themselves since they can play a fundamental role in the cultivation of the spirit and in the civil and cultural development of humanity." (p. 9)

Theoretical framework.

Why the humanities serve today more than ever, with regard to technology today and in Heidegger, is because the latter is the representation of society. This society that bases its development on technique, this same technique that is part of consumption to sustain the economy. The conjunction of technique and economics lead to solidify a way of distracting

attention from how important it is to be aware of the reality and the immediate social environment of people. The humanities help to understand the above to form a solid foundation for critical thinking.

According to Martha Nussbaum, cited by Adriana Valdés (2017), "treating people as manipulable objects if they have never learned another way of looking at them" is the basis of the inequality of a society like ours. A society in democracy is difficult to be thought of if citizens are not "capable of thinking for themselves, criticizing tradition, and understanding the meaning of other people's sufferings and achievements." Likewise, "(…) generations of utility machines will begin to be produced, instead of comprehensive citizens" (Valdés, 2017). The same could be thought of the educational reforms of secondary education where the government tried to eliminate philosophy, history and the arts, at some point in Chile. When there is little or no critical or reflective thinking, as Adriana Valdés puts it, the sense of what the country wants to achieve is lost, part of the citizenry begins to feel exploited and excluded. In this way, people become useful in the manner of Heidegger (Acevedo, 2016). The utensil, the human being in this case, remained unthemed by deception, or fear, thus remaining at the hand of the system for decades, both at the beginning of the republic and throughout the twentieth century. In the same way, the person is "provoked" and transformed into a resource even though it is not, but it becomes quantifiable. Without going any further, companies still maintain their Human Resources departments today. Some recently began to call their workers collaborators, thus forming a respectional totality. When all the above happens, without realizing it, Byung Chul-Han's statement, "Now you exploit yourself and believe you are realizing yourself," makes perfect sense. For these reasons it is that humanistic knowledge is for life and not instrumental, temporary, as are some skills that have been learned and then discarded due to their obsolescence over time, an example of the above is the learning of computational languages that a user had to have to operate a computer, before the appearance of the Windows operating system. According to Ordine (2018), knowledge, humanistic for our interest, is the only form of "wealth" that does not diminish or lose when it is given and, on the contrary, it does enrich the recipient for life.

The fact that people always experience crises is a fundamental reason to study the humanities. We exemplify this, in general, with engineers who throughout their lives make decisions based on the quantitative; However, when all the goals are fulfilled as family, home, car and midlife approaches, some begin to wonder what the meaning of all this has been, feeling enslaved to work and the responsibilities of life. It is when the midlife crisis can appear. The humanities are the way that leads to the answers and that solves such uncertainties and questions by finding in them those answers that are not quantitative, but qualitative. Literature gives some examples that transpose time such as Hamlet and his vital doubt of taking revenge, or not on her mother and uncle for the death of her father, the king of Denmark or Faust selling his soul to the devil for the success that did not arrive. How useful it is to read these texts to realize that literature contains this knowledge that has no immediate economic value, but that helps people understand vital issues in times of crisis.

Other types of crises, such as social ones, have been present throughout the history of humanity. Some of them recent, in Chile, such as the social issue of the nitrate companies at the beginning of the last century, with all that it meant between abuses and deaths of men, women and children. Then Luis Emilio Recabarren (2010), in his speech "The Rich and the Poor Through a Century of Republican Life", in Rengo on September 3, 1910, diagnoses the

situation of Chilean workers when celebrating the centenary of the republic and where he says that the workers, one hundred years after the republic, have nothing to celebrate. That is why, for him, it was so important that workers know how to read:

To promote instruction, in all its degrees and in all its forms, is the duty of every person who considers himself civilized. Encouraging education, as has been said, is to weaken the foundations of unpredictability and vice; it is to initiate his disappearance ... Let us encourage him to read, to think, to analyze. Doing this, (…) is leading the people to improve their living conditions. The most educated people will be the most powerful people. (p. 55)

In an interview, Howard Gardner (2016) says:

(…) And it is one of the reasons for the crisis of maturity, when they realize that there are no (…) humanistic studies: Philosophy, Literature, History of Thought (…). You can live without philosophy, but worse. In an experiment with MIT engineers, we discovered that those who had not studied humanities, when they reached their 40s and 50s, were more likely to suffer crises and depressions (…). Because engineering and technological studies end up giving you a feeling of control over your life, in the end, unreal: you only focus on what has a solution and on the questions with answers. And for years you find them. But, when with maturity you discover that it is impossible to control everything, you become disoriented (…) due to lack of humanistic studies.

Training in the humanities allows promoting reflection in people, producing an internal change in them. This also allows a personal reflection to make a generational comparison between the present generation and their parents or grandparents. Likewise, with the evolution of society, allowing a reflection on it and how they will develop in their work environment, for example, to help improve society. This reflection gives all people the opportunity to share and realize that they have common ideas. Morin (1999), raises the need:

(...) for the education of the future, of a great relationship of the knowledge resulting from the natural sciences in order to locate the human condition in the world, of those resulting from the human sciences to clarify the multidimensionalities and human complexities and the need to integrate the invaluable contribution of the humanities, not only of philosophy and history, but also of literature, poetry, the arts (...). (p. 22).

Adela Cortina (2018) adds an ethical factor to humanities training when she points out:

The question is not, then, in schools and universities to train only well-specialized technicians who can compete and meet the demands of the markets, whatever they may be, but to educate good citizens and good professionals, who know how to use the techniques to implement them at the service of good ends, who take responsibility for the means and the consequences of their actions in order to achieve the best ends. (pp. 134-135)

In some relation to this, the only thing we are clear about going forward is that society as a whole will change, be it in technology, education, jobs or historical processes, therefore the last thing that education should do is deliver more information to students, they already have a lot (Harari, 2018). What they will need is the ability to decide between what is more or less important, it is in these circumstances where the professional person of the future will need a solid humanistic training that allows them to have the tools that enable them to make better decisions, both in terms of personal as well as professional. Harari himself states that:

The decisions we make in the coming decades will shape the future of life itself, and we can make these decisions only from our current world view. If this generation lacks a complete conception about it, the future of life will be decided at random. (pp 287-288)

Methodology

A qualitative research was carried out, which is guided by significant areas or research topics. Ander-Egg (2011) defines the concept of research as "a reflective, systematic, controlled and critical procedure that aims to discover or interpret the facts and phenomena, relationships and laws of a certain area of reality" (p.18). Within which questionnaires and narrative diaries were used, through the latter, the data of this research were taken, so that the students could express their appreciations of their state before and after taking humanities subjects from the curriculum of their career.

Narratives were used to collect data which sought to gather information about the course, which aspect was the most relevant for students when learning humanities, for example. The narratives of the students delivered throughout the semester were analyzed. Data analysis was carried out with the qualitative software Atlas.Ti 7.0.

Narratives in education are used as a didactic resource, in this way the conception of an education that is limited to the memorization of information and its retention is combined, where the student is motivated to learn new knowledge in a different way (Tapia, 2019).

The notion that mediates the narrative perspective is that of listening to the voice of the subjects, understood as that which is the bearer of life history (Arévalo, Fernández, Hidalgo, Lepe, Miranda, Nuñez and Reyez, 2016. p. 225)

Results

To begin with the narratives, a coding was carried out and then organized and grouped into categories according to the main topic of the research, which allowed to develop an interpretation and synthesis of the information found in the narratives. The categories were raised once the narratives were applied to the participants of the experience.
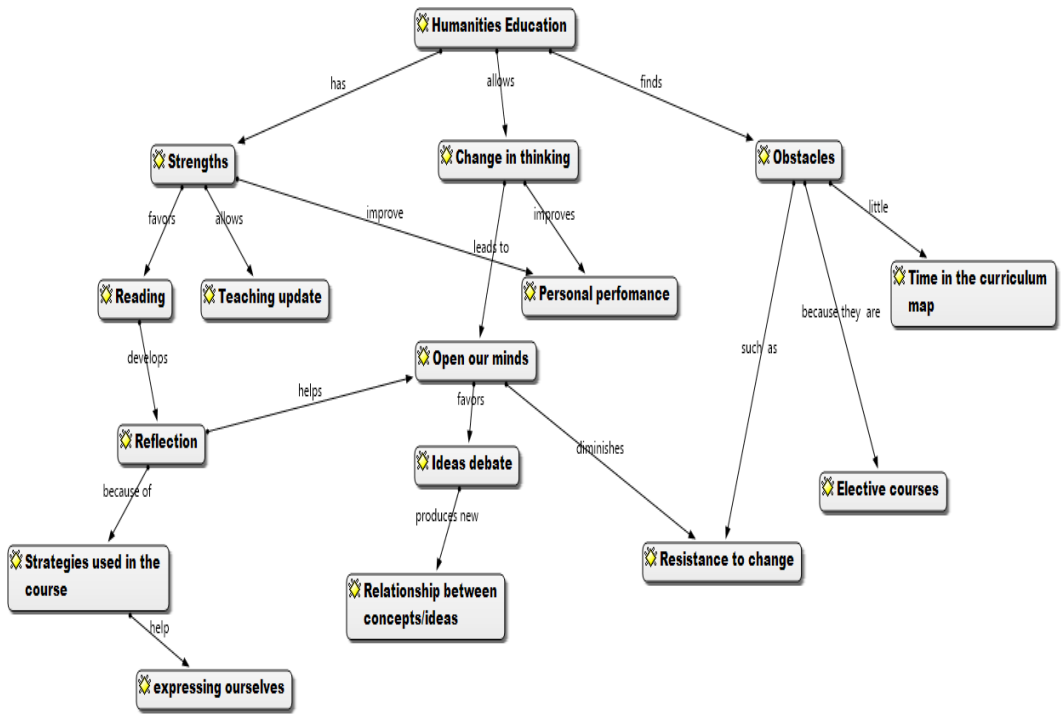
Figure 1. Humanities Education semantic network

Figure 1 shows the semantic network called Education in Humanities in which three subcategories can be seen, the first called Strengths, it is observed that humanities training favors reading in students, allows them to reflect on his practice, to be able to express himself. In addition, the strategies used in the course facilitate teaching and it is given in a more contextualized way.

It is observed, in the second subcategory called Way of Thinking, how students are able to open their minds to other topics proposed in class, discuss ideas and relate concepts. There is also the third subcategory called Obstacles, where, due to the information provided by the students, one of the drawbacks is that the humanities are very little valued in the training of engineers, there are no compulsory humanities courses, the Humanities courses are very little valued by students too, they prefer to take other subjects.
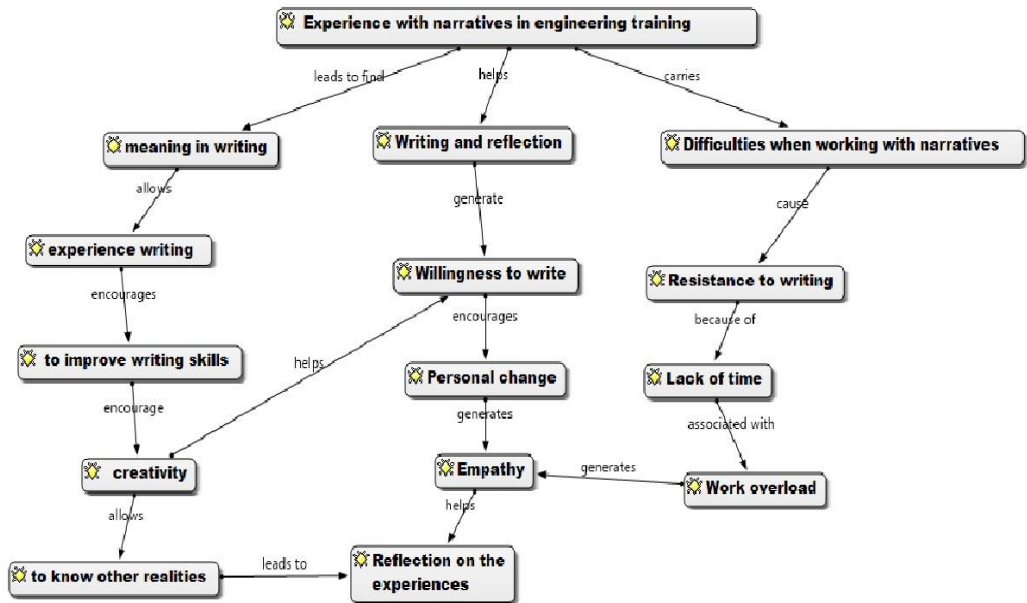
Figure 2. Semantic network Experience with narratives in engineering training.

Figure 2 shows the semantic network corresponding to experiences with narratives in the training of engineers, it is composed of three subcategories. The first subcategory is called Meaning of Writing, here we find how writing influences students and the benefits that it brings them in their training, increasing their creativity, allowing them to know other realities.

The second subcategory is called Writing and Reflection, here we obtain how students present a willingness to write and realize that this is a tool that allows them to achieve changes in society, since they can put themselves in the place of the other and better understand reality, leading them to reflect on the situations they have experienced.

The third subcategory is called Difficulties when working with narratives, where we find the resistance of students towards writing, since they insist that they have very little time to carry out this activity, in addition to an overload of work.

Conclusions

It can be observed, through the interviews applied to the course participants, that working with narratives is a learning experience that allows to modify the work in the classroom and that favors knowing other ways of delivering the contents. This helped to increase communication within the work groups, foster responsibility among students, with a greater bonding of students, as a result of the knowledge generated between them, they also recognized the ability to incorporate changes during the development of classes, being able to respond to emerging situations.

This research will continue in the future with a quantitative component, where a questionnaire will be built, to expand it to a mixed research.

Finally, everything that makes them more human and that will contribute to the different capacities of the future professional person. Likewise, the teaching of the humanities, at the university level, would allow students to relate different aspects that influence decision-making in the various areas of their lives. The above to have, in the end, not only a specialist who makes better decisions, but an integral person, aware of his/her social, historical, cultural environment and with instrumental knowledge for life, at the same time.

References

[1]   Acevedo Guerra, J. (2016). Heidegger y la época técnica. Santiago. Chile. Editorial Universitaria.Ander-Egg, E. (2011). Aprender a Investigar. Nociones básicas para la investigación social. Córdoba. Argentina. Editorial Brujas.

[2]   Arévalo, A., Fernández Ll, B., Hidalgo, F., Lepe, Y., Miranda, C., Núñez, M., & Reyes, L. (2016). Corporalidades y narrativas docentes: un dispositivo metodológico para la investigación y formación de profesores. Estudios pedagógicos (Valdivia), 42(4), 223-242. Recuperado de :

[3]   https://scielo.conicyt.cl/scielo.php?pid=S0718-07052016000500013&script=sci_arttext&tlng=e

[4]   Belandria, J.(2011). Importancia de la formación humanística, ecológica, social y ética en los estudios de ingeniería. Ciencia e Ingeniería, 32(1),17-23. ISSN: 1316-7081. Recuperado de: https://www.redalyc.org/articulo.oa?id=5075/507550790004

[5]   Cortina, A. (2018). La Ética. ¿Para qué sirve realmente…? Barcelona. España. Paidós.

[6]   Eagleton, T. (2016). Cultura. Barcelona. España. Taurus.

[7]   Gardner, H. La vanguardia. (2019, 30 de diciembre). Una mala persona no llega nunca a ser buen profesional. Argentina. Fasgo. Recuperado de

[8]   http://www.fasgo.org.ar/images/Una_mala_persona_Profesional.pdf

[9]   Harari, Y.N. (2018). 21 lecciones para el siglo XXI. Santiago. Chile. Debate.

[10] Morín, E. (1999). Los siete saberes necesarios para la educación del futuro. Paris. Francia. UNESCO.

[11] Nussbaum, M. (2010). Sin fines de lucro. Por qué la democracia necesita de las humanidades. Buenos Aires. Argentina. Katz editores.

[12] Ordine, N (2018). La utilidad de lo inútil. Manifiesto. Barcelona. España. Acantilado.

[13] Ordine, N. (2018). Una escuela para la vida. Valparaíso. Chile. Editorial Universidad de Valparaíso.

[14] Recabarren, L. (2010). Ricos y pobres. Santiago. Chile. Lom ediciones.

[15] Tapia, J. L. (2019). Uso de narrativas digitales como recurso didáctico para el aprendizaje adulto: propuesta de diseño para su integración en el aprendizaje permanente. 593 Digital Publisher CEIT, 4(4), 29-43. Recuperado de :

[16] https://doi.org/10.33386/593dp.2019.4.114

[17] Valdés, A. (2017). Redefinir lo humano: las humanidades en el siglo XXI. Valparaíso. Chile. Editorial Universidad de Valparaíso.

[18] Belandria, José (2011). Importancia de la formación humanística, ecológica, social y ética en los estudios de ingeniería. Ciencia e Ingeniería, 32(1),17-23.[fecha de Consulta 4 de Noviembre de 2020]. ISSN: 1316-7081. Disponible en: https://www.redalyc.org/articulo.oa?id=5075/507550790004

Construction of Reflexivity in Social Workers Working with Vulnerable Children in the Czech Republic

Kateřina Glumbíková

Department of Social Work, Faculty of Social Studies, University of Ostrava, the Czech Republic

Abstract

Social work in the Czech Republic is confronted with the impact of global neoliberalism, which is manifested by privatisation of social services, individualisation of social risks and economisation. Reflexivity of social workers working with vulnerable children and their families has the potential to lead to a higher quality of social work, strengthening of social workers' identity, and empowering social workers to promote changes in everyday practice. Meeting this potential requires an understanding of constructing reflexivity by social workers, which is the objective of this paper. We used a qualitative research strategy, particularly group and individual interviews with social workers and their analysis using current approaches to grounded theory. Concerning data analysis, we found out that constructing reflexivity (nature and subject of reflexion) derives from the perceived roles of social workers (social worker as an ununderstood artist, social worker a as mediator between social and individual, social workers as an agent of a (society) change, social workers as an agent of normalisation and reflexive professional). The acquired data, within the situational analysis, was inserted into a position map on the scale of holistic and technical reflection. The conclusion discusses the implication for practice and education in social work.

Keywords: Reflexion construction, role of social work, neoliberalism

Introduction

Social work in the Czech Republic is confronted with the impact of global neoliberalism; which is a political ideology with an economising paradigm applying the laws of the free market. The practice of social work goes though the implementation of market-oriented values, procedures, and management of social services. Neoliberalism in social work is manifested, in general, by privatising social services, individualising social risks (although most risks occur structurally, their solution is expected on an individual level), and economising and rationalising (social work subjects to market demands and effective requirements).[1] As a result of global neoliberalism, legitimacy of social services is questioned and social workers

---

[1] Similar impacts on social work outside the Czech Republic are described, e.g., by Ruch (2005), Ferguson (2005), Fook (2016), or Knott & Scrag (2016).

are perceived as those who artificially create problems and help those who do not deserve their help (Chytil 2007; Valová & Janebová 2015).

Contemporary social work in the Czech Republic thus works in the intentions of bureaucratic responses to uncertainty, complexity, risk, and anxiety, which are inherent in social work practice (Glumbíková, Vávrová & Nedělníková 2018; similarly see Ferguson, 2005); resulting in the loss of sense of perspective (Knott & Scragg, 2016).

Czech social work thus witnesses a reduction of beyond-rational and emotional behaviour aspects. A client is thus redefined from an *"individual with difficulties"* to a *"service user"* (see Ruch, 2005).

Authors Glumbíková, Vávrová & Nedělníková (2018) add that social work with vulnerable children accentuates the above-mentioned with: a) social workers work with the difficult life situation of, in many cases, traumatised children who may feel distrust toward adults; b) the existence of a series of inconsistent methodological guidelines from various institutions (f. e. the ambiguous definition of concepts, such as "*a vulnerable child*" or "*remediation of the family*") and the absence of methodological guidelines on topics such as the situation of unwanted children; c) the fact that child protection service workers need to retain the trust of the client on one hand and, on the other hand, collect evidence for the potential need to "*remove a child from a family*".

According to many Czech authors, a lot of social workers have adapted to the above-mentioned neoliberal trends in social work or they perceive them as unchangeable (Musil, 2008; Janebová, Hudečková, Zapadlová &Musilová 2013; Valová & Janebová 2015). Social workers thus perceive themselves as mere executors of the set social work, which come to them from the "*outside"* or "*above"* from those who do not have a direct relation to everyday practice of social work with a client (Gojová & Glumbíková, 2015; Glumbíková, Vávrová & Nedělníková 2018).

Within the context of the above-mentioned providing social work with vulnerable children and their families in the contemporary society, the ability of reflexivity seems to be the key skill in coping with the requirements of the current social work, which enables to deal with messy or complex problems (Mathias, 2015; Fook, 2016), to cope with uncertainties, doubts, and anxieties (Gardner, 2006; Holland, 2011; Fook, 2016), or to reveal challenging implicit discourses, knowledge system, assumptions, and values (Sanaya & Gardner, 2012; Fook, 2016). Reflexivity in social workers has the potential to improve social work, strengthen the identity of social workers, and empower social workers to promote changes in everyday practice in this profession. In order to strengthen the social workers' ability of reflexivity, it is necessary to understand constructing[1] reflexivity by social workers working with vulnerable children and their families in the Czech Republic, which is also the objective of this paper.

---

[1] In our text, we proceed from the thesis of social constructionism, which understands social reality as a social construct created by interaction, communication, and language. The reality is experiential, passed on from generation to generation through traditions and socialisation (Gergen, 1999).

Theoretical grounds: Reflexivity and its concepts

Reflexivity[1] can be understood as a) **ability to assess** the situation of a vulnerable child in the context of destabilisation or problematisation of what we consider knowledge and everyday defence of knowledge (see for example D´Cruz, Jones, 2007; Sanaya & Gardner, 2012); b) **process** of looking from outside on social and cultural artefacts and forms of thinking which saturate the practice of helping professions, and questioning and challenging processes which give a meaning to the world (see for example Ferguson, 2003); c) **theoretical approach** which enables social workers to deal with dilemmas and identify values and the *"important"* in their practice (see for example Fook, Gardner, 2007). Individual authors (Schön, 1983; Gould & Baldwin, 2004; Ruch, 2005; Taylor, 2010; Edwards, 2016) distinguish numerous perspectives/understanding a reflection.

Schön (1983) formulates two concepts of reflection: reflection-on-action and reflection-in-action. Reflection-on-action is a one-time activity that follows a meeting with a client or after some other practical activity. In the reflection-on-action, a worker studies why he/she acted, how he/she acted, what happened in the process, and considers the future strategy of acting.

Reflection-in-action is a concept that expresses the effort to continuously monitor, during the whole meeting, experiences, feelings, and concepts and theories which affect the currently ongoing meeting. It concerns a creative process which enables the social worker to get a situational view to be able to act with respect to the developing situation.

Knott and Scragg (2016) add that reflection in action requires the social worker to be experienced as it can be concerned more *"intuitive and artistic"* unlike *"technical competence"*, which prevails at the side of a beginning social worker (Knott & Scragg, 2016). Gould & Baldwin (2004) extend the Schön's concept with a third component reflection before action, which consists of acquiring information before the client's visit and enables the worker to prepare for the client's visit and use his/her sources more effectively. Edwards (2016) extends the concept with a fourth component reflection beyond action, which *"can produce the type of learning that may be vital if students are to move beyond the limited confines of mechanistic reflection in the current form of reflection-on-action. With the inclusion of a story of others and their sharing, the development of professional practice can be enhanced through interconnection of the past, present, and future"*.

Ruch (2005) talks about technical and holistically oriented reflection on social work. Technical oriented reflection on social work orientates on improving the practice by evidence what happened and how it happened. Holistically oriented reflection on social work focuses on improving the practice by searching the answer to the question of why it happened (trying to

---

[1] Differences between the terms reflexivity and reflectivity can be seen in the following categories a) **grounding** (term reflexivity stems from socially-scientific research, primarily qualitative); b) **relating to the present** (reflexivity is related to reflection in action, reflectivity is related with reflection on action; reflexivity is then a continuous process and reflectivity has primarily a one-time character); c) **application of a finding** (reflectivity creates a theory from one incident, which is then generalised and applied to other incidents or situations; reflexivity does not have this objective, it focuses on a critical attitude to creating knowledge in a given particular situation) (D´Cruz et al., 2006). In this paper, we will approach reflexivity and reflectivity according to Fook and Gardner (2007) and Fook (2016) as interchangeable.

understand the meaning of action). Meanwhile, it perceives the uniqueness and complexity of each client and his/her situation, including irrational aspects. Holistic reflection is thus of an interpretative nature, is relational, dynamic, and situational; it also contains individual and structural aspects of each client's situation and stems from the respect to the practice wisdom. Taylor (2010) identifies, in accordance with Ruch (2005), technical reflection as empirically based focused on systematic and objective approaches (e.g. evidence-based practice). The author then distinguishes practical reflection, which focuses on our interactions and our expectations of interactions and on emancipatory reflection, which is concerned with power in interactions and trying to liberate people from constraints (e.g. an expert model situating knowledge and solutions in the hands of the practitioner).

Methodology

The paper presents data from research in 2018 realised within a project of Students' Grant Competition (SGC) called Critical Reflexivity of Social Workers Working with Vulnerable Children and Their Families. The main research question was set as follows: How do social workers working with vulnerable children and their families perceive critical reflexivity and how do they perceive that critical reflexivity becomes evident in social work with vulnerable children and their families? The research was implemented using a qualitative research strategy, the communication partners (informants) were selected using an intentional selection through an institution (organisations providing socially activating services for families with children[1] in the Czech Republic). The criteria to include an informant into the research were set as follows: a) being active in terrain social work with vulnerable children and their families; b) length of practice in terrain social work with vulnerable children and their families of at least 12 moths; c) voluntariness of taking part in the research. The research involved 12 communication partners altogether (11 women and 1 man) from three different towns in the Czech Republic. The average age of the communication partners was 30 years (the age ranged between 22 and 53 years). The average length of practice of the communication partners was 3.5 years (and ranged between 1 and 1 years). 3 communication partners had higher professional education, 9 communication partners had university education.

The data was collected using semi-structured interviews and subsequent three focus groups (N=4, N=5, N=3), which were systematically focused on: perception of reflexivity in the

---

[1] It concerned workers of socially activating services for families with children, specified by §69 Act 108/2006 on Social services as follows: *"Socially activating services are ambulant or terrain services provided to retired persons or disabled persons endangered by social exclusion. The service according to…includes the following basic activities: a) mediating contact with social environment: It primarily concerns support of family bonds with broader social environment – with relatives, social and community (local) events, relation to peer and self-helping activities, support of participation in cultural and other events (search, accompaniment, etc.); b) social therapeutic activities: It concerns activities with children and adults focused on the development of personality, understanding oneself and situation in which the clients are, sharing and emotional support, activities focused on the support of sibling relationships and relationships between parents and children, support to understand and make clear life situations, ways of solutions and risks; c) help with assistance with asserting rights, justified interests and looking after personal matters."* Socially activating services cooperate with other services and the Body of social and legal protection of children, which is the state body with regional and city branches designed to protect the rights and interests of a child.

practice of social work with vulnerable children, implemented interventions in the practice of social work and relating to them, own relating of the social worker to the practice of social work, perceived context of implementing social work in the Czech Republic, and anticipated future development of social work with vulnerable children in the Czech Republic. The data was word-to-word transcribed and anonymised. The data was processed using current approaches to the grounded theory of K. Charmaz (2003) and A. Clarke et al. (2018).

The data analysis included initial coding; focused coding (which is based on searching similarities and selecting the "*most useful*" codes and their re-testing from the point of view of their relationship to other open codes), and intentional coding (selective phase where the most significant codes were used to synthesise, organise, and integrate a large volume of data). Next phase of coding was axial coding, which leads to the creation of categories (re-structuring data which was decomposed during open coding and thus it gives it relations) (Charmaz, 2003). Then we used the procedures of a situational analysis A: Clarke, particularly position maps, which graphically depict partakers' positions or phenomena in relations to the cross-section of (identified) factors affecting these positions (Clarke et al., 2018).

Regarding the procedures carried out within the research, they were all in accordance with the Ethical Principles of Psychologists and Code of Conduct, which were approved by the American Psychological Association (APA, 2010). Every communication partner was familiarised with research objectives; every communication partner provided the informed consent; participation in the research was voluntary and the researchers committed themselves to keep confidentiality.

Regarding the research limits, it is important to reflect that the data was collected using interviews with the communication partners the premise of which was the ability of reflexivity of communication partners. The data in its nature is rather a perception/opinion of social workers on the reflexivity and their practice rather than a description of a real state of reflexivity in the practice of social work in the Czech Republic. Regarding the data limits, it is also necessary to reflect possible social desirability in the communication partners' expressions. Regarding the support of data validity (with respect to own reflexivity of the social workers), the data was analysed using the mechanism of mechanism inter-coder agreement.

Data analysis

The data analysis, whose aim was to understand the construction of reflexivity in social work, revealed that social workers working with vulnerable children and their families[1] construct reflexivity reflexivity (nature and subject of reflexion) in social work differently in several percieved roles of social worker in social work. It concerned the role of: social worker as an ununderstood artist, social workers as a mediator between social and individual, social workers as an agent of a change (in society), social workers as an agent of normalisation and a reflexive professional. However, the individual role can be perceived as theoretical

---

[1] Social workers do not explicitly state in their narrations the uniqueness of the construction of reflexivity in relation to the target group they work with; however, it is important to perceive that their construction of reflexivity stems from their everyday practice of social work with vulnerable children and their families.

constructs which do not exist so clearly, but which intermingle and intersect in the personality of (one) social worker.

Social worker as an ununderstood artist

In the role of a social worker as an ununderstood artist (creative role), social work is perceived as the **possibility of self-realisation, sense, and mission** *"For me, it's a kind of self-realisation."* (KP1[1]) *"I see it as something like my life mission…"* (KP4)

Social work in the role was perceived as a **lonely profession where the working tool is the social worker.** *"It's a very individual work, the personality of the worker in that family is very important there … one is alone for that situation."* (KP1) Social work, however, was perceived as an **intuitive profession**. *"Often very intuitively that one cannot say how the model is called in a textbook, but it is used like that."* (KP6) The communication partners in this role agreed on the fact that social work is a **continuous process of** *learning: "As I do not have such long practice, I take it as I'm learning all the time."* (KP2)

The role of an ununderstood artists relates to the feeling of **ununderstanding** and **undervaluing**, both by society and clients. *"The work itself, with this group of people, was ununderstood directly… that I'm a terrain social worker, their eyebrow rises. And when you add that you focus on families with children, for example Gypsy families, that you help them with benefits and accommodation, ununderstanding again."* (KP9)

The definition of this role of a social worker reveals that social workers' reflexions primarily focus on the personality of a social worker. Social work was perceived in the intentions of **priceless** and often **intransferable experience, which led to the change of the personality of its executor.** *"I've always been such a pro-social character, but it is a profession which affects everyone; one is more humble, appreciate what he/she has when seeing people around with their existential problems. And material possessions, greed, and consumerism which predominates in our society, I think it does not touch me so much. I don't need to race for such conveniences… it's rather humbleness."* (KP1)

Social workers as a mediator between social and individual

Within this role, the communication partners perceived the role of a social worker as a certain balance of the non-existence of collective responsibility in relation to unfavourable social situations and the pressure on individual responsibility for failures; their **reflexion was then primarily directed to the setting of contemporary society**. *"In many clients, it can't be said who's guilty… mostly it's the society and the setting that we have here; for example there are no town flats and multiple families then end up in quarters as they can't find such big flats…"* (KP12)

In the context of this role, the communication partners reflected that social work is perceived as ***necessary even in "problems that get worse"***. *"Problems of those clients are worse, I think."* (KP7) *"As the population is getting older, social work is really more and more needed, no one else can take care of those people."* (KP6)

---

[1] Abbreviation KP means communication partner, the number means identification of individual communication partners.

Social worker as an agent of a change (in society)

The role of a social worker as an agent of a change in society is defined by reflexion of the **absence of a system approach to solving problems.** In this context, one of the communication partners reflected the current situation in the area of social housing "*At the moment, I think that most of our practice is influenced by the pressure to close down the quarters and change it to rental housing. Many families cannot afford it. So closing down the quarters pushes them to the hands of resellers of these flats as they cannot go anywhere else.*" (KP8) Another communication partner pointed out the setting of the system of benefits "*I see it that the benefit system is badly set. Those who don't work often receive more… it's not motivating.*" (KP5)

Other reflexions were focused on **"problems with legislation"** which **is not set in social work "bottom-up"**. *"The biggest problem is in laws. Seems like… social workers do their work well, but it is the state which throws a monkey wrench into the works.*" (KP5) „*And the best should be that those up should try it, touch this work, they should change…*" (KP7) Concerning this setting, the communication partners pointed out increasing **bureaucratisation** of social work, which sucks out the time for direct work with a client. *"Half of the work time is paperwork about what I do… I'd rather work with clients, but can't – have to write: I did this and that. Reports. I have to prove to somebody what I do so that someone knows as we are paid. This really annoys me.*" (KP6) Another communication partner was critical to the system of **setting interventions within a project**, where it is necessary to meet obligatory quota. She pointed out a paradox in social work as the objective of social work is that a client does not need the social worker in the future, but the social worker needs them to fulfil this profession. *"But we need the clients… because we need to meet the interventions. I reckon that sometimes there's a kind of contradiction as I need to gain these interventions and I'm happy that the client does not do it by himself/herself because I need to have these interventions and if the client did many things by himself/herself, I can't gain the interventions.*" (KP10)

Social workers stated that due to the above-mentioned, **they lose the sense of social** work. *"I think that there is a lack of the view from the practice point of view. It's done by people behind a table. We have to follow certain norms and regulations and I have to spend certain hours in the terrain and then write individual plans which the client changes our times during one meeting. I understand that we have to do it, so I do it, but I see no sense in it.*" (KP11)

Social work in the role of a social worker a s an agent of a change in society is perceived as a filed having a certain **potential**. *"I still think that social work does not achieve what it could achieve.*" (KP1) *"Social work is quite developing thanks to those projects and so on. Yes, it's going up, but still does not meet its potential.*" (KP2)

Social worker as an agent of normalisation

The role of a social worker as an agent of normalisation is a position when the objective of social work is to *"reform"* the client according to valid norms in the society. Social workers in their narrations perceived this role as oppressive and they rather connected it with expectations of the society towards social workers and worries of clients from the scope of work of a social worker. The communication partners related this role with the **check of the "asocial"**. *"Some (clients) take us as the tool of such a check and that we go there to take their children away."* (KP8)

The check of the *"asocial"* was related by the communication partners with a perceived **discourse of merit**, which appears in the contemporary society. *"The public doesn't see it that sometimes they* (note: clients) *got into it by their own mistake, sometimes it was just a coincidence of many circumstances."* (KP4) *"And one friend tells me that she does not understand how I can help such people as they got into the situation by themselves."* (KP11)

In this role, social workers mostly relate reflexivity with the process of executing social work, particularly it is perceived as a tool of **setting boundaries of work with a client, freeing from work with a lie from the client's side.** *"I free myself for example like that… I just simply take it that it is work and I won't go to have a coffee with the client, I just do my work and I give the man what I can give."* (KP3). In this context, the communication partners considered reflexivity as a tool to set the **level of trust in a client**. *"Those are really beginner's mistakes with the trust… , one wants to see the people positively, one wants to believe."* (KP10) Another communication partner perceived critical reflexivity as a tool of work with **a failure to meet what was agreed on with the client**. *"They want something, we work hard on it and I see that they haven't done a single thing they were supposed to do… go somewhere with son's application for school… I'm always so surprised that those people want something, but then don't do anything for that."* (KP10)

Reflexive professional

The role of a reflexive professional can be related with holistic reflexivity, which is refers to **improving the practice of social work** by its reflexion. This reflexion is focused on the uniqueness of each client and each situation in its individual and structural aspects. Reflexivity in this context is understood as a *"tool of healthy doubts". "But I think that if a social were one hundred per cent sure about what he/she is doing, it would not be good either…"* (KP8) Reflexivity was also perceived as a **tool of work with own** mistake *"I it is a mistake… meaning that I didn't behave professionally, but the client didn't consider it a… misstep… I solve this situation differently… I get back to this topic and we discuss it a bit differently."* (KP1)

Reflexivity in the role of a reflexive professional is understood as a **tool of understanding client's** behaviour. *"I might have been disconcerted by client's reaction as I didn't see any reason for that. But looking back I thought… yes… that there might have been some reason…"* (KP2) This understanding will subsequently result in the **avoidance of taking a judging** attitude towards the client. *„I think that clients really appraise I consider it quite crucial for me that they see some understanding from the social worker's part and that there is no a priori judgement of the behaviour."* (KP4) Reflexivity was also perceived as a **tool to accept the client's norm by the social worker**. *"Just get closer to the level of the family, don't criticise. I take it as it is. I perceive it that the client needed it. If they knew to do it better, they would do it better."* (KP6)

Reflexivity was also perceived as a tool enabling to work with a client in (more) **empowering ways**. *"We come to a mutual conclusion how to solve it… I don´t help them indeed… rather motivate."* (KP6) *„I see myself not as a directive tool. If a client tells me that he/she doesn't want to take this alternative to solve the situation, I can't force them. I can only explain the situation in the case that they wouldn't like to solve the situation, where it might end up".* (KP8) The communication partners perceived reflexivity as a tool supporting an approach focused on the **support of competencies and strengths**. *"An approach as something like praising… not praising like a small child, but rather highlight what they did."* (KP9)

In the narration, the communication partners perceived the role of a reflexive professional as a certain **ideal** to head towards. *"I would like to be that empowering social worker who is aware of and works with the whole system, but there is a long journey and a lot of support."* (KP1)

Positional map of social workers' role related to the subject and nature of reflexion

The above-mentioned roles of social workers (partakers´) were related with the theoretical concept by Ruch (2005) on technical-oriented and holistically-oriented reflection (nature of reflexion) (identified factors affecting roles of social workers).

Thus, a positional map was created. It depicts the above-mentioned roles of social workers according to the subject of reflexion (society, process, client's personality, worker's personality) and according to the use of technical-oriented reflection a holistically-oriented reflection (nature of reflexion).

Scheme 1: Positional map of social workers in relation to the subject and nature of reflexion
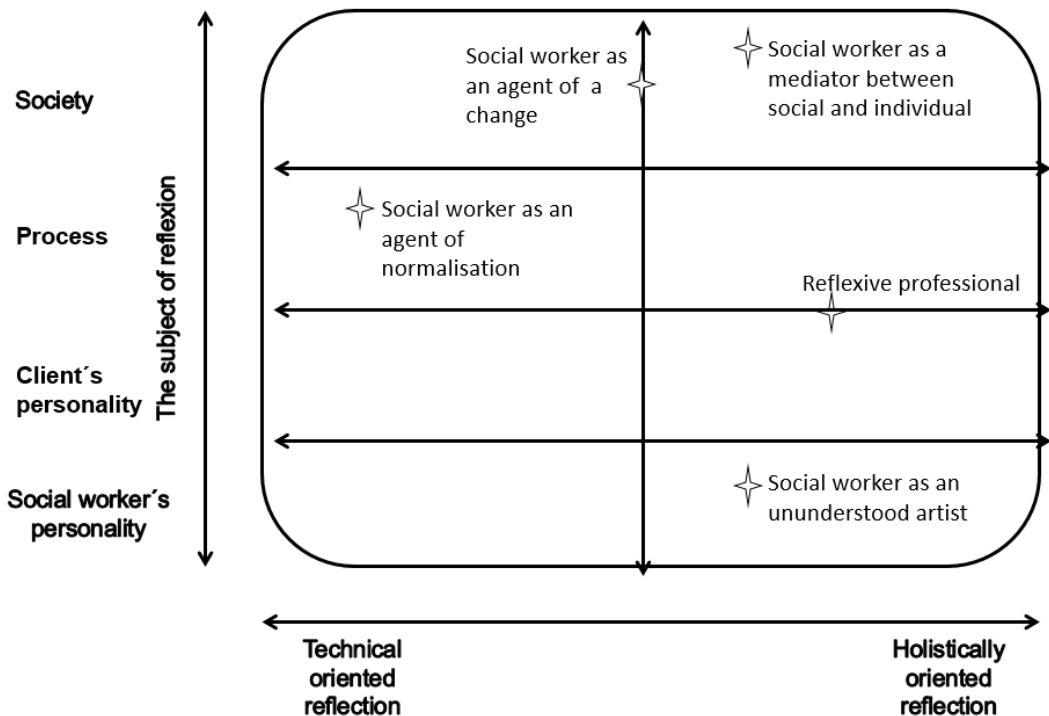
Source: Own construction.

The above-presented positional map reveals that two roles of social workers (Social worker as an agent of a change and Social worker as an agent of normalisation) can be perceived in the concept of Technical-oriented reflection, when their reflexion stems from the practice evidence and systemic and objective approaches. The subject of a Social worker as an

Agent of a change is society while the subject of a Social worker as an agent of normalisation is the process of social work. Three roles of social workers (Social worker as a mediator between social and individual, Reflexive professional and Social worker as an ununderstood artist) can be perceived within the concept of Holistically-oriented reflection. The social worker in these roles focuses on improving the practice using reflexion of searching the answer to the question why happened what happened (they try to understand the meaning of happening) while perceiving the uniqueness and complexity of each client and each situation, including irrational aspects.

Discussion and implications for social work

The data analysis revealed that constructing reflexivity depends on the roles perceived by social workers. Each created role, however, must be perceived as a certain (ideal) theoretical construct as roles of social workers are of an intersectional nature and thus intersect and mingle depending on a specific context of social work. The above-presented positional map shows that the identified roles of social workers fluctuate in a certain continuum of *"doing social work"* and *"being a social worker"* (see Ruch, Harrison, 2007). An important finding is that the role of a reflexive professional was marked in the narrations as a certain *"ideal"* to head towards rather than a matter of everyday practice. When defining the role of a reflexive professional, it is obvious that reflexion has the potential to create more inclusive and less judging practice (similarly see Jones, 2010); to work in more empowering ways (similarly see Fook, 2016); and to create practice less focused on finding a solution and more on building clients' abilities (Fook & Gardner, 2007; Fook, 2016).

Reflexion in the created roles related to various subjects in social practice, such as society, process, personality of a client, or personality of a worker. The research results thus show that reflexion has a wide range of focus which has a potential to empower social workers in relation to a possible change in the setting of social work practice. It seems that it is thanks to reflexion that social workers can become aware that they are not only mere executors of the *"above"* given setting, but their role in this process is more active. They are implementers who develop own coping strategies helping them, within limited resources, manifest own decision making. It is those processes that enable social workers to shape public policy right when interacting with clients (Lipsky, 2010).

In the context of the above-mentioned, it can be stated that strengthening of the ability of holistic reflexivity of social workers (not only in the Czech Republic) should be included in a standard curriculum of social workers (similarly see, for example, Tate & Sills, 2004; or Guransky et al., 2010) and to further education of social workers working with vulnerable children and their families. The first step to include this in the Czech Republic was understanding how Czech social workers construct reflexivity in the practice of Czech social work. The above-stated data shows that integrating into education should have the nature of offering opportunities and platforms to reflect experience from the practice. A roofing concept of this education should be experiential learning, which is based on sharing experience. A particular form of integration into education can be supervisions, intervisions, team meetings, or, for example, using reflexive diaries (similarly see Barlow & Hall, 2007; Grant et al., 2014;).

Conclusion

We gained understanding about constructing reflexivity by social workers working with vulnerable children and their families in the Czech Republic, which is also the objective of this paper. The data analysis revealed that constructing reflexivity depends on the roles perceived by social workers.

References

[1] Act n. 108/2006 Sb. The Social Services Act

[2] American Psychological Association. (2010). *Ethical Principles of Psychologists and Code of Conduct*. Retrieved from http://www.apa.org/ethics/code/

[3] Bauman, Z. (1987). *Legislators and Interpreters: On Modernity, Post-Modernity and Intellectuals*. Oxford: Polity Press.

[4] Barlow, C., & Hall, B. L. (2007). What about feelings? A study of Emotion and Tension in Social Work Field Education. *Social Work Education*, *26*(4), 399-413.

[5] Clarke, A., Friese, C., & Washburn, R. (2018). *Situational Analysis in Practice: Grounded Theory After the Interpretative Turn*. London: SAGE.

[6] D´Cruz, H., & Jones, M. (2004). *Social Work Research: Ethical and Political Contexts*. London: Sage.

[7] D´Cruz H., Gillingham, P., & Mendez, S. (2007). Reflexivity: A Concept and Its Meanings for Practitioners Working with Children and Families. *Critical social work*, *8*(1), 1–18.

[8] Holland, S. (2011). *Assessment in Social Work Practice*. London: Sage Publications.

[9] Edwards, S. (2016). Reflectin Differently: New Dimensions Reflection-before-action and Reflection-beyond-action. *International practice Development Journal*, *7*(1), 1-14.

[10] Ferguson, H. (2005). Working with Violence, the Emotions and the Psychosocial Dynamics of Child Protection:Reflections on the Victoria Climbié Case. *Social work education*, *24*(7) 781 – 795.

[11] Ferguson, H. (2003). Welfare, Social Exclusion and Reflexivity: The Case of Child and Woman Protection. *Journal of Social Policy, 32*(2), 199-216.

[12] Fook, J. (2016). *Researching Critical Reflection. Multidisciplinary Perspectives*. NY: Routledge.

[13] Fook, J, & Gardner, F. (2007). *Practicing critical reflection: A resource handbook*. Berkshire: Open university press.

[14] Forrester, D., McCambridge, J., Waissbein, C., & Rollnick, S. (2008). How do Child and Family Social Workers Talk to Parents about Child Welfare Concerns? *Child abuse Review, 17*, 23-35.

[15] Gardner, F. (2006). *Working with Human Service Organisations: Creating Connections for Practice*. Melbourne: Oxford University Press.

[16] Gergen, K. J. (1999). *An invitation to social construction*. London: SAGE Publications.

[17] Glumbíková, K., Vávrová, S., & Nedělníková, D. (2018). Optiky Posuzování v Agendě Sociálně-právní Ochrany Dětí [Optics of Assessment in the Agenda of Social-legal Protection of Children]. *Sociální práce/Sociálná práca*, *18*(6), 78 – 88.

[18] Gojová, A., & Glumbíková, K. (2015). Bezmocná Sociální Práce jako Zdroj Zplnomocnění [Powerless Social Work as a Source of Empowerment]. *Sociální práce/Sociálná práca*, *16*(5), 52 – 64.

[19] Gould N., & Baldwin, M. (2004). *Social work, Critical Reflection and the Learning Organization*. Aldreshot: Ashgate.

[20] Grant, L., Kinman, G., & Alexander, K. (2014). What´s all this talk about emotion? Developing emotional intelligence in social work students. *Social Work Education*, *33*(7), 874-889.

[21] Gursansky, D., Quinn, D., & Le Sueur, E. (2010). Authenticity in Reflection: Building Reflective Skills for Social Work. *Social Work Education*, *29*(7) 778-791.

[22] Healy, K. (2005). *Social work theories in context: Creating frameworks for practice*. Basingstoke, Palgrave MacMilan.

[23] Charmaz, K. (2003). Qualitative Interviewing and Grounded Theory Analysis. In Holstein, J., & Gubrium, J. F. (Eds.), *Inside Interviewing. New Lenses, New Concerns* (pp. 311–330). Thousand Oaks, London, New Delhi: SAGE Publications.

[24] Chytil, O. (2007). Důsledky Modernizace pro Sociální Práci [Consequences of Modernisation for Social Work]. *Sociální práce/Sociálná práca*, *4*, 64 – 71.

[25] Janebová, R., Hudečková, M., Zapadlová, M., & Musilová, J. (2013). Příběhy Sociálních Pracovnic a Pracovníků, kteří Nemlčeli – Popis Prožívaných Dilemat [Tales of Social Workers who did not Stay Silent – Description of Experienced Dilemmas]. Sociální práce/Sociálna práca, *13*(4), 66–83.

[26] Jones, C. (2010). Voices from the Front Line: State Social Workers and New Labour. *British Journal of Social Work*, *31*, 547–562.

[27] Kane, G. (2007). Step-by-step: A Model for Practice-based Learning. *The Journal of Continuing Education in the Health Professions, 27*(4) 220-226.

[28] Knott, CH., & Scragg, T. (2016). *Reflective Practice in Social Work*. London: Sage.

[29] Lipsky, M. (2010). *Street Level Bureaucracy: Dilemmas of the Individual in Public Services.* NY: The Russell Sage Foundation.

[30] Mathias, J. (2015). Thinking Like a Social Worker: Examining the Meaning of Critical Thinking in Social Work. *Journal of Social Work Education*. *51*, 457–474.

[31] Munro, E. (2011). *The Munro Review of Child Protection. Final Report – A Child-centred System*. London: Department of Education.

[32] Musil, L. (2008). Různorodost Pojetí, Nejasná Nabídka a Kontrola Výkonu „Sociální Práce" Práci [Diversity of Conception, Unclear Offer and Control of Performance of Social Work]. *Sociální práce/Sociálna práca*, *8*(2), 60–79.

[33] Ruch, G. (2005). Relationship-based Practice and Reflective Practice: Holistic Approaches to Contemporary Child Care Social Work. *Child and Family Social Work*, *10*, 111 – 123.

[34] Ruch, G., & Harrison, K. (2007). Social Work and the Use of Self: On Becoming and Being Social Worker. In Lymbery, M., Postle K., (eds.). *Social Work: A Companion to Learning*. Pp. 40 – 50. London: Sage.

[35] Sanaya, R., & Gardner, F. (2012). Critical Reflexion to Identity Gaps between Espoused Theory and Theory in Use. *Social Work, 57*(2), 145–154.

[36] Schön, D. (1991). *The Reflective Practitioner: How Professionals Think in Action*. Aldershot: Ashgate.

[37] Tate, S., & Sills, M. (Eds.). (2004). *The Development of Critical Reflection in the Health Professions*. London: LTSN Centre for Health Sciences and Practice.

[38] Taylor, B. J. (2010). *Reflective Practice for Health-care Professionals: A Practical Guide*. Berkshire: Open University Press.

[39] Thompson, N., & Pascal, J. (2012). Developing Critically Reflective Practice. *Reflective Practice*, *13*(2), 311–325.

[40] Valová, H., & Janebová, R. (2015). „Antiradikálnost" Českých Sociálních Služeb aneb jak Organizace Sociálních Služeb Řeší Pokles Finančních Prostředků [The Anti-radicalism of Czech Social Services or how Social Services Organisations Solves the Decline in Funds]. *Sociální práce/Sociálna práca*, *15*(1), 5 -23.

The Semantics and Syntax of Prepositional Constructions with the Lexical Verb *Go* in Written and Spoken Discourse

Božana Tomić

PhD, Assist. Prof., Faculty of Philology, Slobomir P University

Abstract

A prepositional construction consists of a lexical verb followed by a preposition with which it is semantically and/ or syntactically linked. The main focus of this analysis is the lexical verb go occurring within prepositional constructions. The aim of this paper is to present the frequency and distribution of prepositional verbs in written and spoken discourse. We will also determine all prepositional constructions with the lexical verb go, and present their practical use and distribution in different registers. Given that when distinguishing prepositional verbs, the semantic criteria of idiomaticity must be supplemented by syntactic criteria, we will also show all possible meanings of each prepositional construction found in the analyzed material, and determine the type of transitivity of each meaning. Furthermore, we will compare the distribution and syntactic features of each prepositional construction with the lexical verb go in different registers, and show similarities, disimilarities and all characteristics of their practical use in written and spoken discourse.

Keywords: prepositional verbs, semantics, syntax, distribution, meaning

1. Introduction

Prepositional verbs consist of a verb and a preposition which are closely syntactically linked with each other. As with other multi-word verbs, fronting of the prepositional complement is not normally possible (Carter, 2006, p. 434).

In using the term *prepositional verb* we indicate that we regard the second noun phrase in a sentence as the complement of the preposition, and not as the direct object of the lexical verb. The noun phrase following the preposition in such constructions is termed a *prepositional object* (Quirk, 1985, p. 1156).

Furthermore, Quirk states that in distinguishing prepositional verbs from other verb + preposition sequences, the semantic criteria of idiomaticity must be supplemented by syntactic criteria.

Đorđević divides prepositional verbs into monotransitive without the direct object and ditransitive with the direct object (Đorđević, 2007, p. 596).

Monotransitive prepositional verbs are those combinations where a preposition and the complement behave as a unit, i.e., the noun phrase that follows the preposition is not the direct but prepositional complement. That means that these verbs could be intransitive. Noun phrases that follow prepositions are called prepositional objects.

Unlike them, ditransitive prepositional verbs with direct objects occur with two objects - a direct and the prepositional object.

In this paper, we will analyze all possible meanings of prepositional verbs and represent their frequency and distribution in written and spoken discourse. Also, we will determine the type of transitivity of each meaning.

2. Methodology

The corpus used for this research consists of 300 000 words and is made of three registers. The analyzed corpus is made of newspaper columns in The Guardian (politics, economy, culture, technology, and sports) analyzed during the period 2017-2019, as well as the selections of texts from American and British novels and finally, the transcriptions of various celebrities from the film industry, political scene and sports (2015-2019) which are taken from the official BBC website. The list of all materials used can be found in the Reference section. During the analysis, we combined qualitative, quantitative, and comparative methods. Qualitative and quantitative methods provide results regarding the frequency while the qualitative method enables us to see differences and similarities between analyzed register, and their syntactic features.

3. Results and Discussion

In analyzed registers, there are 138 examples of prepositional constructions with the lexical verb *go* found. They are frequently used in speech (57), and less frequently in novels (35), and The Guardian (33). Table 1 represents the list and frequency of all prepositional verbs found.
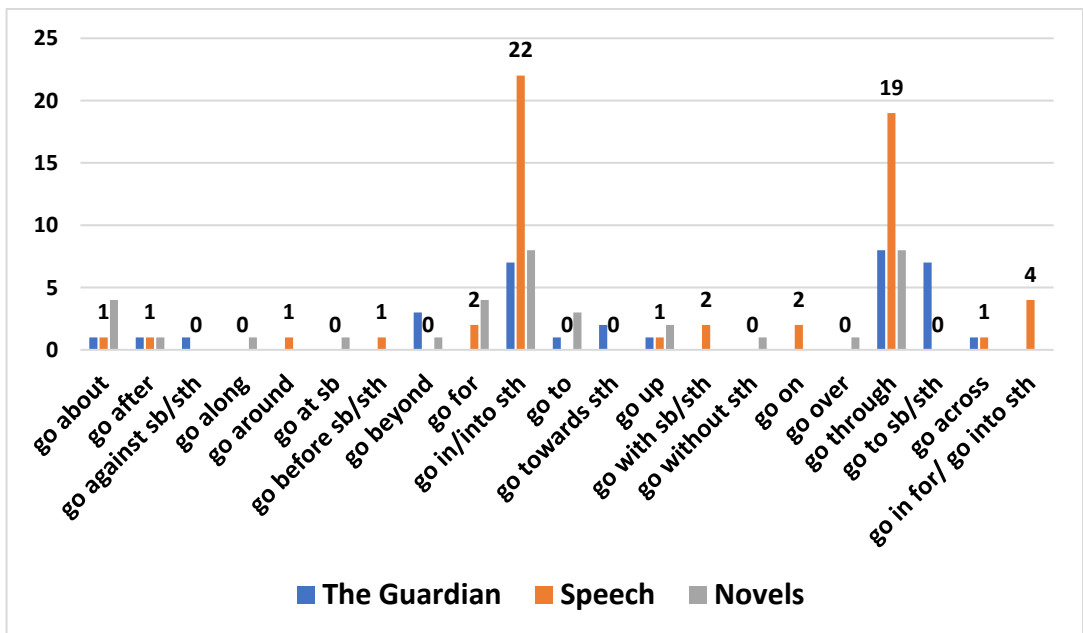
Table 1: Frequency of prepositional constructions with the lexical verb *go*

As it can be seen from Table 1, the most dominant prepositional verbs are the verbs *go through* (48 examples found), and *go in/into sth* (37). Less frequent are prepositional verbs *go to sb/sth* (7), *go about* (6)*,* and *go for (6)*, while we registered only 4 examples of the following verbs respectively: *go beyond, go to, go up*, and g*o in for/ go into sth.* The combination *go after* occurs with 3 examples, while we registered 2 examples of the following verbs: *go up*. The following prepositional verbs occur with only one example in the corpus: *go against sb/sth*, *go along*, *go around*, *go at sb*, *go before sb/sth*, *go without sth*, and *go over*.

When talking about polysemy of prepositional combinations with the lexical verb *go*, they also vary. Table 2 shows all varieties in the number of meanings all found prepositional verbs show across the analyzed corpus.

PREPOSITIONAL VERBS	
	MEANINGS
go about	3
go after	1
go against sb/sth	1
go along	1
go around	1
go at sb	1
go before sb/sth	1
go beyond	1
go for	3
go in/into sth	1
go into	5
go to	2
go towards sth	1
go up	1
go with sb/sth	1
go without sth	1
go on	1
go over	1
go through	7
go to sb/sth	1
go across	1
go in for/ go into sth	1

Table 2: Meanings of prepositional constructions with lexical verb *go*

3.1 The Semantics of Prepositional constructions with the lexical verb *go*

Prepositional verbs can be monotransitive without the direct object and ditransitive with the direct object. In the analyzed corpus, monotransitive prepositional verbs are more frequent, although, we found that the verbs with the same meaning behave mono- and ditranistively depending on the complementation in the clause.

3.2 Monotransitive prepositional constructions with the lexical verb *go* without the direct object

Monotransitive prepositional verbs are those combinations where a preposition and the complement behave as a single unit, i.e., the noun phrase that follows the preposition is not the direct but prepositional complement. That means that these verbs could be intransitive. Noun phrases that follow prepositions are called prepositional objects (Đorđević, 2007, p. 596).

3.2.1 Go through

This prepositional verb expresses the greatest number of meanings (7), and the most frequent one is ***to experience or suffer sth***, which is found in speech (5), The Guardian (3), and only one example in novels. Interestingly, this prepositional verb usually has compound noun phrases with another preposition as a modifier in the function of the prepositional object (a), and somewhat less frequent is universal pronoun functions as a head of the noun phrase (b):

When they **are going through** something important in the life of this nation, a general election, show their support for each other.

Yes, but if we end up **going through** each of the reliefs.

Apart from that, in speech, this verb also occurs within the *wh*-relative clause that functions as a subject in the simple sentence of SVC type:

No, because obviously what the UK **is going through** is a big constitutional change.

The meaning ***to look at, check or examine something closely and carefully, especially in order to find something*** is found in speech (5), The Guardian (2), and novels (1):

They said they had "concerns about Mr Assange's fitness" to **go through** the full extradition hearing, which is set for February.

In speech, the function of the prepositional complement has interrogative *wh*-clause combined with the *let's* imperative:

Well, let's just **go through** what the process is.

The meaning ***to perform a series of actions; to follow a method*** occurs in speech (4), and novels (1):

Now, **having gone through** that sifting process, the next stage will be even more scrutiny er, when we get to the next short list which I'll be announcing soon, but finally, the final ten will have to be subject to planning permission at the local level and all the rules that apply to any development will apply at that stage.

The next meaning ***if a law, a contract, bill, etc. goes through, it is officially approved, accepted or completed*** is less frequent, and it is registered in speech (2), and The Guardian (1).

And on Monday, the Welfare Reform Bill **goes through** its final stages and I think I'm right in saying something like the 16th piece of legislation since Labour came in to power in 1997, dealing with some aspects of welfare reform.

The following meanings occur only with one example, i.e., the meaning ***if you go an event, a period of time, etc., you pass through it from the beginning to the end*** in The Guardian (a), and the meaning ***to pass through sth from one end to the other (figurative)*** in speech (b):

I know for a fact we'**re going through** a golden age right now," he says.

I mean I'**ve gone through** this in my mind so many times.

3.2.2 Go into sth

This verb occurs with 5 meanings, the most dominant of which is ***to begin to be in a particular state or situation***, which is almost equally used in speech (4), and novels (3). Unlike the previous prepositional verb, this one almost always occurs with the simple noun phrase in the function of the prepositional object:

Let's support that, let's suppose that you lose this election, that there is a referendum, you may say it is a rigged question, let's say we **go into** the euro, you could find yourself leading a party which would support leadership of the euro, you can imagine that can you?

In the Guardian, this verb is combined with the central modal *will*, while the lexical verb *go* is premodified by focusing subjunct *largely,* which has the function of particularizer:

Johnson set aside an extra £2.9bn a year by the end of the parliament that **will largely go into** more nurses, GP appointments and free childcare, while Jeremy Corbyn set out an extra £83bn a year for a programme of free broadband, scrapping university fees, reversing benefit cuts and extra funding for the NHS and social care.

Equally used meaning ***to begin to act or behave in a particular way*** is registered in speech (3), and The Guardian (2):

They **would have to go into** that, they would have to obey that law and it hasn't happened.

The meaning **to examine or discuss sth carefully** is found only in speech (3), and novels (1). Interestingly, all examples in speech are within negative sentences (a), while the only example in novels is in the interrogative form (b):

a) I have met them twice, they have asked me **not to go into** details, but everybody knows I have met with them, so that is not a secret.

b) **Does** he **go into** detail about that?

The meaning ***to start taking part in an exam, competition, election, etc.*** occurs only in speech (2), and in both examples, this prepositional verb is combined with the semi-auxiliary *be going to*:

Any politician in my position, **going into** an election campaign, is out and hungry for every piece of support.

3.2.3 Go about

This verb has three meanings, and the most frequent one is ***to approach or deal with sth***, which occurs three times in speech, and only once in The Guardian and novels respectively. In speech, this prepositional verb is used with the central modal verbs (a), and semi-auxiliaries equally (b), while in The Guardian, it is combined with the central modal verb *would* within the modal perfective phrase (c):

a) If you look at the work done by Iain Duncan-Smith for us, his policy group, this summer, he produced the most comprehensive set of recommendations, far more detailed than anything that I think any major party has brought forward in recent years, has given us a real blue-print as to how we **could go about** doing this.

b) Prime Minister: Well, I think that it**'s going about** as well as could be, especially, if not slightly better.

c) I never reported any of these because I had no idea how I **would have gone about** it, and even if I did would have had no faith in the university to take my experiences seriously.

The meaning *to continue to do something* is only found in novels (2), and it is used within adverbial clauses of time:

I was obliged, as I was saying, to spend some uncomfortable minutes standing in the drawing room yesterday afternoon while Mr Farraday **went about** his bantering.

We registered only one example of the meaning *to begin to do something (to continue to do sth in your usual way especially after sth unusual has happened)* in novels that occurs within the adverbial clause of time introduced with the subordinator *as*:

He wakes, or he thinks he does, to the sound of her hairdryer and a murmuring voice repeating a phrase, and later, after he's sunk again, he hears the solid clunk of her wardrobe door opening, the vast built-in wardrobe, one of a pair, with automatic lights and intricate interior of lacquered veneer and deep, scented recesses; later still, as she crosses and re-crosses the bedroom in her bare feet, the silky whisper of her petticoat, surely the black one with the raised tulip pattern he bought in Milan; then the business-like tap of her boot heels on the bathroom's marble floor as she **goes about** her final preparations in front of the mirror, applying perfume, brushing out her hair; and all the while, the plastic radio in the form of a leaping blue dolphin, attached by suckers to the mosaic wall in the shower, plays that same phrase, until he begins to sense a religious content as its significance swells - there is grandeur in this view of life, it says, over and again.

3.2.4 Go for

This verb occurs with three meanings in the analyzed corpus, and the most dominant one is **to like or prefer sb/sth** represented only in novels (3):

In a really good mood he**'ll go for** the looser interpretations of Glenn Gould.

The meaning **to apply to sb/st** is found only in novels (1), and speech (1), while this meaning is not registered in The Guardian:

Would you like **to go for** the Scottish example where MSPs, more or less have to declare everything.

Only one example of the meaning **to go to get sth** is found in speech, while it is not used in the other two registers. Multi-word verb *go for* with this meaning occurs in the negative form within the open conditional clause:

If she **doesn't go for** MMR, the individual injections are better than nothing.

3.2.5 Go to

The prepositional verb *go to* occurs with two meanings, which are almost equally represented. The meaning ***to start doing a particular activity or being in a particular state*** is found in The Guardian (1), and novels (1). Interestingly, in both examples, the head of the noun phrase in the function of a prepositional object is the noun *sleep:*

As a girl, Glenconner spent years away from her mother and father, having been evacuated during the war; they left her with a nanny who tied her by the wrists to her bed every night before she **went to sleep**.

The meaning **to approach to sb/sth for help or information** is found only in speech (2), while it doesn't occur in the other two registers:

So if he still had allergic rhinitis, I **went to** an expert and he said: 'Yep, he's on maximal treatment - antihistamines, nasal steroids, eye drops, his asthma is on the normal asthma medication but he's still got significant allergic rhinitis.'

3.2.6 Go after

The only meaning of this prepositional verb is **to try to get or obtain sb/sth**, and it occurs only once in each register respectively. In the Guardian, this verb occurs within headlines (a), while in speech it has the form of the gerund with the compound noun phrase in the function of the prepositional object (b):

a) War of words breaks out after YA novelist's fans **go after** critical reader

b) If you end up **going after** those people who are the most wealthy in society, what you actually end up doing is in fact not even helping those at the bottom end.

3.2.7 Go against sb/sth

The prepositional verb *go against sb/sth* has only the meaning **to resist or opposes/sth,** and it occurs in The Guardian and novels with one example respectively:

However, much of what is proposed **goes against** the evidence of what works when attempting to reduce crime and reoffending.

In novels, this verb occurs in the form of a gerund:

 And Omar Khayyam, who had picked Rodrigues for a father, never once considered **going against** his tutor's wishes.

3.2.8 Go along

This prepositional verb occurs with the meaning **to move forward of from one end of sth towards the other** and is found only in novels (1):

Let the defectors **go along** the corridor or across town.

3.2.9 Go around

This verb is found only in speech with the meaning **to travel in a country or a place and visit lots of different things:**

As I **go around** the country, I find people utterly fed up by the Labour Party.

3.2.10 Go at sb

The prepositional verb *go at sb* expresses the meaning **to attack somebody**, and it is found only in novels (1), while in other corpora this meaning doesn't occur at all:

Through inefficient chick-blinds he spied on the couplings of the postman Ibadalla with the widow Balloch, and also, in another place, with her best friend Zeenat Kabuli, so that the notorious occasion on which the postman, the leather-goods merchant and the loud-mouthed Bilal **went at** one another with knives in a gully and ended up stone dead, all three of them, was no mystery to him; but he was too young to understand why Zeenat and Farida, who should by rights have hated each other like poison once it all came out, shacked up together instead and lived, after that triple killing, in unbreakable friendship and celibacy for the rest of their days.

3.2.11 Go before sb/sth

This verb occurs with the meaning ***to be presented to somebody/something for discussion, decision or judgement***, and is found only in speech combined with the central modal *could:*

He **could go before** the Treasury Select Committee for example, which I know is investigating these issues.

3.2.12 Go beyond

This verb expresses the meaning ***to be greater, better, etc. than sth***, and occurs in The Guardian (3), and novels (2). In the Guardian, this verb occurs within headlines (a), while in novels, it is used within nominal relative *that*-clause in the function of a postmodifier in a noun phrase (b):

a) Can art advance science? Researchers on the hunt for extraterrestrial intelligence are using videos, music and more **to go beyond** the final frontier

b) More than 90bn audio streams were listened to by British music fans last year but Furniss's three-year-old consultancy, which focuses on closer collaboration between the music and tourism sectors, is one of a number of new businesses tapping into a growing generation of people who seek a musical experience that **goes beyond** a playlist.

3.2.13 Go in/into sth

The prepositional verb *go in/into sth* expresses the meaning ***to join an organization, especially in order to have a career in it***, and it occurs in speech (5), The Guardian (4), and novels (4). Interestingly, in speech, this verb occurs within open conditional sentences (a), and in The Guardian within nominal relative clauses in the function of the direct object (b):

a) If you **go into** a job centre today in this country, once you're back in work, once you've paid one month's national insurance contribution, that's a tick in the box, that's a job created.

b) There is Team Sky and BC claiming to be standing up for clean cycling and they can't even prove what **was going in** and out of the medical storeroom.

3.2.14 Go towards sth

This verb has the meaning **to be used as part of the payment for something**, and it is registered only in The Guardian. In both examples, this verb occurs within the nominal *that*-clause in the function of the postmodifier in a noun phrase:

Under a package of policies for victims of crime, the party said it would increase by 25% the victims surcharge – a fine on offenders that **goes towards** refuges and community support for victims of domestic and sexual abuse.

3.2.15 Go up

The prepositional verb *go up* expresses the meaning **to move from a lower position to a higher one or upstairs in a building**, that is found in novels (2), and only one example in The Guardian and speech respectively:

 You got to have a good pair of legs and a good pair of lungs **to go up** there.

In novels and The Guardian, this verb occurs within adverbial clauses of time with subordinator *as*, but while in Guardian, this clause is in the initial position (a), in novels is parenthetically embedded in the medial position (b):

a) As the umpire's finger **went up**, England could start reflecting on an innings defeat to rank alongside similar such reversals in Barbados, Auckland, Perth, Sydney, Mumbai and Chennai during recent times.

b) He feels feeble in his knees, in the quadriceps, as he **goes up** the stairs, making use of the handrail.

3.2.16 Go with sb/sth

This verb has the meaning **to support a plan, an idea, etc. or the person suggesting it,** and it is found only in speech (1):

Well I think we **should go with** the proposals that are on the table.

3.2.17 Go without sth

The prepositional verb *go without sth* occurs with the meaning **to manage without something that you usually have or need**, and it is registered only in novels (1):

It was too wide a tract of land to rope; he **had to go without** moorings.

3.2.18 Go on

This verb occurs with the meaning **to begin doing, following, enjoying or using sth** in speech only:

If we let people come out of work, **go on** to the dole, on to incapacity benefit, as the Tories used to, that would be disastrous.

3.2.19 Go over

The prepositional verb *go over* expresses the meaning **to study something carefully, especially by repeating it**, and we found only one example in novels:

Now, in these quiet moments as I wait for the world about to awake, I find myself going over in my mind again passages from Miss Kenton's letter.

3.2.20 Go to sb/sth

This verb occurs with the meaning **to be given to sb/sth** in The Guardian (7). Interestingly, all examples found combine with the central modal verb *will:*

The book **will go to** the Brontë Parsonage Museum, the former family home in Haworth, Yorkshire, which already holds the other four surviving miniature books entitled "The Young Men's Magazines".

3.3 Monotransitive and ditransitive prepositional combinations with the lexical verb *go*

As we already stated, prepositional verbs without the direct object are structures where prepositional particles and the complement behaves as a single unit, that is, the noun is the prepositional complement, not the direct, but the prepositional object. Unlike them, ditransitive prepositional verbs with direct objects occur with two objects- a direct and the prepositional object. In our corpus, we didn't find not even one ditransitive verb exclusively, but two verbs can fall into both categories.

3.3.1 Go across

This verb occurs with the meaning **to cross a room, a road, a river, etc. in order to get to the other side.** In The Guardian, this verb occurs with the monotransitive complement (a), but in speech, it occurs with ditransitive complement with the direct object (b):

a) Some of the churches are so remote that they involve hours of hiking after hours of driving, said Rickerby: Typically, roads are washed out, you get diverted, you'**re going across** country, there are no signposts.

b) Half the sub prime mortgages **went across** to Britain from America and landed people with worthless assets that they didn't wholly understand.

3.3.2 Go in for/ go into sth

This verb has the meaning **to join an organization, especially in order to have a career in it**, and occurs only in speech (4), where it is equally represented as monotransitive (a), and ditransitive with the direct object (b):

a) He worked for Team Sky... then he **went into** BC management, which in my opinion and others he perhaps wasn't best skilled at.

b) But you know, you **don't go into** politics **for** an easy ride.

4. Discussion

Based on the frequency of prepositional constructions with the lexical verb *go*, it is obvious that they are not very frequent and are mostly used in colloquial language. Interestingly, there is a big difference in the number of examples found between the two most frequently used prepositional verbs and the rest of these constructions in the analyzed material. Also, it has to be emphasized that all highly polysemic prepositional verbs are not the most frequent ones.

Except for the prepositional verbs *go throug* and *go into*, prepositional constructions with the lexical verb *go* are not polysemic, which means that their use is limited only to certain meanings.

Based on the results, prepositional constructions with the lexical verb *go* are almost always followed by monotransitive complementation, and expect for two verbs that are used with mono- and ditransitive complementation, there is not even one prepositional verb that is followed by ditransitive complementation pattern exclusively.

Prepositional verbs are very complex subject in the English language and they have to be analysed including both the semantic and syntactic perspective in further research.

5. Conclusion

A prepositional verb consists of a lexical verb followed by a preposition with which it is semantically and/or syntactically associated. Fronting of the prepositional complement is not normally possible.

The second noun phrase in a sentence is considered the complement of preposition, not the direct object of the lexical verb. Prepositional verbs can be monotransitive without the direct object and ditransitive with the direct object.

In our material, prepositional constructions with the lexical verb *go* are frequently used, and it is registered 138 examples of such constructions. They are dominant in speech (57), and less used in novels (35), and The Guardian (33).

The most frequent prepositional verbs are *go through* (48 examples found), and *go in/into sth* (37). Less frequent are prepositional verbs *go to sb/sth* (7), *go about* (6)*, and *go for (6)*, while we registered only 4 examples of the following verbs respectively: *go beyond, go to, go up*, and g*o in for/ go into sth.* The combination *go after* occurs with 3 examples, while we registered 2 example of the following verbs: *go up*. The following prepositional verbs occur with only one example in the corpus: *go against sb/sth*, *go along*, *go around*, *go at sb*, *go before sb/sth*, *go without sth*, and *go over*.

The number of meanings of prepositional verbs also vary. The prepositional verb *go through* express 7 meanings, while the verb *go into* occurs with 5 meanings. Verbs *go about* and *go for* have 3 meanings, and the prepositional verb *go to* occurs with 2 meanings. The following verbs express only one meaning in analyzed registers: *go after, go against sb/sth, go along, go around, go at sb, go before sb/sth, go beyond, go in/into sth, go towards sth, go up, go with sb/sth, go without sth, go on, go over, go to sb/sth, go across, go in for/ go into sth.*

As for transitivity, monotransitive prepositional verbs without the direct object are more dominant, although we registered that the verbs with the same meaning behave mono- and ditranistively depending on the complementation in the clause (*go across* & *go in for/ go into sth)*.

The list of all prepositional verbs found along with their meanings and frequency is listed in the paper.

6. References

[1] Biber, D., Johansson, S., Leech G., Conrad S., Finegan E. (1999), *Longman Grammar of Spoken and Written English*, London: Longman.

[2]   Biber, D. (1988), *Variation Across Speech and Writing*, Cambridge: Cambridge University Press.
[3]   Carter, R., and McCarthy, M. (2006), *Cambridge Grammar of English: A Comprehensive Guide to Spoken and Written Grammar and Usage*, Cambridge: Cambridge University Press.
[4]   Cruse, D. A. (2000), *Meaning in Language: An Introduction to Semantics and Pragmatics*, Oxford: Oxford University Press.
[5]   Den Dikken, M. (1995), *Particles: On the Syntax of Verb-Particle, Triadic and Causative Constructions (Oxford Studies in Comparative Syntax)*, Oxford: Oxford University Press.
[6]   Dixon, R. M. W. (2005), *A Semantic Approach to English Grammar*, Oxford: Oxford University Press.
[7]   Đorđević, R. (2007), *Gramatika engleskog jezika*, Beograd: Čigoja štampa.
[8]   Greenbaum, S., Quirk, R. (1990), *A Student's Grammar of the English Language*, Harlow: Longman.
[9]   Lewis, M., (1986), *The English Verb: An Exploration of Structure and Meaning,* Heinle ELT.
[10] Michael, G. (2017), *Syntax and Semantics of the English Verb Phrase*, De Gruyter Mouton
[11] Parkinson, D., (2001), *Oxford Phrasal Verbs Dictionary for learners of English*, Oxford: Oxford University Press.
[12] Quirk, R., Greenbaum, S., Leech, G.,Svartvik J. [Quirk et al.], (1985), *A comprehensive grammar of the English language,* Harlow, Essex: Longman.
[13] Robbeets, M. (2015), *Diachrony of Verb Morphology*, De Gruyter Mouton.
[14] Robering, K. (2014), *Events, Arguments, and Aspects: Topics in the Semantics of Verbs*, John Benjamins Publishing Company.

Corpus resources

[1]   Barnes, J., (1984), *The Flaubert's Parrot*, New York: Knopf Doubleday Publishing Group.
[2]   Ishiguro K., (1989), *The Remains of the Day*, New York: Knopf Doubleday Publishing Group.
[3]   McEwan, I., (2006), *Saturday*, New York: Knopf Doubleday Publishing Group.
[4]   Rushdie, S., (1983), *Shame*, London: Picador 2000.
[5]   https://www.newstatesman.com/culture/2013/12/then-later-his-ghost
[6]   https://www.bbc.com/
[7]   https://www.theguardian.com/international

The Criminal Liability of the Medical Expert in Albania

Rezarta Demneri

Dr. Full-time Lecturer, Department of Criminal Law

Faculty of Law, University of Tirana

Abstract

This paper aims to explore the criminal liability of the physician acting in the capacity of a medical expert. From a criminal procedure perspective, the form and content of a medical forensic report must comply with certain rules to be considered as valid evidence. In virtue of their scientific knowledge, the medical expert is a pivotal subject in medical negligence cases. This relevancy can however cause a 'slippery slope' whenever the expert summoned exceeds their competences by providing legal opinions on the case. This paper is based on two pillars: On one side, it will point out the Albanian legal voids on matters concerning the forensic medical examination in a criminal proceeding; on the other side, it will explore the main aspects and eventual issues concerning death ascertainment and certification in Albania. A comparative law perspective with the Italian regulation was selected to provide a critical analysis of the relevant Albanian legislation at its current state.

Keywords: forensic medical expert, criminal liability, Albanian law, false expert report, death ascertainment

Introduction

The medical guidelines released by the Ministry of Health are crucial in a case of medical negligence, which involves typically, a medical expert or a committee thereof. A typical misconduct carried by the medical expert summoned in a criminal proceeding is to exceed their competences by evaluating if there was *mens rea* on part of the person undergoing investigation or trial, or worse, if this last is to be held criminally liable. The main criminal offenses which the medical expert can be charged for in the Albanian legal system are "False expert report" ("*Ekspertimi i rremë*", alb.), pursuant to Art. 309 of the Albanian criminal code (ACC) and "Failure to appear on part of the witness, expert or interpreter" ("*Mosparaqitja e dëshmitarit, ekspertit apo përkthyesit*", alb.), pursuant to Art. 310 ACC. Other criminal offenses which the physician is exposed to when engaged in activities that are not related to providing medical care are "Forgery of a medical document" (Art. 188 §2 ACC) and "Illegal organ transplantation" (Art. 89/a ACC). This last criminal offense can rise for example when the physician performing the autopsy explants organs or tissues in violation of the law regulating organ transplantation. The aforementioned figures of criminal offenses represent also the aspects, through which analysis, will bring forth the different facets of the criminal liability of the medical expert.

Methodology

A descriptive analysis and commentary of the provisions regarding the criminal liability of the medical expert is not sufficient in the current state in which the Albanian legislation stands. The legal doctrine review is integrated with a comparative law perspective, specifically with the Italian regulation, in order to highlight its inconsistencies and voids. Albanian case law was consulted to showcase the legal limitations within which the medical expert shall exercise their functions. These can refer to the death ascertainment and certification as well as to providing an opinion in a criminal proceeding.

The Rights and Obligations of the Forensic Medical Expert in a Medical Negligence Case

The physician performing the autopsy is a medical expert whose duty is to collect, elaborate, analyze and provide a synthesis of the information collected thus far. Article 62 of the Regulation of the Institute of Legal Medicine (IML), alongside the Albanian code of criminal procedure (ACCP), provides for the rights and duties of the forensic medical expert. Prior to giving their opinion, the expert has the right to request from the prosecutor clarifications, as well as to access all the documents available. On the other hand, the expert may conclude that it is impossible for them to provide an opinion and request further information on the matter (Art. 62 (10) IML Regulation). If the forensic expert deems it necessary, they can request the summoning of other experts in the expert committee examining the case (Meksi & Çipi, 2003), which could be for example neurosurgeons, oculists etc. This approach is typical for medical negligence cases. The specialist doctor summoned as a member of the expert committee in a medical negligence case shall argue why the therapeutic choice of the medical practitioner (which is the defendant in a criminal trial) was un/necessary and what could be a possible alternate result, had a more suitable therapeutic choice been made.

The IML Regulation provides for the specific modalities as well as for the qualifications of the expert/specialist that shall execute the different types of forensic examination i.e. pathological, toxicological, psychiatric and biological (Chapter VI, VII, VIII, IX, respectively). If the expert opinion is issued by a committee and its members disagree on a specific point, then each expert shall express their stance in a separate written report (Art. 185 (2) ACCP). The District Court of Lushnja held as invalid the re-examination expert report issued by the IML forensic doctors that had performed the forensic autopsy (Supreme Court of Albania, 2013). In this case, the defendant had requested a re-examination (i.e. the autopsy) to be carried by an expert committee that included a thoracic surgeon and a neurosurgeon (*ibid*). The first examination had been requested by the prosecutor and was performed just by the IML forensic pathologic expert.

As far as forensic psychiatric report is concerned, it is interesting to note that it is not mandatory for the forensic psychiatrist to conduct an in-presence psychiatric assessment of the person (Art. 50 of the IML Regulation). This means that it is legal for the psychiatric expert to form an opinion based exclusively on the medical documents and investigation acts. This provision may violate the legal safeguards of the right to liberty, as provided by Art. 5 (1) of the European Convention on Human Rights (ECHR) and the jurisprudence of the European Court of Human Rights (Zagidulina v. Russia, 2013). This is especially true if involuntary placement or other forms of deprivation of liberty, are ordered based on this type of *ad absentia* psychiatric assessment.

In case medical negligence is suspected to have harmed the patient or caused their death, the prosecutor shall request the medical expert to determine the presence and the duration of any pre-existing illness, as well as, if or how the conduct of the physician influenced the inauspicious event. The figure of criminal offense provided by Art. 96 of the ACC "Negligent medical treatment", does not define "serious harm to the health of the patient". It must be noted that Art. 96 ACC underwent a substantial reformulation in 2019, which provided for a partial decriminalization of the offense from crime to criminal contravention, in case the negligent medical treatment caused a serious injury or risked the life of the patient. The newly reformulated Art. 96 ACC also provides for a less harsh punishment in case the healthcare provider caused the death of the patient, reducing imprisonment from five to two years. Under these premises, we could refer to Art. 88 ACC, which defines "serious injury" as "*mutilation, disfigurement or any permanent damage to the health, the procurement of miscarriage* (…)". The wording of Art. 96 ACC suggests that unless medical negligence caused a serious bodily injury to the patient, risked their life or caused their death, then the healthcare provider will not be held criminally liable. The Plenum of the Supreme Court has attempted to clarify the meaning of a non-serious injury i.e. a "minor injury" as "*the violation of the anatomical integrity of the external or internal tissues of the body accompanied by external bleeding or internal rupture of capillaries* (…) *that cannot be categorized as a serious injury*" (Zaho, 1959, p. 50). As it can be noted, the Court has adopted the principle of exclusion when defining "non-serious" injuries.

The physician acting in the capacity of a forensic expert has the legal obligation to report to the prosecution office any case that could be related to a criminal offense. This obligation is provided in Art. 281 ACCP "Report from public servants", since the activity performed by a forensic/anatomic pathologist doctor does not have a therapeutic character, nor does it give care to the patient that has now deceased. The following provision contained in Art. 282 ACCP regulates reporting of a crime on part of the medical staff. On this point, we must notice an inconsistency between the procedural law and material law. Art. 300 ACC entitled "Failure to report a crime" punishes any subject (generic subject) that omits reporting a crime that has either occurred or is happening. However, second paragraph of Art. 300 ACC excludes from criminal liability those who omit to report a crime because they are bound to confidentiality or are related to the offender. Art. 281 and Art. 282 of the ACCP regulate the modalities on how public servants and medical staff (special subjects), respectively, shall report criminal offenses (i.e. both crimes and contraventions) whose prosecution starts *ex officio*.

The Medical Expert Opinion in the Pre-Trial Stage

The Albanian Institute of Legal Medicine is a centralized organ that operates under the jurisdiction of the Ministry of Justice (Law n. 8678/2001 (amended), Art. 18/3) and regulates all activities pertaining to forensic medicine. Forensic expert opinion can be provided in three different settings:

By medical experts registered at the IML register or nearby the Courts of Appeal. These experts can operate either in legal medicine ambulances (if examining a person), in an autopsy room (if examining a corpse) or in a histopathology laboratory.

By the physician based in a hospital who examines either victims of abuse or human corpses (upon request). These experts are labeled as "acting" forensic experts, (*ekspertë funksionalë*, alb.).

By external experts, mainly anatomic pathologists or specialists in different branches of forensic medicine, who provide their services outside the central locations situated in the regions.

Pursuant to Art. 4 of the (IML Regulation, amended), the forensic medical examination can be requested:

By the prosecution office, during the preliminary investigations or trial (Albanian code of criminal procedure, ACCP, Art. 151). Typically, this scenario is typical of violent deaths, suicides or suspicious accidents or injuries.

By the person criminally charged, by the parties in a civil lawsuit, by the defendant or their legal representatives, in any phase of the legal proceeding.

By other subjects that not involved in a legal proceeding, upon request from the Ministry of Health, from the Social Security Institution etc.

The object of a forensic opinion varies depending on the type of expertise required, which can be pathological, toxicological, psychiatric or biological. Special provisions of the IML Regulation dictate the modalities on conducting each type of expert evaluation. The medical expert opinion is issued in two copies, one submitted either to the prosecution office or to the court that has requested it, while the other copy is kept in the IML archives (Art. 57 IML Regulation).

Art. 56 of the IML Regulation described briefly the different sections of the forensic expert report as follows:

The introductory section contains the time, location and information of the object of examination as well as the details on the expert executing it, alongside the questions to be answered and the circumstances of the case. These last should be collected and evaluated with a certain reserve on part of the expert, since the examination should be objective i.e. not be influenced by the input provided by neither parties.

The descriptive section of the report describes the examination carried out and enlists the discoveries made during the process.

The conclusions should come as a logical deduction of the descriptive section, should be clear, concise, based on science and in response to the questions raised beforehand by the inquirer.

The answers to the general as well as to the specific questions submitted to the forensic expert should be able to clarify the causes of death, the means that were used and the description of the medical aspects composing the causal link that finalized with the fatal event i.e. the death of the person. In cases of medical negligence, the expert usually describes and evaluates the conduct of the medical staff involved in giving care alongside other influencing factors, such as pre-existing pathologies of the patient. The expert opinion must conclude at first whether the care provided by the medical staff was substandard, and if so, how serious was that medical negligence. In some common law jurisdictions such as that of the United Kingdom (England & Wales), the medical staff is exposed to tort law liability only if they caused harm in health of the patient acting with gross negligence.

The questions submitted to the expert should be specific and clear. The establishment of the cause of death in a case of medical negligence should start by individuating which

pathology/pathologies affected the person and which was the appropriate treatment (Palmieri, 2007). The expert should not answer any questions that go beyond their specialty nor should they declare whether the defendant (for example, the physician, AN) has acted with negligence or intent/malice (Zaho, 1959). Such practice would also violate Art. 61 (11) of the IML Regulation. The forensic medical opinion on a murder case should not comment on the "professionalism" of the criminal conduct, on the character and the personality of the defendant or on the psychological qualities that are not related to the mental health issue under examination (Art. 178 ACCP). On a parenthesis, the Albanian code of civil procedure prescribes clearly, that the expert shall not provide a legal opinion in their report (Art. 224/b).

The forensic medical expertise is required by the prosecuting authority or by the court in case of a (suspected) violent death, such as:

Murder, suicide or accident.

Death of a newborn outside of medical institutions.

Death of a person caused by either omission to provide medical care or substandard negligent medical care.

The expert describes the wounds found in the corpse examined, indicates the vital organs interested and determines the cause of death, which could be asphyxia, poisoning, burns, drowning in water, etc. The expert should not express an opinion on whether the deceased has committed suicide or was killed, nor if it was murder, accident or suicide. These rules aim to guarantee the safeguards provided by the principle of due process of law for the defendant.

The medical expert that gives an opinion that goes beyond their field of expertise or their function by providing a legal opinion, undermines the whole process of giving justice. This would also entitle the party in a trial to request the invalidity of said opinion. The expert should not comment, even if so requested, on the possibility whether the murder was caused with negligence or intent (malice), nor if the circumstances in which the defendant or perpetrator has acted, qualify as either "state of necessity", "self-defense", state of shock or premeditation. The aforementioned circumstances are subjective elements which undergo the assessment of the judge integrated with all other evidence administered (Zaho, p. 51).

Albanian review that would focus more on the legal aspects of forensic medicine is scarce, just the same as the guidelines for specific medical procedures that should have been issued by the Ministry of Health. This is the reason why in order to highlight the Albanian legal voids in forensic medicine, I have chosen to refer to the Italian regulation. Palmieri enlists which are the specific questions submitted to the expert summoned in cases of medical negligence as follows (2007, p. 569-570):

Which are the pathologies that affected the person, their nature, the stage of their development until medical intervention and their evolution following this moment?

Which was the appropriate medical treatment to be given according to the medical science?

Which was the prognosis expected had the standards of care been respected i.e. which are the results expected from a treatment that was provided in compliance to medical guidelines and protocols?

The questions posed to the medical expert in a medical negligence case typically relate:

To the diagnosis made by the physician who was caring for the patient.

To the treatment administered by the physician and whether this treatment was appropriate for that diagnosis i.e. if their therapeutic choice was supported by scientific data.

To whether the harm in the health of the patient or their death was avoidable, had any other medical treatment been administered.

If there exist debate on which is the most appropriate treatment for a specific set of circumstances as those featuring in the case under evaluation, then it must be concluded that the physician, in exertion of their professional autonomy, chose an appropriate treatment. The physician enjoys professional freedom that grant him/her a certain autonomy when providing healthcare. This autonomy is however limited by the medical ethics and by the scientific standards. Besides evaluating the suitability of the treatment chosen by the physician, the expert evaluates also the skills with which the medical treatment was executed.

If the answers to these questions are negative, then the expert will have to express an evaluation on terms of probability as to whether the conduct of the physician influenced the evolution of the pathology that resulted in the injury or in the death of the patient. The expert must also highlight any factor, different from the conduct of the physician, that may have influenced or concurred in the causal link that was finalized with the death or the injury of the patient (Palmieri, p. 570).

The expert opinion collected during the investigation and the preliminary hearing phase should have an illustrative character, since it is a prerogative of the judge to assess the expert report in conjunction to all the evidence administered in court by forming a n "inner conviction" (Albanian Supreme Court, Penal Section, 1955) and deliberating upon it. None of the evidence administered in trial has a predetermined probative value. This means that the judge has the right not to take into consideration the expert opinion when taking a decision (Albanian Supreme Court, Penal Section, 1958). However, the judge must justify their challenging stance toward the expert opinion by providing logical arguments (*ibid*). The decision of the judge must be founded on an integrated interpretation of all evidence administered during the trial, pursuant to Art. 152 (1) ACCP. A copy of the expert report is included in the prosecutor's files. However, the parties can request a copy in order to make their considerations as well to request further investigations. If the conduct of the medical professional qualifies as a criminal offense (such as "Negligent medical treatment", pursuant to Art. 96 ACC), the judge of the preliminary hearing, upon request from the prosecutor, either dismisses the charge or the case or sends the case to trial (Art. 329/a ACCP). If the judge of preliminary hearing dismisses the case, the victim or their heirs may appeal at the Court of Appeal (Art. 329/b (6) ACCP), based on the motivations cited in the decision of the court.

The Expert Opinion in Trial

All procedural and ethical principles regulating the activity of the medical expert in the IML are binding both in the pre-trial phase, as well as during trial. One peculiarity of the trial phase needs highlighting: Parties cannot debate over the scientific explanations presented by the experts summoned. The court calls for an expert either *ex officio* or upon request from the parties (Art. 366 ACCP) and can submit additional inquiries (Art. 367 ACCP). If it deems necessary, the court can also request the retrieval and collection of additional evidence (Art.

367 ACCP). The criminal procedure rules on questioning the expert in trial are the same as those applying to witnesses (Art. 363 ACCP).

The Special Procedure of Death Ascertainment and Certification

The opinion provided by the medical expert in a medical malpractice case can be linked with the autopsy examination. The modalities of executing a forensic pathologic examination depend on whether the object of examination is alive (Art. 33-34 IML Regulation) or deceased (Art. 35-39 IML Regulation). In this instance, we will focus on the cases where the person deceased due to medical negligence or omission to provide medical care on part of the physician. Cases of violent deaths do not relate to medical negligence since there is a legal presumption that the physician does not act with malice, rather is guided by the ethical principles of beneficence and non-maleficence towards the patient.

The expert must assess if there were any other factors that might have influenced the death or the injury of the patient, such as an undiagnosed tumor or acute cardiac insult or brain hemorrhages, etc. The death ascertainment process may unfold in two phases:

Clinical death, which occurs when the cardiorespiratory system of the person ceases to function. Nowadays, special medical devices can stimulate (cardiopulmonary resuscitation, CPR) and keep going on artificially the activity of the heart and lungs. In a study led by Van Lommel *et al.*, clinical death was defined "*as a period of unconsciousness caused by insufficient blood supply to the brain because of inadequate blood circulation, breathing, or both. If, in this situation, CPR is not started within 5–10 min, irreparable damage is done to the brain and the patient will die*" (2001, p. 2040).

Biological death, which occurs when there is a complete cessation of the brain functions. Usually biological death follows clinical death i.e. cardiopulmonary death. However, in cases of severe trauma in the skull with a leaking of the brain mass, biological death can come forth right away. Moschella argues that a brain-dead body functioning through medical devices is like "*an orchestra lacking the conductor*" that has lost its nature as a human entity to become "*a multitude of organs and tissues functioning in a coordinated manner with the help of artificial life support*" (2019, p. 437).

According to the Italian Constitutional Court, it is meaningless to use terms such as "cardiac death", "respiratory death" or "brain-death" since "death" is one and unique, both from a medical and legal perspective (Decision n. 414/1995). However, these adjectives can be used to indicate how death was ascertained (*ibid*). Unlike Albania, Italy has a special law and regulation on ascertaining and certifying death, which is not linked to *post mortem* organ/tissue transplantation. Art. 4 of the Albanian Law "On the transplantation of tissues, cells and organs" (Law n. 10454/2001, amended) provides that death is the "*irreversible loss of the functions of the whole brain, including its cells*". On the other hand, Art. 1 (Law n. 7830/1994 "On autopsies") provides simply, without elaborating any further on the issue, that death is ascertained by either the GP or any other physician, based on the "*medical criteria for death signs*".

Due to the lack of special guidelines or regulations issued by the Albanian Ministry of Health, physicians are bound to ascertain and certify death following their common sense and medical practice. The philosophical, ethical and legal effects of such normative void is mitigated by the fact that *post mortem* organ/cell transplantation is still not feasible in Albania. Çipi & Meksi

note that physicians in Albania must look for the *negative signs* (absence of respiratory activity and blood circulation) and the *positive signs* (*rigor mortis*, bodily marks, putrefaction etc.) when ascertaining death based on the cardiopulmonary criterion (2013, p. 117-118). However, the Authors refer to the French regulation on what concerns brain – death declaration, which includes the ascertainment on part of the physician of hypotonia, complete areflexia, flat EEG, lack of respiratory activity when disconnected from the ventilator etc. (*ibid,* p. 119).

Types of Autopsies and Relevant Documents

Law "On autopsies" provides for two types of autopsy, neither of which, as a rule, can be executed prior to 12 hours after death was ascertained (Art. 2):

Clinical autopsy, which is executed by the anatomic pathologist and it aims either to determine the cause of death or to study the underlying pathology that was diagnosed as the cause of death (Art. 3). In case the anatomic pathologist doctor notes any sign of forensic death, the autopsy is suspended and the prosecution office is alerted.

Forensic autopsy, which is executed by a forensic physician as part of an ongoing criminal investigation or, in some jurisdictions, in civil law proceedings. A forensic death is one that is either unnatural or suspicious. As a rule, all unattended, undiagnosed, unidentified and unnatural deaths i.e. accidents, homicides, suicides or that of infants, are to be considered as forensic deaths followed by an autopsy, alongside deaths occurred in health institutions, whenever the family members of the deceased request it (Art. 6).

As it can be noted, the type of autopsy dictates the medical specialist that must perform this *post mortem* examination. If the professional qualification criterion is not met, the expert opinion can be impugned as invalid in trial and the interested party can request a re-examination. In the current state, it is crucial the issuing of special legal acts regulating the criteria and the modalities of death ascertainment and certification, independent from the fact whether the organs of the deceased will be donated or not. A few recommendations on this issue would include:

Establishing a minimum observation time to be respected before declaring the death of a person. This is especially important since the state of being "deceased" is a prerequisite for executing an autopsy. If the person was declared deceased by two physicians, the autopsy can be performed within four hours (Art. 2 of Law "On autopsies").

Establishing the standards based upon which the specialists should be diagnosing brain death. The Italian Law "On death ascertainment and certification (Law n. 578/1993) provides that this type of special collegium of specialists is composed by a neurophysiologist/neurologist or alternatively, by a neurosurgeon experienced in reading EEGs, by a forensic/anatomic pathologist doctor and by an anesthesiologist (Art. 2 (5)).

The Albanian Law "On the transplantation of tissues, cells and organs" (amended) provides that organ transplantation shall be executed in compliance to the rules provided by the Decision of the Council of Ministers (Art. 21 (2), Law n. 10454/2001). However, such sublegal act was never enacted. To provide for further legal safeguards, Art. 21 (3) of Law n. 10454/2011 prohibits that the doctors diagnosing death be the same of those executing the *post mortem* organ/tissue transplantation.

There are different documents that may be issued once a person is deceased, as listed briefly below:

Permission for burial. In cases of violent death, this permission is issued by the authority that requested the autopsy (Art. 11 of Law "On autopsies").

Permission to bury abortion byproducts and premature fetuses.

Certificate for the extradition of the corpse abroad.

Medical certificate for the cremation and embalming of the corpse.

Certificate of preserving procedures on the corpse.

The "death confirmation note" (*skeda e vdekjes*, alb.) is a document that is compiled:

by the doctor that cared for or had any contact with the now deceased person

by the physician that executed the autopsy, which can be either the anatomic pathologist or the forensic doctor, depending on the type of death (Art. 1 & Art. 11 of Law "On autopsies").

This death confirmation note contains information on the cause of death, as acknowledged in that given moment (i.e. it states whether it was a natural or a violent death), as well as what was the initial, intermediate and the final circumstance that caused the death of the person, for example a pre-existing illness. It also states if the person had been admitted in a hospital or was otherwise under medical care.

The death confirmation note is presented to the Public Registry office that issues the certificate of death accordingly. The death confirmation note is a medical document that serves a dual purpose. On one side, it has legal effects equal to the certificate issued by the Public Registry because it authorizes the funeral services to bury or cremate the body; on the other side, it is an administrative act that contains medical information on the person that has passed away (Art. 10 Law "On autopsies").

The Italian legislation positions the physician that compiles a death certificate in a specific category, depending on the fact if: a) they are exercising this task as a forensic doctor or as a doctor providing care to the patient (either in a public or private hospital) or b) whether this death certificate shall be submitted to the public registry office. On a broader scheme, a physician releasing a document can be categorized:

As a person exercising a public office, invested with State power, when issuing official acts that form or help shape the will of the State or that of any of its organs.

As a public servant, when issuing documents of an administrative character, without being invested with State powers.

As a person providing a service of public interest, when issuing private documents of a medical nature.

For a more detailed review on the function-based categorization of the physician during their professional practice, see Demneri (2019). The ACC, just as the Italian criminal code, provides for specific figures of criminal offenses, depending on whether the subject violating the law is acting in a special capacity (special subject) or not (generic subject). This means that the

punishment for the same figure of criminal offense for example "Forgery" (Section VII of the ACC), will be higher if the offense is committed by a special subject.

On the Criminal Offense "False Expert Report" (Art. 309 ACC)

The *general criminal object* of the offense concerns the optimal performance of the organs of the justice system, i.e. it refers closely to a special part of the activity of the judiciary, not to that of the public administration. The *special object* of the figure of crime can be categorized as false statement (unlike forgery, which entails there was an actual i.e. material counterfeiting). At first glance, the medical expert opinion, either provided by an IML expert or by a specialist summoned upon request, has a medical character. However, this opinion should not be considered as a medical document *per se*, since the expert simply responds to the questions submitted by the prosecutor/party/judge, which means the expert is limited in its stance. Furthermore, the structure and the content of the report, differs depending on the type of examination and of the legal proceeding i.e. criminal or civil procedure. The common aspect is that both the expert report and the medical document issued by the physician for certification purposes (Art. 188 § 2 ACC) are considered as public acts.

The *objective element* of the figure of crime consists in the expert, providing an untrue depiction of the circumstances. The crime of "Forgery" (Section VII ACC) includes the material counterfeiting of a documents and can be consumed also by simply using knowingly a forged document (Art. 188 and 186 of ACC). The location, which is part of the objective element of the crime, is also specific to the "False expert report" since this is submitted to an organ of the judiciary branch i.e. prosecutor or court, unlike for the crime of "Forgery".

The medical expert can be either selected from a special register, such as that of the IML, or summoned in the capacity of a qualified specialist (Art. 179 ACCP). The *subject* of the criminal offense is special, meaning only an appointed expert, (depending on the type of assessment i.e. pathological, toxicological, biological etc.) shall execute the forensic examination. If the opinion is drafted by an unqualified subject (in the sense of non-specialized), the report can be impugned as invalid. In the event that a non-specialized expert has intentionally stated untrue circumstances in their report, he/she cannot be held liable for "False expert report", since this figure of crime requires a special subject. A non-specialized expert who has provided a report containing false statements can be held liable for "Forgery" and "Appropriation of a public office" (Art. 346 ACC).

The *subjective element* of the offense is intent (malice). If the expert provides a false report in exchange of profit or for any other interest, then they are exposed to criminal liability pursuant to the second paragraph of Art. 309 ACC, which can be considered as a special form of "Abuse of office" (Art. 248 ACC).

On the Criminal Offense "Failure to Appear on Part of the Witness, Expert or Interpreter" (Art. 310 ACC)

The criminal code of the Kingdom of Albania (1928) categorized the expert as a civil servant (Art. 236). Their failure to appear in court was considered as a refusal to fulfill a State duty and was punishable with imprisonment as well as suspension of the professional license (Art. 239). A reasonable justification for failing to appear in court or at the prosecutor office, can exempt the expert from both criminal and administrative liability (Art. 62 (2) IML Regulation).

Unjustified failure to appear can be considered as a form of abuse of office, since it affects both the performance of the public institution and the third party interests.

Discussion and Conclusions

The object of a forensic examination varies depending on the type of expertise required. Regardless of the type of examination, the expert shall refrain from providing a legal opinion, even if so required, since this would undermine the whole process of giving justice. It would also be a legitimate cause for the party to request the invalidity of said opinion in trial. Currently, there is a lack of Albanian review focusing more on the legal aspects of forensic medicine i.e. on the liability of the medical expert. Equally scarce are the guidelines on specific medical procedures, including death ascertainment and certification. These doctrinal and legal voids create a state of confusion for the physician providing either medical care or their opinion in the capacity of a medical expert in a legal proceeding.

Although the review in this paper was limited to the criminal liability of the medical expert, the recommendation that the Albanian law establish as soon as possible the standards for diagnosing brain death as well as the minimum observation time to be respected before declaring the death of a person is valid for all jurisdictions.

References

[1] Zagidulina v. Russia, Application n. 11737/2006 (European Court of Human Rights, ECtHR 2013).
[2] Constitutional Court of the Republic of Italy, Decision n. 414/1995.
[3] Supreme Court of the People's Socialist Republic of Albania, Penal Section. (1955). Decision n. 15 of February 10, 1955. *Drejtësia Popullore*(2), 55-56.
[4] Supreme Court of the People's Socialist Republic of Albania, Penal Section. (1958). Decision n. 27 of March 24, 1958 . *Drejtësia Popullore*, 74.
[5] Supreme Court of the Republic of Albania, Decision n. 00-2013-645 of 20.03.2013.
[6] Code of Civil Procedure of the Republic of Albania.
[7] Code of Criminal Procedure of the Republic of Albania.
[8] Criminal Code of the Kingdom of Albania, (1928).
[9] Criminal Code of the Republic of Albania.
[10] Çipi, B., & Meksi, S. (2013). *Etika Mjekësore.* Tiranë.
[11] Demneri, R. (2019). The Relevancy of a Function-based Categorization of the Physician: A Comparative Criminal Law Perspective in the Albanian and Italian Legal Order. *The 7th International Academic Conference* (pp. 17-21). Prague: The International Institute for Academic Development.
[12] Regulation of the Albanian Institute of Forensic Medicine (2003) (amended). Retrieved from https://drejtesia.gov.al/wp-content/uploads/2019/03/RREGULLORE.pdf.
[13] Law n. 10454/2001 "On the transplantation of tissues, cells and organs in the Republic of Albania" (amended).
[14] Law n. 578/1993 "On death ascertainment and certification in the Republic of Italy" (*Norme per l'accertamento e la certificazione di morte*).
[15] Law n. 7830/1994 "On autopsies in the Republic of Albania".
[16] Law n. 8678/2001"On the organization and functioning of the Ministry of Justice in the Republic of Albania".
[17] Meksi, S., & Çipi, B. (2003). *Mjekësia ligjore.* Tiranë: Arbëria.
[18] Moschella, M. (2019). The human organism is not a conductorless orchestra: a defense of brain death as true biological death. *Theoretical Medicine and Bioethics* (40), 437.

[19] Palmieri, L. (2007). La responsabilità professionale medica. In F. De Ferrari, & L. Palmieri, *Manuale di medicina legale* (p. 570). Milano: Giuffrè.

[20] van Lommel, P., van Wees, R., Meyers, V., & Elfferich, I. (2001, 12 15). Near-death experience in survivors of cardiac arrest: a prospective study in the Netherlands. *The Lancet, 358*(9298), 2040. doi:https://doi.org/10.1016/S0140-6736(01)07100-8.

[21] Zaho, K. (1959). Pozita proceduriale e ekspertit mjeko-ligjor. *Drejtësia Popullore*(6), 49.

Choosing a Competitive Advantage Under the Constraints and Possibilities of the External Environment: An Empirical Study in the Retail Trade Sector in Elbasan, Albania

Teuta Hazizi (Balliu)

Lecturer, Departament of Business Administration, Faculty of Economy, "Aleksandër Xhuvani" University, Elbasan, Albania

Florenca Gjorduni

Departament of Economics and Finance, "Aldo Moro" University, Italy, "Aleksandër Xhuvani" University, Elbasan, Albania

Abstract

The effects of macro and micro environmental on the decisions of choosing the operations strategy in the manufacturing industry are part of a number of scientific researches. In addition to this industry, the service industry, mainly in recent years, has attracted the attention of researchers, including the way it develops operations strategies. Based on the experiences of the manufacturing sector, in this paper we will try to analyze the relationships between external environmental factors and decisions on the choice of operations strategy. The conducted study highlights important relations between these variables. Thus, technology, as one of the most dynamic macro-environmental factors, through its elements such as retail computer systems or even innovations, dictates the choice of operations strategy. While other elements, such as labor supply does not appear to have the same impact as technology on choosing the right strategy of operations in the retail sector in our country. In order to prove the hypothesis raised in this study we used the factor and the path analysis. The primary data collected through the questionnaire built specifically for this study were processed with the SPSS program.

Keywords: External environment, operations strategy, retail trade

Introduction

The external environmental, which is increasingly presented to us as dynamic and complex, operates outside the boundaries of organizations and affects their operations. These factors reflect the conditions and trends of the society within which business organizations operate. All together, whether micro or macro, they dictate restrictions and offer different opportunities. Management becomes even more effective with a careful recognition and study of these factors, in order not only to avoid the undesirable effects generated by them, but also to exploit their potentials.

Companies seeking success in today's market, which is already known as a highly competitive market, must, among other things, formulate operations strategies in accordance with the external environment with which they interact.

Operations strategies focus on how competition is changing and at the operations that need to be carried out, so that companies successfully meet current and future challenges. They also relate to the development and long-term improvement of the operations processes and resources in order to build the foundations for competitive advantages. If a business does not properly assess the strategic effects that effective management of operations and processes has, we can say that it is bypassing a very good opportunity for success. In other words, those businesses that seem to compete successfully, or have sustainable success in the long run definitely have clear, innovative operations strategies and in accordance with the environment in which they live.

Ward and Duray developed a conceptual model that established a relation between the business environment, competitive and operational strategies as well as high performance (Ward, P.T. and Duray, R., 2000). Furthermore, other researchers have conducted similar studies for developing countries in order to identify the environmental elements that influence the operations strategies implemented by manufacturing companies. (Amoako-Gyampah, K. and Boye, S.S., 2001)

Part of the group of factors that require management attention are the increase of business costs, the increase of consumer awareness, the uncertainty or unpredictability of competitors' actions, the consumer preferences, the improvement of transport efficiency and logistics, as well as the governments' pressures, regulatory supervisors, trade unions and developments in information and communication technologies. (Lo, T.W., Lau, H.F. and Lin, G., 2001)

Our country, due to the considerable number of small businesses, the number of which in 2018 was 162 835 businesses of which 93 048, or 57%, are sole proprietorship, offers sufficient space for researches of this kind. In the retail sector, according to the Institute of Statistics (December 2018), the sales index increased by 3.7% on an annual basis. This is the highest retail growth in recent years.

This study is focused on retail sector in Elbasan. Elbasan is a city n the very center of Albania. Its population is around 270 000 citiziens and 13 400 active enterprises. Its purpose is to investigate how different environmental factors influence the choice of competitive operations strategies in terms of coping with a harsh, complex and dynamic environment. We will try to identify specific relationships between elements of the external environment, such as business costs, labor supply, competition and technology, and the content of operations strategy which focuses on the competitive advantages of a business organization, such as low cost, quality, flexibility and delivery.

Literature review

Fierce competition, technological developments, consumer preferences and perceptions, regulatory background, the lack of stability in fiscal and monetary policy, trade unions and the increasingly difficult relations with suppliers make the environment in which organizations operate an equally complex and dynamic one. External environmental factors are factors that operate outside the boundaries of an organization and that affect its operations. The spectrum of macro and micro environmental elements reflects the conditions and trends of the society within which the business organization operates. Managers study these factors not only to avoid their undesirable effects, but also to effectively exploit the potential opportunities created by them. (LLaci, 2010, p. 39). Thus, for example, if we refer to the laws and regulations in force, it can be noticed that when businesses operate in countries with strong laws and regulations, they tend to search and find out more about strategies (Santema, S.C. & Hoekert,

Marijke & Rijt, Jeroen & Oijen, Aswin., 2005). The same authors note that companies with a centralized decision-making structure pay less attention to research on strategies, as it is believed that by being more centralized they are informed more efficiently using other channels rather than strategies. The businesses in countries, whose societies are afraid of the uncertainty of the future and who try to avoid it and the risks that it is accompanied by, need more rules and laws. Societies that do not avoid the risk and the uncertainty of the future are more open and welcome the challenges of competition and convey more and more information to the public (SP, 2012).

Various researchers have concluded that operations strategies are an important contributor to successful business competition in both domestic market and exports (Singh, H., & Mahmood, R., 2014). High productivity of the production function is seen as a key contributor to business success (Singh, Sanjay & Kagalwala, Mohamedi & Parker-Thornburg, Jan & Adams, Henry & Majumder, Sadhan, 2010). This importance has been studied together with the ability of strategy to adapt to environmental changes generated by technology and market demand fluctuations (Dombrowski, Stephan & O'Carroll, Ronan & Williams, Brian., 2016).

On the other hand, the strategy is conceived as a managerial mechanism used to reach conclusions which coincide with the company's mission and objectives (Hitt, Michael & Ireland, R. & Hoskisson, Robert., 2013). Functional level strategies support business and corporate objectives and strategies; they are the competitive advantages that the company possesses. Manufacturing operations support business and corporate strategy by providing resources and conditions to achieve its objectives (Slack, 2007). The unique architecture of each strategy is what ensures an essential strategic contribution to achieve and maintain a competitive advantage. All this leads us to conclude that business organizations do not have one, but several operations strategy. Each of them has a unique and individual emphasis that is dictated by a number of factors such as trading partners, supply system configuration, costs, demand behaviors, etc (Venetike Nakuçi, Ali Turhani, 2012).

Each of the performance objectives has an external aspect, which leads to customer satisfaction, and an internal aspect, which leads the organization to efficiency and sustainability. Quality, for example, is the most visible part of what an operation does. High quality products and services mean higher customer satisfaction and therefore the customer is expected to return again. Speed is related to the time customers have to wait for receiving their products and services, but also to the value of the goods on the shelfs.The speed target brings among other things, even the reduction of the inventory and risk. If we refer to reliability or security we could interpret it as the security that customers receive goods and services when promised. Security saves the organization time and money, and gives stability. The vast majority of operations performed by a business organization are able to change in order to meet the requirements of its customers. This ability to change is related to the competitive advantage of flexibility, ie the ability to offer a wide range of products and services, by changing the level of production and activities carried out. The flexibility speeds up the response, saves time and maintains the certainty that operations will take place as planned. When treating cometititve advantages we can not ignore costs as one of the most long-standing advantages. If business organizations compete directly on price, low cost will undoubtedly be their main objective. The way a manager influences the costs of operations depends largely on the origin or place where they arise. In this way, cost structures and categories take on special importance. Cost is affected by all the performance objectives mentioned so far, therefore within the operation, one of the ways to improve the cost is exactly

the performance improvement of other objectives, namely quality, safety, delivery and flexibility.

The need to adapt the operations strategy to external environmental factors is supported by some empirical studies, which show that different environmental dimensions make manufacturing and service organizations react differently. The mediating effect of competitive strategy suggests that environmental dynamism has a significant impact on production strategy, but this impact is articulated through and modified by competitive strategy (Ward, P.T. and Duray, R., 2000). Other authors have identified strong relationships between environmental factors, such as labor supply, fierce competition, state laws and regulations, political concerns, and market dynamism with operations strategies included by competing priorities (Badria, M.A., Davis, D. and Davis, D, 2000). The unpredictability parameters or instability of environmental dynamics play a crucial role in determining the types of flexibility strategies (Anand, G. and Ward, P.T., 2004). High environmental dynamism fosters more operations strategies, which further emphasizes the need for high delivery performance, flexibility and competitive quality priority. Due to the proximity of the service business to customers, service operations need to be extremely sensitive to customers and markets. The operations strategy needs to be changed and adapted to maximize market criteria for success and to choose strategic dimensions such as efficiency, price, effectiveness, quality and flexibility as required by the market.Variables such as stock, physical space of the sales environment, the system in terms of operations recovery, standards and staff, otherwise known as 5Ss, are recognized as essential drivers of the benefits of this type of business (Pal A John and Byrom W John, 2003).

The operational mediocrity is due to a lack of knowledge on the real availability in the store and out-of-stock situations at the point of sale and the ignorance of the consequences that these situations create (Raman, A. & Dehoratius, N. & Ton, Z., 2001). The current debates point to the fact that the combination of production factors in the grocery retail; such as staff, space, assortment, etc, are what explain the existence of certain types of retail stores, and lead to specific outputs. Sometimes these factors are the reason why some of these businesses operate with very low profit margins. What we want to emphasize is the fact that the consequences of the lack of effectiveness in operations and related strategies are evident. The discussion on retail operations should not be avoided, rather it should be given more attention by researchers and not only. Nowadays retailers face up and take quite complex decisions. Decisions involving not one but several issues, such as deployment, assortment, target market selection, supplier negotiation, challenge motivation, technological innovation, competition, applicable laws and norms, all of these are now realized under a competitive and global environment. (Michael Leavy and Barton A.Weitz, 2001).

Retail sector in Albania

The high informality and unfair competition are the main issues facing the retail market in our country. Lack of market regulations and operation outside any standards, especially in food industry is one of the problems. Creating, respecting and controlling standards would create a more efficient and effective operation, increase quality, service, security, promote international trade, etc (Qefalia, 2010). Albania is part of a group of countries with a very high degree of informality and, consequently, tax evasion. The black economy at these levels has brought negative effects related to unfair competition, created by businesses that evade taxes (Teuta Balliu, Aida Gaçe, Mimoza Kotollaku, Vol 1, Issues 2, 2012).

According to the EU Council data during 2018, 55% of Albanian businesses have had an annual turnover of up to 500 000 Euros, a study which emphasizes once more the importance of this sector in the Albanian economy (https://ec.europa.eu/docsroom/documents/38667).

The same study of the Council of Europe states that the biggest problems faced by business in our country are related to the skills of employees and experienced managers, competition, finding clients and costs, which includes both labor costs and production costs (https://ec.europa.eu/docsroom/documents/38667). The World Bank estimates that eventhough Albania has adopted a wide variety of rules to monitor abuses; their implementation remains weak due to ongoing informality in the workforce. According to the business environment observation and enterprise performance, competition from the informal sector was the second biggest problem for Albanian companies. More than 40% of firms surveyed by the World Bank reported competing against informal firms in the sector. This unfair competition is high among SMEs, as 41% of them report competing with unregistered businesses compared to 27.8% of large firms.

On the other hand, according to the Institute of Statistics, INSTAT, for 2019, the sales volume index in the retail trade has increased by 3.5%, compared to the same quarter of the previous year, this in excluding the retail trade of hydrocarbons. The group of "Food, beverages, tobacco in non-specialized and specialized trade units", has on increase by 3.2% in the sales volume index, compared to the same quarter of 2018. The sales volume index, for the group "Non-food items in specialized and non-specialized trade units", has increased by 3.8% compared to the same period of the previous year. As for the group "Trade of hydrocarbons in specialized trade units", the sales volume index increased by 2.3%, compared to the same quarter of 2018. In the first quarter of 2019, the seasonally adjusted sales volume index, in the group "Retail trade, excluding retail trade of hydrocarbons in specialized units", has not changed compared to the fourth quarter of 2018. The seasonally adjusted sales volume index in "Food, beverages, tobacco in non-specialized and specialized trade units" group increased by 0.3% compared to the previous quarter. The sales volume index, seasonally adjusted, in retail trade, for the group "Non-food items in specialized and non-specialized trade units", has increased by 0.7% compared to the previous quarter. In the group "Retail sale of hydrocarbons in specialized trade units", the seasonally adjusted sales volume index, increased by 2.5% compared to the fourth quarter of 2018.
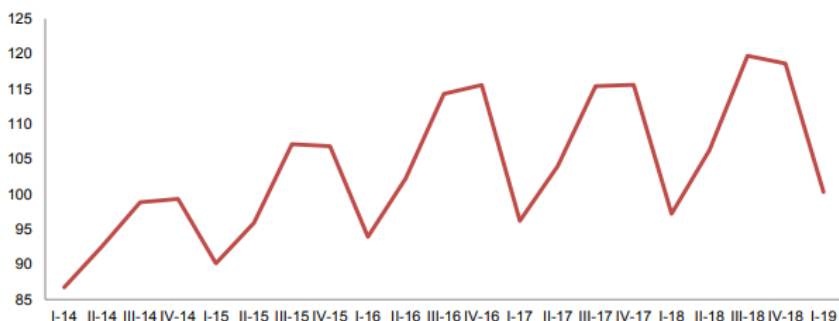
Graph 1: Retail trade volume index

Methodology

I order to carry out this study we initially developed a conceptual structure to link the business environment and operations strategy (see Figure 1). This framework defines the business environment as a potential driving force in choosing the appropriate operations strategy. The business environment is presented by four factors which are not controlled by the management of business organizations, such as business cost, labor supply, competition and technology. Meanwhile the operations strategy reflects one or more of todays four competitive advantages, low cost, quality, flexibility and delivery.

Business environment
•Business cost
•Labor supply
•Competition
•Technology

Operations strategy
•Low costs
•Quality
•Flexibility
•Distribution

Figure 1: Conceptual structure of linking environment to the strategy of operations

There are a number of studies that have developed conceptual models that link the business environment to operations strategy, and among them there are researches where environmental factors are explicitly involved in the study of service operations strategies, especially in small and medium business. Therefore, it is worthwhile to continuously encourage research linking the business environment with the operations strategy in the retail sector.

The research question of this study relates to how environmental elements influence the selection of operations strategy.

Its hypotheses are constructed precisely with reference to the above structure. Their aim is to examine the specific nature of any relationship that exists between the constraints and opportunities of the business environment and the dynamics, and the operational strategies selected by the business itself. We are interested to know if there are direct paths between each of the external environmental factors and the choices of previously identified operational strategies. In order to understand the nature of the relationship between these factors the following hypotheses have been raised:

H_1: Business cost has a significant impact on the choice of operations strategy with low cost, quality, flexibility and fast delivery.

H_2: The labor supply has a significant impact on the choice of strategy of operations with low cost, quality, flexibility and fast delivery.

H_3: Competition has a significant impact on the choice of strategy of operations with low cost, quality, flexibility and fast delivery.

H_4: Technology has a significant impact on the choice of low cost operations strategy, quality, flexibility, and fast delivery.

Descriptive and analytical analyzes have been used to achieve the purpose of this quantitative research, and the data used are primary and secondary ones. The secondary data are obtained from various literatures in the field of business management, operational management and operational strategies. Whether the primary data were provided by a questionnaire built specifically for this paper. They were further processed with the statistical program SPSS. Factor analysis and statistical analysis SEM (Structural equation modeling) were used to analyze the data and derive its results. The data were provided by business organizations in the retail sector in the city of Elbasan. The sample consisted of retail traders operating in both the food and non-food sectors. A total of 120 questionnaires were distributed, of which 83 were completed, a figure that shows about 69.1% of the answers. After reviewing them, we found that 9 out of 83 questionnaires were not completed properly and could not be used, concluding that 74 questionnaires were further analyzed. Four dimensions are included in this study certainly referring to previous studies. These dimensions are conceptually related not only to the obstacles or difficulties, but also to the facilities offered by the external environment:

business costs, or otherwise concerns about the rising cost of inputs in the operations process, for example labor, rent, transportation and utility costs.

labor supply, often referred to as job availability, which is mainly related to concerns about market shortages of skilled workers and technicians, as well as managerial and administrative workers.

competition as a reflection of concerns about changes in the market such as increased competition, declining demand for products, low profit margins, tougher quality standards set by the market, and the division of state laws and regulations.

technology which as a whole can be seen as current production knowledge of products and services. Its impact is reflected in new products, modern machinery and equipment as well as new services. The technological changes of recent years and their application on decision-making have completely changed the nature of the workplace. Technological factors will become even more important in the future. Technology as one of the most dynamic elements of nowadays is analyzed referring to the technological sales system, electronic data exchange system which enables business-to-business connection as well as new logistics systems which refer to the speed of response todemand side in order to keep pace with demand and coded commodity bars which enable unique identification and tracking of all components and products through a supply chain.

As we have previously pointed out, the strategy of operations is related to the competitive advantage in the market, and this is why we are focused on today's four competitive advantages, which are widely used as measuring instruments of operations strategies. More specifically we focused on cost, quality, delivery and flexibility.

The questionnaire used the "importance scale" that an organization gives to an element in order to remain competitive. (Kirsty Williamson, Graeme Johanson, 2017). Scales range from from 1 or "not at all important" and up to 5 or "very important". We used four questions to assess low cost, looking at the degree of importance placed on reducing high-level costs, inventory levels, and increasing utilization of equipment and private sales. Quality was assessed with three more questions. The questions were focused on the extent of importance attached to providing appropriate specifications about goods and services, improving the

performance and reliability of goods or services, and the managerial function of quality control of goods and services, requiring suppliers to pass a formal certificate of quality control and improvement system. We have tried to analyze the delivery performance by the speed, reliability as well as the improvement of the service after the purchase. We also tried to explain flexibility through the flexibility of goods and services, the mix of flexibility, the flexibility of volume and the flexibility of offers.

Results

All the questionaris were fulfilled by difeerent business manager. All of them have more than five years experience in the retail sector.

Structural equation modelling (SEM) includes, among others, as special cases path analysis and covariance structure analysis. Path analysis is an extension of the regression model, used to "test the fit of the correlation matrix against two or more causal models which are being compared by the researcher". The model is usually depicted in a circle-andarrow figure in which single arrows indicate causation. Path analysis offers some distinct advantages including the identification of direct and indirect effects in a complex system of variables, and the convenience with which intervening variables could be included in the model. Ward and Duray (2000) employed a path model to link environment, competitive strategy, manufacturing strategy and performance (Ward, P.T. and Duray, R., 2000). So, we decided that path analysis would be an appropriate technique to use in this research. The results of data analysis are presented below. First the results of exploratory factor analysis (EFA) and confirmatory factor analysis (CFA) are reported. Then, we examine the impacts that environmental factors have on the operations strategy choices through the path analysis.

Exploratory factor analysis (EFA)

Principal component analysis with an oblique rotation was first undertaken on business environment and operations strategy measures to examine the underlying dimensions of the constructs. Factor analysis for the environmental factors produced four dimensions with eigenvalues greater than one (see Table 1). Moreover, Table 2 shows the results of operations strategy choices encompassed by competitive priorities. As shown in Table 1 and 2, some business environmental variables were deleted in analyze because of the low reliability.This might have occurred due to unique business culture in our retail industry, sample size, and perception of the respondents. Cronbach's alpha coefficient was used to examine the reliabilities among the items within each factor. If slpha coefficient is higher than 0.60, generally is considered acceptable. From Table 1, we can see that the loadings of the first four factors were larger than 0.60, representing an acceptable significant level of internal validity. The first factor including two items was entitled business cost. The second factor contained three items that reflected the labour offer. The next factor, competition, included two items that related to demanding quality standards as well as government laws and regulations. The next factor, labelled technology, contained three items including rate of changes in retail technology and innovation of new service development. Since all these four factors loadings were of an acceptable significant level, all these items were retained for further analysis. The factors who have indicated a low reliability (below 0.60) were excluded from further analyses. The item ECOST3 - rising transport cost was also deleted from further analysis, since it had significant loadings in more than one factor.

Variables	Factor Loandings	Alpha e Cronbach
Factor 1: Business cost		0.623
ECOST1 - Work cost	0.764	
ECOST2 - Rent cost	0.699	
Factor 2: Labor offer		0.636
EGP1 - Managerial and administrative expenses	0.798	
EGP2 - Techniciants expenses	0.765	
EGP3 - Skilled worker expenses	0.744	
Factor 3: Competition		0.646
ECON4 - High quality standards	0.841	
ECON5 - Laws and regulations	0.865	
Factor 4: Technology		0.696
ETEC1 - Online sales	0.723	
ETEC2 - Changing retail technology	0.825	
ETEC3 - Service inovations	0.728	

Table 1: Factor Loadings of Business Environment (EFA)

As shown in table 2, the 13 items of operations strategy loaded on four factors. The items loaded on the first factor, low cost, involved the operations strategy of reducing operations cost. The second factor, quality, included three items about providing high quality products and services for customers. The third factor reflects the competitive priority of flexibility. The last factor includes three items about offering reliable and fast delivery and after sales service for customers, and was named delivery. The alpha coefficients for the four factors were 0.642, 0.594, 0.680, and 0.861 respectively. These values are either close to or exceed 0.60 criterion generally considered adequate for exploratory work.

	Variables	Factor Loadings	Cronbach alpha
	Factor 1: Low cost		0.642
	COST1 - Reduce general cost	0.792	
	COST2 - Reduce inventory cost	0.796	
	COST3 - Increase the utilazion of the equipments	0.634	
	COST4 - Increse direct sales		
	Factor 2: Quality		0.594
	QUAL1 - The right specifications for the goods and services	0.776	
	QUAL2 - The I mprovment of the reliability and goods performance	0.792	
	QUAL3 – Technics for controlling the quality of goods and services	0.662	
	Factor 3: Flexibility		0.680
	Flex 1 – Improving the changing of goods and services	0.687	
	Flex 2 – Responding quickly to demand shifts and operational changes	0.821	
	Flex3 – Changing dates delivery plans with costomer or other chain units	0.776	
	Factor 4: Delivery		0.861
	DELIV 1- Fast delivery	0.801	
	DELIV 2 - Delivery promises	0.886	
	DELIV 3 - After sales services	0.912	

Table 2: Factor loading of operations strategy (EFA)

We used the hypothesized model to test model fitness by performing a Confirmatory Factor Analysis (CFA) on the survey data. In assessing model adequacy, we used several recommended tests: the Chi-square value normalized by degrees of freedom ($\chi 2 /df$), the root mean square error of approximation (RMSEA), the comparative fit index (CFI), and the goodness-of-fit (GFI). A GFI and CFI greater than 0.90 are generally considered as a satisfactory fit, a value greater than 0.95 as a very good model fit. An RMSEA between 0 and 0.05 indicates a good fit and that between 0.05 and 0.08 an acceptable one. And, the Chi-square value normalized by degrees of freedom ($\chi 2 /df$) should not exceed 3.

		Variables	Variance explained (%)	Cronbach alpha
		Business enviorment		
	1.	Business cost	72.248	0.623
	2.	Labor offer	61.221	0.636
	3.	Competition	73.865	0.646
	4.	Thechnology	65.298	0.696
		Goodness of Fit Statistics: χ^2= 35.284; df = 35; (χ^2/df) = 1.008; RMSEA = 0.038; CF1 = 0.953; GFI = 0.929		
		Operations Strategy		
	5.	Low cost	58.698	0.637
	6.	Quality	63.108	0.589
	7.	Flexibility	60.521	0.676
	8.	Delivery	76.987	0.839
		Goodness of Fit Statistics: χ^2= 79.352; df = 57; (χ^2/df) = 1.392; RMSEA = 0.056; CF1 = 0.929; GFI = 0.908		

Table 3: Summary of fit statistics

As shown in Table 3, the results of CFA provided significant support for business environments conceptualizations ($\chi 2$ = 35.285; df = 35; ($\chi 2 / df$) = 1.008; RMSEA = 0.038; CF1 = 0.953; GFI = 0.929). Table 3 also indicates that CFA results provided good fit for the four-factor (low cost, quality, flexibility and technology) solution for operations strategy. Hence, these results can be considered significant in statistical terms.

Path analyses

The results of path analyses are shown in fig. 2. The path coefficients (standardized regression coefficients) are shown on the arrows. The path analytic model indicates that the technology has the direct positive and significant effects on the degree of emphasis placed on low cost (β = 0.62, p <0.01), quality (β = 0.47, p < 0.01), and flexibility (β = 0.55, p < 0.01). The data also suggest that the predictors of quality are competitive and technology. Competitive has a slightly significant impact on the choice of quality as a component of operations strategy (β = 0.25, p < 0.10). As we can be see, business cost appears to slightly influence the operations strategy choices of delivery performance (β = 0.228, p < 0.10). However, environmental concern about labour offer does not appear to have any direct effect on the operations strategy selections. Our hypotheses relating business environmental factors and operations strategy choices require the existence of at least one path between an environmental dimension and an operations strategy choice. The observed positive and significant direct impacts of the environmental dimensions on the operations strategy indicated that H1, H3, and H4 can not

be rejected, but H2 can be rejected. Business environmental factors, including business cost, competitive, and technology, appear to affect operations strategy selections made by retail firms in our country. Labour offer has no direct significant effects on any of the operations strategy choices.

Figure 2: Path model of business environmental factors and operations strategy choices
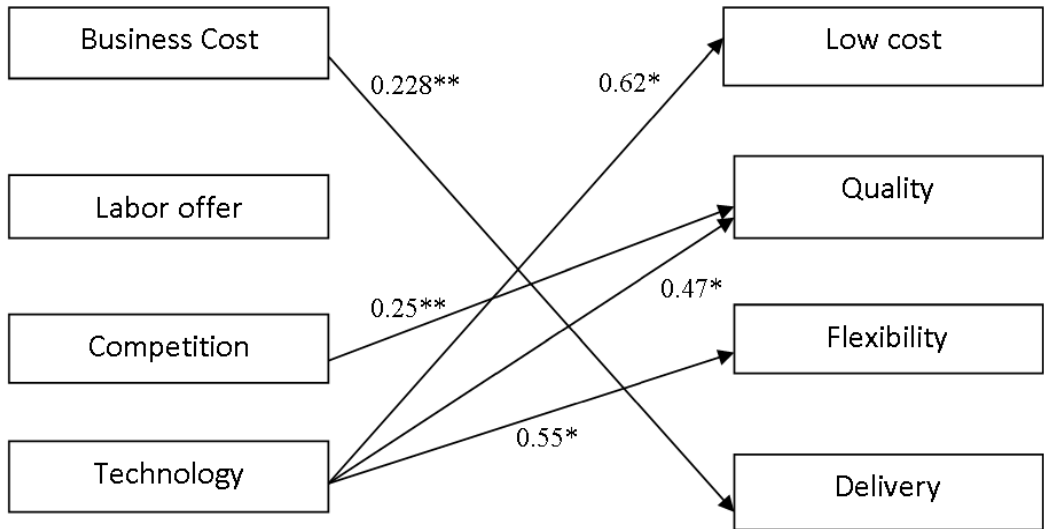
χ2/df = 1.028; RMSEA = 0.028; CF1 = 0.976; GFI = 0.871 *p<0.01; **p<0.10

Discussion and Conclusion

In this paper we have observed some important paths or links between the dimensions of the business external environment and the strategies of operations performed by retail businesses. One of our findings is that business cost has a significant direct impact on delivery performance. The cost of doing business in our country is increasing. Increased rental and transformation costs and current global crisis add to the cost of doing business. Various studies point out that business cost is the difference that has a significant effect on distribution performance between different businesses. Similarly, service and retail sector businesses which face rising business costs also responded with a greater emphasis on delivery performance.

The pathways model also suggests that businesses retail sector facing tough competition put more emphasis on quality. Consumers, especially in big cities, are becoming smarter and more demanding in terms of quality and variety. More and more consumers have started to pursue better quality of life through higher quality products and fashion clothing.

The analysis also shows that technology has the most significant impact on operations strategy choices, affecting three out of four choices. It has strong positive effects on the degree of emphasis placed on low cost, quality and flexibility. Some of the strategic retail responses to technology are: increasing emphasis on cost reduction, quality and flexibility. Currently, retail trade faces several challenges such as; the growing need for information, innovation and faster

development cycles and more difficulty in forecasting customer, product and service requirements. Moreover, with the development of the retail market, information technology will have an impact on the overall business efficiency of retailers and will affect operations ranging from online purchases to procurement and supply chains. Thus, retail traders aiming to succeed in the retail market need to consider technology, reduce operations costs through the effective application of information and technology, and create new products and services, and amazing results for their customers. However, the pathway model suggests that labor supply has no significant direct effects on any of the operations strategy solutions in this sector. This is not surprising when we consider the current business environment in which retailers operate in our country. Most retail traders that respond to the questionnaire may not feel that they are facing a critical job shortage, referring to the skills or qualifications needed by typical retail employees.

In order to survive in a complex and dynamic environment, appropriate environmental considerations must be considered when a firm develops a comprehensive operations strategy. Retail trade should be very careful about the current dynamic market environment, especially when developing effective and efficient operations strategies, such as providing customers with high quality products and services, reducing operating costs, and improving flexibility. Retail businesses need to provide reliable and fast delivery and increase after-sales service for their customers if they want to reduce the costs of doing business.

An important limitation of this research is that some variables, which we initially thought might be relevant to the business environment, had to be excluded due to low reliability. This may be a result of the unique characteristics of the retailer, the sample size and the different perception of the respondents. Furthermore, eventhough all businesses involved are retail tradeers, the following study should consider the fact that the market, services, and operations strategy are very different among retailers to respond to the same environmental stimulus.

This study is conducted in the retail sector as a whole; further researches can take into consideration that the market, the services, and the operational strategies are really different among different retailers such as supermarkets, clothes and others, and maybe they react differently to the same enviormental factor.

Bibliography

[1] https://ec.europa.eu/docsroom/documents/38667. (n.d.).
[2] Amoako-Gyampah, K. and Boye, S.S. (2001). "Operations strategy in an emerging economy: the case of the Ghanaian manufacturing industry". Journal of Operations Management, Vol. 19 , pp. pp. 59-79.
[3] Anand, G. and Ward, P.T. (2004). Fit, flexibility and performance in manufacturing: coping with dynamic environments" . Production and Operations Management, Vol. 13 No. 4 , pp. 369-385.
[4] Badria, M.A., Davis, D. and Davis, D. (2000). "Operations strategy, environmental uncertainty and performance: a path analytic model of industries in developing countries". Omega, Vol. 28 , pp. 155-173.
[5] Dombrowski, Stephan & O'Carroll, Ronan & Williams, Brian. (2016). Form of delivery as a key 'active ingredient' in behaviour change interventions. . British Journal of Health Psychology. 21. , pp. 733-740.
[6] Hitt, Michael & Ireland, R. & Hoskisson, Robert. (2013). Strategic Management: Competitiveness and Globalization. . Thomson South-Western.
[7] Kirsty Williamson, Graeme Johanson. (2017). Research Methods . Chandos Publishing.

[8]   LLaci, S. (2010). Manaxhimi. Tiranë: albPAPER.

[9]   Lo, T.W., Lau, H.F. and Lin, G. (2001). "Problems and prospects of supermarket development in China". International Journal of Retail & Distribution Management, Vol. 29 No. 2 , pp. pp. 66-75.

[10]   Michael Leavy and Barton A.Weitz. (2001). Retailing Management. McGraw-Hill.

[11]   Pal A John and Byrom W John. (2003). " The Five Ss ofRetail Operations:- A model and tool for improvement. International Journal ofRetail and Distribution Management, Vol No 31, No 10 , pp No 518-528.

[12]   Qefalia, A. (2010). Manaxhimi i Cilësisë Totale. Tiranë: Expo Vision Albania.

[13]   Raman, A. & Dehoratius, N. & Ton, Z. (2001). The Achilles' heel of supply chain management. Harvard Business Review. 79 , 25-28.

[14]   Santema, S.C. & Hoekert, Marijke & Rijt, Jeroen & Oijen, Aswin. (2005). Strategy disclosure in annual reports across Europe: A study on differences between five countries. . European Business Review. 17 , pp. 352-366.

[15]   Singh, H., & Mahmood, R. (2014). Cobined effect of competitive and manufacturing strategies on export performance of SMEs in Malaysia. Global Journal of Management and Business Research, 14(1) , pp. 99-106.

[16]   Singh, Sanjay & Kagalwala, Mohamedi & Parker-Thornburg, Jan & Adams, Henry & Majumder, Sadhan. (2010). Singh et al. reply. p. Nature 467(7311):E5.

[17]   Slack, N. (2007). Operations Management. Financial Times / Prentice Hall.

[18]   SP, W. (2012). 'The impact of culture on risk management disclosures : an exploratory study of international banks', DBA thesis. Southern Cross University, Lismore, NSW: SP Wong 2012.

[19]   Teuta Balliu, Aida Gaçe, Mimoza Kotollaku. (Vol 1, Issues 2, 2012, Gusht). The Economic Informallity Opposite Fiscal Policy and the Legal Vacuum Issues. the Features of the Tourism Sector Informallity in Albania. European Journal of Economics and Business Studies , pp. 77-82.

[20]   Venetike Nakuçi, Ali Turhani. (2012). Strategjitë e operacioneve. Tiranë: Grafon.

[21]   Ward, P.T. and Duray, R. (2000). "Manufacturing strategy in context: environment, competitive strategy and manufacturing strategy". Journal of Operations Management, Vol. 18, , pp. pp. 123-138.

Building the Modern Albanian State on Oriental Mentality

Hazbi Lika

Lecturer at Aleksander Moisiu University of Durres

Abstract

This paper aims at proving that the discourse that promotes our national identity is grounded on the new political context which initiated after the Declaration of Independence and the formation of the first Albanian state. During such a discourse, in the given period, prevails the debate on: the west openly rejects the orient. The elite that was active in politics seems to be more restrained, while the intellectual one, especially those educated in the Austro-Germanic region, declare open war on the Orient. The Political Assembly of Prizren and Vlora bring evidence of an ethnic identity which is changeable with respect to the new environment created. Albanian elites, especially the intellectual ones in the light of orientalist, rightly denounce the orient and oriental culture by not appreciating the historical environment in which our ethnic identity had to be maintained for a period of five centuries. The discourse of this period shows that our national identity began to become quite different adapting to the new reality that was created.

Keywords: Modern Albanian State, Oriental Mentality

Introduction

Before and after the Declaration of Independence, the circumstances and the new political environment that was created, conditioned the way our national identity was built. If during the period of the National Renaissance, the elite of scholars and poets repeatedly rejected the Turkish, Ottoman and Oriental culture, during the period of Independence and at the time of the establishment of the Albanian state by an elite majority, the Oriental was hated and opposed in terms of culture and civilization. During the Renaissance, Europe and Europeanization were just political realities and a geographical notion. They were not mentioned as political and cultural models to be referred to. In factit was not even recognized by them as a cultural union as civilization, where our identity was required to be identified with it as emphasized later in the political and intellectual discourse of the 20s and 30s. Certain events give us enough information that despite the efforts of the educated elite to present Albania with early roots in European civilization, these events prove that our people in many of their behaviors showed close connection to Oriental Cultural.

The challenge that Esat Toptani announced to his political rival Ismail Vlora proves that he knew well the sensibilities and Ottoman mentality of the people and used them to increase his popularity which in fact became a real threat to political rivals. Next occurrence: HaxhiQamil

Movement, which regardless of the various viewpoints and interpretations, united around itself a part of the elite of Muslim believers, Hajjis and Imams, who had been educated in theology, rejecting the westernization of Albania. This political figure increased his

protagonism by recognizing the sensibility of the people and manipulating them. Even Ahmet Zogu built institutions with European grounds, although he had almost oriental political principles, so it was easier for him to have the rule of power. This article provides an overview of the political and cultural debates of this period, where although each stands out with its own individuality, what they have in common is that the changes of the conditions of the time and the political context the debate generally takes a different geo-cultural orientation. In this overview our national identity begins to be reconstructed.

The beginnings of the Albanian state

The most important public act that proves the beginning of a new Albanian state, begins in the early twentieth century with the declaration of independence on 1912. A former senior official of the imperial administration and MP raises the flag in Vlora, declaring Albania to be independent of the SublimePorte. This political act proves that the fate of Albania would be debated less in Turkish parliaments than in the chancelleries of Europe. IsmalKemal Bey inVlora, diplomat and high official of the Ottoman Empire, loyal and worthy to serve the Sultan until the end of his life, when the Sultan weakened his power in the Turkish Balkans, he was introduced as the head of the Assembly of Vlora, as the father of the nation. We emphasizes that the memoirs of Ismail Qemali sent to the Sultan; "My sense of loyalty was so strong and the determination of my thoughts was so real that these would not weaken it from the vile impulses of some clowns who disturbed the mind of your majesty. Your Majesty would acknowledge today that my insistence on presenting the truth to you, perseverance that had crossed the boundaries of education, and from the faithful man, to provide the means of salvation for your people and empire. Do not think that by appearing in some modest events, I intend to oppose your imperial image. The memorandum of Ismail Qemali to the sultan to prevent the movement of peoples against the empire to protect the greatness of the empire and guarantee its eternity, as well as to prevent the open interference of the Great Powers in the internal affairs of the empire. Ismail Qemali, swore allegiance and devotion to the empire of the Sultan and only 15 years later he would put on the cloakof the father of the nation. Of course, this proves that this career clerk until the end of the XIX century was not yet affected by the Renaissance Romanticism.

At least until the eve of the declaration of independence from the numerous correspondences he had with the Sultan, Ismail Qemaliit is proven that theOttoman was a system and legitimate social order and Islam as a doctrinal product of the Ottoman was the religion with which Albanians identified themselves. Even the discourse of the Declaration of Independence on what we know today is not in line with the nationalist rhetoric. It is very short and telegraphic. "In Vlora on 15/28 of the third Autumn on 28/1912. "After the words said by Ismail QemalBey, showing the great danger in which Albania is, all

the delegates with unanimitydecided that Albania today should be free and independent." Find below the text written in ottoman.

The statement, as an admirable diplomatic sense,has no sensitive national sentiment. The content and national purpose of the declaration was diplomatically clarified. But the content of the Declaration of Independence does not express rejection of Ottoman as a cultural notion, nor of the Ottoman Empire, as a political system, but it sees a danger for Albania and due to this danger , Albania needed to gain independence .And this danger, according to Ismail Qemali and many signatories of this statement, was not the Ottoman Empire, but the weakening of this empire in the Balkans. This statement of Ismail Qemal of Vlora and his contemporaries, was not just a public statement, but also became the main problem of securing the territory during his rule. Many correspondences of the time show how Ismail Qemali addressed his mayors, especially Aqif Pasha of Elbasan, to keep good relations and cooperate with the Turkish garrisons to protect the border security from Serbian, Greek, and Montenegrin

attacks. From these correspondence of Ismail with the Sultan and with the commanders of the Turkish garrisons, Turkey was no longer a danger for Albania, but the new geopolitics that was created in the Balkans. Ismail Qemali comes along with the renaissance, and in all his political behavior, as in the time he served the Sultan, (while the renaissance had built their nationalist-romantic discourse) and as the founder of the Albanian state, during the speechin public, did not approve of the

renaissance nationalist romanticism. The Renaissance and Ismaili were two different testimonies of almost the same period. They claim to the western perspective of the Albanians, while the other claim to the Albanian oriental reality. The poet wants to do things right, while the politician is forced to say things the way they really are. From what we have said, a questing raises: was Albania in the majority of its populationculturally Ottoman, or had it internally rejected the Ottoman? Most of the textbooks we have studied tell us that Albanians, as a European nation, hated Ottoman throughout the centuries, and that Orientalism had entered like a foreign flesh. But how true itis this we will know in the following passage of this article.

Political rivalry as evidence of a reality

In the Albanian reality of the time, where politics debates and conflicts in its daily life, exactly where two important political rivals are between each-other; Ismail Qemali and Esat Pasha. For a time they co-ruled and later irreconcilable political opponents. The first refined and more aristocratic, while the second, popular, and more adventurous. As a minister and then as a former minister of Ismail Qemali, he

seriously threatened the government of Vlora. To approach the question of who was really the Ottoman sensibility of the people in this period, we quote from the telegram of January 13, 1914 of Aqif Pasha as prefect of Elbasan supporting Ismail Qemali where he informs the government of Vlora about the activity of the rebels of Esat Toptan. "The rebels, under the command of an officer named Hamid, sent by Esad Pasha, occupied 15 villages. These, after arming them, take them with them and thus are increasing their power. They draw the people with them by asking them who the Ottomans are and who the Latins are, arming them under the guise of Muslimism and Ottoman . Since most of the people are fanatical and have not lost their feelings for the Ottomans, they sympathetically welcomed their propaganda and joined them. In the same telegram text, Aqif Elbasani notifies the government of Vlora; "Now that we are writing this telegram, we receive reliable information that a special army of Tirana, under the command of the adopted son of the mufti of Tirana and the brother of the mufti of Dibra have started to attack and this army is reaching 7000-8000 people will attack us and surround Elbasan on all sides.

Again a telegram from AqifElbasani dated 12 January 1914, sent to the government of Vlora informed that the people of Esat Pasha Toptan were inciting the peasantry against the government; "Considering the false fame of Esat Pasha, in his name, Dervish Bey, in every village he himselfshows the villagers the picture of Prince Wied that was published in the Albanian newspaper in Vlora and tells them: "The government of Elbasan and the Tosks, come and see, this orthodoxwants to become our king", shedding tears he would say: "Islam is over" and with these tears heignited and provoked the feelings of the ignorant peasants. According to the testimonies of his opponents, (Ismail Qemali and AqifElbasani), Esat Pasha, he inspired the population of Central Albania by demanding a Turkish prince appointed by the Sultan and

Albania a Turkish principality, seeking Turkish and Arabic and Sheh Islam and opposed Prince Wied appointed by the International Control Commission. Given the fact that the government of Vlora was legitimized by this commission consisting of the great powers of the time: England, Austria, France and Italy did not extend their authority within the boundaries set by this commission, because of EsatToptanit.

The evidence of his opponents does not hold accusations about the funding sources ofEsat, but the main accusation against him is that he abuses the feelings of the rural population in the name of theOttoman. This popularity of Esat rises due tosuch sentiments and which certainly an experienced politician like EsatToptani uses for his own accounts. Often in the accusations of the opponents, it is considered that the popularity of EsadToptan enhanced because he knew how to use the Ottoman sensibility that exists in the rural population. These telegrams prove that in the rural population, of course, in the Muslim part the majority had an inspiring feeling for the Ottoman which would push them towards action for military mobilization.

Another event that proves this popular feeling, especially in the crowded peasants, is the uprising of HaxhiQamil known as the Islamic revolt, or the Muslim Uprising in Albania. The most proclaimed slogan in this uprising was: "We love our Father." Under these calls, an uprising took place which later expanded. The First World War comes and the uprising is suppressed, which changes the course of developments in Albania of that period, sentencing HaxhiQamil to death as a leader with his close associates.

In the context of this evidence, another thing that shows the religious spirit of the people in the Muslim majority population is an event in the Luma area with a 100% Muslim population. After the League of Prizeren (June 18897), in the framework of the national movement AvdylFrashëri, one of the main founders of the League, comes to the Luma area to inspire the national movement against Turkey. He knocked on the doors as a guest in the village of Palush in the province of Bushtricë. All the time he tries to convince the assembly and those present by telling them that the Albanians, in order to escape from this great danger that is coming, must rise up against Father Sultan, but it was impossible to convince them. When he did not succeed in this way, after thinking over the night, the other day, in the morning he told about his dream: "During the night, while sleeping, Hazrat Muhammad appeared to me in a dream and said to me: evils and dangers."

Only in this way he convinced them. They patriotically rejected it, and religiously accepted it. Despite the interpretations but abundant evidence proves that the Turkish Empire through Islamism had deeply Ottomanized our national feeling.

Conclusions

The League of Prizren and the Assembly of Vlora were meetings of elites who with their vision aimed to orient their country politically towards the West, but in fact, these ruling elites did not have popular legitimacy. They had all held high positions in the service of the Empire and "escaped" at a time when the Turkish Empire was falling in the Balkans. And further, they sat at the head of these Albanian political mejlis with the prestige they enjoyed from the resources of imperial power, essentially theocratic. A good part of them were former statesmen of the sultan, ulema, myfti, myderriz etc. And this was a reason that the Assembly of Prizren did not refuse the Ottoman as a culture, nor the Shariaas a legal code, not even the Islam as a civilization. Thus, that assembly does not promise to produce a secular state, nor does it denounce the model of sultanate power, although many of the majority delegates refused to

violate the borders of the Empire in the Balkans, and the power of sultan. Many of them alluded to a Western model nation, but could not say that they were not legitimized that way. They may have had the content of the nation-state as an illusion, but this illusion remained on the margins of idealism, without becoming a matter for debate in the political assembly. Thus, we, by consuming a lot of nationalist rhetoric in the definition of these two national assemblies, the League of Prizren and Independence, have compromised important elements of the content of these events.

These two assemblies, despite their national aspirations, were mainly produced by theSublime Porte and themajles ofbeysand pashas, the ulema and muftis, so they did not have the illuminist power to distance themselves politically and culturally from all that legacy of the Ottoman Empire. There was nothing wrong with them taking on this mission, because there was no way it could have looked any different, but in terms of the content of their culture, they were not national. But even our society atthe time, had not risen to the level of embracing national ideology. Why? Apart from the past that had to do with the Ottoman, it lacked the social component, because during the National Renaissance, no social transformation of our society took place, and consequently we did not move from rural society to an urban society. There was no industrial revolution to bring about any technological innovation, and above all it is not that Albanians rose politically to overthrow political dynasties, to approve any other political system, but on the contrary, they saw the weakening of the Ottoman Empire in the Balkans as a threat to great for Albanians. Therefore, among Albanians, the ethnic enlightenment did not naturally manifest as a national ideology, as history holds, but we became ethnically connected when Russia became stronger and sought expansion in the Turkish Balkans. These geo-political "sparks" are not part of my research, but I want to highlight that the elites of the Albanian political assemblies were fundamentally different from the clubs of poets and writers of the National Renaissance. The Poets' Club cursed the Asian, the Turkish empire, as the cause of evil, while the elite of political assemblies feared the weakening of the Turkish empire in the Balkans, and theyconsidered the storms coming from Russia and the West as a misfortune for the Albanians. It is important in these two different perspectives on the events of the time that the new geopolitics in the Balkans guided and oriented geo-culture for Albanians. The poet, prepared the cultural yeast of our identity. Turkish for our renaissance, was the enemy, the ugly, the barbaric, the evil, and they wore all the bad features, so it was the other, different from –out own - Albania. This emerging identity, unlike the Turkish one, was a "poetic contemplation" that would later be used for public consumption in the political discourse after the declaration of independence. The political expulsion of the Turkish Empire from the Balkans and the domination by the Western powers would attempt the cultural distance of the Albanians from the political emperor. Therefore, the cultural product of our national identity began to take on the nuances of Western civilization. Everything oriental would to be rejected by us as it no longer served our political future. The political discourse would reveal long-standing connections to the roots of Western civilization.

Bibliography

[1] A.Harapi. "From where we start and from where we will be caught" pg.463
[2] AQSH I RPSSH pg. 245 / III.d.6. Pg.123 (Ottoman original)
[3] AQSH I RPSSH, Pg. 245 / III.d.6. Pg.144 (Ottoman original)
[4] AQSH I RPSSH, Pg.245 / III.d.6. Pg.123 (Ottoman original)

[5]   AQSH of RPSSH, f. 245 / III.d.6.f.144 (original: Ottoman)

[6]   AQSH of RPSSH, f. 245 / III.d.6.f.123 (Ottoman original),

[7]   GazmendShpuza (1986). The peasant uprising of Central Albania 1914-1915. RPS Academy of Sciences of Albania, Institute of History

[8]   Lulzim Hoxha (October 2013). "The Making of Political Rituals in Albanian Society". Academic Journal of Inter-disciplinary Studies MCSER Publishing, Rome-Italy. 2 (8): 18

[9]   LulzimHoxha (October 2013). "The Making of Political Rituals in Albanian Society". Academic Journal of Interdisciplinary Studies MCSER Publishing, Rome-Italy. 2 (8): 18

[10] Memorandum of Ismail Qemali. February 12, 1312; February 24, 1897.f. 14. Summary of documents published on the occasion of the 70th anniversary of the Declaration of Independence. Publishing house; November 8th.

[11] O. Schmitt. Albanians a story between East and West, Guttenberg, Tirana 2012. Pg.16

[12] Publication of the state archive (originally Ottoman) Text of the Declaration of Independence of Albania, November 28, 1912.

[13] Robert Elsie (2013). A Biographical Dictionary of Albanian History. I.B.Tauris. pg. 376.

[14] Robert Elsie (2013). A Biographical DictionaryofAlbanian History. I.B.Tauris. p. 376. Gazmend Shpuza (1986). The peasant uprising of Central Albania 1914-1915. RPS Academy of Sciences of Albania, Institute of History

[15] Summary of documents 1888-1919 publishing house 8 November. Published on the occasion of the 70th anniversary of the declaration of independence.

[16] Summary of documents 1888-1919 publishing house 8 November. Published on the occasion of the 70th anniversary of the declaration of independence

[17] Summary of documents 1888-1919 publishing house 8 November. Published on the occasion of the 70th anniversary of the declaration of independence

[18] The text of the declaration of the Declaration of Independence of Albania, November 28, 1912.

Mobile Assisted Language Learning (MALL): Trends from 2010 to 2020 Using Text Analysis Techniques

Panagiotis Arvanitis

Aristotle University of Thessaloniki

Penelope Krystalli

Aristotle University of Thessaloniki

Abstract

Throughout the decade of 2010-2020, the widespread use of mobile devices of any type (smartphones, tablets) has encouraged and strengthened their use in different learning processes and in different ways. Latest improvements in devices' processing power, in storage capacity, in memory allocation, in wireless connectivity, in GPS and in Bluetooth capabilities, has led to their wider integration and smoother use in the field of learning and in the field of language learning as well. This study examined the trend of a large number of academic studies concerning Mobile Assisted Language Learning (MALL) using text analysis techniques and tools, published in the decade 2010-2020. Over three hundred and forty (340) publications such as journal articles, conferences proceedings papers, books chapters and books were retrieved and analyzed. The preliminary analysis presents the main characteristics and the research trends of this decade and discuss how the field of mobile assisted language learning has evolved in these years.

Keywords: Mobile Language Learning, MALL, technology enhanced language learning, Mobile devices, Language Learning

Introduction

The era of Mobile Learning

The ever-increasing use of portable and wireless devices and technologies, such as mobile phones, laptops and tablet PCs, Wi-Fi, Bluetooth, wireless LAN, GPS, iPODs, 3G - 5G and satellite systems, enable today's user to access any type of educational material from anywhere and at any time. From the first mobile phone (Motorola DynaTAC 8000X), built in 1973 to the present day, both the cost and shape of mobile devices have been reduced while their power, speed, memory and functionality have been increased. Thanks to these features, mobile devices offer unique possibilities for student-centered approaches to teaching.

Furthermore, mobile devices allow the implementation of innovative teaching practices that we cannot usually experience with other learning tools. They give teachers and learners the opportunity to access educational resources anywhere and anytime, and to participate in new learning situations in different spaces and not just in a frozen school space. Certainly, as Crompton (2013) points out, wireless communication technologies have played an important

role, without which, mobile learning (m-learning) would not exist. The characteristics of mobile devices that Klopfer et al. (2002) believe may be beneficial for education are portability, social interactivity, context sensitivity, connectivity, and personalization. Indeed, mobile devices, thanks to their portability, offer the possibility of learning without spatiotemporal limitations, use the possibilities offered by mobile wireless technologies for easy access to information, promote the development of digital literacy and offer possibilities. for independent learning (Zaranis et al., 2013).

Defining m-Learning is not an easy task to do, as different terms and concepts are involved. Initially, MA was primarily described as the use of mobile devices in learning such as mobile phones, tablet computers, handhelds and personal digital assistants. was primarily described as the use of mobile devices in learning such as mobile phones, tablet computers, handhelds, and personal digital assistants. In the literature, definitions have been formulated that emphasize technology, others that compare traditional to m-learning, and others that focus on the student. As Taylor (2006) pointed out m-Learning can be understood in a variety of ways, depending on the element that we focus on: learning through mobile terminals, learning with students that are on the move and learning through mobile content. Therefore we can find definitions which focus on the technological, educational component or combination of both of them such as El-Hussein's & Cronje's (2010) definition : "any type of learning that takes place in learning environments and spaces that take account of the mobility of technology, mobility of learners and mobility of learning" .

O'Malley et al. (2005), have defined m-Learning from the learner's perspective as "any sort of learning that happens when the learner is not at a fixed, predetermined location, or learning that happens when the learner takes advantage of learning opportunities offered by mobile technologies". Conde et al.(2008) have defined m-learning by situating it between e-Learning and ubiquitous learning (u-Learning): "m-Learning" can be understood as an evolution of e-Learning which allows students to exploit the advantages of mobile technologies in order to support their learning process and constitutes the first step towards the creation of ubiquitous learning". Although the definitions differ, researchers agree on the basic characteristics of m-learning, considering that it is characterized by the ability to learn (Devaud & Burton, 2012), to be spontaneous, personalized (Karsenti et al., 2013) and ubiquitous (Miangah & Nezarat, 2012).

Empirical research conducted at all three levels of education has also found that mobile learning contributes to the development of critical thinking and initiative, increases collaboration between students as well as between teachers and students, enables the teacher for immediate feedback. and assessment, gives access to information everywhere and at any time, prepares students for professional reality, promotes the creation of student communities around the world, personalizes learning, gives educational opportunities to those who cannot access good quality education, and reduces school costs (UNESCO, 2013).

The era of Mobile Assisted Language Learning

The term Mobile Assisted Language Learning (MALL) was coined by Chinnery (2006), who argued that mobile devices could be used as pedagogical tools for language learning. However, research and publications related to the use of mobile devices in foreign language teaching / learning have been recorded since 1994 (Burston, 2013).

The main advantages of MALL that have been recorded in the literature can be summarized as follows: it enables students to create their own learning framework in terms of time, place and how they will use online information and learning material with the consequence that their education is independent, self-directed and autonomous (Burston, 2013). It has also been found that the use of mobile devices in foreign language teaching / learning enhances the motivation for learning as it facilitates alternative non-traditional teaching methods (Kukulska-Hulme, 2009; Karsenti et al., 2013). According to the researchers, MALL can be used in order to:

-          enhance the motivation for learning through the use of technology familiar to students such as smartphones and tablets.

-          give more opportunities to students to develop all six communication skills: comprehension and production of written speech, comprehension and production of spoken language, aural interaction and aural and written mediation

-          encourage the use of the target language as a unique means of communication

-          facilitate the teaching process through exploring, analyzing, discovering and choosing activities that make sense in the real world

-          enhance any type of interaction between real and virtual environments, between students in the same classroom but also with students in another classroom inside and outside school boundaries

-          promote learning in a pleasant way.

The model that is commonly applied is the BYOD model (acronym for "Bring Your Own Device"), that comes to provide solutions to schools that face logistical infrastructure problems and do not have the ability to purchase mobile devices. Students are required to bring their own devices and all that is required to implement it is a high-speed internet connection. This model has significant advantages for the school unit: it reduces the purchase costs of the devices and their maintenance costs. It has also been observed that students are very careful in the way they handle technology as it is their own device.

Research methodology

The present study examined the decade's 2010-2020 trends of substantial number of academic publications in Mobile Assisted Language Learning (MALL) using a set of text analysis techniques and tools. More specifically the study aims to find out: what are the main topics that have been discussed and analyzed during the last decade; what topics seem to be of concern to research today and if the focus of research in MALL has shifted to some specific issues.

In the past years, several researchers have provided very important annotated bibliographies, literature reviews or other analytic studies of MALL and tried to explore the boundaries of this field. To mention a few: Kukulska-Hulme and Shield (2008), Burston (2013, 2014a, 2014b), Hwang & Tsai (2011), Hung & Zhang (2011), Viberg & Grönland (2012) and Duman et al. (2015).

For the purposes of the study, over three hundred and forty (340) published studies such as journal articles, conferences' proceedings papers, book chapters, and books were retrieved

and analyzed by their year of publication, title, and topic. Furthermore, in order to limit the results of the research, we had the following criteria:

academic studies that were published between 2010 and 2020 (until August 2020),

academic studies that were written in English language,

academic studies that contained only the terms "mobile language learning", "MALL", "mobile devices and language learning",

academic studies belonging to a specific publication type such as journal paper, article in conference proceedings, book chapter or book. Any other type of publication such as phd thesis, book, journal or software reviews or other editorial texts were all excluded from this study.

The process followed was designed to be as simple as possible and had some basic steps. Utilizing the Google scholar, a systematic search was made for each year using only the searching terms, mentioned above. Then, for each search, all the results that had at least a "cited by 5" indicator were marked. Then, the full citation's information both in APA style and Bibtext format extracted using the "Cite" feature provided by Google Scholar. All citations were stored in detail in excel files and after that their title extracted by year.

All the collected titles stored in 11 separated text/documents files (one for each year) and then inserted as corpus, both in voyant-tools, a web-based reading and analysis environment for digital texts (http://voyant-tools.org), and in wordsmith tools, a text analysis software tool (https://lexically.net/wordsmith), for further processing. All titles were classified by their topic using the seventeen topics proposed by Dunan et al. (2015), with an addition of three more (noted 18, 19, 20) as shown below.

1. Vocabulary	11. Instructional design
2. Grammar	12. Identity/Sense of community
3. Listening	13. Usability
4. Speaking/Pronunciation	14. Potential uses/Drawbacks
5. Reading	15. Interaction/Collaboration
6. Writing	16. Perception/Attitude
7. Integrated skills	17. Academic achievement
8. Dictionary use	18. Apps overview
9. Assessment-evaluation	19. Learner motivation/autonomy
10. Multimedia use/Design	20. Literature Overview/Implementation Studies

Data collected analysis

A preliminary analysis of data collected shows some important findings. Figure 1 shows the total number of published titles, their types, and their distribution over each year.

Based on figure we can easily mention a constant interest and research production of researchers about MALL issues.
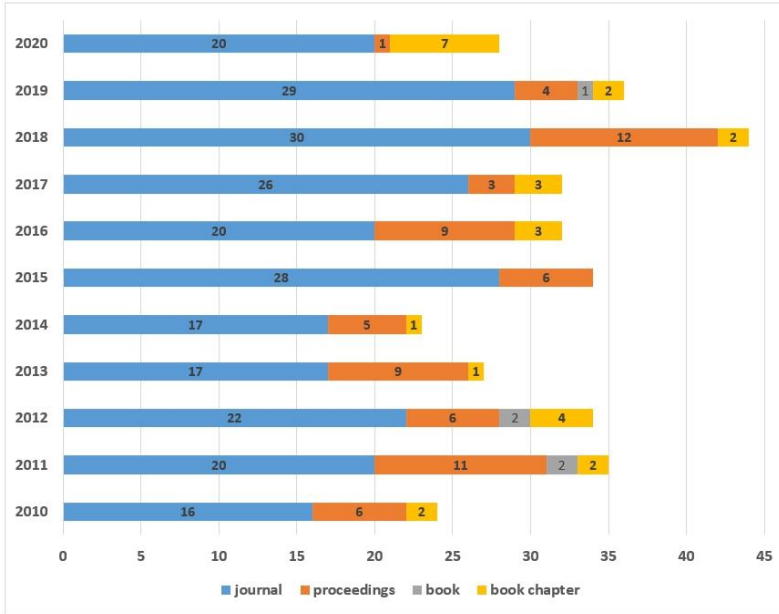

Figure 2 : Published titles, and their research types by year.

Figure 2 shows the types of published studies and their appearance over years.
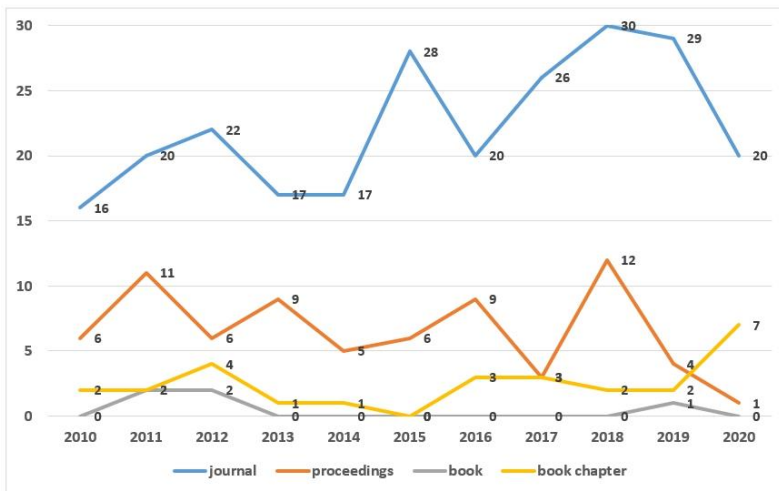
Figure 3 : Studies' types by year.

Table 1 below, demonstrate the 20 topics covered and how they are varied among years.

Table 4. Distribution of topics in the published titles from 2010 to 2020

	2010	2011	2012	2013	2014	2015	2016	2017	2018	2019	2020
Literature Overview/ Implementation Studies	-	1	4	2	2	1	4	4	7	12	2
Learner engagement/motivation/ autonomy	-	-	-	-	-	3	3	-	1	3	3
Software/app Review	-	-	-	1	-	4	6	2	9	3	3
Academic achievement	-	1	1	-	-	-	1	1	1	-	-
Perception/Attitude	2	3	2	8	3	3	4	2	10	4	7
Interaction/Collaboration	-	-	2	1	2	2	-	-	1	-	-
Potential uses/Drawbacks	2	4	2	3	1	5	1	4	1	-	-
Usability	4	5	-	3	2	4	2	1	3	-	-
Identity/Sense of community	-	-	-	1	2	-	-	-	-	-	-
Instructional design	1	1	1	-	2	3	2	-	-	1	-
Multimedia use/Design	-	3	6	3	3	-	-	3	1	2	3
Assessment/evaluation	1	-	3	-	1	1	2	1	1	-	-
Dictionary use	-	-	-	-	2	-	-	-	-	-	-
Integrated skills	4	6	3	1	1	1	2	4	3	1	4
Writing	-	1	3	g-	-	2	-	2	-	-	1
Reading	-	2	1	1	1	-	-	1	1	1	-
Speaking / Pronunciation	-	-	1	-	-	2	4	3	-	5	2
Listening	2	3	1	2	1	-	1	-	1	-	-
Grammar	3	-	-	-	-	-	-	-	-	1	2
Vocabulary	5	5	4	1	-	3	-	4	4	2	1

A textual overview of the current corpus with text analysis tools reveals the followed information. The corpus contains 11 text files/documents with 4,321 total words and 810 unique word forms. Most frequent words in the corpus were: "learning" (347), "mobile" (305), "language" (281), "assisted" (205), "english" (52), "students" (47), "mall" (46), "efl (41), "learners" (38), "vocabulary" (33) as shown in table 2.

Table 2 : Most frequent words

Term	Count	Term	Count	Term	Count
learning	347	education	15	effect	10
mobile	305	phones	15	higher	10
language	281	teaching	15	perspectives	10
assisted	205	attitudes	14	phone	10
english	52	based	14	self	10
students	47	chinese	14	student	10
mall	46	context	14	trends	10
efl	41	learner	14	writing	10
learners	38	classroom	13	application	9
vocabulary	33	devices	13	approach	9

using	28	applications	12	listening	9
use	26	college	12	perspective	9
study	25	effects	12	social	9
review	23	perceptions	12	speaking	9
technology	20	skills	12	tool	9
foreign	17	esl	11		
analysis	16	reading	11		
apps	16	second	11		
research	16	computer	10		
case	15	design	10		

Table 3, shows other distinctive words, compared to the rest of the corpus, for each examined year.

Table 3 : Distinctive words by year.

2010	supporting (2), meaning (2), lms (2), phones (5), cell (3), taught (2), recording (2), making (2), commonly (2), effective (2)
2011	podcast (4), podcasting (3), networking (2), familiar (2), contexts (2), phones (4), literature (2), elementary (2), designing (2)
2012	japanese (2), trends (5), analysis (6), video (2), phones (4), podcasting (2), educational (2)
2013	reuse (2), implementing (2), usage (2), facebook (2), challenges (2), resources (2), informal (2), cross (2)
2014	needs (2), l2 (2), framework (2)
2015	smartphones (4), task (3), sociocultural (2), pp (2), ecological (2), skill (3), engineering (2), effective (2)
2016	field (2), strategies (2), model (2), iranian (4), teachers (3)
2017	wechat (2), success (2), teaching (4), perspectives (4)
2018	usage (3), memrise (2), wechat (2), smartphones (2), application (4), teaching (5), systematic (2), smart (2), l2 (2)
2019	class (4), knowledge (2), experimental (2), perception (3), systematic (2), literature (2), implementation (2)
2020	understanding (2), engaging (2), exploring (3), whatsapp (2), students'attitudes (2)

Figures 3 and 4 demonstrate line graphs depicting the word's occurrence across the corpus. As mentioned above the most frequent words contained in the published titles are : "learning; "mobile"; "language"; "assisted", "english", "students", "mall", "efl"; l"earners"; "vocabulary".
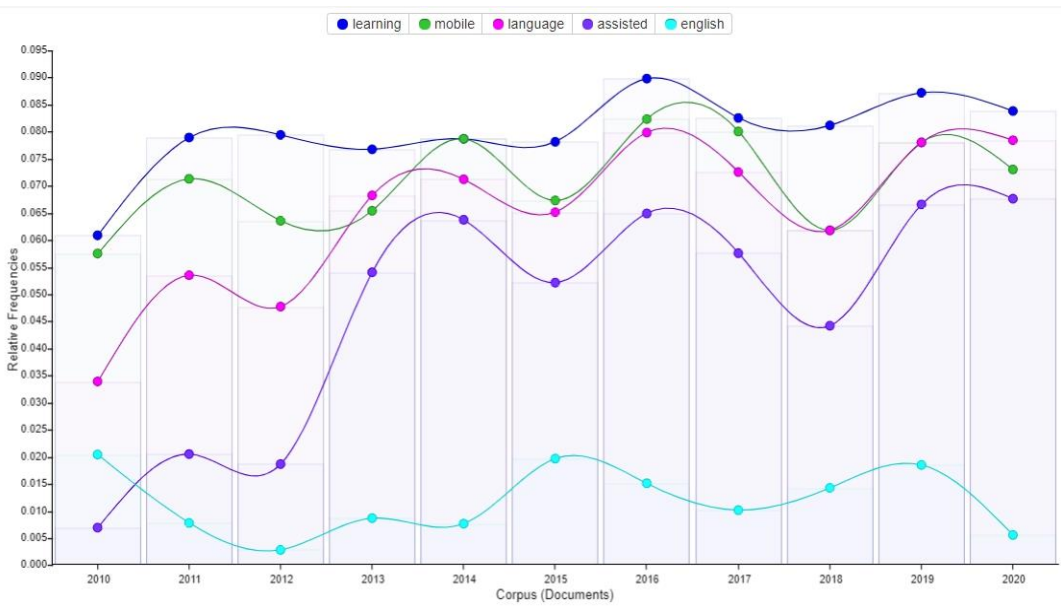
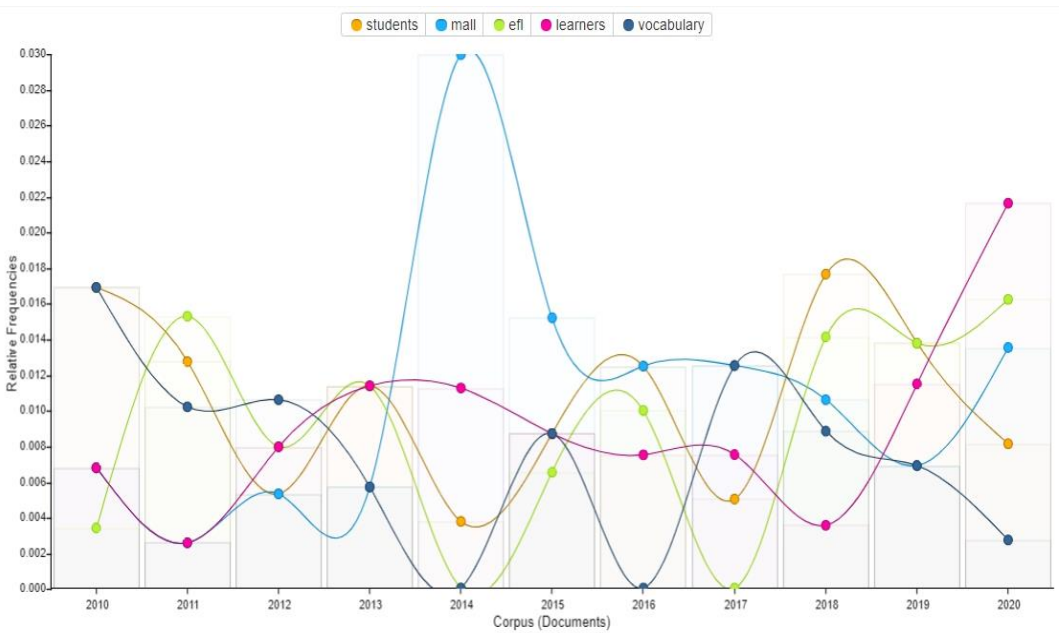Figure 4 : Trends of a word's occurrence across the corpus

Figure 5 : Trends of a word's occurrence across the corpus

Conclusion

It becomes obvious that a short analysis based only on the published titles which does not include the abstracts, or the main texts of these studies is not complete. But it can give us some important clues as to the questions we have asked. All the preliminary findings of this study highlighted a great interest and a steady preoccupation of researchers about MALL issues over these ten years.

The main topics that Duman et al. (2015) identified in their research years ago, remain the same with minor changes. Topics such as Speaking/Pronunciation skills, Listening skills, Vocabulary skills, Perception/Attitude still remains vibrant with the addition of newer topics such as Learner engagement/motivation/autonomy.

Topics related to software and apps overview and presentation or their experimental implementation in specific language teaching conditions also played an important role. This can be easily explained by taking into consideration the large number of mobile apps that have emerged in the last decade dealing with language learning. Terms such as: "mobile", "students", "learners", "technology", "apps", "education", "teaching", "attitudes", "context", "classroom", "devices", "perceptions", "skills, "design", seem to be at the center of researchers' interest. A more detailed research and analysis will be conducted in the near future, and will concern the abstracts of these published studies as well.

in conclusion faced in a digitally globalized world, "… an increasing number of learners are learning foreign languages outside a formal and structural classroom-based education" (Arvanitis, 2019). This significantly affects the research and implementation studies of MALL and leads us to better explore and understand the learners/users' needs.

References

[1] Arvanitis, P. (2019). Self-Paced Language Learning Using Online Platforms. In M. Dressman & R. W. Sadler (Eds.), *Handbook of Informal Language Learning*. pp. 171-138, Oxford, UK: John Wiley & Sons Ltd. DOI:10.1002/9781119472384.

[2] Burston, J. (2013) Mobile-assisted language learning: A selected annotated bibliography of implementation studies 1994–2012. *Language Learning & Technology*, 17(3): 157–225.

[3] Burston, J. (2014a) The reality of MALL project implementations: Still on the fringes. *CALICO Journal*, *31*(1): 43–65.

[4] Burston, J. (2014b) Twenty years of MALL project implementation: A meta-analysis of learning outcomes. *ReCALL*, *27*(1): 1–17.

[5] Chinnery, G. (2006). Emerging technologies going to the MALL: mobile assisted language learning. *Language Learning & Technology*, 10.

[6] Conde, M. Á, Muñoz, C., & García, F. J. (2008). mLearning, the first step in the learning process revolution. *International Journal of Interactive Mobile Technologies (iJIM)*, *2* (4), 61-63.

[7] Crompton, H. (2013). A historical overview of mobile learning: Toward learner-centered education. In Zane L. Berge & Lin Muilenbury (Eds.), *Handbook of Mobile Learning* (3-14). New York, Routledge.

[8]   Devaud, P., & Burton, S. (2012). Migrer des ordinateurs aux tablettes. Centre fri-tic. https://edudoc.ch/record/105130/usage?ln=fr

[9]   Duman,G., Orhon, G., & Gedik, N. (2015). Research trends in mobile assisted language learning from 2000 to 2012. *ReCALL*, *27*, pp 197-216 doi:10.1017/S0958344014000287.

[10]   El-Hussein, M.O.M., & Cronje, J.C. (2010). Defining Mobile Learning in the Higher Education Landscape. *Educational Technology & Society*, *13*/3 : 12–21.

[11]   Hung, J. L. and Zhang, K. (2012) Examining mobile learning trends 2003–2008: A categorical metatrend analysis using text mining techniques. *Journal of Computer Higher Education*, *24*: 1–17.

[12]   Hwang, G. J. and Tsai, C. C. (2011) Research trend in mobile and ubiquitous learning: A review of publications in selected journals from 2001 to 2010. *British Journal of Education Technology*, *42*(4): E65–E70.

[13]   Karsenti, T. & Fievez, A. & Collin, S. & Simard, S. & Dumouchel, G. & Giroux, P. & Rasmy, A. & Morin, M. & Dupuis, A. & Boily, A. & Roy, N. (2013). L'iPad à l'école: usages, avantages et défis. Résultats d'une enquête auprès de 6057 élèves et 302 enseignants du Québec (Canada). Montréal, QC: CRIFPE.

[14]   Klopfer, E., Squire, K. & Jenkins, H. (2002). Environmental detectives. PDAs as a Window into a virtual simulated world. *Proceedings of IEEE International Workshop on Wireless and Mobile Technologies in Education*, 95-98.

[15]   Kukulska-Hulme, A. (2009). Will mobile learning change language learning? In *ReCALL*, *21*(2), 157– 165.

[16]   Kukulska-Hulme, A. and Shield, L. (2008). An overview of mobile assisted language learning: From content delivery to supported collaboration and interaction. *ReCALL*, *20*(3) pp. 271–289.

[17]   Miangah, T.M. & Nezarat, A. (2012). Mobile-Assisted Language Learning. *International Journal of Distributed and Parallel Systems (IJDPS) 3*/1: 309-319.

[18]   O'Malley, C. et al. (2005). MOBIlearn—Guidelines for Learning/Teaching/Tutoring in a Mobile Environment. Nottingham: University of Nottingham, 82 p. (Pedagogical Methodologies and Paradigms, WP). http://hal.archives-ouvertes.fr/docs/00/69/62/44/PDF/OMalley-2005.pdf

[19]   Taylor, J. (2006). Evaluating mobile learning: What are appropriate methods for evaluating learning in mobile environments? In M. Sharples (Ed.), *Big issues in mobile learning* (pp. 25-27) University of Nottingham.

[20]   UNESCO, (2013). Principes directeurs de l'UNESCO pour l'apprentissage mobile [On line]. https://unesdoc.unesco.org/ark:/48223/pf0000219661.

[21]   Viberg, O. and Grönlund, Å. (2012) Mobile assisted language learning: A literature review. mLearn 2012. *11th World Conference on Mobile and Contextual Learning*, Helsinki, Finland.

[22]   Zaranis, N., Kalogiannakis M. & Papadakis, S. (2013). Using Mobile Devices for Teaching Realistic Mathematics in Kindergarten Education. *Creative Education*, *4*/7A1: 1-10.

Legitimizing Workforce Reduction: a Review on Impact of COVID-19 Outbreak to the Economy

Norman Zakiyy

Faculty of Shariah and Law, Universiti Sains Islam of Malaysia, 71800 Putra Nilai, Negeri Sembilan, Malaysia

Abstract

COVID-19 outbreak continues to impact business organizations around the world financially. One major concern is the common practice of business organizations to reduce their workforce. Issues might arise from such management decisions. The purpose of this conceptual paper is to analyze the legitimacy of managerial decisions relating to workforce reduction. The methodology of legal analysis was used by referring to and reviewing literature in Malaysia, Singapore and the United Kingdom. Major findings show that management decisions on workforce reduction especially during the COVID-19 outbreak must accord with employment law and existing government measures. Apart from that, an employer's failure to resolve issues of workforce reduction according to the law and government measures would result in trade disputes and eventual court action. The findings of this study can assist employers to make sound management decisions with valid reasons in situations, not within their control.

Keywords: Legitimacy, workforce reduction, management, COVID-19

Introduction

The Covid-19 pandemic was declared by the World Health Organization (WHO) as a global issue. The World Bank highlights "the need for urgent action to cushion the pandemic's health and economic consequences, protect vulnerable populations, and set the stage for a lasting recovery" (The World Bank, 2020). Thus, it demands serious consideration especially when it has caused many business organizations to close down businesses. The International Labour Organization reported that on 7 April 2020, the world had experienced an estimated of 6.7% loss of job hours in the second quarter of 2020, an equivalent to 195 million full-time jobs (Financial Times, 2020). Job losses have been reported worldwide and has affected the source of income and economic activities (Astuti, & Mahardhika, 2020). There is also a fear of possible recession in the near future (Carlsson-Szlezak, Reeves, and Swartz, 2020). In China, 5 million people lost their jobs in January and February 2020 (Cheng, E. 2020). In Canada, 44 per cent of Canadian households had lost work due to the COVID-19 outbreak (Abedi, 2020). .

Workforce reduction is one measure taken by many business organizations around the globe during the Covid-19 outbreak. Despite various government financial measures, there is a fear that disguised retrenchments will be used by employers as a drastic cost-cutting measures to survive the throughout the outbreak (Kaur, witherworldwide, 2020). The effects of workforce reductions are known such as loss of jobs and economic loss. The underlying belief is that

workforce reduction is harmful to mental health and the economy. Workforce reduction, which is done not in accordance with the law would result in employers having to bear costly and unending legal suits. Thus, employers need to find reasons backed by the law for justifying the reduction of their companies' workforce.

The significance of this study is to provide guidance to employers and employees on workforce reduction by reviewing the appropriate laws and government measures on maintaining the workforce especially during the COVID-19 outbreak. A comparison between various laws and government policies in different countries used to address the problems that arise out of the COVID-19 outbreak might be useful in the sense of adopting and improving the current applicable laws or policies of a country. Both the legal systems of Malaysia and Singapore are based on the English Common Law System. The laws applicable in Malaysia, Singapore, and the United Kingdom are considered as persuasive in the courts of these countries, and thus they were analyzed in this study.

The purpose of this study is to analyse the legitimacy of managerial decisions relating to workforce reduction. Thus, this study aims firstly, to identify the relationship between management decision and the laws and government measures on workforce reduction that are made during the COVID-19 outbreak; and secondly, what are the consequences of not adhering to the laws and government measures in a workforce reduction. Thus, it is important to answer the following questions, namely (i) What is the relationship between management decision on workforce reduction and the laws and government measures made during the COVID-19 outbreak; and (ii) What are the consequences of not adhering to the laws and government measures in a workforce reduction. Knowing how to address issues on workforce reduction and knowing what practical mistakes to avoid will assist greatly to employers on how businesses have implemented retrenchments (both properly and improperly from the legal perspective). Thus, this study addresses the situations in Malaysia, Singapore and the United Kingdom and set out very brief summaries of a selection of statutory laws, reported case laws and government measures on the subject of workforce reduction with emphasis on the COVID-19 outbreak.

2. Literature Analysis

2.1 Government Measures/Laws to prevent outbreaks and cushion the financial impact of COVID-19

Malaysia

Malaysia's first phase of prevention of movement control in response to COVID-19 outbreak began with the Movement Control Order (MCO) on 16 March 2020. The MCO was made under the Prevention and Control of Infectious Diseases Act 1988 (Act 342) ("Regulations") and the Police Act 1967. Restrictions under the MCO included prohibition of travelling abroad, mass movements and gathering and closure of private premises except those in essential services. Further to the MCO, specific regulations were introduced, namely the Prevention and Control of Infectious Diseases (Measures within the Infected Local Areas) Regulations 2020 ("Regulations") concerning the movement restriction for the period 18 March 2020 to 31 March 2020; and the Prevention, and Control of Infectious Diseases (Measures within Infected Local Areas) (No.2) Regulations 2020 (in force from 1 April 2020 to 14 April 2020).

The Temporary Measures for Reducing the Impact of Coronavirus Disease 2019 (Covid-19) Act 2020 operates for 2 years effective from 23 October 2020 provides relief to a party who is unable to perform his contractual obligation by prohibiting the other party to the contract to exercise his right under the contract (section 7 of the Act). Section 9 of the Act promotes mediation as a mechanism to resolve issues on a contractual obligation. The Malaysian Government had also issued the first stimulus package (valued at US$4.8 billion) to counter the impact of the most vulnerable sectors and households. Subsequently the second package (valued at US$57 billion), focused on enhancing the existing financing facilities issued in the first stimulus package apart from supporting small and medium-sized enterprises (SMEs), assist low and middle-income households, and provide fiscal injections to strengthen the national economy (Asian Briefing, 2020).

Singapore

The COVID-19 (Temporary Measures) Act 2020 (No. 14 of 2020) sets out temporary measures for businesses and individuals impacted by the measures taken to reduce the spread of COVID-19. It also provides restrictions on the time, manner or extent for the carrying out of any business (see Part VII Article 34). In relations to reducing the impact of COVID-19 outbreak on the economy, the Act, among others suspends contractual obligations in contracts, provides financial relief to individuals, businesses and firms; and restricts certain activities by the general public to prevent the spread of COVID-19 (see Part 2, Temporary Relief for Inability to Perform Contracts and Part 3, Temporary Relief for Financially Distressed Individuals, Firms and Other Businesses).

The United Kingdom

The Coronavirus Act 2020 (2020 c.7) (CA 2020) came into effect on 25 March 2020 and among others allows the government to among others restrict or prohibit public gatherings (section 52), order businesses such as shops and restaurants to close and temporarily detain people suspected of COVID-19 infection (section 51). The CA 2020 also provides for measures to combat the economic effects of the outbreak such as protect emergency volunteers from becoming unemployed (section 9). The government also will reimburse the cost of statutory sick pay for employees affected by COVID-19 to employers.

2.2 Employment Law & Government Measures concerning Workforce Reduction during COVID-19 Outbreak

2.2.1 Malaysia

Redundancy Law: Reducing workers by reason of redundancy in the workforce is recognized as a management prerogative in Malaysia. The employer has the right to reduce the workforce due to the reason that fewer employees of whatever kind are required and not whether a particular work is no longer in existence (see Stephen Bong v FOB (M) Sdn. Bhd. & Anor (1999) 3 MLJ 411; and Pipraich Sugar Mills v Pipraich Sugar Mills Mazdoor Union AIR 1957 SC 95). The court will not interfere with such decision as long as it is based on reasonable grounds, done in good faith and without exploitation (see Radio & General Trading Sdn Bhd and Pui Cheng Teck & Anor (Award 243/1990)).

Redundancy must be actual redundancy. In Tang Chooi Kim lwn. Wasco Management Services Sdn Bhd/Wasco Coatings Limited [2018] 2 LNS 0175, the Industrial Court held that the employer failed to show redundancy on a balance of probability as the job and responsibility

of the claimant (employee) was still in existence.   Similarly, in the Court of Appeal case of Bayer (M) Sdn. Bhd. v. Ng Hong Pau [1999] 4 AMR 3913, His Lordship Justice Shaik Daud Md Ismail (as he then was) held that the burden is on (the employer) to prove actual redundancy on which the dismissal was grounded and that is where the workload was taken over by other colleagues.

The word 'retrenchment' has been defined as the discharge of surplus labour or staff by an employer for any reason whatsoever otherwise than as a punishment inflicted by way of disciplinary action." (Aminuddin, 2006) The principle derived from Malaysian industrial court awards shows that retrenchment exercise must be done in good faith (bona fide). In Mohd Zakir Yusoff v. Telarix (M) Sdn Bhd (Award No. 349 of 2020), the court found that the employers had failed to prove real and bona fide redundancy and decided that the dismissal of the employee was without just cause or excuse (see also William Jacks & Co. (M) Sdn. Bhd. v S. Balasingam (1987) CLJ 1; and East Asia Company (M) Bhd. v Valen Noel Yap (Award No. 130 of 1987)).

According to Aminuddin (2006), an employer is required to follow the golden principle, namely "Last in First Out" (LIFO) as a guide in the retrenchment exercise. In Tharmabalan Suppiah Velliah v. MSL Travel Sdn Bhd (Award No. 3081 of 2019), the Industrial Court upheld the employer's reorganization plan and had observed that the employer had complied with the LIFO principle). An employer must ensure that the retrenchment of a selected employee in the workforce under the LIFO principle is based on the reference of the same category of employment or employees doing similar work (see Malayan Tiles Manufacturers Ltd. v Non-Metallic Mineral Products manufacturing Employees Union (Award No. 11 of 1986); and Aluminium Company of Malaysia v Jaspal Singh (1989) 2 ILR 558).

A number of industrial court awards have shown that an employer must have valid reasons for not following the LIFO principle (see Ganda Palm Services Sdn. Bhd., Teluk Intan v Ng Wah Chiew and 2 others (Award 40/1986 ILR), CH Reinforcing Steel (M) Sdn Bhd v Abu Samah Abbas (2001) 1 ILR 903; and National Union of Cinema & Amusement Workers v Shaw Computer & Management Services Sdn. Bhd (Award No. 27 of 1978)). Apart from existing laws, the Code of Conduct for Industrial Harmony 1975 ('CCIH') assist employers to (avoid retrenchment by limiting the number of working hours; stop recruitment; avoidance of overtime work; to restrain work for the rest day; to trim down on salary; and/or to suggest temporary lay-offs.

Retrenchment Benefits: According to Regulation 6 of the Employment (Termination and Lay-Off Benefits) Regulations 1980, employees whose monthly salary is RM2000 and below and dismissed for redundancy reason are eligible for retrenchment benefits. An employee who is not governed by the Employment Act 1955 may have his retrenchment benefit, provided for either in a collective agreement or contract of employment. An employee who is governed neither by the collective agreement or individual contract of employment is not protected under the Employment Act 1955 and his entitlement to retrenchment benefits is wholly dependable upon the discretion of his employer.

Unlawful Dismissal: Reducing the workforce must be done without the ulterior intention to keep away an employee out of an organization. Thus, dismissal of an employee must be done on the basis of "just cause and excuse". It is settled law that the Industrial Court in hearing a dispute under section 20 (1) of the Industrial Relations Act 1967 (IRA 1967) will decide

whether the dismissal of a workman by reason of misconduct has been established prior to deciding whether the proven misconduct itself is a just cause and excuse for dismissal (see the Federal Court decision of Milan Auto Sdn. Bhd. v Wong She Yen (1995) 3 MLJ 537 and Goon Kwee Phoy v J & P Coats (M) Bhd, [1981]2 MLJ 129).

Doctrine of Frustration in Contract: An employment contract is frustrated in a way where it can be ended without been terminated by the employer or his employee and is caused by situations beyond the control of both parties to the contract (Aminuddin, 2006). Frustration of contract arises not only due to certain unforeseen circumstance not within control, but also in a situation where neither party caused nor contemplate the supervening event (Lee & Detta, 2017). Section 57 (2) of the Contracts Act 1950 states that a contract is frustrated when there is a change in the circumstances which renders a contract legally or physically impossible of performance. For instance, in the case of H.A. Berney v Tronoh Mines Ltd. [1949] 15 MLJ 4, the court held that the invasion of Malaya by the Japanese frustrated the performance of the contract and thus there was no breach of contract by the employer. However, the doctrine of frustration does not apply when there is fault in the party pleading it (see Yee Seng Plantations Sdn. Bhd. V Kerajaan negeri Terengganu & Ors. [2000] 3 CLJ 666); where the particular state of affairs ceases to exist (Codelfa Construction Pty Ltd. v State rail Authority (NSW) [1982] 149 CLR 337); where the contract is still possible of performance (see Eastacres Development Sdn Bhd v Fatimah Mutallip & Anor [2000] 5 CLJ 379) and in a self-induced frustration (Dato' Yap Peng & Ors v Public Bank Bhd & Ors [1997] 3 MLJ 484.

Government Measures: In 24 March 2020, the Ministry of Human Resources ("MHR") released its Frequently Asked Questions (FAQ) on Movement Control Order, Ministry of Human Resources the COVID-19 outbreak ("FAQ"). Section 5 of the FAQ mentions that employers should comply with 3 basic requirements: (i) There must be a genuine financial impact on the business; (ii) measures have been taken and exhausted other means before opting for retrenchment; and (iii) Foreign workers are selected for retrenchment first if retrenchment is unavoidable. The LIFO principle must be adhered to if retrenchment involves local workers. However, in cases where employers believe that they are backed by strong justifications for exercising retrenchment, LIFO may be disregarded (FAQ Vol. 3, Ministry of Human Resources of Malaysia, 2020).

In addition, the MHR has encouraged employers to adhere to the "Guidelines on Handling Issues Relating to Contagious Outbreaks Including Novel Coronavirus (2019-NCOV)" (Ministry of Human Resources Guidelines, Press Statement dated 5 February 2020). Paragraph (iii) of the guidelines briefly seeks employers to ensure that employees be provided with full pay upon receiving quarantine orders from a registered medical practitioner, upon return from an official duty from countries with COVID-19 cases. Paragraph (iv) of the guidelines seeks employers to not to prevent any employees from attending work if no quarantine orders are issued against them (MInistry of Human Resources Guidelines, 2020).

2.2.2   Singapore

Redundancy Law: The words 'redundancy' or 'retrenchment' are not defined in Singapore's Employment Act (Cap 91). Section 45 of the Act provides that no employee who has been in continuous service with an employer for less than three years shall be entitled to any retrenchment benefit on the termination of his service by the employer on the ground of

redundancy or by reason of any re-organization of the employers' profession, business, trade or work. However, the Court of Appeal in Bethlehem Singapore Pte Ltd v Ler Hock Seng & Ors [1995] 1 SLR 1 held that the particular section cannot be construed to imply that employers are required to pay retrenchment benefits to their employees with more than three years' continuous service with them.

Retrenchment Benefits: Retrenchment benefits in Singapore depends on the size and financial position of the company and is normally stated in the contract of employment to avoid any conflict.

Unfair Dismissal: Section 14(2) of the Employment Act states that an employee may lodge a claim for wrongful dismissal if the employee feels that he/she was dismissed without just cause or excuse.

Doctrine of Frustration in Contract: In Singapore, employers are not encouraged to rely on the doctrine of frustration during the trying period of the MCOs. The legitimate reason is that the doctrine is only applicable in situations where contractual parties are finding it impossible to perform the contract rather than facing difficulty to perform the contract.

Government Measures: The Ministry of Manpower ("MoM") guidance on workforce reduction is to: (i) decide on manpower needs in the long run; (ii) inform MOM before carrying out any retrenchment exercise; (iii) consult with the union for a unionised company; (iv) be non-discriminatory against employees; (v) treat the workforce with dignity and respect; and (vi) lengthening the retrenchment notice period. During the retrenchment exercise, an employer should (i) Pay all salaries; and (ii) Help affected employees look for alternative jobs (Ministry of Manpower website, 2020). The MOM also requires employers to notify it in relations to matters on no-pay leave and cost-saving measures. Prior to resorting to no-pay leave (as a last resort exercise), employers are to observe the Tripartite Advisory on Managing Excess Manpower and Responsible Retrenchment measures which include training, redeployment, flexible work schedule, shorter work week and temporary layoff. (Ministry of Manpower, 2020).

Section 2 of the Employment (Returns on Salary Reduction Measures) Notification 2020 which came into effect on 29 May 2020 allows an employer to cut operating expenses by reducing the working hours of an employee that results in a reduction of the his/her salary or by giving an employee a leave of absence with reduced salary or without salary for an agreed period; and a reduction in an employee's gross rate of pay, but not a reduction or withholding of a wage increment.

2.2.3 The United Kingdom

Redundancy: Redundancy exercise is as follows: (i) last in, first out; (ii) volunteer basis; (iii) disciplinary records; and (iv) staff appraisal markings, skills, qualifications and experience. However, an employer can make an employee redundant without having to follow a selection process if the employee's job has ceased to exist.

Employers have to comply with additional statutory obligations if they are planning a large number of redundancies. According to Darbourne (2014), where at least 20 redundancies are planned within a period of 90 days' or less, the employer must consult collectively with appropriate employee representatives about the redundancies.

Retrenchment benefits: Section 135 of the Employment Rights Act 1996 provides that an employer shall pay his employee, who is made redundant, a sum of "statutory redundancy pay" if the latter has been working for the former for 2 years or more. His entitlement would be based on a statutory formula as follows: (i) half a week's pay for each full year if he were under 22; (ii) one week's pay for each full year if he were 22 or older, but under 41; and (iii) one and a half week's pay for each full year if he were 41 or older; and the length of service is capped at 20 years. In addition, the employee may be entitled to contractual redundancy payments and payment in lieu of notice if notice is not given (a sum equivalent to the salary which he would have received during the contractual notice period).

Unfair Dismissal: Section 140 of the Employment Rights Act 1996 states an employee is not entitled to redundancy payment if he has been dismissed by his employer by reason of the employee's conduct. However, a genuine redundancy in the absence of a fair procedure entitles a dismissed employee to file an action for unfair dismissal.

Government Measures: In March 2020, the UK Government announced the implementation of the Coronavirus Job Retention Scheme (CJRS). The purpose of CJRS is to provide for payments to be made to employers on a claim made in respect of them incurring costs of employment in respect of furloughed employees (see Paragraph 2.1 of CJRS). Under paragraph 6.1 of CJSR, an employee is a furloughed employee if (a) the employee has been instructed by the employer to cease all work in relation to their employment, (b) the period for which the employee has ceased (or will have ceased) all work for the employer is 21 calendar days or more, and (c) the instruction is given by reason of circumstances arising as a result of coronavirus or coronavirus disease. Under the first phase of the scheme, employers could reclaim up to 80% of furloughed staff wage costs from Her Majesty's Revenue and Customs (HMRC). A further flexible phase allows employees to be partially furloughed, combined with part-time working (Coronavirus (Covid-19): Redundancy Guide, 2020).

3. Methodology

Studies in law and society generally involve analysis of statutes, reported case laws, court procedural rules and court practice directions. This study depended largely on secondary data. The major sources of data include statutory laws, journal articles, reported cases, law books and relevant information retrieved from the internet were analysed and discussed. The methods employed in this study were descriptive aimed at fact finding and positive analytical criticisms.

4. Findings, Discussion and Analysis

The findings show that management decisions on workforce reduction especially during the COVID-19 outbreak must accord with employment law and existing government measures. Apart from that, an employer's failure to resolve issues of workforce reduction, according to the law and government measures would result in trade disputes and eventual court action.

Employers who intend to reduce their workforce must not forget that they have been given numerous financial aids by the government to cushion the economic impact of COVID-19 outbreak on their businesses. These aids are in the form of stimulus packages or financial aids to employers such as the Coronavirus Job Retention Scheme (CJRS) United Kingdom in respect of furloughed employees (see Paragraph 2.1 of CJRS). Similarly, the Employment (Returns on Salary Reduction Measures) Notification 2020 introduced in Singapore has allowed employers

to reduce operating expenses such as by reducing the working hours of an employee that results in a reduced amount of take-home salary.

Companies generally attempt to reduce their workforce as a result of a merger or takeover. Employers are only allowed to do so, subject to the governing laws of their respective countries. The continuing inability of employers to manage the financial performance of their businesses due to COVID-19 outbreak should be accepted as a legitimate reason to reduce their workforce. Based on the cited case laws and statutory laws in the literature review, it is found that employers are generally allowed to reduce their workforce if there is genuine redundancy. The literature review also shows that the countries under study require an employer to follow the golden principle, namely "Last in First Out" (LIFO) as a guide in the retrenchment exercise.

Noticeably, the implementation of movement control orders and government measures to curb the COVID-19 outbreak has a drastic effect on the daily routine of an employee and even an employer. In most countries, the new normal of life requires most employees to work from home (WFH). Restrictions under the movement control orders usually included prohibition of mass movements and closure of private premises in 'red zone areas' except those in essential services.

As observed, government measures generally require employers to pay their employees their salary as normally received if they are working from the office. The current situation made it difficult for employers to expect employees to fulfil their contractual obligations as efficiently as possible, especially when they are deprived from moving freely. This raises the issue of whether employers can treat the employment contract as frustrated and used this as a reason to reduce their workforce by way of retrenchment.

Based on the analysis of the literature, retrenchment should only be considered as a last resort after other methods prescribed by government measures to avoid retrenchment have not been effective. In addition, the principles prescribed under the Code of Conduct for Industrial Harmony 1975 ('CCIH') need to be observed to avoid retrenchment by limiting the number of working hours, stop recruitment, avoidance of overtime work, to restrain work for the rest day, to trim down on salary, and/or to suggest temporary lay-offs.

Employers are not supposed to rely on the doctrine of frustration as a result of the movement control order. Most employees are capable of discharging their obligations by WFH. A contract is not frustrated when it is still possible of performance (see Eastacres Development Sdn Bhd v Fatimah Mutallip & Anor [2000] 5 CLJ 379). The rationale is acceptable from the lens of both contracting parties and is good from the aspect of improving harmony in industrial relations. In Malaysia, The Ministry of Human Resources (MHR)'s "Guidelines on Handling Issues Relating to Contagious Outbreaks Including Novel Coronavirus (2019-NCOV)" seek employers provide employees with full pay upon receiving quarantine orders upon return from an official duty from countries with COVID-19 cases. There is no reason for treating the contract as frustrated when employees are capable of rendering their services in exchange of remuneration.

Frustration of contract can arise due to certain unforeseen circumstance not within control and in a situation where neither party caused nor contemplate the supervening event (Lee & Detta, 2017). The employer should be slow to terminate contracts on the basis of frustration. The Employers should not reduce their workforce when they refused to adhere to government

measures to cushion the economy due to COVID-19 outbreak. Numerous government incentives (such as where employers could reclaim up to 80% of furloughed staff wage costs in the United Kingdom) are meant to cushion the financial problems faced by the employers. However, refusal to receive incentives might be considered as a self-induced frustration (see Dato' Yap Peng & Ors v Public Bank Bhd & Ors [1997] 3 MLJ 484). Likewise, the workforce should not be reduced merely due to the assumption that the COVID-19 outbreak would last for a number of years to come.

As previously mentioned in the literature review, the doctrine of frustration does not apply when there is a fault in the party pleading it (see Yee Seng Plantations Sdn. Bhd. v Kerajaan negeri Terengganu & Ors. [2000] 3 CLJ 666) and where the particular state of affairs ceases to exist (Codelfa Construction Pty Ltd. V State rail Authority (NSW) [1982] 149 CLR 337). Frustration of contract might take place if it is directly related to situations whereby an employee has been detained by the authorities due to possession of illegal drugs, the death of an employer or employee, and the mental of physical incapacity of an employee which makes him or her impossible to fulfill his or her obligations under an employment contract.

Management decision is generally made by the management itself without interference from any other party. However, unilateral decisions can be disastrous if made in disregard of the governing law and government measures. This would result in trade disputes and eventual court action. In retrenchment exercise, for instance, an employer should ensure that all salaries, including unused annual leave are paid to the retrenched employees on their last day of work; apart from helping them to look for alternative jobs.

The industrial relations system is a tripartite system which involves the participation of the employer, the employees and the government. The literature shows that employers are safeguarded to a certain extent from legal suits by their employees when the government have some right to participate in the decision-making process of the employer. Thus, it is important for the parties to work together in order to ensure industrial harmony in the workforce, especially in facing the effects of COVID-19 outbreak. Making unilateral decisions are risky for the employers and should be exercised diligently in order to avoid trade disputes in the forms of strikes, lockout and picketing. In relation to this, Malaysian employers can find guidance from the recent introduction of the Temporary Measures for Reducing the Impact of Coronavirus Disease 2019 (Covid-19) Act 2020 which provides relief to a party who is unable to perform his contractual obligation as a result of the measures under the Prevention and Control of Infectious Diseases Act, 1988. Under the said Act, employers and employees can also resort to mediation to resolve their disputes.

5. Conclusion

Retrenchment is seen as dismissals or may even be seen as unfair dismissals. Thus, employers must take precautionary steps to avoid the long term inconvenience of having to defend court actions filed against them by aggrieved employees. One way of avoiding such situation is to properly consider government measures and employment laws as well as other applicable laws regulating the workforce. The impact of COVID-19 on the economy would not diminish in a couple of years. With movement control orders, the predicaments faced by employers and employees would not subside.

It is only hoped that governments around the world would provide continuous support and also allow a large number of economic sectors and business activities to operate. As the new

normal is the way of life, employers and employees need to adapt to the new working condition with strict compliance to the health standard operating procedures ("SOP"). Most importantly, employers must not violate the laws and adhere to government measures on workforce reduction in order to avoid unending legal actions taken against them by their employees who are aggrieved by their management decisions.

References

[1] Abedi, M. (2020)."44% of Canadian households report lost work amid COVID-19 pandemic: poll". Global News, https://globalnews.ca/news/6726202/coronavirus-canada-job-loss-poll/

[2] Astuti, P.B., & Arya Samudra Mahardhika, A.S. (2020). Jurnal Inovasi Ekonomi, Vol. 05 No. 02 June 2020 Page 85-92 http://ejournal.umm.ac.id/index.php/jiko)

[3] Aminuddin, M. (2006). Malaysian Industrial Relations and Employment Law. 5th Edition. McGraw-Hill Education, Malaysia.

[4] Asean Briefing. (2020). Malaysia Issues Second Stimulus Package to Combat COVID-19: Salient Features https://www.google.com/search?q=malaysia+government+covid+19+support&oq=Malaysian+government+covid+19+s&aqs=chrome.1.69i57j0i22i30i457.22865j0j7&sourceid=chrome&ie=UTF-8

[5] Aluminium Company of Malaysia v Jaspal Singh (1989) 2 ILR 558

[6] Bethlehem Singapore Pte Ltd v Ler Hock Seng & Ors [1995] 1 SLR 1

[7] Bayer (M) Sdn. Bhd. v. Ng Hong Pau [1999] 4 AMR 3913

[8] Carlsson-Szlezak, P., Reeves, M and Paul Swartz, P. What Coronavirus Could Mean for the Global Economy, Harvard Business Review, March 3, 2020, 2-10.

[9] Coronavirus   (Covid-19):   Redundancy   Guide,   2020). https://www.cipd.co.uk/knowledge/fundamentals/emp-law/redundancy/coronavirus-guide

[10] Coronavirus Act 2020 (United Kingdom)

[11] Coronavirus Job Retention Scheme (CJRS) (United Kingdom)

[12] Coronavirus (Covid-19): Redundancy Guide (United Kingdom). Employment (Returns on Salary Reduction   Code of Conduct for Industrial Harmony 1975 (Malaysia)

[13] COVID-19 (Temporary Measures) Act 2020 (No. 14 of 2020) (Malaysia)

[14] Codelfa Construction Pty Ltd. v State rail Authority (NSW) [1982] 149 CLR 337

[15] CH Reinforcing Steel (M) Sdn Bhd v Abu Samah Abbas (2001) 1 ILR 903

[16] Chooi Kim v Wasco Management Services Sdn Bhd/Wasco Coatings Limited [2018] 2 LNS 0175

[17] Dato' Yap Peng & Ors v Public Bank Bhd & Ors [1997] 3 MLJ 484

[18] Eastacres Development Sdn Bhd v Fatimah Mutallip & Anor [2000] 5 CLJ 379

[19] Darbourne, C. (UK) (June 12, 2014).What rights do employees have on redundancy in the UK?https://www.globalworkplaceinsider.com/category/europe

[20] Evelyn Cheng, E, "Roughly 5 million people in China lost their jobs in the first 2 months of 2020". (published 16 March 2020). https://www.cnbc.com/2020/03/16/china-economy-millions-lose-their-jobs-as-unemployment-spikes.html

[21] Employment Act (Cap 91) (Singapore) Measures) Notification 2020 (Singapore)

[22] Employment Rights Act 1996 (United Kingdom)

[23] East Asia Company (M) Bhd. v Valen Noel Yap (Award No. 130 of 1987)

[24] Financial Times (2020). "Loss of working hours to equal 195m full-time jobs, UN agency warns". Financial Times. 7 April 2020. Retrieved 7 April 2020.https://www.cnbc.com/2020/03/16/china-economy-millions-lose-their-jobs-as-unemployment-spikes.html

[25] Ganda Palm Services Sdn. Bhd., Teluk Intan v Ng Wah Chiew and 2 others (Award 40/1986 ILR)

[26] Goon Kwee Phoy v J & P Coats (M) Bhd, [1981]2 MLJ 129

[27] H.A. Berney v Tronoh Mines Ltd. [1949] 15 MLJ 4

[28] Industrial Relations Act 1967 (Malaysia)

[29] Kaur, A. witherworldwide (5 August 2020). "Singapore: Were you fired or retrenched? Your employer may not tell you the difference" https://www.withersworldwide.com/en-gb/insight/were-you-fired-or-retrenched-your-employer-may-not-tell-you-the-difference (28 October 2020).

[30] Lee, M.P., & Detta, I.J. (2007). Business Law. Oxford University Press, Malaysia.

[31] Ministry of Manpower website. https://www.mom.gov.sg/employment-practices/retrenchment/responsible-retrenchment

[32] Ministry of Manpower website. https://www.mom.gov.sg/employment-practices/retrenchment/alternatives-to-retrenchment

[33] Ministry of Human Resources, Guidelines, Press Statement dated 5 February 2020.http://mpma.org.my/v4/wp-content/uploads/2020/02/Eng-Press-Release-nCov-1.pdf (retrieved 31 October 2020).

[34] Ministry of Human Resources: Frequently Asked Questions (FAQ) on Movement Control Order, Ministry of Human Resources the COVID-19 outbreak

[35] Ministry of Human Resources: Frequently Asked Questions (FAQ) Vol. 3, Ministry of Human Resources of Malaysia, 2020. https://www.mohr.gov.my/images/FAQ_ON_MCO_MOHR_VOL3.pdf

[36] Ministry of Human Resources: Guidelines on Handling Issues Relating to Contagious Outbreaks Including Novel Coronavirus (2019-NCOV) (Malaysia) (Ministry of Human Resources Guidelines, Press Statement dated 5 February 2020)

[37] Movement Control Order (MCO) (Malaysia)

[38] Ministry of Manpower website, 2020 (Singapore)

[39] Malayan Tiles Manufacturers Ltd. v Non-Metallic Mineral Products manufacturing Employees Union (Award No. 11 of 1986)

[40] Milan Auto Sdn. Bhd. v Wong She Yen (1995) 3 MLJ 537

[41] Mohd Zakir Yusoff v. Telarix (M) Sdn Bhd (Award No. 349 of 2020)

[42] National Union of Cinema & Amusement Workers v Shaw Computer & Management Services Sdn. Bhd (Award No. 27 of 1978)

[43] Prevention and Control of Infectious Diseases Act 1988 (Act 342) (Malaysia)

[44] Police Act 1967 (Malaysia)

[45] Prevention and Control of Infectious Diseases (Measures within the Infected Local Areas) Regulations 2020 (Malaysia)

[46] Prevention, and Control of Infectious Diseases (Measures within Infected Local Areas) (No.2) Regulations 2020 (Malaysia)

[47] Pipraich Sugar Mills v Pipraich Sugar Mills Mazdoor Union AIR 1957 SC 95

[48] Radio & General Trading Sdn Bhd and Pui Cheng Teck & Anor (Award 243/1990)

[49] Stephen Bong v FOB (M) Sdn. Bhd. & Anor (1999) 3 MLJ 411

[50] Temporary Measures for Reducing the Impact of Coronavirus Disease 2019 (Covid-19) Act 2020 (Malaysia)

[51] Tharmabalan Suppiah Velliah v. MSL Travel Sdn Bhd (Award No. 3081 of 2019)

[52] William Jacks & Co. (M) Sdn. Bhd. v S. Balasingam (1987) CLJ 1

[53] World Bank. "The Global Economic Outlook During the COVID-19 Pandemic: A Changed World. (June 8, 2020). https://www.worldbank.org/en/news/feature/2020/06/08/the-global-economic-outlook-during-the-covid-19-pandemic-a-changed-world (retrieved 25.10.2020)

[54] Yee Seng Plantations Sdn. Bhd. V Kerajaan negeri Terengganu & Ors. [2000] 3 CLJ 666

Corporate Governance and Self-Regulation: The Case of Albania

Diana Biba

PhD candidate, Tirana European University, Law Faculty, Business Law

Abstract

In the last two decades corporate governance became "dish of the day". Although the events that led to the increased attention were less than fateful, yet the corporate governance is now a tool to effective and long-term sustainable growth. the principles of good governance are accountability, honesty, confidentiality, transparency and openness of information stand at the core of corporate governance despite the model of corporate governance, that is a shareholder or a stakeholder-oriented model. Is the corporate governance a mere product of law or companies themselves, as actors in the market do work as corporate law regulators? Although the state in its capacity of legislator plays a crucial role, companies themselves, are entrusted by the laws to guide the way. What is of essence is that the rules, being laws or sub legal acts, should be more than just provisions on a piece of paper, but mechanism to serve to market competitive and efficient companies.

Keywords: corporate governance, self – regulation of corporate activity, corporate law

Introduction

Corporate governance as a concept and as a problem area was first discussed in the United States; later on the European debate began in the United Kingdom. From here, the issue of corporate governance began its journey in all the modern industrialized countries including, Australia, China and Japan (ECGI 170/2011: 2).

The narrow and broad *definitions* of the scope of corporate governance can be visualized as pertaining to two extremes of a spectrum (Gorezi, 2011: 13). On end of the spectrum is taken is taken by the *shareholder primacy theory* advocates, who purport that corporation should be run for the benefit of the shareholders. The other end is taken by those who believe that a corporation should be run for the interests of stakeholders, including the community at large (Gorezi, 2011: 13).

According to OECD (1999), the corporate governance is the internal means by which corporations operate and are controlled […] which includes a range of management relationships of a company, its board, its shareholders and other actors (interest groups). It also provides the structure through which company objectives are set, how the means to achieve those objectives are determined, and how the performance is monitored. Essentially corporate governance is the structure that aims to ensure that the right questions are asked and that controls and balances work to ensure that the answers reflect what is best in creating long-term sustainable values for society (Monks & Minow 2003: 1). According to Bainbridge (2014), every model of corporate governance must answer two basic questions: *Who decides?* and *Whose interests prevail?*

Corporate governance has as its supporting pillar the respect of the law by the companies; the responsibility and accountability of the company's structures to shareholders, interest groups and control bodies outside the company; equal treatment of shareholders and guaranteeing the exercise of rights deriving from the ownership of shares; transparency of the company's activity in front of shareholders, interest groups and the general public according to the measure defined by law (Malltezi, 2010: 133). So basically, the principles of good governance are accountability, honesty, confidentiality, transparency and openness of information stand at the core of corporate governance despite the model of corporate governance, that is a shareholder or a stakeholder-oriented model. Each of the models addresses in different ways the question raised by Bainbridge that underlies governance: *Who decides*? and *Whose interests prevail*?

The importance of corporate governance became more apparent in 2002 when a series of mergers, fraud and other disasters led to the destruction of billions of dollars' worth of shareholder wealth, the loss of thousands of jobs, the prosecution of a number of executives and a record number in bankruptcy filings (Monks & Minow 2003: 1). One of the reasons why these scandals became the most famous events of the year was the fact that any mechanism created to control and balance had failed at the same time. It was at this time that everyone turned their eyes to corporate governance.

So, basically is corporate governance a mere product of law or companies themselves, as actors in the market do work as corporate law regulators? In other words, is the corporate governance regulated through mandatory rules, or merely by principles or guidance on rule choice through default rules that can be opted-out of. Traditionally we have thought about this question through the dichotomy of state versus market (Kershaw 2015:2). In some sense both the state and the market are always involved in the production of regulation (Kershaw 2015:2).

The corporation is defined as an artificial, invisible and intangible being which exists only in accordance with the law. In its entirety, corporate governance includes the general framework of rules and regulations which are defined at different levels of regulation. The processes that make up governance extend beyond the notion of corporate governance (Malltezi, 2010: 133). The organizational issues and decision-making structure of the corporation to a significant degree are a product of commercial law (Nesteruk, 1991, 10: 723).

The OECD White Paper on Corporate Governance in South East Europe (2004), with regard to the legal frame work noted that: "*Issues of corporate governance are usually subject of two sets of laws, the company law and the law on securities. Besides, the bankruptcy law and labor law also impact the corporate governance*".

So basically, the first level contains the mandatory provisions set by law itself. As the creation of law, corporate life, creation, organization and operation is subject to legal regulation, a regulation which cannot be limited only to commercial law or commercial code in the strict sense of the word but and a number of laws and acts of other legal due to the dynamics of development of the sphere of commercial activity. Good governance means knowing, respecting and enforcing laws as well as a high culture in governing and managing society (IFC, 2009). Corporate governance depends not only on the legal regulatory framework but also on the factual processes that take place in these rules and activate governance practices.

The role of internal regulations in the operation and activity of the company is strictly related to the jurisdiction and legislation in force: In certain jurisdictions they have and play a very important role as long as the legislation itself recognizes the company's freedom to determine corporate governance. In other words, it relates to the freedom that the corporation enjoys in defining the system, especially in terms of senior management. In this case the company is an active player with regard to self - regulation.

In the case of more rigid legislation, which makes a detailed regulation of corporate governance at the level of law, it is difficult not to say impossible that the corporation is free in determining the internal regulations of its governance according to needs. hers. In a comparative plan, legislation such as that in Germany or France regulates almost every aspect of corporate life at the law level versus the American system which appears less regulatory in this regard giving more freedom to corporations to build a system of their internal corporate governance. However, this freedom, even in the most flexible systems, is conditioned by a series of precedents and regulations at the level of state agencies, especially for companies with public offerings listed on the stock exchange.

An important element in relation to corporations is the fact whether we are dealing with a public or private offering company. The public offering company is subject to an even more detailed and elaborated legal framework than the private offering company. Although private offering companies are subject to less rigid regulation and not the same requirements as public offering companies, it is in the interest of the company that despite its size, to have written and formalized policies, procedures and regulations and to control periodically their implementation and efficiency. A special case for example is the case of the banks which are highly regulated and supervised in all countries which creates a large corporate governance framework for the banking industry. Unlike the relatively rich literature on corporate governance in general, corporate governance in banks has received little attention by academics until the recent financial crisis of 2007-2009 (Pajaj, Ferzaj, 2013:24).

In Albania, this framework consists of some laws as listed herein below:

Law No.9901, dated 14.4.2008, "On the merchants and commercial companies", as amended; Law No. 9901/2008 is the principal law regulating corporate governance in Albania (Law 9901/2008). The law provides the minimum standards of corporate governance for Albanian companies, primarily for the joint-stock companies. This new Law entered into force in 2008, a year after the entry into force on the law for the creation of the then National Registration Centre (now National Business Centre). The new Law was considered as reform in the current in force legal provisions regulating the commercial companies and their activity[1]. The commercial legislation in force for the period 1992-2007, despite the shortcomings in the implementation and the lack of improvements, established a certain tradition in the governance of joint stock companies (Malltezi, 2010: 136).

---

[1] The adoption of the new Law marked an important milestone in the commercial legislation that so far was regulated under the so called Three Laws on the Commercial Companies: Law no. 7632/1992 "On the first part of the Commercial Code", Law 7638/1992 "On the Commercial Companies", Law 7667/1992 "On the commercial register and the procedures to be followed from the commercial companies". The last law was in fact abolished a bit earlier with the entry into force of Law 9723/2007 "On the National Registration Centre".

Special requirements for joint stock companies in relation to reporting and financial statements are established by Law 10236, dated 18.2.2010 "On the control of companies with public offering", in its Article 4. However, it is worth noting that the stock exchange in Albania is inactive.

Law No. 10091, dated 5.3.2009, "On legal audit, profession organization of registered accounting expert and the approved accountant" provides sound requirements on the preparation and disclosure of the financial statements for large companies.

Also, Law "On bankruptcy", Law No. 9879, dated February 21, 2008 "On Securities" etc.

It is worth mentioning that a special case for example are the banks which are considered to be a highly regulated and supervised activity in all countries; this creates a large corporate governance framework for the banking industry. In Albania the banks and their governance are subject of Law No. 9662, dated 18.12.2006, as amended.

In addition to the legal framework, as an external framework, (that is imposed to all companies from the government, as a regulator), the company's organization and functions are based on the internal regulatory framework which includes the deed of incorporation and statute (bylaw), as well as other internal acts of the company.

The deed of incorporation and the statute can be considered as primary documents for the corporation and other internal acts as sub-statutory or secondary acts.

The deed of incorporation. The deed of incorporation is one of the internal documents of the company. It is a contract between the founders of the company which contains the typical conditions of a contract such as rights and obligations between the parties, the will of the parties to join and fulfillment of legal conditions for the establishment of the company, duration and object of the contract (Malltezi, 2011, p. 100). Currently, in the legal framework in force in the country, deed of incorporation is not a mandatory act and it has already been replaced by the Statute which is more than sufficient for the establishment and registration of the company.

Statute. The statute is the act on which the governance of the company is based. Although in the European law in general the deed of incorporation is a simplified Statute and the Statute repeats some of the elements of the deed of incorporation, it also contains essential elements regarding the governance structure of the company, its governing and managing bodies, the appointment and amendment of their competencies, rights, restrictions as well as bodies that can adopt internal regulations of government structures. The statute advises to establish only those provisions which do not have a binding character (mandator) but the choice of their implementation is the right of its founders / shareholders (partners in the case of a limited liability company, referred to as ShPK in the Albanian commercial legislacion). (Corporate Governance, manual, IFC, 2009, p. 77). The statute is of particular importance because of its role in relations with third parties for the nature of the information it contains. Article 6 of Law 9901/2008, provides that the statute of the company contains the data defined in articles 32 to 36 of law no. 9723, dated 3.5.2007 "On the National Registration Center", referring thus to another law.

In addition to the statute and the deed of incorporation, companies can adopt internal acts of other forms for further regulation of various issues (Malltezi, 2011, p. 104). It is worth noting that such acts are in addition to and auxiliary to the statutory provisions, they are made

pursuant to and in accordance with the acts ranking higher in hierarchy (that is the laws and the bylaw) and cannot supersede them. They lay down rules concerning the day-to-day operation of the corporation and the activity of the corporation. This includes codes and regulations. Law 9901/2008 provides on such types of regulation, i.e the internal regulation that may be adopted from the Council of Employees' (Article 19); the regulation on the administration that may be adopted from the General Assembly (Article 95), or the Administration Board (Article 158); the statute or the Administration Board may establish regulations on the procedure of functioning of the meetings of the board, as well as for decision making, which are adopted unanimously (Article 161) etc.

The most important thing to note about the possibility of adopting such acts is that they can be approved only if the statute allows it and indicates the competent body that the company approves or repeals the act and the relevant procedure for their issuance (Malltezi, 2011). In relation to joint stock companies, European law deals only with certain issues, such as capital provisions, etc., but contains few rules on other issues, such as corporate governance or corporate governance (Bachner & Winner 2009, p.17).

However, in any case any internal regulations created by the corporation must be in accordance and pursuant to hierarchy of the legal acts. This means that the regulation is made in accordance with the relevant law that regulates the activity of the corporation and the statute and the deed of incorporation, if any. In any case, the regulation is approved and amended only according to the procedure defined by the law and the statute, whether these competences may stand with the General Assembly of Shareholders, the Board (Supervisory or Administration Board), Committee, or the Administrator, as the case may be.

Every regulation should have a clearly defined field it regulates and the person(s) in charge for its enforcement; the aim to have a regulation is to have a more efficient tool to the effective operation of the company rather than just a mere piece of paper which is not taken into account. How regulations work and are implemented plays a very important role in the life of the corporation: they can either help the corporate life or vice versa make it difficult or even hinder it. Regulations allow the company to make its governance structure more transparent and help its bodies and consultants to be clearer about mutual rights and obligations (IFC, 2009).

Thus, the internal regulations of the company are always subordinated to the legal framework and bylaw, being in accordance with them and at the same time being binding with the corporation. As in case, the highest norm (law, legal act and statute) are the ones that prevail and take precedence in case of conflict or discrepancy. The statute and the internal regulations should carefully observe the legislation in force, and be amended accordingly when new provisions affecting them are adopted and introduced.

Except for the Statute (and the deed of incorporation) which are documents that mark the establishment of the corporation and as such must be filed for registration with the competent body, together with any subsequent amendments (i.e with the National Business Centre in the case of Albania), sub-statutory acts such as regulations as a rule, are considered as internal documents and as such are not mandatory to be filed for registration with the relevant state authority in charge of registering and maintaining company records.

However, the sub-statutory acts are part of the self – regulation legislation of the corporation and as such thy enable a consistent set of analogue and best practice cases. It is therefore

important that they are duly disclosed, published with any amendments thereof, within and within the corporation; they should be accessible and understandable to all the corporate members.

Besides the bylaw and the deed of incorporation as "*conditiones sinne qua non*", the sub-statutory acts, other main regulations that a corporation may adopt, in addition to the above, are:

The Corporate Governance Code. The Codes are usually applied by publicly traded companies as complementary to regulations established by financial agencies or markets.

In Albania, as a matter of fact, In December 2011, the Business Advisory Council of the Albanian Ministry of Economy, Trade and Energy adopted a Corporate Governance Code. The Code refers to the OECD Principles and provides a set of recommendations for the non - listed companies. The application of the Code is purely voluntary and it is not part of the Law 9901/2008. It serves as a best practice reference and is intended to be an inspiration for Albanian companies to develop sound governance frameworks.

Another document is the corporate governance improvement plan which is a reflection of the corporate activity and its intention for changes and / or improvements in the future.

Rules for drafting corporate financial statements - developed in accordance with accounting principles, etc.

Code of Business Ethics - is a basic behavioral guide that imposes obligations and responsibilities on company officials and employees to shareholders, colleagues, customers, business partners (eg suppliers) as well as government and other institutions (IFC, 2009, p. 83). The Code of Ethics aims to set coherent standards of conduct and ethics and to highlight the values of society. The Code of Ethics can help minimize the risk of issues arising from actions such as fraud, conflict of interest, corruption and bribery (IFC, 2009, p. 83). It serves as a means of communication, a complement to rules and procedures and not a comprehensive substitute for them.

Actually, besides the legislation, the self-regulation of the corporation through sub-statutory acts, is a faster and more flexible way that responds to market dynamics, provided that it always takes place within the discretion allowed by law and statutory acts and by observing them accurately.

What may be noticed in general is that the introduction of entitlement and competences with regard to self-regulation need to be welcomed and appreciated from the legal point of view. However, it is worth mentioning that the main legal difficulty lies in implementation and not in unsatisfactory legislation. Indeed, there is a great discrepancy between the corporate governance framework, i.e. legal provisions regarding corporate governance, and actual corporate governance practice (OECD White Paper). Also, there is very little evidence of implementation and monitoring of the sound provisions with regard to corporate governance. So far, it is noticed that there is no case law referring to the Corporate Governance Code.

Provisions regarding principles of good governance, accountability, honesty, confidentiality, transparency and disclose of information whether being at law, bylaw or sub acts level, are to be welcomed, provided that the mechanics to duly implement and monitor them are in force as well.

Bibliography

[1] Bachner Thomas, Schuster Philipp E., & Winner Martin. "Ligji i ri Shqiptar për Shoqëritë Tregtare", interpretuar sipas burimeve të tij në të drejtën europiane, Tiranë, 2009;

[2] Colley John L., JR, Doyle Jacqueline L., Logan George W., & Stetinius Wallace, Corporate governance, The McGraw Hill executive MBA series, 2003;

[3] Gorezi Anisa, "Shareholder right, executive compensation and stakeholder protection: A comparative overview of United Stated of America and Chosen European Union Jurisdictions", 2011

[4] Kershaw David, "Corporate Law and Self-Regulation", LSE Law, Society and Economy Working Papers 5/2015; may be found at http://eprints.lse.ac.uk/61587/1/Corporate%20law%20and%20self-regulation.pdf

[5] Monks, Robert A.G. dhe Minow N. "Corporate Governance", Blackwell Publishing, 2003, 3rd edition;

[6] Malltezi Argita, "E Drejta Shqiptare e shoqërive tregtare", Shtëpia Botuese MediaPrint, 2011;

[7] Nesteruk, J. J Bus Ethics (1 991) 10: 723. May be found at https://doi.org/10.1007/BF00705878

[8] Qeverisja e korporatave, Manual, IFC, Tiranë 2009;

[9] Pajaj Roden, Ferzaj Rezart, "Corporate governance framework and practice in Albanian banking sector", Working Paper, 01 (40) 2013; may be found at https://www.bankofalbania.org/rc/doc/Corporate_governance_framework_and_practice_in_Albanian_banking_sector_6632_2_7418.pdf

[10] Werder Axel v. and Talaulicar Till, "Corporate governance in Germany: Basic characteristics, recent developments and future perspectives"

[11] Ungureanu Maria Kristina, Importance of effective regulation and supervision for the Banks', Corporate Governance: European Integration Context", University of Genoa, Italy

[12] EBRD, Corporate Governance in Transition Economies, Albania Country Report, March 2017; may be found at https://www.ebrd.com/what-we-do/sectors/legal-reform/corporate-governance/sector-assessment.html

Building Social Business

Diana Biba

Phd Candidate, European University of Tirana, Law Faculty, Business Law

Abstract

Although there no single definition of the social business as a notion, such lack has not hampered it to become a growing phenomenon. The most prominent definition is offered by Nobel Peace Prize Laureate Professor Muhammad Yunus who considers the social business a new kind of business dedicated to solving social, economic, and environmental problems that have long plagued humankind—hunger, homelessness, disease, pollution, ignorance, clearly standing between the for profit and non-for-profit organizations. The social business in Albania, is now a tangible reality, both formally in terms of legislation and in practice, in social businesses operating in the market, although more awareness and knowledge is needed. The social business interacts with other domains such as innovation, corporate social responsibility, activism, markets and is considered to be a driving force to growth and sustainability, leading by example to the traditional business as well.

Keywords: Social business, capitalism, corporate social responsibility

Introduction

There is currently no single definition of "social business", but the most prominent one is that offered by Nobel Peace Prize Laureate Professor Muhammad Yunus[1] (Executive Factsheet, HEC Paris, MSIB, 2020). In his book "Building Social Business" (2010), Yunus, with a smooth, simple, practical and sharp language provides his analytic consideration of the social business as a concept, its establishment, its achievements and barriers alongside with practical examples.

In Yunus words (2010), the social business it's a new kind of business dedicated to solving social, economic, and environmental problems that have long plagued humankind—hunger, homelessness, disease, pollution, ignorance; - or in his other words - the new kind of capitalism that serves humanity's most pressing needs. By the way it is organized and how it functions, the social businesses can provide the poorer populations with access to funds, goods, and services they could not otherwise afford, as well as facilitate their access to work.

As the social business is a (*new*) business, Yunus provides his overview of the two kind business that exists: one for personal gain, and another dedicated to helping others.

---

[1] Professor Muhammad Yunus, Nobel Peace Prize laureate and founder of the first micro-credit organization Grameen Bank.

In the former, the objective is to maximize profits for the owners (the typical stance of the Shareholder Theory as presented by Milton Friedman in 1970)[1]; In the later, in the other kind of business (that is the social business), everything is for the benefit of others and nothing is for the owners—except the pleasure of serving humanity. Thus this kind of business is built on the selfless part of human nature. Thus, the social business might be described as a "non-loss, non-dividend company," dedicated entirely to achieving a social goal (Yunus, 2010: 17 - 18).

In itself the social business is a form of business: the business must be self-sustaining—that is, it generates enough income to cover its own costs. An investor aims to help others without making any financial gain himself. Part of the economic surplus[2] the social business creates is invested in expanding the business, and a part is kept in reserve to cover uncertainties (Yunus, 2010:17). The social business needs to be managed "at least as well managed as any profit-maximizing business".

The social business is allowed to earn a profit, with the condition that the profit stays with the company and is used to expand the social benefits the company provides (Yunus, 2010: 36). Profit in itself is not a bad thing (Yunus, 2010:36). A social business has one or more owners, can issue shares, and can buy and sell shares, just like any for-profit company (Yunus, 2010:130). To this front, he also goes further by projecting the need of a separate stock market to make it easy to invest in social businesses. Only social businesses will be listed in this social stock market, and investors will know right from the beginning that they'll never receive any dividends from this market (Yunus, 2010: 24).

According to Yunus, the social business is different from the social enterprise. OECD (2013) uses the terms interchangeably by defining that in social enterprises (also known as social businesses), entrepreneurial behavior is combined with a desire to use the market as a tool for meeting social needs, serving the general interest and common good for the benefit of the community. Although OECD admits that: "There is, as of yet, no uniform language and understanding around the idea of social enterprise", the OECD 2013 report provides: "In general, social enterprises have an entrepreneurial approach and pursue a social mission. They may have a limited profit orientation (or not-for-profit orientation) and may adopt a democratic and participative governance system". The "*limited profit orientation*" marks then the difference with the social business coined from Yunus to whom the social enterprise falls also under the category which generally describe varieties of profit-maximizing companies, a features that the social business does not entail.

Often, a parallel is drawn between Corporate social responsibility (CSR) and the social business. To Yunus, CSR often designates a charity fund set aside by a profit-maximizing

---

[1] According to Yunus, there is the traditional profit-maximizing business and the not-for-profit organization (which relies on charitable or philanthropic donations). The traditional profit-maximizing business describes practically all private companies in the world today, taking thus for granted that the sole social responsibility of business is to increase its Profits. As a matter of fact, the academic debate today about the for profit companies (firms) is essentially a confrontation between two theories of business ethics and corporate responsibility, the instrumental theory - shareholders' theory (Friedman, 1970) and the integrative theory – stakeholders' theory (Freeman, 1988). Both theories coexist, and in the course of time, pro and cons considerations and attitudes have been elaborated.

[2] Yunus (2010) says: I often use the word "surplus" to make a clearer distinction between this kind of profit and the profits earned by conventional businesses, which go to benefit the owners.

company to do some good in the local community (Yunus, 2010:33), although the social responsibility means the obligation of organizations, bodies and individuals to act for the benefit of society in the broadest sense. The social responsibility is based on the principle that a company is a citizen of the society in which it exists and operates (Woolfe, 2013: 172). CSR programs are mostly used to build a company's image, to promote the idea that the company is a "good neighbor" or a "good citizen." (Yunus, 2010: 33). So, basically CSR is just an activity of a profit-maximizing company, which on the other hand, may be just a slight portion of the big "*cake*" of its activities. While the social business devotes 100 percent of its resources to making the world a better place (Yunus, 2010:33).

So CSR and the social business are again two different notions and while CSR is a part of the activity a business does while complying with its obligations to the community at large, the social business is the business in itself, being a CSR at its core and all about.

Also, Yunus does explore the social business from the tax perspective: while being in favor of creating a favorable environment for social business to blossom, on the other hand the social business should also be a "good taxpayer citizen", provided that it is up to the governments that may decide from time to time that investments in particular social businesses should enjoy tax-exempt status under specific conditions and for a pre-determined time period (Yunus, 2010: 132).

According to Yunus (2010), there are two kinds of social business.

The Type I is a non-loss, non-dividend company devoted to solving a social problem and owned by investors who reinvest all profits in expanding and improving the business, such as Grameen Danone[1] or Grameen Veolia Water[2]. The Type I is commercial organization in every sense. (Yunus, 2010:130).

Type I social business has 7 principles[3]:

1. The business objective is to overcome poverty, or one or more problems (such as education, health, technology access, and environment) that threaten people and society—not to maximize profit.

2. The company will attain financial and economic sustainability.

3. Investors get back only their investment amount. No dividend is given beyond the return of the original investment.

4. When the investment amount is paid back, profit stays with the company for expansion and improvement.

5. The company will be environmentally conscious.

---

[1] Grameen Danone s a yogurt company working to solve the problem of malnutrition by selling affordable yogurt fortified with Micronutrients; In December 2009, Grameen Danone Board ruled to amend the shareholders' agreement to eliminate the 1 percent dividend.

[2] Grameen Veolia Water treats surface water for contaminants. It is created to bring safe drinking water to the villages of Bangladesh where arsenic contamination is a huge problem.

[3] For more see: Yunus Muhammad, "Building social business", Public Affairs, New York, 2010, eBook ISBN: 9781586488635, page 27;

6. The workforce gets market wage with better-than-standard working conditions.

7. Do it with joy!!!

The Type II is a profit-making company owned by poor people, either directly or through a trust that is dedicated to a predefined social cause. Since profits that flow to poor people are alleviating poverty, such a business is by definition helping to solve a social problem such as Grameen Bank[1], which is owned by the poor people who are its depositors and customers.

Multinational companies' engagement in social business has become a noticeable trend in recent years (Executive Factsheet, HEC Paris, MSIB, 2020).

Actually the increasing interest and involvement in the social business has raised questions on the link or likeness between socialism and communism to the social business. Yunus also explores the question. He sees in the social business a powerful tool to any people who want to change the world. By making use of the social business scheme, the citizens are likely to address problems that need to be solved by themselves rather than expecting the government to act. The social business means a more active citizen, a more capitalist approach rather than a "wait-and-see" citizen, looking up to the government. By means of the social business, the citizen and the government will be "in the same boat", by trying to solve problems and addressing needs, thus sharing a burden (although we may make a little room to critics of the social business theory, who rather than partners see the citizen as skeptical about the role of the government and the fulfillment of the need from the government). However, even in the light of the social business, the role of the government should not be underestimated or undermined. The government is expected to duly promote the social business, to promote incentives in this regard, by adopting the necessary legislation and establishing bodies to ensure transparency, integrity etc. Having said that, then the free market will decide which social businesses succeed and which ones fail (Yunus, 2010: 51). As Yunus mentioned, the origin of the idea of social business was really quite simple: trying to solve a social or economic problem, by creating a business around it.

In Albania, the social business is quite a tangible reality, both formally and in practice. Under the frame of the public property, Albania adopted the law to promote the social business by means of a fully stated owned company; thus by means of Law No. 10376, dated 10.02.2011, it was established "Promotion of Social Business" (in Albanian *Nxitja e Biznesit Social sh.a - NBS*)[2] as a state owned joint stock company whose activity aims at sustainable economic and social development, through the support and promotion of social business. The sole shareholder is the Albanian state represented from the Ministry of Finance.

At the core of the mission of NBS is to address and solve social and environmental problems through the support and promotion of social business and microfinance, as well as creating opportunities for sustainable income for the people in need. As such the company is entitled to establish partnerships with various public, private, social partners in order to achieve and fulfill its mission.

---

[1] Grameen Bank is a nationwide bank serving the poor in every single village of Bangladesh. Of its 8 million borrowers, 97 percent are women. It is actually owned by the borrowers, who in their capacity as shareholders elect nine of the thirteen members of the board of directors (Yunus, 2010: 12).
[2] Official site: http://nbs.org.al/

The principles that guide the company activity are as follows:

The aim is not to maximize profit, but to address a social and environmental problem.

Social business is characterized by financial and economic sustainability.

Investors do not receive dividends, but only the amount invested in social business.

The profits are recycled for the expansion of the activity within this business or in other social businesses.

Social business is sensitive to environmental issues.

NBS has signed memorandum of collaboration with Tirana Municipality, Vocational School and VET centres etc. and has realized and ongoing projects to establish long term partnerships with regard to craftsmanship fairs in order to empower national crafts and local products, agro local products, people in need (like Roma community), networking etc.[1].

Also, in Albania, is established the Yunus Social Business - YSB Balkans. It first started as a social business development project in Albania in June 2012, and then was formally registered in February 2013 as an NGO (named Foundation "Yunus Social Business Fund Albania"). Since 2015, aiming to further widen its impact in the region, it has expanded to cover the six non-EU Western Balkan (WB6) countries, under its "Yunus Social Business Balkans" name[2]. Their mission is to enterprise people and equip entrepreneurs with the knowledge, skills, tools and means to design, test, build and grow entrepreneurship initiatives that have the potential to create positive impact for the society. They have provided support to about 20 start up-s while there is also RISE - Regional Incubator for Social Entrepreneurs (www.risewb.org) a project for the motivated, committed youth, willing to learn and change things for the betterment of the Western Balkans.

The first social businesses in Albania supported from the YSB are mainly located in Tirana, while their legal form is that of a limited liability company (shoqëri me përgjegjësi të kufizuar) a legal form as provided for a commercial legal entity from Law 9901/2008, provided that their bylaw clearly states that they are social businesses that respond to a social problem and that do not distribute dividends; and as such will function until the end of their existence " (Monitor, 2014).

Also, the project of USAID, Growing Social Businesses in the Albania has reached more than 1,200 people to date through raising awareness events about Albanian business and entrepreneurship. It has supported seven business startups that provide services or jobs to communities in need in Albania.

With regard to legislation, Albania went a step further and in 2016 adopted Law No. 65/2016 "On the social enterprise in Albania", which was later followed by other sublegal acts. The law aims to regulate the activity of social enterprises, for the purpose of protection and social inclusion of vulnerable groups, by means of employment etc. provided that the permitted legal form is that of a non-for-profit organization. Article 8 of the Law provides that the income generated from the economic activity of the enterprises serve to the continuous expansion of

---

[1] List of Memorandums may be found here: http://nbs.org.al/marreveshje-bashkepunimi-memorandume/

[2] https://www.balkanimpact.com/about-us

their activity. No dividend is allowed to be distributed (Article 17). The Law although, *prima facie,* may seem as promoting the social business, actually limits it only to non-for-profit organization, (the non-for-profit organization legislation is called on matters when Law 65/2016 itself is silent).

As a summary, the social business is a business. Rather than threatening the existing structure of business, it proposes a way to revitalize it. (Yunus, 2010:51). It does distinctly stand between by the for profit-maximizing business and the not-for-profit organization[1]. Yunus sees social business, as an alternative and potentially more useful way for philanthropists to place their money (Executive Factsheet, HEC Paris, MSIB, 2020), as the profits are reinvested and the money is recycled within the business. The EU Commission consider the social business a good example, whereas social business and CSR can have a decisive impact[2]. In recent years, a small but growing number of publicly listed corporations has decided to enter the field of social business, specifically targeted at poorer sections of society and produced and distributed on a "no-loss-no-gain" basis (Executive Factsheet, HEC Paris, MSIB, 2020). Today, the social economy represents 10% of all European businesses and employs over 11 million paid employees.

It is a fact that the social business is a growing phenomenon. The social business interacts with other domains such as innovation, corporate social responsibility, activism, markets and its impact need to be considered in the long run and also in larger areas rather than the existing ones currently operating. The social business in Albania, is now a tangible reality, both formally in terms of legislation and in practice, in social businesses operating in the market. Yet, there should be an increased awareness and knowledge with regard to the social business and its performance, and how this type of business may be supported.

Is the social business the nemesis of the traditional business? Is the social business the business of the future? Well, for the moment we know that the social business is in the market, which market should be able to make the difference and one of the premises at the core to ensure its life is the commitment of its founders to remain loyal to what the social business is about.

Bibliography

[1] Yunus Muhammad, "Building social business", Public Affairs, New York, 2010, eBook ISBN: 9781586488635

---

[1] According to Yunus (2010): A foundation is not a social business: It is not financially self-sustaining, it normally does not generate any income through business activities, and it does not have an "owner" the way a social business does.

[2] Internal Market Commissioner Michel Barnier. "Social business is a good example of an approach to business that is both responsible and contributes to growth and jobs. But we need to ensure all companies, not just social businesses, take their impact on wider society seriously. Commissioner for Employment, Social Affairs and Inclusion László Andor said "Socially responsible business stems from a realization that the crisis is not just economic and financial but also about ethics. Values like solidarity, sustainability, inclusiveness and integrity are not always upheld by business and I believe our economies have suffered as a result. This is where social business and CSR can have a decisive impact and thus also contribute to Europe's 2020 goals of ore jobs and growth." For more see European Commission - Press release, More responsible businesses can foster more growth in Europe, Brussels, 25 October 2011 - https://ec.europa.eu/commission/presscorner/detail/en/IP_11_1238

[2] Movement for Social*Business, HEC Paris, Society and Organization, Executive Factsheet "What is Social Business?",

[3] may be found at https://contents.hec.edu/s3fs-public/2020-09/what%20is%20social%20business-executive%20factsheet%20final.pdf?Y_YiMBCnz4HsRBBPF2B2xSzrcU4VJtDr#_ga=2.72512592.299729724.1607451855-550443474.1607451855

[4] OECD, Policy Brief on Social Entrepreneurship Entrepreneurial Activities in Europe, 2013, may be found at https://www.oecd.org/cfe/leed/Social%20entrepreneurship%20policy%20brief%20EN_FINAL.pdf

[5] European Commission - Press release, More responsible businesses can foster more growth in Europe, Brussels, 25 October 2011 –

[6] Bedalli Elona, "Të bësh biznes…, por social", Revista Monitor, 20/04/2014, https://www.monitor.al/te-besh-biznes-por-social-https://www.monitor.al/te-besh-biznes-por-social-2/

[7] https://ec.europa.eu/commission/presscorner/detail/en/IP_11_1238

[8] http://nbs.org.al/

[9] https://www.balkanimpact.com/about-us

Venture Capital Markets: How Does the EU Compare to USA?

Amarda Cano

Abstract

Venture capital markets have become an important source of financing for the new economy. Venture capital investments in the United States during 2019 amounted to USD 135 billion while venture capital investments in Europe amounted to USD 12 billion representing only 8% of the capital investments made in USA. In order to further understand this financing gap we analyse how the EU wants to bridge this finding gap through public funding in venture capital and the many risks associated with government funding in the private market. We find that the EU commission has increased funding to venture capital but this has not had the desired outcome and Europe still lacks behind USA. This paper therefore aims to understand the factors driving venture capital investments and at the same time to analyse the factors why Europe lacks behind USA and what can be done to overcome this gap

Keywords: venture, capital, market, EU, USA

Introduction

Venture capital most often seeks to finance new starts ups in the "new economy" which has become an important source of economic growth and employment in USA and to a lesser extent in Europe. This paper aims to understand the factors driving venture capital investments and at the same time to analyse the factors why Europe lacks behind USA and what can be done to overcome this gap. Many authors show that venture capital is an important source for USA success in fostering companies that are market leaders in many industries around the world. Analysing OECD data, during 2019, venture capital investments in the United States amounted to USD 135 billion while venture capital investments in Europe amounted to USD 12 billion representing only 8% of the capital investments made in USA. At the same reports from OECD show that "in the majority of countries, venture capital represents a very small percentage of GDP, often less than 0.05%"

Analysing the success of USA venture capital in the past thirty years many authors believe that Europe lacks behind USA in terms of employment and economic growth mainly due to weaknesses in capital markets, and in particular in the access to risk capital.

According to Bottazzi "venture capital has become the form of financial intermediation most closely associated with dynamic entrepreneurial start-ups, especially–though not exclusively–in high-tech industries like biotechnologies, computer hardware and software, information technology (IT), e-commerce, medical equipment, and telecommunications. Many of today's most dynamic and successful corporations received venture capital at the initial stages of their lives: Amazon, Apple, Cisco, e-Bay, Genentech, Genetic Systems, Intel, Microsoft, Netscape, and Sun Microsystem, to name just a few. As a result, venture capital has developed into an important, established form of financial intermediation". (Bottazzi, 2002)

Therefore this paper also aims to see how the European Union is tackling the venture capital funding gap. We observe that since 2000 EU has devised a new strategy to put public money into venture capital market by investing more than 2 billion Euros over the years. The analysis shows that while EU public funds have become important factors in boosting the venture capital market data shows that due to the risk averse nature of public funds most of the investment goes to well developed and matured markets thus lacking behind USA.

2 Literature Review

2.1 GDP GROWTH AND VC

Overall it assumed that economic performance of a country or economic region should be an important determinant of Venture Capital investment decisions. A panel data approach conducted with 16 OECD countries shows that Venture Capital investment is indeed determined by economic performance of a country. It shows cyclical behaviour whereby high economic growth leads also to higher VC investments. (A Romain, 2004).

However, other studies show that the casual relationship between economic growth and higher VC investment is not clear. A study by Zhang (2013) shows that it is VC investment that spurs economic growth and not necessarily the other way round. In their study "Does Venture Capital Spur Economic Growth? Evidence from Israel" they show that in Israel's case VC investment is an important factor that leads to higher economic growth. They show that the average contribution rate of Israel venture capital to GDP growth was 1.28%, far higher than that of the other capital (0.14%) (ZHANG, 2013).

Akcigit (2019) on the other hand find that "Employment and patenting data show venture capital-backed firms are likely to achieve greater success and contribute more significantly to the aggregate economy. The absence of venture capital funding would lower aggregate growth by 28%. (Ufuk Akcigit, 2019)

2.2 Venture Capital and job Creation

There is also a strong link between the health of venture capital market and job creation. Many authors argue that European countries find it difficult to reform their welfare state and at the same time the labour market. They find that spurring market reforms that would encourage venture capitalist would lead to higher employment. Hehn (2003) shows "that venture capital is able to significantly raise employment growth and job creation. "We conjecture that venture capital is mainly conducive to job creation in new and innovative firms and that it facilitates the process of structural change towards the new economy." They show that European Union should invest more in creating venture capital market and deregulate the financial markets as it would increase employment in the economy and therefore lead to higher economic growth. Their recommendation also shows that EU job markets in contrast to financial markets are more difficult to reform.

Their paper is also supported by Acemoglu (2001), who says that " financial constraint harms employment because it hinders the emergence of new innovating firms, which create jobs". He observes that, since the 60's, the employment rates of firms dependent on external finance has been higher in Europe than in the United States, arguing that this is due to the stronger regulation of European financial systems". (Donatella Gatti, 2009)

Another suggestion is that the "Anglo-Saxon financial markets in contrast to Europe are characterised by highly developed stock markets and that Venture capital has in recent years played a key role especially in Anglo-Saxon countries in financing structural change,

innovations and new firms. These factors are again essential for understanding employment performances over the last decade". (Fehn, 2003)

2. 3. Venture Capital and innovation

Many authors have explored the causation effect of venture capital market in increasing the number of firms that produce innovative ways of providing services or increasing production. Given the importance of innovation to economic growth governments around the world have sought to increase their involvement in venture capital. However, the question remains whether venture capitals do indeed increase innovation. One of the first papers that provided an answer to this question was Kortum and Lerner (1998) in the United States who demonstrated that a dollar invested in venture capital creates three times more patents than a dollar invested in research and development (R&D). This suggests an important "benefit of venture capital is in encouraging the transformation of R&D into commercially useful patents. The consequence is diffusion of technology across the whole economy, increasing productivity and augmenting both the economic and social return on venture capital investment" (Gompers, 1998). Venture capital are more favourable to spurring innovation as equity finance usually provides a network of other investors and know how while at the same professionally managing the start-ups to achieve market penetration. Debt financing on the other hand hands over all the associated risks in starting a business to the entrepreneurs, thus increasing the risk of failure. Keuschnigg (2003) proved theoretically that if the industry has more active and experienced venture capitalists, new start-ups' chance to success would be largely improved and the innovation rates would then grow more rapidly.

3. USA vs Europe Venture capital market

Sectors VC invest in USA?
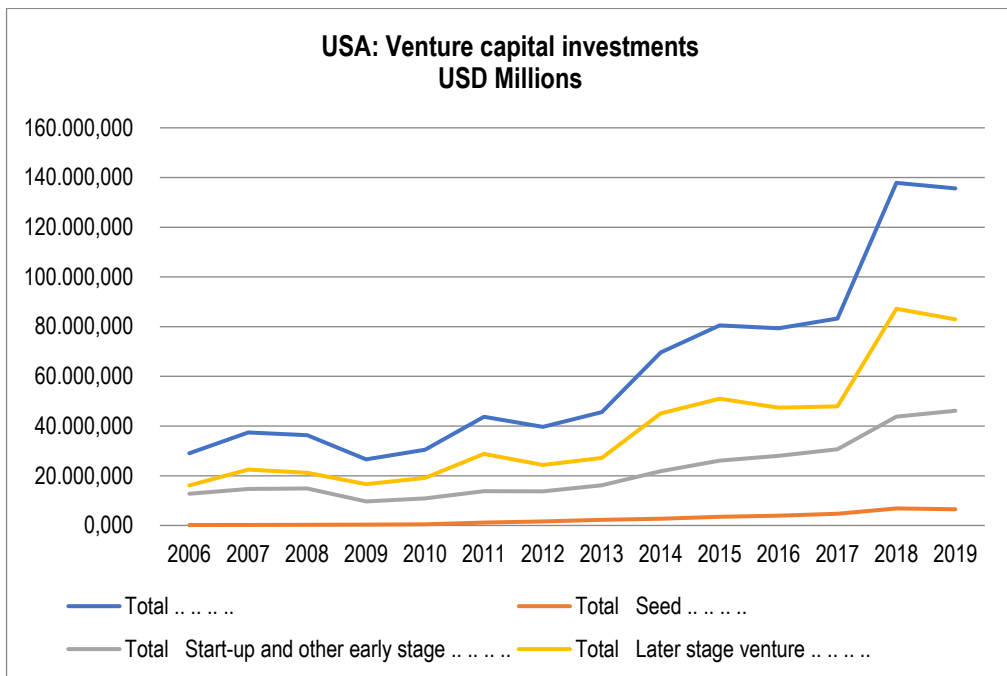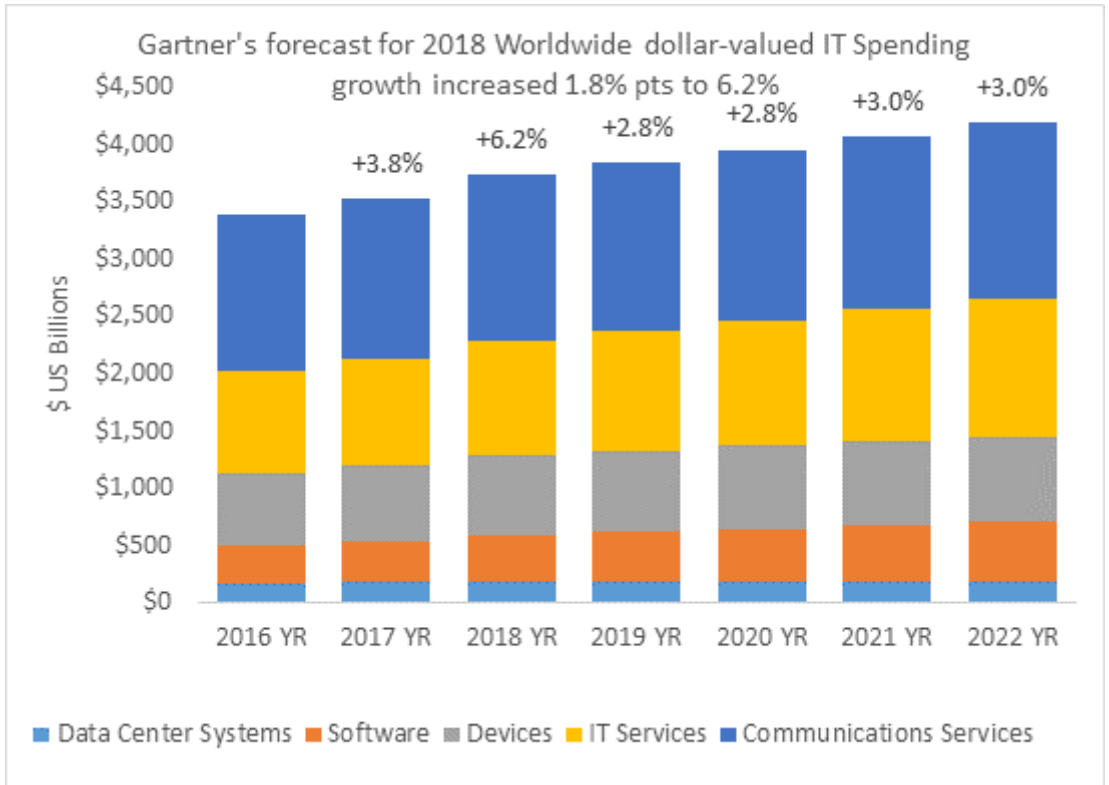
Source: OECD/ Graph: Author

Venture capital in USA has increased steadily in the past 12 years. Despite the slow down during the 2008-2009 financial crisis it has remained the biggest venture capital market in the world. OECD data shows that VC investments in 2019 were 140 billion USD in USA. However, the structure of Investment has altered in the past few years. Lately VC have also increased their share of investment in seed funding where in 2019 they represent 5% of total VC investment. According to This was traditionally the first round of financing for a business but is now often the second. Previously the domain of angel investors, a number of funds have appeared that now invest at this level. Round sizes and valuations have increased, and the use of proceeds are often focused on product development and testing.
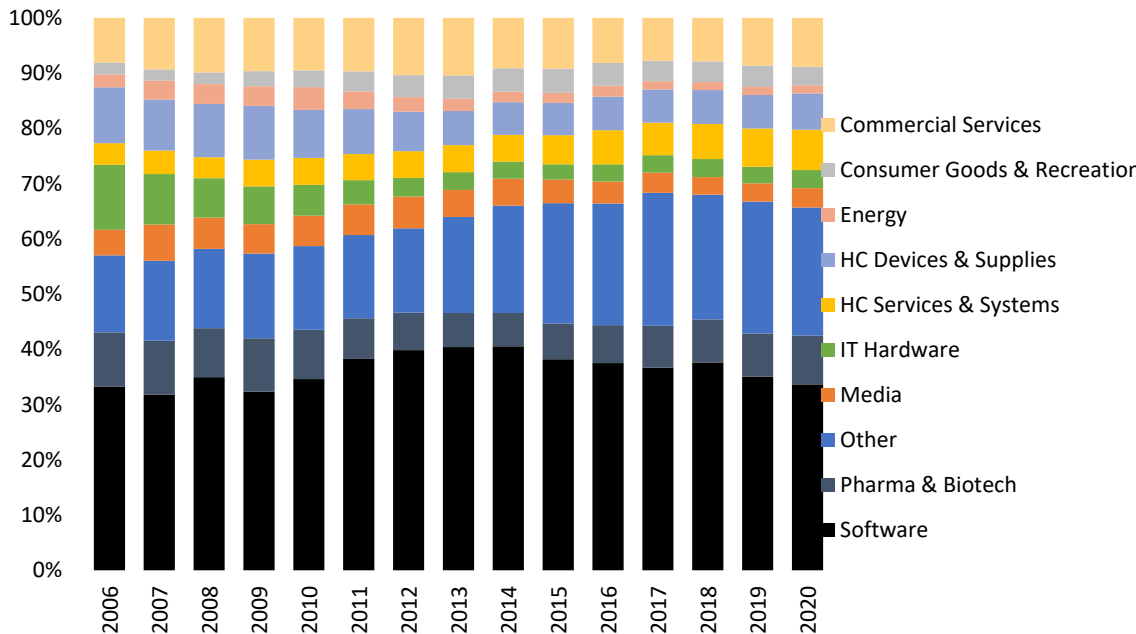
Source: PitchBook, NVCA

Venture Capitalist seek to invest mostly in "the new economy". Almost 30% of total investments are made in the software industry amounting to USD 44 bn in 2019. While 12% of total investment goes to pharma&biotech industry with a total value investment of USD 17 bn. The software industry is relatively new where a few decades ago it was inexistent and today it is one of the most important industries. According to data from statista the software industry amounted to USD 456 billion in 2018 and analysis from Gartner Worldwide IT Spending Forecast, a leading indicator of major technology trends across the devices, IT services, data centre systems, enterprise software and telecom services markets, and shows that IT spending has grown steadily in the past years, at an average growth rate of 3% . While data from MarketResearch show that "the global software market had total revenues of $597.3bn in 2019, representing a compound annual growth rate (CAGR) of 10.1% between 2015 and 2019". "With the advent of the Internet and cloud computing, the computer software industry has radically changed how companies interact with, develop and use software.

Software was once a product that was purchased, installed and maintained. In 2016, more and more companies are using software in a subscription model where all the development, maintenance and upkeep of the program is done by the original creator"[1]. Therefore it is not a surprise that most of the Venture Capitalists want to exploit this important industry and therefore invest most of their capital in it.

Gartner's forecast for 2018 Worldwide dollar-valued IT Spending growth increased 1.8% pts to 6.2%

4.2 European VC

Unlike the USA VC in Europe are still not very well developed and not a preferred instrument in investing in new start-ups. In order to increase investments the European Commission has increased public funding for VC. In 2018 for example 14% of total VC funds came from the European Commission agencies. In 2015, the EU legislators adopted a regulation setting up the European Fund for Strategic Investments (EFSI) which will provide venture capital funding of €2 320 million, making it the largest of the six programmes of the EU. While Europe sees a great opportunity in investing in the "new economy" it still is shy from USA VC market. The European Commission recognises the link between Venture Capital investments in new start-up companies and economic growth and therefore employment opportunities. As we have observed in the literature review the link is stronger in USA and the EU wants to overcome the structural differences in the job market in Europe through increased investment in Venture Capital. For this reason they have committed more than 300 million Euros per year

---

[1] https://www.investopedia.com/articles/markets/050416/industry-handbook-software-industry.asp

to venture capital firms in Europe. The data shows that in fact the EU public funds have become an important source of finance for Venture Capital in Europe as observed in the graph below.

Public funds in total funds raised by European venture capital funds (Billion USD)
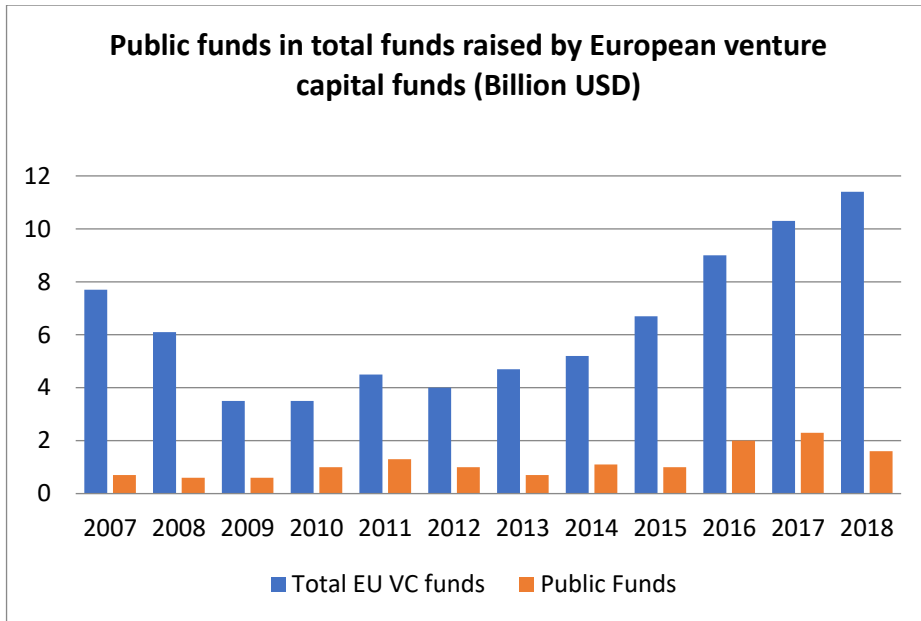
Source: EU Commission, Graph: Author

Based on Europe 2020 Strategy venture capital market in Europe has benefited up to 24% of funds from EU public funds in 2017[1]. A further commitment in the future has been promised as a way of competing with the USA. While increased funding is seen as a positive step in promoting supply side of venture capital it could however be seen as an ineffective financial instrument in the long run. Public funds have investment are characterised by heavy bureaucracy procedures and usually lead to ineffective investment. It also requires a long process of fund approve which usually takes 12 months. This is a long period of waiting for funds in a competitive market. For this reason start-ups might seek other alternative ways of financing their business as competitors might enter the market earlier than them. The issue of public funds investment in Venture Capitals is also supported in the EU commission internal audit report which states that "public funds in venture capital can lead to a risk of non-absorption if there is a lack of: (i) venture capital funds to invest in; (ii) interested private investors; (iii) SMEs with growth potential to invest in".

Given the non-absorption risk it is likely that the EU public funds would directed towards well established technologies and therefore lower the funds returns. Moreover a 2011 study on EU public funds for VC said " that pressure to commit funds may result in the provision of funding to 'sub-standard' investees which in due course would inevitably depress returns on investments".[2] A recent study by Prencipe (2017) finds that "70% of exited investments are

---

[1] Communication from the Commission, EUROPE 2020 - A strategy for smart, sustainable and inclusive growth (COM(2010) 2020 final of 3.3.2010).
[2] https://op.europa.eu/webpub/eca/special-reports/venture-capital-17-2019/en/

either written-off or sold for an amount below cost. Deals in which venture capitalists (VCs) sell at cost account for 8%, whereas the remaining 20% are profitable liquidity events". (Prencipe, 2017) In another example European Court of Auditors shows that "The EIF invested €17 million in another venture capital fund with the same focus. From 2005 to 2007, this fund made 11 investments in start-ups. Later, owing to low performance, the fund had to write down or sell seven of these below cost. By mid 2018 the fund had only returned €4 million and the EIF's remaining interest was valued at €0.5 million. Thus, as at mid-2018, the loss on this investment stood at €12.5 million" (Auditors, 2019).

It is clear from the European Court of Auditors that increased public funding in Venture Capital in Europe bears many risks. They analyse the fear of market failure whereby EU public funds are invested in the wrong projects and lead to losses in the long run and at the same time the fear of "crowding-out" private investments. The latter is an economic theory whereby increased public investments lowers private funds incentives to enter a market and thus lower the funds available for Venture Capital in Europe. As observed from the literature review government regulations and tax levels are an important factor in determining VC investments in Europe. According to a survey carried out by the EIF, "the fund managers called for supporting panEuropean funds, more cross-border investments, and a harmonisation of legal frameworks and tax systems". (Auditors, 2019)

4. Conclusion

Start-ups have become more successful in Silicon Valley than any other region in the world. The strong link between academic research and the successful supply of funds from Venture Capital in USA have been replicated in other regions of the world. Europe therefore should try to invest more in education to close the gap between the real business world and universities.

Secondly, the pan-European strategy which regulates the European Venture Capital funds should be strengthened further to allow for venture capital to supply funds under a single set of European rules.

The EU should continue its commitment to increase funds for entrepreneurship activities through start-ups. However, more should be done in the seed founding round rather than invest only in mature markets and companies.

However, more research needs to be conducted in the future concerning the impact of low interest rates on venture capital. After the 2008-2009 financial crises most Central Banks have lowered close to zero their interest rates. This factor has been channelled to commercial banks and also affected the costs and easiness of accessing credit. Therefore most start-ups might have moved away from venture capital and instead asked for credit lines in their later stages of their business activity. It also important to assess how government funding might affect the behaviour of private investors in the long run.

Bibliography

[1] A Romain, B. P. (2004). The determinants of venture capital: a panel data analysis of 16 OECD countries. Unviersite de Bruxelles Working Paper WP-CEB 04/15.

[2] Abramowitz, M. (1956). Resource and output trends in the United States since 1870. American Economic Review, 5-23.

[3] Ahmed, M. (2015, September 1). The moral hazard created by buckets of start-up funding. Financial Times, p. 20.

[4]   Auditors, E. C. (2019). Centrally managed EU interventions for venture capital: in need of more direction. European Court of Auditors.

[5]   Axelson, U. (2012). European Venture Capital: Myths and Facts. London School of Economics. Retrieved 2020, from https://conference.nber.org/conf_papers/f70004.pdf

[6]   Bottazzi, L. (2002). Venture Capital in Europe and the Financing of Innovative Companies. Economic Policy, v.34, 229-69.

[7]   Challange Advisory. (2017). Retrieved September 20, 2020, from Challenge.rog: https://www.challenge.org/insights/structural-differences-in-eu-vs-uk-vs-us-2/

[8]   Commission. (2018, April 18). Europa.eu. Retrieved September 20, 2020, from https://ec.europa.eu/commission/presscorner/detail/en/IP_18_2763

[9]   Djankov, S. T. (2010). The effect of corporate taxes on investment and entrepreneurship. American Economic Journal: Macroeconomics, 31–64.

[10]   Donatella Gatti, C. R. (2009). Unemployment and finance: how do financial and labour market factors interact? Working Paper, No. 2901, Center for Economic Studies and ifo Institute (CESifo).

[11]   Fehn, A. B. (2003). Does Venture Capital Investment Spur Empployment Growth. CEPS WORKING DOCUMENT NO. 197 .

[12]   Fundz.net. (2020, August 20). Fundz. Retrieved Septmber 20, 2020, from https://www.fundz.net/what-is-series-a-funding-series-b-funding-and-more#b

[13]   Gage, D. (2011, March 12). The Venture Capital Secret – 75% of Startups Fail. Wall Street Journal, p. 26.

[14]   Gompers, P. a. (1998). Conflict of Interest in the issuance of public securities: Evidence from Venture Capital. NBER Working Paper.

[15]   Hege, U. (2003). Determinants of Venture Capital Performance: Europe and the United States. University of Amsterdam.

[16]   Hellmann, T. P. (2000). The interaction between product market and financing strategy: The role of venture capital. Review of Financial Studies, 959-984.

[17]   Kaplan, S. N. (2007). How do legal differences and experience affect financial contracts? Journal of Financial Intermediation, 273–311.

[18]   Kräussl, R. (2016). Has Europe been catching up? An industry level analysis of venture capital success over 1985 - 2009. CFS Working Paper, No. 2012/16.

[19]   Lerner, J. (2010). The future of public efforts to boost entrepreneurship and venture capital. Small Business Economics, 255-264.

[20]   Lerner, J. (2016). Best Practices in Creating a Venture Capital Ecosystem. Multilateral Investment Fund.

[21]   Lerner, J. a. (2005). Does legal enforcement affect financial transactions? The contractual channel in private equity. Quarterly Journal of Economics, 223–246.

[22]   Michelacci, C. a. (2007). 'Business Creation and the Stock Market,. Review of Economic Studies, 459–481.

[23]   Porteba, J. (1988). Venture Capital and Capital Gains Taxation. Massachusetts Institute of Technology and NBER .

[24]   Prencipe, D. (2017). The European venture capital landscape: an EIF perspective. Luxemburg: European Investment Fund.

[25]   Reiff, N. (2020, March 5). Series A, B, C Funding: How It Works. Investopedia.

[26]   Ufuk Akcigit, E. D. (2019). Synergising ventures: The impact of venture capital-backed firms on the aggregate economy. VOX EU.

[27]   ZHANG, B. (2013). Does venture capital spur economic growth? Evidence from Isreael. Romanian Journal of Economic Forecasting, 115-125.

[28]   Zwilling, M. (2011, January 12). Startups Get No Help From an Investment Bank. Retrieved September 20, 2020, from BusinessInsider: https://www.businessinsider.com/startups-get-no-help-from-an-investment-bank-2011-1

Venture Capital: A Comparison between USA and European Funding Rounds

Amarda Cano

Abstract

In this paper we have conducted a micro level analysis of 40 companies in USA and Europe that have raised Series C capital in the software industry. In this analysis we want to determine which market reaches faster the Series C founding stage and the average amount raised. Software industry is the fastest growing industry and it has an easy global reach and market opportunities. According to Statista analysis in 2018 the software industry had annual revenues of 456 billion $. Therefore the start-up companies we have selected for our analysis are concentrated in the software industry and we analyse the time that they reached Series C funding stage and the total amount raised in the process. At the same time we explore further four case studies, two for each region, and assess similarities and differences between Europe and USA. On average European start-ups that have reached series C funding is 1811 days or 5.03 years. Usually at this stage companies are well established in the market and it primarily relies on raising capital through the sale of preferred shares.

Keywords: venture, capital, a comparison, USA, European, funding, rounds

Introduction

The term 'venture capital' represents financial investment in a highly risky project with the objective of earning a high rate of return. Unlike other forms of investment VC seeks new products or services in the new economy where technological innovation is an important factor. This equity financing is usually long term designed to finance high risk projects and therefore ensure high returns for their investment in the form of capital gains. They seek products and services that are unique and have not yet fully developed into products to enter the market.

In order for start-ups to enter the real business life cycle early finance is very important. Start-ups can choose from different sources of finance like banking sector, public equity, investment banking and venture capital. In this section we analyse why the "niche" venture capital market has been so successful in the past two decades as compared to other sources of finance.

First, financing start-ups via the banking sector might prove costly and difficult. Many banks require that businesses offer hard assets for their credit line in order to recover their money in case the business idea is not successful. However, this is the most important hurdle to pass for many start-ups as they posses little or no hard assets. Therefore the risks for banks and other financial institutions is high and their business model does not encourage such risky behaviour. Even if banks find that the start-ups might have a potential to be successful they would charge high interest rates which is not favourable for start-ups. For this reason start-ups in need of finance turn to other modes of finance like venture capitals.

Also start-ups find it difficult to get finance through banking for two main forms of agency problems: adverse selection and moral hazards. These two problems arise mainly due to the problem of asymmetric information whereby start-ups have better information regarding their business compared to banks and know more on how they will behave once they have been granted finance from the banks. For these reasons many banks stay away from financing start-ups as the true value of the company and the potential sales of the start-ups are dependent on entrepreneurs behaviour.

Literature Review

Klaus Hommels the founder of Lakestar, a European venture fund, and an early investor in Facebook, Spotify and Airbnb says in an interview for Financial Times "the moral hazard is an "unavoidable side-effect" of so much money flowing into start-ups. But he insists it "will give birth to some ideas that wouldn't have been pursued if the money wasn't available". (Ahmed, 2015)

On the other hand raising funds through investment banks and public equity is also as difficult as getting finance from banks. Investment banks usually work as agents to link good start-ups with venture capital but rarely invest their own funds into these ventures. Most often investment banks invest a substantial amount of money in their projects and seek commission for their initiative and rarely see an opportunity in investing in early stage projects. "Officially, the investment banks mission is to raise money for companies by issuing and selling securities in the capital markets, and providing advice on transactions such as mergers and acquisitions" (Zwilling, 2011). Public equity is as difficult for early stage start-ups as they would need sales of at least 15 million USD and assets worth 10 million USD and a reasonable profit history.

Venture Capital therefore fills the void between innovators and their start-up businesses and the need for finance to make the business idea successful. They are a new financial method first originated in USA and used in the past two decades in Europe and Asia. It is no wonder that Venture Capitals seek high returns for their investment given the very high risks involved in financing start-ups. The main features of Venture Capital investments are: high degree of risk, equity participation, long term investment, participation in management and investment is liquid. Venture Capital firms help start-ups with strategic assistance, introduction to potential customers and partners etc. They usually want to invest in software industry, IT hardware bio-pharma and services.

Start-up phases and evolution of revenue and profit
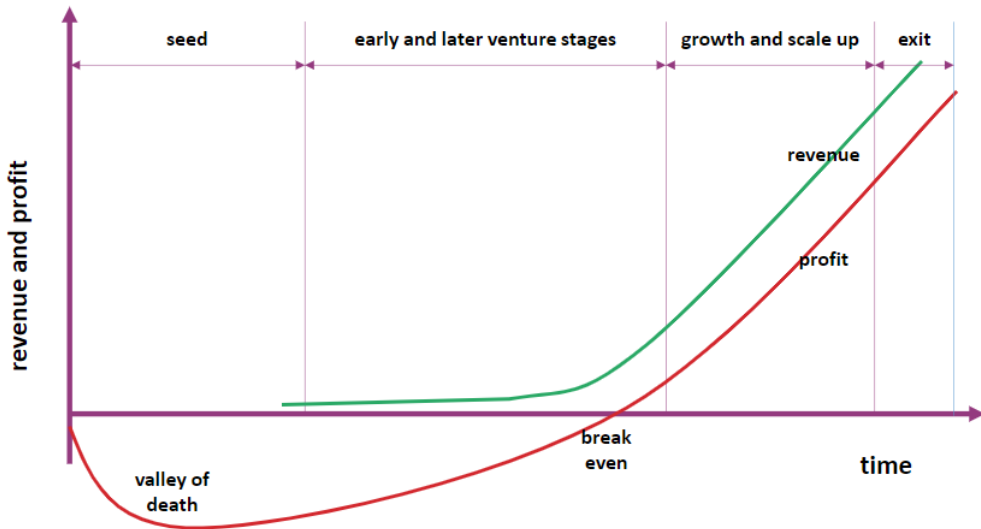
The start-up funding stages determine how successful the business idea is and acquiring funds is a long process whereby about three-quarters of venture-backed firms in the U.S. don't return investors' capital, according to recent research by Shikhar Ghosh, a senior lecturer at Harvard Business School (Gage, 2011). Also the paper suggests that "if failure is defined as failing to see the projected return on investment—say, a specific revenue growth rate or date to break even on cash flow—then more than 95% of start-ups fail". Despite these pessimistic figures other research suggests that "Venture capital is an important internal factor in the early stages of a startup. Existing evidence indicates that the presence of venture capital funding is relevant to explaining differences across start-up companies" (Hellmann, 2000) These findings are also supported by Harvard Business School which states that : "nonventure-backed companies fail more often than venture-backed companies in the first four years of existence, typically because they don't have the capital to keep going if the business model doesn't work."

2.1. Stages of Investment Financing

Venture capital firms usually recognise the following two main stages when the investment could be made in a venture namely:

A. Early Stage Financing

i. Seed Capital & Research and Development Projects.

ii. Start Ups

ii. Second Round Finance

B. Later Stage Financing

i. Development Capital

ii. Expansion Finance

iii. Replacement Capital

iv. Turn Arounds

v. Buy Outs [1]

Seed Funding

Seed funding is officially the first equity funding stage. Funding is important at this stage and is an important step in turning an idea into a product that has the growth potential in terms of users and revenues in the future. Without seed funding most of the start-ups would perish and never enter the market. The value of seed funding usually ranges in the value of 100.000 $ to 2 million $[2]. The money is used by the company to do market research and product development. This is an important process that allows the firm to better evaluate its potential to be successful in the future. Seed funding is used to complete the task of getting a team of market researchers and in ensuring that the start-up has the potential to attract customers in a region or globally and therefore seek to ensure further investments in the next step of product development.

Series A funding

Series A funding is similar to seed funding as investors secure shares of the company in exchange for financing the start-up. This is the second stage of financing start-ups and is seen as the first stage of venture capital financing. These companies usually do a due-diligence of the start-ups and assess how effectively it is being managed and what the company's market valuation is. At this stage the start-up has shown a potential for growth and needs further financing to grow. Usually these funds are used to get talented workers in the start-up either in terms of management or product development. In order to expand the start-up needs to increase its reach in the market. At these stage most start-ups are generating revenues but are still not making any profit. As we can see from the graph "Start-up phases and revenue and profit" at this stage of start-up life revenues are constantly growing but the business needs to increase sales and acquire better management to break-even and start making a profit. "*Typically, Series A rounds raise approximately $2 million to $15 million, but this number has increased on average due to high tech industry valuations, or unicorns. The average Series A funding as of 2020 is $15.6 million.*"[3]
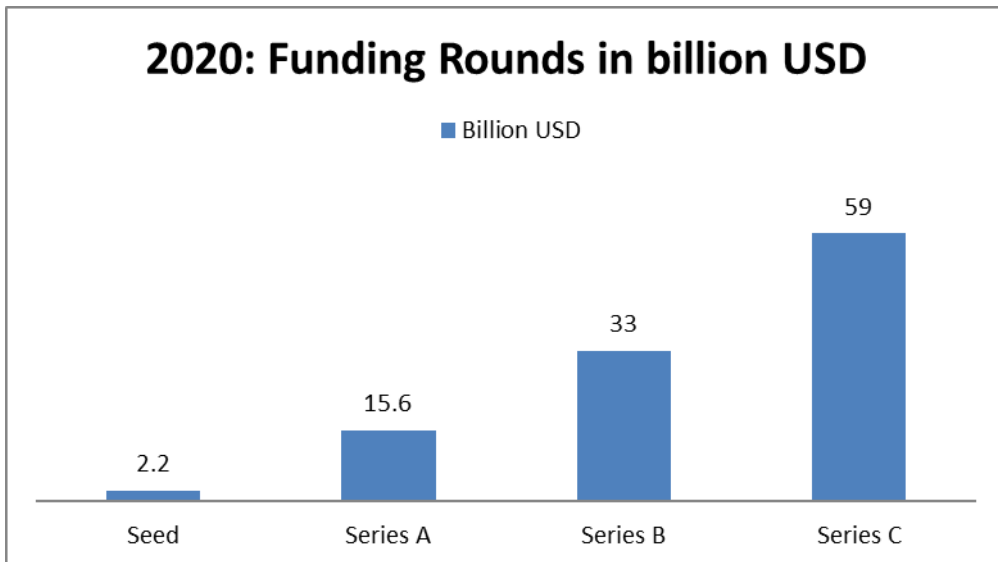
Series B funding

---

[1] http://www.rcemorissa.org/images/venture%20capital_compressed.pdf

[2] https://www.investopedia.com/articles/personal-finance/102015/series-b-c-funding-what-it-all-means-and-how-it-works.asp

[3] https://www.investopedia.com/articles/personal-finance/102015/series-b-c-funding-what-it-all-means-and-how-it-works.asp

Companies that have passed seed funding and Series A funding process have created a product that has a customer base and has generated substantial revenues but are at a development stage where they want to become bigger and enter new markets. Usually at this stage the start-ups need investors that are specialised in expanding businesses further and can attract other investors in the start-up. According to Fundz.net "mean Series B financing in the U.S. is $33 million and a pre-money valuation of around $58 million". (Fundz.net, 2020)

2020: Funding Rounds in billion USD

■ Billion USD

Seed	Series A	Series B	Series C
2.2	15.6	33	59

Series C Funding

At this stage the start-ups have proven to be successful in the market and have shown great profit potential. They seek further financing at this stage to either enter new markets and develop new products or acquire competitors. Usually venture capitalist enter this stage in order to make substantial profit quickly by enabling the company to expand rapidly. For example if the product has been successful in a market like USA series C funding would push the company to enter new markets like Europe or Asia. Given the substantial amount of financing needed most often at this stage are involved investment banks or hedge funds. Companies providing funds at this stage have less risk and therefore invest more money as they are certain of the current profits generated by the start-ups rather than bet on future returns. "Many of these companies utilize Series C funding to help boost their valuation in anticipation of an IPO. At this point, companies enjoy valuations in the area of $118 million most often" (Reiff, 2020)

Case Study: How did UBER raise USD 25.5 bn funding from 200K seed funding?

Year	Users (bn)
2014	0.14
2016	1.8
2017	3.7

2018	5.2
2019	6.9

Uber is one of the most successful ride sharing platforms in the world. Its digital innovation in connecting drivers with customers has led to the disruption of the taxi industry in more than 600 cities. Today Uber market share in USA is 70% and more than 1.600 million uber trips were conducted in the first quarter of 2020. Its global reach and 7 billion Uber trips conducted in one year have attracted many investors into the company whereby 25.5 billion $ have been raised in funding since 2010. The company started as a start-up back in 2009 in San Francisco and is now a global company valued at 56.6 billion $.

UBER funding rounds			
Series	**Date**	**Amount**	**Led by**
Seed funding	Sep-10	$1.58 million	First Round
Series A	Feb-11	$14.1 million	Benchmark
Series B	Dec-11	$43.8 million	Menlo
Series C	Aug-13	$363 million	GV
Series D	Jun-14	$1.4 billion	Fidelity
Series E	Dec-14	$2.8 billion	Glade Brook
Series F	Jul-15	$1 billion	Microsoft, Bennett, Coleman, & Co
Series G	Jun-16	$3.5 billion	Saudi Arabia Public Investment Fund
	Unknown	'Minimal'	Axel Springer
	Jan-18	$9.3 billion	Softbank
	Aug-18	$500 million	Toyota
ATG spin-out	Apr-19	$1 billion	Softbank

Back in 2009 Uber founders Travis Kalanick and Garrett Camp came up with the idea of designing a new digital platform that would connect drivers with users. They both rasied the first 200.000 $ in July 2009 and produced the first model of ubercabs.com. By using available technology like GPS , which identified the location and the costs of driving, uber became very popular due to its ease of ordering a car. A year later showing the potential of such a platfrom to potential investors Uber was able to rasie 1.58 million $ in seed funding. Given the risk of such a venture more than 29 investors joined in crowd-funding in order to minimise their own risk. However, the leader in this process was First Round, a venture capital firm that specializes in providing seed-stage funding to technology companies. They invested 500.000 $ in Uber and with their know-how and connections convinced more than 28 other investors to invest in the company. Most of the funds were private individuals who committed 5.000 $

up to 100.000$. The return of these early investors have proven to be one of the highest in the history of start-ups. For example Rirst Round which invested only 500.000 $ in 2010 had a valuation of their investment up to 2.5 billion $ nine years later.

Amount Invested	Today's value
$ 220,000.00	$ 1,092,412,000.00
$ 95,000.00	$ 372,660,000.00
$ 75,000.00	$ 372,412,000.00
$ 50,000.00	$ 248,275,000.00
$ 30,000.00	$ 148,949,000.00
$ 25,000.00	$ 124,137,000.00
$ 5,000.00	$ 24,287,000.00

The service was tested in New York in early 2010 using only three cars, and the official launch took place in San Francisco in May 2010. Six months later the company raised an $11 million **Series A** round of funding led by Benchmark Capital. The funds were used to expand further to other cities like New York, Seattle, Boston, Chicago, Washington D.C. as well as abroad in Paris. Only six months later Uber was able to raise 37 million $ in **Series B** in finance with Menlo Ventures as leader of 13 other investors. Uber became very popular and users increased exponentially from 140 million in 2014 to more than 6 billion in 2019.

Findings: Is there a difference between European and USA start-ups Series C round of funding?

Our analysis is based on data obtained from crunchbase on twenty different companies in Europe and USA that have managed to raise Series C capital. This is an important stage for the start-ups as it has shown that the company is stable in the market and has the potential to increase revenues further in the future. The data was selected randomly from the dataset and we extracted data for these companies from the initial seed funding up to the date when the companies managed to raise Series C capital. Overall previous studies suggest that USA has a more developed venture capital market and therefore the amount that they would be able to raise in capital as well as the time when start-ups reach series C round of funding would be shorter.

Start-ups require an institutional environment that would make it favourable to reach high revenues and grow to market leaders. Factors like government regulations, tax levels as well as ease of doing business are seen as important factors. However, due to high volatility in the financial markets and low interest rates many investors are keen to invest in high risk companies and especially in venture capital. As the data shows USA is the leader in venture capital where more than 130 billion $ were raised in 2019 compared to less than 14 billion $ in Europe.

Despite this fact we have conducted a micro level analysis of 40 companies in USA and Europe that have raised Series C capital in the software industry. In this analysis we want to determine which market reaches faster the Series C founding stage and the average amount raised.

Software industry is the fastest growing industry and it has an easy global reach and market opportunities. According to Statista analysis in 2018 the software industry had an annual revenues 456 billion $ revenues. Therefore the start-up companies we have selected for our analysis are concentrated in the software industry and we analyse the time that they reached Series C funding stage and the total amount raised in the process. At the same time we explore further four case studies, two for each region, and assess similarities and differences between Europe and USA.

4.2 Data Results

Crunchbase offers the opportunity to select the latest Round C funding round. We have randomly selected twenty companies in Europe and USA that have recently achieved this stage and operate in the software industry. After analysis each company separately we have extracted their financial rounds history from seed –funding to Series C. The data has been analysed in order to understand the time needed for these companies to reach Series C and the average amount raised from venture capital.

	Company	Days to series C	Amount Raised in all rounds	Number of Investors
1	XbAV AG	1891	€ 48.90	6
2	Pyraid Analytics	912	$67	7
3	Taxfix	933	$110	12
4	Snyk	1744	$452	28
5	Personino	1286	$129	24
6	Tractable	1366	59.9	25
7	Celonis	1262	$368	9
8	Signal	1666	$52	30
9	TrueLayer	1315	$72	21
10	ZeoTap	2059	$63	34
11	BC Platfors	953	$25	5
12	Aircall	2187	$105	32
13	Pricefx	3178	$125	15
14	Scandit	3990	$123	15
15	ariaDB	3599	$121	28
16	Adverity	1019	$44	21
17	Glassbox	2045	$71	11
18	Teplafy	2131	$58	16

19	Varjo	1048	$100	21
20	dacadoo	1649	$70	3

On average European start-ups that have reached series C funding is 1811 days or 5.03 years. Usually at this stage companies are well established in the market and it primarily relies on raising capital through the sale of <u>preferred shares</u>. The shares are likely to be convertible shares. They offer holders the right to exchange them for common stock in the company at some date in the future. At the same time the average amount raised at this stage by these twenty companies is 113 million Euros which reflects the amount suggested by previous studies. While the number of investors in these start-ups ranges from 3 to 30. On average all companies reflect 18 investors for all stages of finance.

We conducted a similar approach with USA companies. The results show that USA companies reached series C round of financing in 2077 days or 5.7 years. This is somewhat longer than the average achieved by European start-ups. At the same time the average amount of finance raised in these rounds is 127 million dollars. Given the exchange rate between Euros and dollars it shows almost equal amount raised between European and USA companies. While the average number of investors is 19.4 which is somewhat higher than in Europe but still at similar levels. Overall there are very few differences between European and USA companies in terms of time and amount raised by these start-ups.

	Company	**Days to series C**	**Amount Raised in all rounds**	**Number Investors**
1	Split Software	1729	59.8	19
2	Socure	2253	96.9	47
3	EFileCabinet	4450	42.5	9
4	Coda	2233	140	17
5	Rigetti Computing	2303	198.5	48
6	Beyond Limits	2091	158.8	3
7	Chorus.ai	1379	100.3	11
8	Postman	1843	208	7
9	TalkDesk	3193	267.5	20
10	Vast Data	1566	180	17
11	Fivetran	2633	163.1	12
12	Podium	2111	217.6	20
13	Immuta	1804	68.2	23

14	Creator IQ	1786	40.8	8
15	UJET	1728	100.6	18
16	SmartRent	726	101.5	15
17	Front	2273	138.3	47
18	Dremio	1644	126.5	12
19	FogHorn	1616	72.5	29
20	SirionLab	2194	61	6

Conclusion

We show that EU start-ups have been able to raise a little bit quicker than their USA counterparts round C funding. Also the amount that the EU start-ups have been able to raise funds is similar to USA start-ups. This shows that European markets are catching up and have similar institutional environment to USA. However, more needs to be done to make EU markets more harmonious and lower regulations and other barriers between countries. This would make the EU more competitive to USA and allow for start-ups to access bigger markets within the EU and then reach a global scale.

The strong link between academic research and the successful supply of funds from Venture Capital in USA have been replicated in other regions of the world. Europe therefore should try to invest more in education to close the gap between the real business world and universities.

Secondly, the pan-European strategy which regulates the European Venture Capital funds should be strengthened further to allow for venture capital to supply funds under a single set of European rules.

Tax harmonisation for venture capital firms is also necessary to compete with American counterparts. Most countries individually offer investors different tax incentives like up-front tax benefit as well as other tax reliefs on income generated. However, not all countries understand the importance of venture capital and especially Eastern European countries and southern European countries like Greece. Therefore more should be done to encourage local capital markets in these regions.

The EU should continue its commitment to increase funds for entrepreneurship activities through start-ups. However, more should be done in the seed founding round rather than invest only in mature markets and companies.

Bibliography

A Romain, B. P. (2004). The determinants of venture capital: a panel data analysis of 16 OECD countries. Unviersite de Bruxelles Working Paper WP-CEB 04/15 .

Abramowitz, M. (1956). Resource and output trends in the United States since 1870. American Economic Review , 5-23.

Ahmed, M. (2015, September 1). The moral hazard created by buckets of start-up funding. Financial Times , p. 20.

Auditors, E. C. (2019). Centrally managed EU interventions for venture capital: in need of more direction. European Court of Auditors.

Axelson, U. (2012). European Venture Capital: Myths and Facts. London School of Economics.

Bottazzi, L. (2002). Venture Capital in Europe and the Financing of Innovative Companies. Economic Policy , v.34, 229-69.

Challange Advisory. (2017). Retrieved September 20, 2020, from Challenge.rog: https://www.challenge.org/insights/structural-differences-in-eu-vs-uk-vs-us-2/

Commission. (2018, April 18). Europa.eu. Retrieved September 20, 2020, from https://ec.europa.eu/commission/presscorner/detail/en/IP_18_2763

Djankov, S. T. (2010). The effect of corporate taxes on investment and entrepreneurship. American Economic Journal: Macroeconomics , 31–64.

Donatella Gatti, C. R. (2009). Unemployment and finance: how do financial and labour market factors interact? Working Paper, No. 2901, Center for Economic Studies and ifo Institute (CESifo) .

Fehn, A. B. (2003). Does Venture Capital Investment Spur Empployment Growth. CEPS WORKING DOCUMENT NO. 197 .

Fundz.net. (2020, August 20). Fundz. Retrieved Septmber 20, 2020, from https://www.fundz.net/what-is-series-a-funding-series-b-funding-and-more#b

Gage, D. (2011, March 12). The Venture Capital Secret – 75% of Startups Fail. Wall Street Journal , p. 26.

Gompers, P. a. (1998). Conflict of Interest in the issuance of public securities: Evidence from Venture Capital. NBER Working Paper .

Hege, U. (2003). Determinants of Venture Capital Performance: Europe and the United States. University of Amsterdam .

Hellmann, T. P. (2000). The interaction between product market and financing strategy: The role of venture capital. Review of Financial Studies , 959-984.

Kaplan, S. N. (2007). How do legal differences and experience affect financial contracts? Journal of Financial Intermediation , 273–311.

Kräussl, R. (2016). Has Europe been catching up? An industry level analysis of venture capital success over 1985 - 2009. CFS Working Paper, No. 2012/16 .

Lerner, J. a. (2005). Does legal enforcement affect financial transactions? The contractual channel in private equity. Quarterly Journal of Economics , 223–246.

Lerner, J. (2016). Best Practices in Creating a Venture Capital Ecosystem. Multilateral Investment Fund.

Lerner, J. (2010). The future of public efforts to boost entrepreneurship and venture capital. Small Business Economics , 255-264.

Michelacci, C. a. (2007). 'Business Creation and the Stock Market,. Review of Economic Studies , 459–481.

Porteba, J. (1988). Venture Capital and Capital Gains Taxation. Massachusetts Institute of Technology and NBER .

Prencipe, D. (2017). The European venture capital landscape: an EIF perspective. Luxemburg: European Investment Fund.

Reiff, N. (2020, March 5). Series A, B, C Funding: How It Works. Investopedia .

Ufuk Akcigit, E. D. (2019). Synergising ventures: The impact of venture capital-backed firms on the aggregate economy. VOX EU .

ZHANG, B. (2013). Does venture capital spur economic growth? Evidence from Isreael. Romanian Journal of Economic Forecasting , 115-125.

Zwilling, M. (2011, January 12). Startups Get No Help From an Investment Bank. Retrieved September 20, 2020, from BusinessInsider: https://www.businessinsider.com/startups-get-no-help-from-an-investment-bank-2011-1

An Econometric Approach to the Determinants of Venture Capital Investment

Amarda Cano

Abstract

Analysing the success of USA venture capital in the past thirty years many authors believe that Europe lacks behind USA in terms of employment and economic growth mainly due to weaknesses in capital markets, and in particular in the access to risk capital. We investigate through panel data the determinants of venture capital for fourteen European Countries and USA during the years 2007-2019. We regress through fixed effect model four independent variables like Research and Development expenditure in a country, tax rates as measured by World Bank Doing Business Index, credit as a percentage of GDP and economic growth rate. The results shows that Research and Development is an important factor in explaining venture capital investment in a country. This is in support of previous studies that show that higher research and development in a country would attract more venture capital investment. This has a positive coefficient and is significant. Also the results show that taxes are an important factor in explaining venture capital investment in the years 2007-2019. The results show that higher taxes are likely to lead to lower venture capital investment. This affects both supply and demand for venture capital.

Keywords: econometric, approach, determinants, venture, capital, investment

Introduction

Venture capital most often seeks to finance new starts ups in the "new economy" which has become an important source of economic growth and employment in USA and to a lesser extent in Europe. This thesis aims to understand the factors driving venture capital investments and at the same time to analyse the factors why Europe lacks behind USA and what can be done to overcome this gap. Many authors show that venture capital is an important source for USA success in fostering companies that are market leaders in many industries around the world. Analysing OECD data, during 2019, venture capital investments in the United States amounted to USD 135 billion while venture capital investments in Europe amounted to USD 12 billion representing only 8% of the capital investments made in USA. At the same reports from OECD show that "in the majority of countries, venture capital represents a very small percentage of GDP, often less than 0.05%"

Analysing the success of USA venture capital in the past thirty years many authors believe that Europe lacks behind USA in terms of employment and economic growth mainly due to weaknesses in capital markets, and in particular in the access to risk capital.

We investigate through panel data the determinants of venture capital for fourteen European Countries and USA during the years 2007-2019. We regress through fixed effect model four independent variables like Research and Development expenditure in a country, tax rates as

measured by World Bank Doing Business Index, credit as a percentage of GDP and economic growth rate.

According to Bottazzi "venture capital has become the form of financial intermediation most closely associated with dynamic entrepreneurial start-ups, especially–though not exclusively–in high-tech industries like biotechnologies, computer hardware and software, information technology (IT), e-commerce, medical equipment, and telecommunications. Many of today's most dynamic and successful corporations received venture capital at the initial stages of their lives: Amazon, Apple, Cisco, e-Bay, Genentech, Genetic Systems, Intel, Microsoft, Netscape, and Sun Microsystem, to name just a few. As a result, venture capital has developed into an important, established form of financial intermediation". (Bottazzi, 2002)

2. Literature Review

Determinants of Venture Capital Market development

2.1 GDP GROWTH AND VC

Overall it assumed that economic performance of a country or economic region should be an important determinant of Venture Capital investment decisions. A panel data approach conducted with 16 OECD countries shows that Venture Capital investment is indeed determined by economic performance of a country. It shows cyclical behaviour whereby high economic growth leads also to higher VC investments. (A Romain, 2004).

However, other studies show that the casual relationship between economic growth and higher VC investment is not clear. A study by Zhang (2013) shows that it is VC investment that spurs economic growth and not necessarily the other way round. In their study "Does Venture Capital Spur Economic Growth? Evidence from Israel" they show that in Israel's case VC investment is an important factor that leads to higher economic growth. They show that the average contribution rate of Israel venture capital to GDP growth was 1.28%, far higher than that of the other capital (0.14%) (ZHANG, 2013).

Akcigit (2019) on the other hand find that "Employment and patenting data show venture capital-backed firms are likely to achieve greater success and contribute more significantly to the aggregate economy. The absence of venture capital funding would lower aggregate growth by 28%. (Ufuk Akcigit, 2019)

2.2 Legal Environment

Many studies try to determine how legal institutions in a country affect venture capital markets. Different approaches have been conducted over the years to show that strong legal institutions affect venture capitalist behaviour in how they engage with start-ups. Lerner and Scholar (2005) for example have studied 210 investments by private equity firms over the years. Their research shows that venture capital firms would be more prone to become owners of the start-ups in those countries where the legal institutions are weak. Therefore they reduce risk by becoming direct owners of the company rather than using other forms of engagement like convertible preferred shares. The strength of legal institutions is very important as companies it affects the amount VC are willing to commit and at the same time it affects the returns of VC. (Lerner J. a., 2005) However, other studies show that VC usually use their know-how to impose contracts to start-ups despite the strength of legal institutions. According to Kaplan (2007) VC with experience usually impose contracts that are similar to

their behaviour in USA and legal institutions matter little in their behaviour and there is no difference between VC operating in USA and Europe. (Kaplan, 2007)

2.3 Financial market development

Financial markets are an important factor in determining the success of venture capital markets. Financial market liberalization in the early 1980s in USA was seen as an important factor in leading to more credit available to businesses and at the same time facilitated the number of financial services available to customers. This is in contrast to Europe which was more conservative in financial market deregulation. A well developed financial market provides Venture Capital firms more exit opportunities. According to Michelacci (2004) the presence of "well-developed stock markets and financial markets will then boost the effect of an active venture capital market on innovation and growth, because holding periods are shortened, and more young and innovative firms are able to benefit from the skills and capital venture capitalists provide" (Michelacci, 2007)

2.4 Tax System

Different countries offer different incentives to businesses through their tax system. Higher taxes show that the government seeks to affect the economy through welfare measures and to fight inequality. However, higher taxes would affect businesses entrepreneurial activities where the incentive to take higher risks is lowered. Therefore many studies have shown that the tax regime would affect venture capital markets as it affects the demand for venture capital. One of the early studies of the impact of taxation on venture capital activity was conducted by Poterba (1988). In their study they show that soon after US government lowered the rate of capital gains in late 1970s there was an increase in venture capital activity that slowed down after 1986 Tax Reform Act that increased taxes. They support the idea that "*reductions in capital gains taxes could raise the supply of venture capital funds by raising the after tax returns from investing in assets that yield capital gains rather than dividends or interest income. Second, reductions in capital gains taxes could increase the demand for venture capital funds by raising the number of entrepreneurs who decide to start new firms, and making it easier for these managers to attract employees*" (Porteba, 1988). This conclusion is also supported by Gompers and Lerner (1998) who showed that decreases in capital gains taxes in the United States lead to increases in committed capital to venture capital funds, due to an increased demand for venture capital investments by entrepreneurs (the tax changes affect similarly both taxable and non-taxable investors).

Also Djankov et al. (2010) shows that high corporate taxes affect business behaviour. They show that high tax rates affects negatively not only mature corporations in a country but also the behaviour of young businesses and their incentive to enter the market as expected returns would be lower. (Djankov, 2010)

3. Methodology and Results

The literature review shows that venture capital are an important factor for economic development and innovation. However, most of the studies have not conducted a thorough investigation and comparison on the difference in venture capital markets between USA and other European countries.

We seek to use panel data in our approach to investigate how the development of financial markets, level of R&D spending and economic growth has affected venture capital markets in

14 European Countries and USA.

By using panel data we are able to investigate across countries and across time who the independent variables affect Venture Capital supply.

Random or fixed effects?

There are two methods of estimating Panel Data. The distinction is usually based on whether ηi in equation 2, should be treated as fixed or random effect:

$$y_{it} = x_{it} + \eta_i + u_{it}, \qquad t = 1,2...T, \qquad \text{(Eq. 2)}$$

In equation 2, xit contains observable variables that could change across i and t, while ηi is called the unobserved effect and it is time invariant and uit is the idiosyncratic errors because it changes across t as well as i. According to Wooldridge (2002) random effect is synonymous with an assumed zero correlation between the observed explanatory variables and the unobserved effect:

$$\text{cov}(x_{it}, \eta_i) = 0, t = 1,2,...T$$.

While a fixed effect means that one is allowing for correlation between the unobserved effect ηi and the observed explanatory variables xit. The benefit of FE estimator is preferable if number of units is relatively small and of specific nature that makes the identification of units important. The majority of panel data growth studies use fixed effects estimators. In a fixed effect regression we allow for a set of country specific intercepts. The latter are capable of picking up combined effects of the observed and unobserved variables.

Thus, when using random effect models we try to capture divergences of the different characteristics between the countries. When using fixed effect models we try to capture differences due to the alterations through time in the independent variable.

The dependent variable is level of venture capital investment across countries (i) and over time (t). While independent variables are GDP growth levels (β1 Growth) , level of research and development in a country (β2 research&D), credit penetration in the economy as compared to GDP (β3 credit to GDP) and the total tax rate paid in a economy as measured by the world bank (β4 tax rate).

Venture capitalFunds it = β0 +β1GDPGrowth_it + β2research&D + β3credit + β4taxrate

We estimate the variables that most affect the venture capital markets in 14 European Countries and USA. We have used four independent variables to try to explain cross country factors that influence venture capital.

Our model is:

Log (Venture capitalFunds)it = $\beta0 + \beta_1 GDPGrowth\_it + \beta_2 research\&D + \beta_3 credit + \beta_4 taxrate$

Random Effect Results

The dependent variable is the logarithm of venture capital which we have transformed using Stata. On the other the dependent variables are all given in percentage. We first regress the panel data using the random effect.

The data shows that Research and Development is an important factor in explaining venture capital investment in a country. This is in support of previous studies that show that higher research and development in a country would attract more venture capital investment. This has a positive coefficient and is significant.

Also the results show that taxes are an important factor in explaining venture capital investment in the years 2007-2019. The results show that higher taxes are likely to lead to lower venture capital investment. This affects both supply and demand for venture capital.

On the other hand, in contrast to previous studies GDP growth rate while it affects venture capital investment positively it is not significant. At the same time credit to GDP (credit penetration) is also insignificant. Therefore we conclude that for 15 countries overall venture capital investment are dependent on research and development expenditure and the level of taxation.

Regression results: PANEL DATA (random effect)

venturecapitalinve~2	Coef.	St.Err.	t-value	p-value	[95% Conf	Interval]	Sig
rdofgdp	28.678	6.229	-4.60	0	-40.887	-16.469	***
payingtaxestotalta~i	-1.312	.596	2.20	.028	.145	2.48	**
gdpgrowthrate	.546	1.583	-0.34	.73	-3.648	2.556	
creditofgdp	.322	.274	-1.17	.241	-.859	.215	
Constant	5.961	.606	9.84	0	4.774	7.148	***

Mean dependent var	5.601	SD dependent var	1.977
Overall r-squared	0.182	Number of obs	194.000
Chi-square	29.270	Prob > chi2	0.000
R-squared within	0.172	R-squared between	0.323

*** p<.01, ** p<.05, * p<.1*

Fixed Effect Results

We also run the data using a fixed effect and the results show that R&D is significant and positive, the tax level also remain an important and significant factor while market liberalisation and credit penetration is also significant. On the other we observe that economic growth rate is not an important variable in explaining venture capital investments in these countries.

Regression results: PANEL DATA (fixes effect)

Venture Capita	Coef.	St.Err.	t-	p-value	[95% Conf	Interval]	Sig

				value			
R&D	29.445	6.075	-4.85	0	-41.434	-17.456	***
TAXES	-1.521	.588	2.59	.01	.361	2.682	**
GDP growth	1.198	1.547	-0.77	.44	-4.252	1.856	
Credit/GDP	.576	.274	-2.10	.037	-1.117	-.034	**
Constant	6.163	.407	15.13	0	5.359	6.967	***

Mean dependent var	5.601	SD dependent var	1.977
R-squared	0.175	Number of obs	194.000
F-test	9.289	Prob > F	0.000
Akaike crit. (AIC)	281.248	Bayesian crit. (BIC)	297.587

*** p<.01, ** p<.05, * p<.1*

Hausman Test

In order to select which of the models is more appropriate we use Hasuman Test and show that fixed effect model is better at explaining the data. Where by the null hypothesis that random effect model is better is rejected.

	Coef.
Chi-square test value	44.226
P-value	0

5. Conclusion

Our paper assesses the factors that influence venture capital markets investment in different countries. Through our analysis we find that in contrast to previous studies economic growth while a positive factor is not an important determinant. Previous studies show that venture capital is an important factor in affecting economic growth in a country and therefore this link is not so clear and the problem of a close relationship between these two variables might arise. Therefore this paper suggests that while capital markets are directly affected by lower economic growth the relationship with venture capital markets is not as clear.

However, we find that other factors like research and development, tax rates and development of financial institutions remain an important factor in attracting more venture capital investment. We therefore recommend that Europe needs to harmonise its tax rate system and provide incentives to new start-ups as well as venture capital institutions to invest in Europe. While government funding has become an important factor in determining the level of VC

funding in Europe it still poses the problem of crowing out where by government funds pushes out private investment. The latter in USA in contrast to Europe remains an important source of financing new start-ups. Despite this it does not mean the European Commission should not carry on financing EU countries through its research and development projects. As our work shows a country that has a high degree of investment in research and development is also more likely to attract new start-ups as well as VC funding.

Bibliography

A Romain, B. P. (2004). The determinants of venture capital: a panel data analysis of 16 OECD countries. Unviersite de Bruxelles Working Paper WP-CEB 04/15 .

Abramowitz, M. (1956). Resource and output trends in the United States since 1870. American Economic Review , 5-23.

Ahmed, M. (2015, September 1). The moral hazard created by buckets of start-up funding. Financial Times , p. 20.

Auditors, E. C. (2019). Centrally managed EU interventions for venture capital: in need of more direction. European Court of Auditors.

Axelson, U. (2012). European Venture Capital: Myths and Facts. London School of Economics.

Bottazzi, L. (2002). Venture Capital in Europe and the Financing of Innovative Companies. Economic Policy , v.34, 229-69.

Challange Advisory. (2017). Retrieved September 20, 2020, from Challenge.rog: https://www.challenge.org/insights/structural-differences-in-eu-vs-uk-vs-us-2/

Commission. (2018, April 18). Europa.eu. Retrieved September 20, 2020, from https://ec.europa.eu/commission/presscorner/detail/en/IP_18_2763

Djankov, S. T. (2010). The effect of corporate taxes on investment and entrepreneurship. American Economic Journal: Macroeconomics , 31–64.

Donatella Gatti, C. R. (2009). Unemployment and finance: how do financial and labour market factors interact? Working Paper, No. 2901, Center for Economic Studies and ifo Institute (CESifo) .

Fehn, A. B. (2003). Does Venture Capital Investment Spur Empployment Growth. CEPS WORKING DOCUMENT NO. 197 .

Fundz.net. (2020, August 20). Fundz. Retrieved Septmber 20, 2020, from https://www.fundz.net/what-is-series-a-funding-series-b-funding-and-more#b

Gage, D. (2011, March 12). The Venture Capital Secret – 75% of Startups Fail. Wall Street Journal , p. 26.

Gompers, P. a. (1998). Conflict of Interest in the issuance of public securities: Evidence from Venture Capital. NBER Working Paper .

Hege, U. (2003). Determinants of Venture Capital Performance: Europe and the United States. University of Amsterdam .

Hellmann, T. P. (2000). The interaction between product market and financing strategy: The role of venture capital. Review of Financial Studies , 959-984.

Kaplan, S. N. (2007). How do legal differences and experience affect financial contracts? Journal of Financial Intermediation , 273–311.

Kräussl, R. (2016). Has Europe been catching up? An industry level analysis of venture capital success over 1985 - 2009. CFS Working Paper, No. 2012/16 .

Lerner, J. a. (2005). Does legal enforcement affect financial transactions? The contractual channel in private equity. Quarterly Journal of Economics , 223–246.

Lerner, J. (2016). Best Practices in Creating a Venture Capital Ecosystem. Multilateral Investment Fund.

Lerner, J. (2010). The future of public efforts to boost entrepreneurship and venture capital. Small Business Economics , 255-264.

Michelacci, C. a. (2007). 'Business Creation and the Stock Market,. Review of Economic Studies , 459–481.

Porteba, J. (1988). Venture Capital and Capital Gains Taxation. Massachusetts Institute of Technology and NBER .

Prencipe, D. (2017). The European venture capital landscape: an EIF perspective. Luxemburg: European Investment Fund.

Reiff, N. (2020, March 5). Series A, B, C Funding: How It Works. Investopedia .

Ufuk Akcigit, E. D. (2019). Synergising ventures: The impact of venture capital-backed firms on the aggregate economy. VOX EU .

ZHANG, B. (2013). Does venture capital spur economic growth? Evidence from Isreael. Romanian Journal of Economic Forecasting , 115-125.

Zwilling, M. (2011, January 12). Startups Get No Help From an Investment Bank. Retrieved September 20, 2020, from BusinessInsider: https://www.businessinsider.com/startups-get-no-help-from-an-investment-bank-2011-1

The Fall of the Communist Regime in Albania as a Factor of Religious Resurgence

Justinian Topulli

Ph.D. Cand. European University of Tirana

Abstract

This article provides a theoretical approach to how the fall and failure of communist ideology in Albania favored the resurgence of religious beliefs. Albania had lived for almost half of the century under a regime that emphasized the "creation" of the new man. This man, among other things, carried a secular, anti-religious and materialistic identity. All forms of his education were such as to exclude any influence or inclusion of religion in it, even as a secondary cultural element. The then government and all its institutions conveyed to the Albanian society in all possible forms and ways an anti-religious, contemptuous and hateful spirit towards religion and everything related to it. And finally, materialist ideology, without any metaphysical spiritual value, was the essential feature by which the formation of the "new man" was characterized. These three elements: atheist education, the struggle against religion, and materialist ideology, were powerful factors that led one to believe that religious revival was disadvantaged among the people.

Keywords: *identity crises, communism, resurgence or religion.*

What disadvantaged the return to religion in Albania?

After the release of the freedom of the faith, this faith had to be limited to that generation of people who had lived the time of freedom of religion and had not been completely alienated from the three elements above. It is something interesting in fact how perhaps a good part of Albanian intellectuals never thought that there would be a visible return to religion by Albanians, even by prominent voices such as Ismail Kadare.[1] So based on these premises what happened after the 90's was something unexpected, in terms of size and extent, which pushes us to look deeper into the reasons and causes related to the effect that the former regime had on people and the new reality they faced after him. It is this finding that Huntington makes when he says:

> "The ubiquity and weight of religion came as a surprise in the former communist states. Filling the gap left by the fall of ideology, religious revival has spread to these countries from Albania to Vietnam."[2]

[1] In an interview given to "Top Channel" on February 16, 2015, for the show "Shqip" Kadare claims, among other things, that in a conversation with Ramiz Alia, where he asked him to reopen the cult objects, he had told him that the rapprochement of Albanians with Europe will automatically to increase the number of atheists ..., and that this prediction of his did not come true. https://www.youtube.com/watch?v=ywoGl3ro9NI

[2] Samuel P. Huntington, The Clash of Civilizations and the Reconstruction of the World Order, Albanian published by Logos-A, 2004. p. 146.

The crisis of the communist state and the rediscovery of religion

For thousands of years, but even today, religion has played a primary role in the creation of social institutions and their well-being. "Religion is at the foundation of the social order."[1] With the advent of the era of modernity the role of religion in this regard began to pass more and more into the hands of the nation-state, which in turn created other institutions. But the institutions that created and followed the creation of nation-states often face crises, especially nowadays. These institutions were sacred to the nation-state, so the shock of these sanctities comes with direct tangible consequences to the worldview of the people. This is because man in his nature always seeks to rely on assurances, which to return for him to holiness. So, the crises that shake these security-sanctities bring to people a state of insecurity and disorientation. In such a situation the society or certain parts of it are put in search of new orientations and securities. Of course, religions are much older than the nation-state and its institutions, so they will again be strong points of reference for many individuals and societies. In this context, Peter Berger says:

> Modernization, for perfectly understandable reasons, undermines all old security; insecurity is a condition that many people find very difficult to endure; Therefore, any movement (not just religious) that promises to provide or restore security has a ready market.[2]

Manlio Graziano in the same context says:

> The crises suffered by the institutions of the state and in particular those of the communist state, which had undertaken to be everything for the citizen, caused insecurity and disorientation. So, individuals, in the first place, were and are looking for new and strong points of reference. Of course, religions and faiths that exist long before nation-states and have been able to survive him, and especially the communist one, are for many people the strongest point of reference.[3]

Communism was a modern product that had failed, precisely in the fulfillment of its ultimate ideal, which remained an unfulfilled desire and as such it turned into a disappointment:

> When the fulfillment of a wish becomes clearly and ultimately impossible, then the illusion turns into disappointment, the belief in progress turns into skepticism. At this moment only a new faith can bring man out of this state of despair, and this is a new faith possibly nourishing a stronger ideal than the first.[4]

Gjergj Sinani states:

> In the conditions of a long lack of freedom of religion and when the cultural life was monocultural, as well as the value system was commanded and controlled by a highly elaborate structure, the transition to a new stage of society could not be unaccompanied by a kind of crisis in the value system, including moral values. It is

---

1 August Comt, in "Sociological Theories", from Lewis Coser & Larry Ridener, Published in Albanian from "Plejad", Tiranë 2005, p.24.
2 Berger, Peter L. 1999. The Desecularization of the World: Resurgent Religion and World Politics. Washington and Grand Rapids: Ethics and Public Policy Center. f.7.
3 Graziano, Manlio, Holy War and Holy Alliance, Bot. Saras p.17.
4 Ibid, f.43.

understood that in these conditions' religion would play an important role in the spiritual life of the people. For a long time, people ruled by official ideology had identified themselves with institutions such as the party, professional unions, organizations of official masses and so on. After 1991, people believed in the promises of the parties on the establishment of democracy, the rule of law, social justice, etc. The year 1997 struck many beliefs and illusions about the democratic system. In a situation where the feeling of insecurity deepens, people are looking for someone or something that can guarantee them, if not complete security, at least a sense of security. One of the characteristics of religious traditions is that they determine the norms and values of their adherents.[1]

Other scholars note the gap left by the fall of communism and the return to religion as part of the replacement of loss:

Undoubtedly at the beginning of the twenty-first century, the collapse of communism and the fall of socialist idealism may have left an ideological vacuum. Opposition to reliance on market forces and the desire to return to a more common, traditional way of life continues, especially in times of crisis, but now religious ideologies, once thought of as anachronisms of the past, in various parts of the world are returning to fashion.[2]

The old ideologies were discredited by the collapse of the Soviet Union and the Communist ideology, while the promise of great benefits from the liberal-democratic capitalist state ... failed to materialize in many countries around the world.[3]

As can be seen from these claims, the return to religion is seen not only as a crisis of communist ideology, but also as a crisis of modernization itself, and as Graziano says, although this crisis has been experienced around the world in different ways, whether these countries are developed or in development, this crisis "restored to all religions their function of anchor of encouragement and consolation, when human solutions show their limits."[4]

Samuel Huntington thought that religious revival, regardless of local causes, the fact that it has a global dimension, requires a global explanation and in addition to the specific causes of each country, it also has its general side, which is extremely important. According to him, the very social, economic and cultural modernization that swept the world in the second half of the twentieth century, is the obvious and powerful cause of religious revival, although precisely this process was thought to be the killer cause of religion. He argues that since the former sources of identity and authority were destroyed, especially with the failure of communism, to be a successful ideal, both ideologically, spiritually and economically, then this failure caused an identity crisis. But people need new sources of identity and new forms of a stable community, as well as new moral principles, to give them a sense of meaning and purpose in life, and it is religion that best fulfills this, he says. According to Huntington, the most exposed to this crisis are those who have suffered the most from the rapid development of modernization, which is reflected in the urbanization of large population groups, which are

1 Gjergj Sinani, Religion and education, p.8.
2 How Societies Change, Daniel Chirot, bot. AIIS, Tirana 2012, p. 204
3 Bruce Hoffman, Inside Terrorism (New York: Columbia University Press, 1998), 87., siç citohet nga Mohgadam 2003, f. 63.
4 Graziano, Manlio, Holy War and Holy Alliance, Bot. Saras p.22.

moving from rural or other areas to cities and metropolises, feeling more than anyone the need for socialization and community, which will give them a sustainable identity. This is exactly what has happened in Albania, where obviously the immigrants from rural areas and other cities towards Tirana and the center of Albania, or even in other big cities, be they students with temporary residence, were they who mostly returned to religion. But, it should not be thought that this included only the rural stratum of the population, although it is understandable that most would be from them, but also included those citizens, who faced changes in the social structure, which brought the influx in city, without forgetting here the gap left by the fall of communism, the need arose for them to find themselves in this new social reality. In a time of strong social change, as Albania underwent after the '90s, former identities were shaken, and some even dissolved, and this required a redefinition of self, to adopt a new identity. Of course, here with a new identity does not necessarily mean something that never existed before and was absolutely not present until then, even as part of a legacy forgotten or faded by communism, but here we aim to rediscover of this identity lost in time. In fact, people in most cases are likely to find this new identity, precisely in their heritage, in secondary and covered social or even ethnic identities, which they have had before. People are faced with the question: Who am I? Where do I belong? And religion gives convincing answers to the first, while religious communities provide people with the socialization they lost through immediate new urbanization.[1]

The fact that the identity crisis caused by the fall of communism was not deep and tragic for many Albanians, shows that his other social identities were there, albeit unexposed and weak. Religion had survived communism, despite all the damage it suffered. She was there as an alternative that would take life to replace exactly what had been her greatest enemy and usurper of her place in the souls of the people. "In Russia, the religious revival," says Huntington, "is the result of an ardent desire for identity that only the Orthodox Church can give, the only unbroken connection with the Russians of the past thousand years." [2]

"In a more general view," Huntington argues, "the religious revival around the world is a reaction to secularism," and this applies to Albanians who had gone through one of the most brutal secularist regimes, but in Huntington's view, was a reaction also, to the "moral relativism of complacency" which seems to have appeared very quickly with the opening of Albanians to the world, "as well as reaffirmation of the values of order, discipline, work, mutual assistance and human solidarity"[3] values that began to lose very quickly after the fall of communism.

If religious revival is an anti-secular movement then Berger's assertion is valid, since the social basis of secularization was the elite, then consequently religious revival (Berger calls desecularization) beyond purely religious motives, is a "protest movement". and resistance against a secular elite. "[4] Even Bryan Turner states that "We can express with some irony that

---

1 Ibid.
2 Huntington, p.149.
3 Ibid.
4 Berger 1999, f. 11.

any attempt to further secularize society is accompanied by an increase in the importance of religion in the public sphere."[1]

Seen with this eye applied in the case of Albania, we can say that the religious revival is a fact that reflects to some extent a silent and often implied and unarticulated social conflict, which is the latent north-south conflict. In this context, the religious resurgence, which has obviously affected mostly the northern, Catholic and Muslim areas and much less the southern ones, Orthodox, Muslim and Bektashi, is in a way an expression of an identity revenge against the former secular communist elite that came mostly from the south of Albania. This repressed religious identity of the north, of course, has been preserved during the communist era and has also served as a kind of silent dissent against that regime, and at the moment of the fall of communism in Albania it is revived to become more powerful and visible, as a sign of victory over the former communist elite and its regime. Of course, in both the north and the south there were areas that were more religious or more secular both then and now, but if you look closely you will notice that the most religious areas were once even the most anti-communist both during the regime and afterwards. This is reflected e.g. especially in those first years also in political participation, where the Democratic Party e.g. as the first and largest force to oppose the former regime, it consisted of more northern Albanians, Muslims and Catholics, as opposed to the Socialist Party, which was seen as a continuation of the Labor Party, which once dominated atheists and southerners.[2]

References

[1] Huntington, Samuel P The Clash of Civilizations and the Reconstruction of the World Order, Albanian published by Logos-A, 2004.
[2] Lewis Coser & Larry Ridener, "Sociological Theories", Published in Albanian from "Plejad", Tirana 2005.
[3] Berger, Peter L. 1999. The Desecularization of the World: Resurgent Religion and World Politics. Washington and Grand Rapids: Ethics and Public Policy Center.
[4] Graziano, Manlio, Holy War and Holy Alliance, Pub. Saras, Albania.
[5] Sinani, Gjergj Religion and education. Publication by "Friedrich Ebert Foundation" Albania, 2017.
[6] Chirot, Daniel, How Societies Change, Pub. AIIS, Tirana 2012.
[7] Hoffman, Bruce, Inside Terrorism. New York: Columbia University Press, 1998.
[8] Turner, Bryan S. Sociology and the study of religion, sacred and secular in modern societies. In "Social Sciences", editor Fatos Tarifa, Onufri, Tirana, 2013.
    Websites
[9] https://www.youtube.com/watch?v=ywoGl3ro9NI

---

[1] Turner, Bryan S. Sociology and the study of religion, sacred and secular in modern societies. In "Social Sciences", editor Fatos Tarifa, Onufri, Tirana, 2013. p.466.

[2] According to a poll by the Institute of Political Studies, among Socialist Party delegates in 2004, over 30% of them declared themselves to be atheists, while according to a 2016 poll this number was 12.7%. See: http://isp.com.al/wp-content/uploads/2019/02/Gjetjet-kryesore-te-sondazhit-te-ISP-ne-Kongresin-e-PS-19-03-2016.pdf Meanwhile that according to the same source the number of atheists in Democratic Party delegates in a 2018 poll the number of atheists was 2% versus 98% who declared with a certain religious identity. According to the same source, the percentages have not changed almost from the data of 2005. See: http://isp.com.al/wp-content/uploads/2018/05/isp-gjetjet-kryesore-ne-anketimin-e- developed-in-the assembly-e-pd-2018.pdf

[10] http://isp.com.al/wp-content/uploads/2019/02/Gjetjet-kryesore-te-sondazhit-te-ISP-ne-Kongresin-e-PS-19-03-2016.pdf

[11] http://isp.com.al/wp-content/uploads/2018/05/isp-gjetjet-kryesore-ne-anketimin-e- developed-in-the assembly-e-pd-2018.pdf

An Overview of the Treatment of Religion Under the Communist Regime in Albania

Justinian Topulli

PhD Cand. European University of Tirana, Albania

Abstract

The struggle against religion during the communist regime in Albania became an important part of what the communist state treated as class struggle. This war had two stages, before 1967 and after this year, which ended with its complete legal ban and the closure of places of worship. The fight against religion extended both ideologically and practically, but mostly the communist regime gave importance to the fight against religiously based traditions and holidays, as well as in qualifying religion not only as a supporter of the ruling classes, but also as collaborators with foreign enemies and in their service. An important part of the fight against religion in Albania has been the persecution, imprisonment and death sentence of the clergy.

Keywords: An overview of the treatment of religion under the communist regime in Albania

Introduction

The communist state after taking power did not appear from the beginning as a sworn enemy of religion and as a state that sanctioned atheism, as its only ruling ideology and "religion", but it was content with just being secular. The 1946 founding statute guaranteed freedom of religion and sanctioned the separation of state and religion.[1] Even the 1949 law on religious communities provided that the state could economically support religious beliefs. In fact, this was a tactic, as the reality later showed, to make them economically dependent on the state, because of the economic reforms that would follow, such as agrarian land reform, tax reform, property nationalization, for state and public interests, which would directly affect the economic income of religious institutions.[2] The fight against religion took place in several stages, and if we refer to 1967, the year when religious freedoms were abolished, then we can divide them into two-time stages, the one before 67 'and the one after this year. This does not mean that something fundamentally changes from the war on religion in both stages, just after 67 'it became more determined and direct and sanctioned by law, but in the meantime the battles for the eradication of religion and the destruction of its human and material infrastructure, had begun in an escalating manner since the communists took power. And here

---

[1] Statute of the People's Republic of Albania, Art.16, in "Gazeta Zyrtare" nr.19. Tirana, 19 March 1946, p. 2. Cited work as mentioned in "Procesi i Asgjësimit të Fesë në Komunizëm", Azem Qazimi, Tiranë 2012, published by "Institute for the Study of the Crimes and Consequences of Communism".

[2] See for this Giovani Cimbalo, "Pluralismo confessionale e comunita religiose in Albania", translated and published in Albanian from "Naimi" 2013, p. 108, 109.

is how the report of the Central Committee of the Party summarizes the first phase, describing the period before 67 'with these words:

Of course, this big hop is not random. It is the result of all 25 years of Party work. From the very beginning the Party educated its members and the masses in the spirit of atheism. After the liberation it took important measures. The separation of religion from the state and the school, the constant restriction of religious institutions, the restriction and then the liquidation of opportunities for the preparation of religious staff, closing the relevant institution, the ban on the publication of religious literature, etc., is an important positive factor for the fight against religion. But the main thing is the great work of the party to spread education and culture, to eradicate ignorance, to spread scientific knowledge in all fields and many other measures of an ideological nature. All of these constitute a whole period of necessary quantitative changes that are leading to qualitative changes.[1]

The struggle against religion, therefore, involved many fronts, first the ideological one, presenting religion as deception, as a reactionary ideology in the service of foreign occupiers and the ruling feudal-bourgeois classes, as divisive of the people, as the protector of bad backward habits, as economic exploiters and oppressors of the people, as an obstacle in the way of socialist development and progress of the country, as a remnant of the dark past, as opium for the people, ... etc. Of course, all these accusations would have their materialization in human victims, who were precisely the clergy, imams and priests, monks, sheikhs and fathers, as well as ordinary believers. Many of these clerics would be accused from the first stage of the war on religion of absurd accusations, which at first glance hit the individual, but which were essentially intended to fight religion and damage its image in the people, often proclaiming them guilty these people of crimes they had not committed, declaring them "enemies of the people", who had collaborated with fascism and agents of those who sought to overthrow "popular power" by force.[2]

On the ideological front the basis of religious doctrine, the existence of God, and religious dogmas were attacked, presenting them as untrue, as deceptions, as obscurantist, as outdated, as unnatural, as foreign, as harmful to the mind, the human body and feelings...etc. Religious practices, which were considered as bad and backward habits, were attacked with the same accusations. The celebration of religious holidays, such as Eid and Easter, various religious worships, such as fasting, mourning, practices of religious origin such as circumcision, the baptism of children, the distribution of Easter eggs, the use of symbols were attacked. religious ceremonies, funeral ceremonies with priests and imams, prayers for the dead ... etc. Particular attention was paid to the purification of spoken language and folklore from religious words and elements, especially those of foreign, Turkish, Arabic, and Latin origin. This battle also included the names of people who, now and then, should be Albanians and no longer refer to religion.

Certainly, the struggle against religion on the ideological plane went side by side with the construction of the new socialist man, his molding with Marxist-Leninist ideology, with dialectical materialism and with scientific atheism. And this goal was fulfilled through

---

[1] Informative report: On the first results of the fight against religion and Some measures for its further deepening (30.08.1967) http://www.observatorikujteses.al/shqiperia-ateiste-si-u-shemben-2169-kisha -e-glass /

[2] Most of the clergy shot and killed in prisons occurred just before the religion was banned in 1967.

propaganda with all the means of information and public education owned by the state, and in particular through education, which from the beginning was taken by the state as its exclusive right to educate the younger generation.[1] The state also deprived religious communities of the right to have charitable institutions, thus restricting them to the human dimension, forcing them to be mere administrators of places of worship and rites within them.[2]

Legal pressure on religious communities

Legally, the communist state on November 26, 1949 approved the decree no. 743 "On religious communities", where each community would be recognized and would have the right to spread its activity, only after the adoption of new statutes of religious communities, which were already placed *de jure* under state control. The state had the right to intervene by proposing the dismissal of religious officials, starting with the heads of religious communities. Even their appointment could not be made without first obtaining the approval of the Council of Ministers. And if the religious communities did not take measures to implement these decisions of the state, then the latter intervened administratively.[3] Even according to Article 34, those who started the duty without being approved according to the provisions of this law and those who were dismissed from the duty, but continued to exercise it, were sentenced to 3 years of imprisonment. This law also required religious communities to develop their activity in believers the sense of allegiance to communist power, which they called the power of the people.[4] Religious communities continued their activity legally until November 13, 1967, where with decree no. 4337 of the Presidium of the People's Assembly, on the proposal of the government, all statutes of religious communities are repealed and the law enters into force immediately.[5] But before this decision, for the outlawing of religious communities, the same legislative body on April 11 of the same year, on the proposal of the government issues decree no. 4263, which nationalizes all property of religious communities, except the buildings where they were located, which appear to have been left for later. The justification given was that private property and that of religious communities "do not agree at all with the uninterrupted and comprehensive revolutionization of the life of our country."[6] After these decisions, there was nothing left but the mass destruction of cult objects or their transformation into objects for other purposes. In 1976, the new constitution of the country was approved, which in its preamble, praising the achievements of the communist state, also

---

[1] As early as November 1946, the Ministry of Education passed a law on teaching, reiterating that the education of the younger generation belonged only to the state, based on Article 58 of the 1946 constitution, which stated that "school is separate from religion." See "Pluralism of faith and religious communities in Albania" p.111.

[2] Under the 1949 Law on Religious Communities, Article 24 did not allow them to open hospitals, orphanages, and similar institutes; those that existed until then were nationalized free of charge and administered by the Ministry of Health and the Directorate of Social Welfare.
http://licodu.cois.it/?p=289&lang=en

[3] See Articles 13 and 15 of this law. http://licodu.cois.it/?p=289&lang=en

[4] See Article 12 of this law. http://licodu.cois.it/?p=289&lang=en

[5] On the repeal of some decrees. This decree was signed by the mayor Haxhi Lleshi and the secretary Bilbil Klosi. http://licodu.cois.it/?p=291&lang=en

[6] On the nationalization of premises built for the exercise of trade, industry, handicrafts or profession, for offices or warehouses, which are privately owned, as well as the nationalization of the real estate of religious communities. http://licodu.cois.it/?p=349&lang=en

boasted about what made religion, saying that "the foundations of religious obscurantism were destroyed" and that the moral figure of man worker, his conscience and worldview are formed on the basis of the proletarian ideology, which is the ruling ideology."[1] Article 37 of this Constitution clearly sanctioned hostility to religion, saying: "The state does not recognize any religion and supports and develops atheistic propaganda to instill in people a materialist scientific worldview." Article 55 prohibits the creation of any religious organization, putting it in line with fascist and anti-democratic organizations. The Criminal Code of 1977 in its article 55 punished, among others, agitation and religious propaganda, as well as the preparation, dissemination and preservation for dissemination of such literature, with 3 to 10 years of imprisonment.[2]

Panorama from the war against religion

February 6 speech and its echo.

On February 6, 1967, Enver Hoxha gave a speech to some of the basic party organizations in the Tirana district.[3] This speech is also considered as the beginning of the process and the instigator for the campaign against the religion of 1967. The whole speech, summarized in its title, focuses on what he calls "Further revolutionization of the party and power" where he deals with criticism of wrong phenomena in the party and in the state, which according to him do not agree with the line of the party and of the Marxist-Leninist ideology. In just two lines, of this speech of more than fifty pages, he attacks religion and what was called backward customs. The only phrase he indirectly mentions religion, is what he says at the beginning of his speech criticizing the lack of revolutionary spirit and absurdity of being called in revolutionary positions of a basic party organization, such as that of the port of Durres and a workshop her, meanwhile "that during the day he works well, is distinguished, even praised, and in the evening at home, he makes church icons and sells them in the morning to private believers?"[4] And in the same critical spirit a little below he speaks of what he called the "sale of girls for marriage" accompanied by the threat: "The whole party and the country must stand up, burn with fire the backward customs and they behead anyone who violates the sacred law of the Party for the protection of the rights of women and girls."

Although this speech does not seem to deal essentially with religion directly or with what was called backward customs, it seems that it has "inspired" a host of "revolutionary" movements and actions throughout the country from one corner of Albania to the other to fight religion, and backward customs.

The truth is that that speech and those few words were just a war cry to conclude what the communist party had already started in time. The day after the publication of this speech in the newspaper "Zeri i Popullit", the same newspaper on February 8 published in big letters on its front page the title: "With the sharp sword of the party ideology against the religious ideology". It reflected the initiative of the young people from Durrës of the "Naim Frashri"

---

[1] Constitution of the Socialist People's Republic of Albania of 1976,
http://licodu.cois.it/?p=383&lang=en

[2] See Azem Qazimi, The Process of the Extermination of Religion under Communism, p.113.

[3] Held at the meeting of some basic party organizations in the district of Tirana, published in Enver Hoxha, Vepra 35, published by the Publishing House "8 Nëntori" Tirana 1982.

[4] Ibid. p.3

gymnasium, who demanded the closure of churches and mosques.[1] So everything was planned in advance and was by no means a spontaneous youth initiative, as it sometimes tries to present itself.

The official voice of the communist government on February 12, 1967, called for:

Prejudices and religious customs preserve the seed of human degeneration and if they were not fought bravely, the new communist man could not be formed, he could not move towards the full construction of socialism. The working masses have rightly been attacked on the most difficult front, in order to eradicate religion from the hearts and minds of people ...[2]

After that, a stream of articles and publications would follow this hysterical campaign against religion and "backward customs". Religion was involved in backward customs, and the fight against it was described as "The fight against backward customs and religious beliefs - an expression of class warfare." This was in fact one of the many titles published in the same year, by the propaganda machine of the ALP, which contained fifty letters, that groups of citizens, old and young, peasants and citizens, workers and cooperatives, sent to the first secretary of the Central Committee of the Labor Party, Enver Hoxha himself, with a pathetic zeal and a standard discourse, to make it seem as if he had written, if not edited, the same hand, where they showed him "excited" how they had received this speech and how they had reflected on his teachings, criticizing the shortcomings that this speech pointed out, and that for them it had to do with the remnants of the past and backward habits, which had to do mainly with behavior towards women and girls, with their engagements and early marriages, with their aggravated dress, with their way of life and customs and traditions related to religion and other customs. In some cases, these customs are presented as "Turkish customs", as "Anatolian customs left by the Ottomans", as "the remnants left to us as a legacy of 500 years of Ottoman rule and the Zog regime". In all these messages, along with backward customs, religion is condemned as the ideology of the ruling, feudal-bourgeois classes, which served the subjugation of the masses and as an obstacle to moving forward in building socialism, which had already become the ideal cause and why not also the "religion" and the new faith of the Albanians. Religion was labeled as a divisive tool of foreign invaders and as their legacy to serve their conquering interests, as a reactionary, untrue ideology used by the clergy to deceive the people and profit at their expense, as "repression in the dark and ignorant" as "foreign habits and harmful to the Albanian family". In these letters, we find the standard accusations that the state party had already projected for years, such as:

The foreign occupiers, the reactionary governments, the traitors who had been sold to them, the clergy and his servants, during their rule in our province, as everywhere in Albania, together with the oppression and savage exploitation introduced backward customs and religious ideology. This was done by the enemies and traitors in order to rule over the people more easily, in order to get as much income from them as possible, so that the wild economic oppression was compounded by the dreams of religion and clergy with which he blessed a thousand vileness. We all agree with you that the fight against religion is a class war. We are of the opinion that we still maintain some backward thoughts and customs, such as belief in

---

[1] Ngjela, Spartak (October 2, 2011). "The politicians of February '67 who rule Albania".
http://fjala.info/arkiv/fjala1/politikanet-e-shkurtit-67-qe-sundojne-shqiperine/ taken on November 3, 2020.
[2] "The fight against religion - Aspect of the class war", Zëri i Popullit, February 12, (1967): 1.

religious services, in the dogmas of the religion and its servants, the imams and priests. They have lied to us for centuries and we have not been able to distinguish truth from lies, dream from reality.[1]

In these letters, messages are read vows to break the fast of Ramadan and to break the fast of Lent and Matem, not to celebrate Eid and Easter, Summer Day, Nowruz, Shëngjergj, not to do circumcision, where this was also labeled as an evil left by the Ottomans, not the baptism of children, not the celebration of holy days, the prohibition of slaughtering sacrifices, the prohibition of religious ceremonies in burials, the non-reddening of eggs, the non-keeping of the imam and priest in the village, the removal of houses of all icons, crosses and everything else that has to do with religious manifestations ... etc. The fall of the martyrs in the war was also related to the disappearance of religion, as it is said in one of these letters: "He fought and gave his life for the party and for the people, but also for the eradication of these religious beliefs, which served the beys and aghallars, to keep us their captives."[2]

Letters containing the war phrases against religion as:

"We will fight to the last beat of the heart against the vain beliefs and backward customs", "we will not renew the Turkish customs", "once again in old age we are fighting with the Ottomans", " we will fight mercilessly every religious waste in our conscience "," we have been lied to by these clowning imams ... imam to be expelled from the village at this time ", to be criticized and punished in the front organization "," to raise the weight of all the people of Puka district in the fight against the backward customs and false religious beliefs "," to fight with the utmost severity all religious prejudices and their instigators, to immediately give up every religious holiday and ceremony, to eradicate all icons and every distinctive sign of a religious character "," to trample once and for all on religious beliefs "," since religion has brought us all these evils, then why we must remain captive of these religious customs "," all those who observe Lent and Ramadan to break what today by considering fasting as a vain religious belief, which harms man and work. "," we promise you Comrade Enver that the fire of lit to burn every remnant of religion will be always kept lit "," having at the head the Party and you, your life-giving teachings, we will finally defeat the remnants of religious morality "," we promise you that we will show the utmost care that our children, who are born atheists, be such during their lives and we who have religious waste, to fight them until we finally eradicate them "," through conversations, lectures, press, books, photo exhibitions to work with the masses of youth, pioneers and all the people, to point out the profoundly reactionary role that the clergy has played in our district as well as the damage and futility of religious dogmas and backward customs "," through the lightning bolts we will discover foreign debris and punish them "we are in front of the masses so that they do not take root in the younger generation", "we launched the attack more determinedly to overthrow any support of the bourgeois religious ideology, these rottenness that especially in our city and district in time had smelled", " we will burn the backward and religious customs with fire so that there is nothing left for them".

---

[1] The struggle against backward customs and religious beliefs - expression of class struggle, p.135.

[2] See "Fight against backward customs and religious beliefs - expression of class struggle."

Inflating them with such messages and encouraging the youth in particular to take the first action against religious institutions, the situation almost got out of control.[1]

And all these initiatives, which in fact had started in time, were made at a time when the constitutional law still guaranteed the right and freedom of religion.[2]

Extreme operations, such as the total destruction of the material base of churches and mosques, were accompanied by the destruction of the buildings themselves. The remaining facilities were closed, or transformed into houses of culture, warehouses etc., until in November, Albania had permanently abandoned its religious neutral position and became the first and only country in the world to formally "establish" a system. "Official 'religious', called atheism, outlaws any other system."[3]

The dictator's directives on how religion should be fought

But the speech of February 6 was followed by another letter, which the leader of the communist party sent to the committees of the district party, on the fight against religion, prejudice and religious customs, and this on February 27 of the same year.[4] In this letter he sets out general guidelines for the path to be followed to be as successful as possible in the fight against religion and religious prejudice. Enver Hoxha acknowledges that religion is not easy to fight and that it is deeply rooted in the souls of the people, through obedience, but also the daily practice of various customs. The fight against it must be careful, he says, and studied as well as possible and implemented in a differentiated way, according to the country and the individual. He also says that the fight against religion should be developed in terms of dogmas and religious ideology, but also against practices and rites. He puts the emphasis most on rites and practices and on those elements, he calls backward customs and religious prejudices, because according to him, most people were associated with these elements of religion and not with its philosophy, as well as the clergy in general, with the exception of Catholics, according to him, were ignorant and had connected the people more with rites than with philosophical explanations of religion. He even claims that it is the action of the party that has brought the clergy to this state of ignorance, saying: "We have not left any of the schools, even the lower ones, where the new clergy came from, to interpret their religious doctrine. So, the clergy of every faith in our country have constantly exhausted themselves as cadres. As for the publication of books and their dogmas, this opportunity has long died for them."[5] He goes on to say that the demolition of cult objects is not easy, because it affects the sensibilities of the

---

[1] See P. Kondi and L. Hoxha, "Hulusi Hako: How I" tried God "and propagated atheism in Albania", Panorama, February 19, (2004): 14.

[2] Since 1967, clerics and religious communities have complained to the state about the damage to places of worship and their conversion into museums, houses of culture, entertainment centers, taking facilities for the needs of the army, as happened with the two rooms of a monastery in Elbasan, a church in Vithkuq, (74) or even with the madrasa of Tirana which in 1950 was forced by order to move from its building to a smaller environment, because that building was needed by the state for its needs. See for this Azem Qazimi "The process of annihilation of religion in communism" 2012, p.46, 74. Also see "Pluralism of faith and religious communities in Albania" p.113.

[3] Edwin. Jacques, Albanians - The history of the Albanian people from antiquity to the present day. (Tirana: Feather Card - F. A. Lincoln, 1995), 533.

[4] The letter is found in full in Enver Hoxha, Vepra 35, published by the publishing house "8 Nëntori" Tirana 1982. From p. 103-113.

[5] Ibid. p.104-105,

people, but nevertheless those places have been demolished by the "masses" and there has been no opposition, some of them have been demolished and others abandoned, others they have been turned into warehouses, and so on, so, he says, it should continue like this "until we flatten them from the face of the earth", while we should remove them from religious institutions, where we have left something, all the land, any olive roots or other income they may still have. "[1] The fight against religion according to his orientation had to be done with the patriotic and revolutionary spirit, because "it did not connect us nor does it connect us with religion, with its practices, not only as atheists but also as Albanian patriots ... to continue to obey these laws and customs means to be spiritually with strangers, with the darkest reactionary movements."[2] Here it is shown how the communist leader gives a special and central emphasis to Albanian nationalism as a weapon to fight religion, putting it on the side of Marxist atheism, but giving it even more weight. It is precisely this element that has led some scholars to consider Enver Hoxha's anti-religious more as a nationalist hostility to religion than an atheist anti-religious on Marxist grounds. Thus e.g. According to Bernhard Tonnes, the struggle against the clergy and religion in the communist regime in Albania did not originate from the socialist point of view, but from the nationalist one, he says:

As its main argument in the fight against Muslims, Orthodox and Catholics, the ALP claimed that all three religions wanted to destroy the National Unity of Albanians. In contrast, the exploitative role of the clergy was not attacked as in other communist countries. So the real motive of the fight against religion was not socialism, but nationalism. Nationalism is the source of totalitarianism in Albania. The slogan, 'The religion of Albanians is Albanianness', which belongs to the current dictionary of Enver Hoxha, actually originates not from the socialist era of Albania, but was formulated by the 19th century poet Vaso Pasha.[3]

As for Fatos Lubonja, who supports Bernd Fisher's idea, hostility to religion embraced two ideologies, the communist and the nationalist. According to them, even when communism lost its power as a unifying and inspiring religion, the dictator began to emphasize the national element in his propaganda.[4]

In Enver Hoxha's orientation letter, the nationalist weapon against the three religious faiths is summarized as follows:

A historical weapon against religion and reactionary clerics is the fact that the Muslim religion has been the ideology of the Turkish invaders, the Orthodox religion the ideology of the Greek chauvinists who have invaded our country in the past, and the Vatican-centered Catholic religion has been the ideology of the Italians invaders, of Austrian imperialism and Italian fascism.[5]

But, in the meantime, the dictator does not forget to admit a little below that there really were patriotic clerics, associated with the people and the idea of national liberation, but religion itself has never contributed to our national liberation. This man then says that the demolition of churches and mosques should not be done immediately and by order from above, nor by force, because it can be used by external enemies to tarnish the image of the regime but by

---

[1] Ibid.

[2] Ibid p.107.

[3] Bernhard Tonnes (1975) Albania: An atheist state, Religion in Communist Lands, 3:1-3.

[4] Fatos Lubonja, Magazine "Përpjekja" no. 20, 2006, p. 6

[5] Enver Hoxha, Vepra 35, published by the publishing house "8 Nëntori" Tirana 1982. p. 110.

persuasion and step by step. He even rebukes, although he sees as a positive action, the initiative of the Muslim and Bektashi clergy - in fact, the leaders of these communities, which were controlled by the state - that they were in a hurry and did not follow the party's guidelines, issuing circulars to remove the dress of the clergy and the handing over of mosques and tekkes.[1] In another letter dated April 7, 1967, from the conversation that the dictator had with the first secretary of the Party Committee of the Dibër district, he strongly emphasizes that no administrative measures should be taken for the abolition of religious institutions and that for this purpose "there is only one way: political, ideological work and persuasion".[2] But apparently he not only did not stick to this line, but only after a few months issued in the same year the law that prohibits the continuity of religious communities in the country and abolishes with a parliamentary decree the free exercise of faith.

Replacing religious holidays and celebrations with socialist ones

Given that the fight against religion by the Albanian communists focused mainly on religious practice and behavior, not to mention the ideological war, which was undoubtedly considered the foundation of this battle, but for objective reasons its effect on the people was weaker. Thus, the emphasis was on stripping the young socialist man of all religious customs and traditions, which the regime identified with backward customs even though it distinguished between them. Thus, the people were encouraged to abandon religious festivals and celebrations, as the most visible manifestation of religion, and oriented themselves "to replace religious festivals and other customs with feasts, customs and new norms with socialist content"[3] both party and national holidays, such as November 7 and 8, July 10, January 11, November 28-29, May 1, March 7 and 8, New Year, local holidays, such as the establishment of an agricultural cooperative, receiving agricultural production, harvesting grapes and olives, birthdays ... etc. Although the Communist Party held itself to be a workers' party and attached importance to work, it elevated it to a cult, and regarded religious holidays as an obstacle to the development of labor,[4] it was clear that religion fulfilled in man the need to remember and celebrate marked dates, so it created alternative celebrations and holidays dedicated to the cult of work and party, and then the homeland, martyrs, war, the founding of the republic, teachers, women, army, etc. The purpose of these holidays was not only to fill the emotional and spiritual void left by the abolition of religious celebrations but also to create and sustain a new cult, a new religion, which had its doctrine of salvation, had paradise and its earthly hell, its infallible gods and prophets. The Albanian communists said that:

By rejecting all religious holidays, we should organize the celebration of our national, local, or family holidays. But to organize them better, more beautifully, more magnificently than the clergy. Our holidays should stay in people's minds for a long time.[5]

---

[1] Ibid. p.112.

[2] Ibid. p.226.

[3] History of the Albanian Labor Party. Second edition. «8 Nëntori», Tirana, 1981, p. 433.

[4] While the communist party invented ridiculous celebrations for the creation of agricultural cooperatives, it considered sabotage to attend Friday prayers in the mosque or Sunday in the church! See for this Azem Qazimi "The process of annihilation of religion under communism" 2012, p.12.

[5] The letter of the ALP, circumcision and baptism are removed by decision. Metropol Newspaper, February 8, 2005 p.27. work cited as mentioned in The Process of the Extermination of Religion under Communism, 2012, p.100.

The communists with these holidays wanted to leave a strong impression on the people just as much as the religious holidays. This kind of ambition and spirit to compete with religion could not stem only from being an ideology with religious nuances, which cares not only for the human body, but also for its soul. The material prepared by the Central Committee for the new socialist holidays' states, among other things:

The broad masses of workers, and especially the youth, have made commitments to give up all religious festivals and ceremonies, old and backward customs, and to celebrate our socialist holidays. But this cannot be done immediately. To eradicate something, and so much the more it has to do with man's spiritual world, cannot be done unless it has been replaced by something more progressive for man.

As the material in question mentions a series of alternative holidays, from those of national, political and social character, it continues and says:

The abolition of religious holidays and their replacement by socialist holidays poses an ideological problem. This is not just about replacing religious holidays with our own, but it is about the daily spiritual food that man needs, so party organizations and mass organizations need to think seriously about how to better organize the education and entertainment of employees in work and after work.[1]

Of course, the communist party had achieved its goal, so much so that even the voices of ordinary people in the messages sent to the leader of this party expressed saying: "Eid for us will be from now on November 29", or "our religion to be "Albania", "our religion is the Homeland, therefore the priest and the imam have no business in our cradles" or "They tell us to fight backward habits, so oh men to fight them, because we will do well again. That we have no other religion but the party that changed the black life of us and all of Albania"[2] and all this was said in the context of removing religious holidays and rites from their lives. Even apostasy was seen as a spiritual cure for a chronic illness:

Religious prejudices and thoughts had become like a chronic disease in our soul, that there was no doctor to cure us. Only You, Comrade Enver, are the great doctor who healed our brains, hearts, and souls. May you live as long as the mountains and the marches from our days and those of our children.[3]

This spiritual healing that these people claimed, through an ideology that did not actually believe in the existence of the soul, from religious beliefs to party beliefs, could not be just a new religion rising on the ruins of the old, where its prophet was "He", in capital letters, the great doctor of the brain, soul, and heart, the one who deserved to sacrifice your life and the life of his family for him, even the children, the invaluable wealth of your parents. For anything other than something more sacred than his life and that of his descendants, man can sacrifice everything, and that is the thing he worships. We find this devotion to the party and its leader especially in religions, among them Christianity and Islam, where their followers are willing to sacrifice everything they have for God, or even for Christ and Muhammad. These are clear signs of a divine admiration and worship of the communist dictator. Enver Hoxha was not only

---

[1] Cited in The Process of the Extermination of Religion under Communism, pp.101, 102.

[2] See "Fight against backward customs and religious beliefs - expression of class warfare", Naim Frashri Publishing House, Tirana 1967. F.83.

[3] Ibid. p.90.

seen as a wise guide but as "our father, our leader, our teacher and our protector; with the Party and you at the helm we feel free, strong and brave in these snowy mountains".[1]

Wishes for him were the most amazing, for a millennial life, for a longevity and power of mountains "as the power of our people, as the power of our rocks, we want to be your power and health, to protect us from all evil, so that you can always take us forward and live as free Albanians."[2] expressed the people of the village of Shëmria, from the highlands of Tirana, in a letter to the communist leader, in which he vowed to give up backward customs and where, among other things, they promised that "we will finish the road on Your birthday."

It is astonishing how the communist party on the one hand claimed to be fighting religion, customs, and religious practices, that it was fighting the cult of the individual, how the word God, and Allah, which are proper names, began in small print, while pronouns that identified the communist leader like You, Yours, Yours, Yours, He etc. they wrote them out loud. It is astonishing how an ideology that did not believe in divine miracles inspired and allowed such absurd congratulations, despite the understandable literary hyperbole in it. This is another clear sign of communist idolatry towards their leader and one of the reasons for the rivalry with traditional religions in our country. This is also confirmed by Maks Velo, a former political prisoner, when he said that:

The new communist ideology, presented in a special way in Albania by dictator Hoxha, wanted to become a religion with a new god, himself. The fight against religion also had the task of eradicating Christian holidays and turning them into pagan rites ... the new communist-Enverist faith wanted to coexist with paganism.[3]

Anti-religious propaganda

Having all the means of propaganda at hand, the communist state produced a colossal mass of written demagogic, first and heard, propaganda, analytical and artistic literature, which directly and indirectly attacked religion and molded Marxist and atheist ideas and views on the world. It is almost impossible to summarize all this propaganda in a few lines because it stretched from the education of the younger generation at all levels of education and in all subjects to the specific anti-religious propaganda. Here we will quote some of the titles of the special literature against religion, to give an image:

-Arif Gashi, Paradise, and Hell (1963).

-Arif Gashi, The fight against religion is a fight for the formation of the new man (1974).

-Bik Pepa, Naked Religion: Satirical Poems (1967).

-The task of spreading scientific knowledge and fighting against bad habits and religious prejudices (1967).

-Evgraf Duluman, Why I No longer Believe in God: The Story of a Former Candidate of Theology (1963).

---

[1] From the letter sent from the village of Shëmri in the highlands of Tirana. As quoted in "There is no real social freedom without the full emancipation of women", Publication of the publishing house "8 November" Tirana 1967, p.5.
[2] Ibid. p.8.
[3] Maks Velo, "Anti-sign time", Tirana 2005, Zenit publications, p. 71.

-Fehmi Xhuglini, Medicine, and religion (1967).

Possible forms of mass cultural work in the fight against religious stigma: in aid of employees of cultural institutions (1967).

-G. V. Platonov, Darwinism, and Religion (1967).

-Gaqo Konomi, On the Origin of Religion and Other Religious Beliefs (1967).

-Gjystina Shyti, The church and the Catholic clergy of the church of Shënkolli ruthless exploiters of the Bregamat (1969).

-Hulusi Hako, The First Religion in the Light of Science (1962).

-Hulusi Hako, Kristaq Angjeli, Sotiraq Madhi, Bajram Preza, Religion is opium for the people (1964).

-Hulusi Hako, We Accuse Religion (1968).

-Hulusi Hako, Woman and Child-Most Sensitive Victims of Religious Ideology (1968).

-Hulusi Hako, The Court of God (1972).

-Hulusi Hako, Scientific Atheism (1983).

-Hulusi Halo, The Century Parasite of the Planet: The Vatican Without a Mask (1984).

-I. Sbrgajev, Science, and Superstitions (1949).

- I. Llupallo, Science, and religion (1955).

-Iljaz Gogaj, On the reactionary role of the clergy in the field of education: 1878-1939 (1972).

-K. L. Voropajeva, Did Christ Exist? (1958).

-Kolë Jakova, Dom Gjoni: comedy with three acts (1967).

-Kolë Jakova, Moisi Zaloshnja Dom Lleshi, and Zigur Efendi (1967).

-The struggle against backward customs and religious beliefs- an expression of class struggle (1967).

-Materials on the revolutionary movement against religion (1973).

-Mimoza Dojaka, The War Against Religion - Aspect of the Class War (1975).

-Mina K. Qirici, The Reactionary Essence of Muslimism (1967).

-Mina K. Qirici, Wonders of Religion (1967).

-Mina K. Qirici, How superstitions were born (1970).

-M. M. Sheinman, The Vatican, and Catholicism in the Service of Imperialism (1951).

-M. Pliseckij, The Origin of Man (1946).

-M. Melinkov, The Vatican and the Problems of Post-War Reconstruction (1947).

-M. Melinkov, Vatican Capitals (1947).

-On religion: excerpts from the works of K. Marx, F. Engels, V.I. Lenin, Stalin, and Mao Zedong (1967).

-On religious holidays and celebrations (1967).

-P. Popov, On the Politics of the Vatican (1947).

-P. Kolonisky, Marxism-Leninism on Religion (1951).

-Petro Marko, Blessing, the Goat, and the God: Stories (1967).

-The great revolutionary torch that will burn the bad remnants of the past (1967).

-APL on religion and atheist-scientific education of employees: excerpts from the works of Comrade Enver Hoxha and other documents and materials of the ALP (1967).

-Rakip Beqaj, The anti-national activity of the Albanian Catholic clergy (1969).

-Rakip Beqaj, The hostile activity of the Albanian Catholic clergy 1945-1971 (1973).

-Sami Leka, Conversation on Religion and Knowledge (1970).

-Sotir Melka, Damages of religious rites, and holidays (1967).

-Sotir Melka, Science, and religion are incompatible (1968).

-Students of the faculty of history-philology, To uproot religious ideology (1967).

-Science and religion are incompatible (1968).

-Ulvi Vehbiu, Maintaining Health: Mental Illness and Religion (1968).

-Viron Koka, The reactionary ideology of the clergy in the 1930s (1969).

-Zihni Sako, People and Religion (1967). etc ...[1]

These and other materials were published in thousands of copies and served during the dictatorial regime as the basic sources of spiritual food, the ideological conceptualization of the new generation, and the "new socialist man."

The tragic balance of the war against religion

Human balance, convicted clerics Part of the fight against religion was the denigration, ridicule and insult of the clergy, which started early. So much so that the clergy were forced to complain in their centers in Tirana, about the insults and ridicule that were done to them, even the beatings in public.[2] But this was nothing compared to the imprisonments, tortures and killings that this regime inflicted on the clergy. The number of Catholic clerics killed without trial, shot and killed by torture in communist prisons, published so far, is 63.[3] According to another source, the number of convicted Catholic clergy was 127.[4] While according to Pjetër Pepe, the

[1] For these titles and others, you can see the website of the National Library online. https://www.bksh.al/

[2] See Azem Qazimi, The Process of the Extermination of Religion under Communism, pp.21, 22.

[3] Kastriot Dervishi, Martyrs of the Albanian Catholic clergy massacred by the communists, http://www.observatorikujteses.al/martiret-e-klerit-katolik-shqiptar-te-masakruar-nga-komunistet-ne-vitet-1944-1989/

[4] Hysamendin Ferraj, in "Sketch of Albanian Political Thought", Skopje 1999, see p. 345.

number of those who suffered the persecutions of the dictatorship was a total of 228 people, of which 122 the author claims that he knew them himself.[1]

The published number of Muslim clerics killed without trial, shot and killed in prisons is 18, while 52 people are imprisoned.[2]

The published number of Bektashi clerics killed, shot and died in prisons is 10, while 25 people were imprisoned, 6 were interned.[3] The Bektashis also have a number of suicidal clerics, under unclear circumstances, but it is mainly believed because of the difficult state of persecution. The published number of Orthodox clergies, shot and killed in prisons is 5 people, while of those imprisoned 3 people, who were also some of the leaders of the Orthodox Church.[4]

Undoubtedly, these figures are incomplete for the whole community, as there is still no complete record of all the clergy who were persecuted by the communist regime, including the shooting, imprisonment, internment and persecution that accompanied them throughout their lives. So even these figures remain only a truncated panorama, but to some extent sufficient to understand the criminal dimensions of that regime against religion and its clergy. Suffice it to mention that according to the data of the communists themselves, the total number of professional clergies in 1967 who lost their jobs due to the closure of places of worship was 912,[5] of which about 550 were imams, about 400 priests, dervishes, sheikhs, etc.[6]

Closing of Cult objects

According to a report by the Central Committee of the Labor Party, the education sector dated 30 August 1967, published in the media, states: "With the exception of the great church of Tirana and the Catholic Church, all churches in the country have been closed, mosques, tekkes, tombs, waqfs, etc. This number reaches a total of 2169, of which 740 mosques, 608 Orthodox churches, and monasteries, 157 Catholic, 530 tekkes, tombs, maqams, etc. "[7] And all this happened within just a few months, before the decree was issued to outlaw the religious

---

[1] Pjetër Pepa, "The tragedy and glory of the Catholic clergy in Albania", as quoted at
https://www.proletari.com/tragjedia-dhe-lavdia-e-kishes-katolike-shqiptare/html
[2] Rolad Hysa, List of Imams and Prominent Muslim Figures Condemned and Persecuted by the Communist Regime, Kibla Magazine, no. 2, September December 2017,
http://hoxhallaret.al/2018/03/19/liste-e-hoxhallareve-dhe-figurave-te-shquara-muslimane-te-denuar-dhe-te-persekutuar-nga-regjimi- communist /
[3] Persecution of the Bektashi clergy, the official website of the Bektashi Community
https://kryegjyshataboterorebektashiane.org/persekutimi-i-klerit-bektashi/
[4] Andon Merdani, Metropolitan of Elbasan, https://interreligiouscenter.com/martiret-e-besimes-deshmi-atdhedashurie/
[5] According to AQSH data, Fund no. 890, of 1952, file no. 1427, 23 referring to "Pluralism of faith and religious communities in Albania", p.94, the Muslim community had about 1500 religious and support staff, of which 1269 were ordinary imams.
[6] Informative report: On the first results of the fight against religion and Some measures for its further deepening (30.08.1967) http://www.observatorikujteses.al/shqiperia-ateiste-si-u-shemben-2169-kisha-e-xhami/   Here it is noticed that the amount turns out to be around 950 clerics and not 912, while the detailed figures may also include non-professional clerics, as the report calls them.
[7] Informative report: On the first results of the fight against religion and Some measures for its further deepening (30.08.1967) https://shqiptarja.com/lajm/lufta-kund-euml-r-fes-euml-nbsp-si-u-mbyll-euml-n-brenda-br-gjasht-euml-muajve-2-169-kisha-e-xhami?r=app see also
http://muzeuimemories.info/rreth-muzeut/

communities and completely contrary to what the dictator himself had oriented as a method of war against religion! This shows how unstable and unpredictable this man was, how only a few months ago he insisted that the only way was that of persuasion and gradual destruction of religion "that in no way should we be annoyed with the people for the top of a minaret, which, if not overthrown today, will be overthrown when the people are convinced of the futility of religious beliefs "[1] and meanwhile in a very short time passed laws and put into action the hysterical crowds, to put an end as soon as possible religious infrastructure.

Robbery of property

Along with religious institutions, the immovable properties of the communities were taken from the state, which passed into state ownership, being handed over to the executive committees, those that were in the city, while those in the villages were transferred to the agricultural cooperatives. [2] Of course, some of them were demolished, and even the same report shows that the Institute of Cultural Monuments has been asked to reduce the number of cult objects that would not be destroyed, which according to them had no historical and architectural value. Their appearance was altered, so as not to silently remind people - as the report of the Central Committee says - of the church and their mosque and their sanctity because "it has a bad psychological effect on the growing generations".[3]

These objects were desecrated by turning them into cinemas, houses and cultural centers, gyms, warehouses, mechanical workshops, sports palaces, hotels, museums, theaters, military units, clubs and garages, and even cattle stables.[4] Meanwhile, the acquisition of community assets had started before 67 'and only the Muslim Community until that year 3163 hectares of land and 61 thousand olive roots were taken.[5] Only the agrarian reform religious institutions took its 480 large estates.[6] According to propaganda material of the time, religious institutions owned 4,224 hectares of land, and about 70,000 olive roots, many livestock, forests, pastures, and buildings.[7]

Of course, these were just some of the physical and material damage that communism caused to religious beliefs, but the greatest damage he did to Albanians was his human product, the "new social man", who never became that imaginary being for him. which Albanian communism dreamed of, but which turned out to be a hybrid identity, the negative fruits of which we have seen throughout these three decades.

Bibliography

[1] Giovani Cimbalo, "Pluralismo confessionale e comunita religiose in Albania", translated and published in Albanian from "Naimi" 2013
[2] Azem Qazimi, The Process of the Extermination of Religion under Communism.
[3] Hysamendin Ferraj, in "Sketch of Albanian Political Thought", Skopje 1999.

---

[1] Enver Hoxha, Vepra 35, p. 226.

[2] Information report: On the first results of the fight against religion and Some measures for its further deepening (30. 08. 1967).

[3] Ibid.

[4] Ibid. See also "The Process of the Extermination of Religion under Communism" p.110, 111.

[5] AQSH, p.1005, year 1966, D.24, Fl.22, as referred to in the Process of the Extermination of Religion under Communism, p.13.

[6] See "Pluralism of faith and religious communities in Albania", p.106.

[7] Ibid, p.108.

[4] Enver Hoxha, Vepra 35, published by the Publishing House "8 Nëntori" Tirana 1982.

[5] "The fight against religion - Aspect of the class war", Zëri i Popullit, February 12, (1967)

[6] P. Kondi and L. Hoxha, "Hulusi Hako: How I" tried God "and propagated atheism in Albania", Panorama, February 19, (2004)

[7] Edwin. Jacques, Albanians - The history of the Albanian people from antiquity to the present day. (Tirana: Feather Card - F. A. Lincoln, 1995).

[8] Bernhard Tonnes (1975) Albania: An atheist state, Religion in Communist Lands.

[9] Fatos Lubonja, Magazine "Përpjekja" no. 20, 2006.

[10] History of the Albanian Labor Party. Second edition. «8 Nëntori», Tirana, 1981.

[11] "There is no real social freedom without the full emancipation of women", Publication of the publishing house "8 November" Tirana 1967.

[12] Maks Velo, "Anti-sign time", Tirana 2005, Zenit publications.

[13] National Library online. https://www.bksh.al/

[14] Kastriot Dervishi, Martyrs of the Albanian Catholic clergy massacred by the communists, http://www.observatorikujteses.al/martiret-e-klerit-katolik-shqiptar-te-masakruar-nga-komunistet-ne-vitet-1944-1989/

[15] Ngjela, Spartak (October 2, 2011). "The politicians of February '67 who rule Albania". http://fjala.info/arkiv/fjala1/politikanet-e-shkurtit-67-qe-sundojne-shqiperine/

[16] Pjetër Pepa, "The tragedy and glory of the Catholic clergy in Albania", as quoted at https://www.proletari.com/tragjedia-dhe-lavdia-e-kishes-katolike-shqiptare/html

[17] Rolad Hysa, List of Imams and Prominent Muslim Figures Condemned and Persecuted by the Communist Regime, Kibla Magazine, no. 2, September December 2017, http://hoxhallaret.al/2018/03/19/liste-e-hoxhallareve-dhe-figurave-te-shquara-muslimane-te-denuar-dhe-te-persekutuar-nga-regjimi- communist /

[18] Persecution of the Bektashi clergy, the official website of the Bektashi Community https://kryegjyshataboterorebektashiane.org/persekutimi-i-klerit-bektashi/

[19] Andon Merdani, Metropolitan of Elbasan, https://interreligiouscenter.com/martiret-e-besimes-deshmi-atdhedashurie/

[20] Informative report: On the first results of the fight against religion and Some measures for its further deepening (30.08.1967) http://www.observatorikujteses.al/shqiperia-ateiste-si-u-shemben-2169-kisha-e-xhami/

[21] http://www.observatorikujteses.al/shqiperia-ateiste-si-u-shemben-2169-kisha -e-glass /

[22] http://licodu.cois.it/?p=289&lang=en

An Overview of Religious Belonging Percentage in Albania

Justinian Topulli

Ph.D. Cand, European University of Tirana

Abstract

Albania is characterized by the centuries-old presence of the two world religions, Islam and Christianity, with its two largest branches, the Catholic and the Orthodox Church. During the communist regime, religion was banned and the country was declared an atheist by the constitution of 1967. From that period until 2011, there was no state-level religious registration. In 2011 the National Census was conducted which included in its questionnaire the question of religious affiliation. The results given by this census in this regard were debated and rejected by some as unrealistic. But meanwhile, rarely tried anyone to consider other data in this regard. This research focuses exactly on the percentage of religious affiliation of the citizens of the Republic of Albania presented not only by the Census but also by 21 surveys conducted by various institutions in the period from 1991 to 2019.

Keywords: Census, survey, percentage, Muslims, Orthodox, Catholic.

1.1 Introduction

The residents and housing census was conducted in Albania in 2011 and following many public debates about its questionnaire, religious and ethnic affiliation was included, which were left as questions of free choice. After processing the data, INSTAT announced that 56.7% had declared themselves Muslims, 2.09% Bektashis, 10.03% Catholics, and 6.75% Orthodoxes. In addition to these traditional beliefs, the census showed 0.14% evangelicals, 0.07% other Christians, 5.49% believers who did not belong to any religion, 2.5% atheists, and 13.79% who did not accept to declare their religious affiliation.

1.2 Census Debate

This result was disputed in particular by the Orthodox Church for the obvious reason that it presented the Orthodox community as the most damaged during the period of the atheist communist regime Albania went through, which was inaccurate and unacceptable for the Orthodox Church. It stated that according to a written survey completed by Orthodox believers in some cities of Albania, initially with a sample of 7118 people and then with 25870 people, it turned out that 67.1% had stated that "they were not visited by enumerators, or were not asked (and did not write) about religious affiliation."[1] They also stated that according to the church records they have "(baptism records before and after persecution, as well as registers of 460 Orthodox parishes throughout the country) the number of Orthodox Christians exceeds

---

[1]https://orthodoxalbania.org/2020/kisha-jone/te-dhenat-e-censusit-2011-per-te-krishteret-orthodhokse-te-shqiperise-jane-teresisht-te-pasakta-dhe-te-papranueshme/

24% of the population of Albania."[1] They also claim that according to them, the data support the fact that the vast majority of those who according to the census is not expressed or defined as unqualified believers belong to the Orthodox believers.[2]

There have been similar reactions from some demographic researchers, who question and claim that these data are inaccurate.

For example, Prof. Ilia Telo, referring to the book of the demographer Prof. Fiqiri Sheri "Population of the World" a publication of 2006, shows that the composition of the population according to religion in Albania is: Muslims 65%, Orthodox 23%, and Catholics 12%[3], not including any other affiliation, even atheist. He states that:

"Analyzing the census results and comparing with the data received before the census, it is noticed:

- *Reduction of the Christian population. From about 35% to about 17%.*

- *Very low specific weight of Bektashis at 2.09%, while in the past Bektashis have not presented themselves separately.*

- *In particular, there is a large reduction in the specific weight of the Orthodox population. The percentage currently calculated is more than 1/3 compared to the percentage received before the 2011 census."*

He then refers to the survey conducted by the Orthodox Church as an argument for the inaccuracy of the Census.[4]

Another demographer in the same academic magazine, Prof. Arqile Bërxholi in his article he criticizes in detail some elements of the methodology and some concepts used by INSTAT for the population census, and also opposes the religious percentages of this census, stating that from the earliest data to the year 1967, as well as some surveys (without specifying which ones) that have been done since the mid-1990s, show that the religious structure of the population of Albania appears more or less as follows: "Muslims and Bektashis occupy nearly the most population of the country (63 %), Orthodox accounted for about 22%, Catholics 8% and 7% were undeclared."[5]

So, it seems that the above two scholars, similar to the Orthodox Church, mostly for rejecting this result refer to essentially old data as well as surveys that confirm more or less the same religious percentage declared by the early 1923 censuses and 1927 onwards, which affirm with some small differences more or less the same religious percentage even after the period of atheist rule in Albania.

---

[1] ibid.

[2] ibid.

[3] Fiqiri Sheri, "Popullsia e Botes". Tirane, 2006. p. 149. (cited work)

[4] Ilia TELO, REVISTA DEMOGRAFIA Nr. 1 Year 2013, p.16-17

[5] Arqile Berxholi, REVISTA DEMOGRAFIA Nr. 1 Year 2013, p.35.

Referring to the 1927 census, Muslims made up 67.67%, Orthodox 21.59%,[1] and Catholics 10.75% of the country's population.[2] So, the 2011 census represents a decline of 9.48% of Muslims (including Bektashis) and 15.15% of the Orthodox population nationwide, a more than threefold decline in the Orthodox population. The only ones who show an increase according to the census, however a light increase, are the Catholics.

1.3 Problems accompanying the Census

This brings up the question of how accurate are the census data in this regard and are there other sources to support or refuse these results?

What makes it difficult to answer this question is the fact that the registration process was preceded by a large public debate, which certainly affected the high percentage of those who refused to answer this question (13.79%). We can mention here the campaign undertaken by the Red and Black Alliance, which strongly opposed the inclusion of this question alongside that of ethnicity.[3] The same initiative to refuse to include the question of religious affiliation was joined by the Muslim Forum of Albania, while the Muslim Community agreed to the registration of the religion, but expressed doubtful reservations about its progress. [4] After the publication of the data, the spokesman of the Muslim Community stated, among other things, that Muslims were more than the figure declared by the census, according to him they were over 70% of the population.[5] Meanwhile, the Orthodox Church said before the Census that it agreed to include the question of religion in it and even suggested that the question be compulsory, like other questions. However, it drew attention to its statement afterward that this process was accompanied by uncertainty and fear from the citizens, precisely because this question was opposed by various politicians and religious circles.[6] The Catholic Church is not reported to have had any official rejection of the result, although after conducting the census and processing the data it also raised its objections to the irregularities they had observed during the census.[7]

Another element is the way of declaring religious affiliation, where in most cases the answers to religion were given by certain members of the family, who were in the apartment at the time of registration, thus responding instead of those who were not at home, and this obviously has its measure of subjectivity, as religious belief also contains the individual choice of each person and not just his family heritage. The other big problem is the issue of

---

[1] According to the data presented by Teki Selenica, the total population in 1927 turns out to be 828,593 people, of which the Orthodox were 178,349, so they constituted 21.52% of the population, but from the collection of figures presented by prefectures and religious affiliations, the total number results slightly higher at 829,099 total population and the Orthodox population at 179,009. This error may be the result of the incorrect collection, as is the case with some other data there or due to error in data entry. However, the difference is quite small and this error does not change the base percentage.

[2] Selenica Teki, Shqipria in 1927, Shtypshkronja "Tirana", Tirane 1929, p. 491

[3] http://www.gazetatema.net/2011/10/01/nis-sot-regiistrimi-i-popullsise-aleanca-kuq-e-zi-gnsni-fleten-per-fene-e-etnine/

[4] http://www.e-zani.com/2011/10/04/kmsh-mbeshtet-censusin-edhe-pse-me-rezerva/

[5] http://www.panorama.com.al/fete-kunder-censusit-bektashinjte-nuk-u-pyetem/

[6] https://orthodoxalbama.org/2020/kisha-ione/te-dhenat-e-censusit-2011-per-te-knshteret-orthodhokse-te- shqiperise-|ane-teresisht-te-pasakta-dhe-te-papranueshme/

[7] http://www.arkivalajmeve.com/Katoliket-kunder-Censusit-Do-te-regiistrojme-besimtaret.1047134631/

immigrants, whose religious affiliation requires a separate study and analysis. However, the purpose of the census is to present a photographic panorama at a given moment of the resident population and not of all citizens, regardless of their temporary residence.

The debate over the religious percentages of today's Albanians, especially after the fall of the communist state, has been highly sensitive not only from religious communities but also from other people. And this interest is also reflected in various surveys which, although often passed in silence for the Albanian public and without being taken seriously in their results, have included the religious affiliation of today's Albanians. Although these surveys do not have the accuracy of a census, thanks to the correct scientific methodology when it is rigorously applied, they can with high approximation give generally reliable results in this regard. Down below we will review some of these surveys over the years, to compare them with the 2011 Census. But before we start, we will first note the results of a mass survey, or differently, a mini-census that was undertaken shortly afterward by INSTAT, as a test of the accuracy of the Census conducted.

2. Mini census

Timing **t**o verify the accuracy of the 2011 Census INSTAT conducted in the same year a mini-census, the details of which it states:

The sample size of Population and Housing Census 2011 is 3 % of Households (HH). The sample technique used to select the sample is simple random sample (SRS). The sample randomly selected was 21,665 households from 722,226 households in the whole country. For each selected household, there were listed all their individuals, 83,430 people from 2,800,138 people enumerated in Census. This sample is representative at the prefecture and national level. [14]

These data, differently from the census itself, are given in individual detail, which enables us to make possible correlations between them, to a better understanding result. In summary, the percentage of religious affiliations given by this mini-census compared to that of the mini-census is:

Religious belief	Mini-census percentages	Census percentages
Muslims	56,92%	56,70 %
Bektashi	2,07%	2,09 %
Orthodox	6,82%	6,75 %

14 INSTAT official website: http://www.instat.gov.al/media/1548/censusi i popullsis dhe banesave 2011-mikrodata.rar

Catholics	10,01%	10,03 %
Unspecified believer	5,44%	5,49 %
No answer	13,64%	13,79 %
Atheists	2,50%	2,50 %
Evangelicals	0,14%	0,14 %
Other Christians	0,08%	0,07 %
Other	0,01 %	0,02 %
NA / NAP	2,30 %	2,43 %
Total	**100 %**	**100 %**

According to these data, the census results for religious percentages are confirmed, while the differences between them are negligible.

3. Methodology

The methodology followed in this paper is mostly descriptive and partly comparative. The research managed to collect 21 different surveys which have in their focus different topics, but which have also included in them the question of religious affiliation. These surveys are presented according to the institution which conducted them and if there is more than one survey, they are placed according to the schedule. The surveys are preceded by a brief introduction which talks about the survey methodology conducted by the relevant institution, referring to the source provided. In some cases, these data are more detailed and in other cases more concise, due to the number of details provided by the authors of these surveys. I have provided the tables for each survey in detail as quoted in the source. Percentages are derived from the tables, when they have been reflected, manually, and in some cases through the EPSS and EXEL program. Graphs are made via EXEL.

Literature Review

4. Surveys of religious affiliation over the years

4.1 INSTAT Surveys

INSTAT has been conducting over the years, before and after the 2011 Census, various surveys in cooperation with international institutions, where it has included the question of religious affiliation in them. Here are some of these surveys:

4.1.1 Survey of 2002

According to a 2002 survey conducted by INSTAT on reproductive health in Albania,[1] based on a sample of 5697 women aged 15-44 and 1740 men aged 15-49[2] we have the following data on religious affiliation divided by areas:[3]

Religious belief	Total	Urbane zone	Rural zone	Metropolitan Tirana	Other urban	Other rural
Muslims	84,0 %	75,9 %	91,1 %	84,0 %	71,6 %	91,4 %
Orthodox	8,8 %	15,0 %	3,4 %	7,6 %	18,4 %	3,6 %
Catholic	4,3 %	5,6 %	3,1 %	3,4 %	7,3 %	2,8 %
Other/non declared	2,9 %	3,5 %	2,4 %	5,0 %	2,7 %	2,2 %

4.1.2 The survey of 2005

According to another survey for women and children conducted by INSTAT in cooperation with UNICEF in 2005[4], 5150 families and 5091 women aged 15-49[5] were interviewed. This

---

[1] Reproductive Health Survey Albania, 2002 Final Report. Published on May 2005.

[2] ibid. p. iii.

[3] ibid p. 23.

[4] 18 Monitoring the Situation of Children and Women, Albania Multiple Indicator Cluster Survey 2005 FINAL REPORT, published from INSTAT and UNICEF February 2008.

[5] ibid. p.14.

questionnaire also included the question about religion and according to the survey we have these results:

Out of the 5150 households interviewed, where males made up 88.1% and females 11.9% of the head of the household[1] and for 5091 women aged 15-49 years[2] we have both these data:

Religious belief	Percentages for 5150 households	Percentages for 5091 women
Muslims	79,9 %	82,3 %
Orthodox, Catholic and other	20,1 %	17,7 %
Total	100 %	100 %

4.1.3 Survey of 2008-2009, 2013 and 2017-2018

From another study conducted by the Institute of Statistics and the Institute of Public Health in 2008-2009 which included 7584 women and 3013 men[3] and almost 9000 families, "selected in such a way as to allow calculations at the urban and rural level, as well as at the regional level for key indicators of population and health".[4] According to another survey prepared by a research report on domestic violence in Albania in 2013 by INSTAT in cooperation with UNDP, the final sample had 3589 families and women aged 18 to 55 years, spread in all 12 prefectures of Albania, maintaining rural-urban ratios, as stated in the percentages released by the 2011 census. [5] The same study above was conducted in 2017-2018 with the participation of 15000 women and 6142 men.[6] For these three surveys we have these data:

Religious belief	Percentages for 2008-2009	Percentages for 2013	Percentages for 2017-2018
Muslims	78,05	78,4 %	78,7 %
Bektashi	1,55	1,4 %	1,55 %
Orthodox	7,85	8,2 %	7,2 %
Catholic	10,45	9,7 %	11 %
Other	0,5	0,2 %	0,55 %
Non-religious	-	2,1 %	-
Atheist	1,65	-	0,95 %
Total	100 %	100 %	100 %

---

[1] Ibid. p. 49. In this survey by INSTAT no more detailed division of religious affiliations has been made, but only two divisions have been sufficient: Muslim and Orthodox, Catholic, and others, thus including all Christians and others in a single category.

[2] ibid. p.50.

[3] Institute of Statistics, Institute of Public Health [Albania] and ICF Macro. 2010. Albania Demographic and Health Survey 2008-09. Tirana, Albania: Institute of Statistics, Institute of Public Health and ICF Macro. p. 38.

[4] ibid. p. 10.

5 Domestic Violence in Albania: A National Population-Based Survey 2013, Report prepared by Dr. Robin

N. Haarr UNDP International Consultant, November 2013, p. 27

6 Institute of Statistics, Institute of Public Health, and ICF. 2018. Albania Demographic and Health Survey 2017-18. Tirana, Albania: Institute of Statistics, Institute of Public Health, and ICF. p. 36.

4.2 Eurobarometer and ESV surveys 1991, 1992, 2005

The 1991 survey was conducted by Gallup with a sample of 1000 people, with the participation of 504 males and 496 females, distributed in 15 cities, in the north, south, and central Albania.[1] The 1992 poll was conducted by Gallup with a sample of 1048 people, in the area of Tirana, in the north, in the center and in the south, with 533 male and 516 female elections.[2] The 2005 Eurobarometer survey had a sample of 1116 participants, of whom 584 were male and 532 females.[3] For all these surveys we have these data:

Religious belief	Year 1991		Year 1992		Year 2005	
	Frequency	Percent	Frequency	Percent	Frequency	Percent
Muslims	650	65,0 %	690	65,84 %	706	63,26 %
Orthodoks	207	20,7 %	167	15,94 %	162	14,52 %
Katholic	83	8,3 %	98	9,35 %	145	12,99 %
Protestant	-	-	1	0,09 %	-	-
None	50	5,0 %	83	7,92 %	21	1,88 %
Agnostic	-	-	-	-	4	0,36 %
Dk	7	0,7 %	2	0,19 %	2	0,18 %
Other	1	0,1 %	3	0,29 %	66	5,91 %
No response	2	0,2 %	4	0,38 %	10	0,90 %
Total	1000	100 %	1048	100	1116	100 %

4.3 The EVS Surveys

4.3.1 The EVS Survey of 2008

This survey was conducted by the European Values Study[4] which included 12 regions of the country with the participation of 1534 people, 759 men, and 775 women[5]. This survey has asked two questions that must have created some confusion in the answers given. One question was: *Do you belong to any religious denomination?* 1524 people have validly answered this question, out of which 1063 people have claimed to belong to a religious denomination, and 461 people have *denied* belonging to any religious group, so it turns out that 30.2% do not belong to any religious group! To these 1063 (whereof these 10 are invalid)

1 Reif, Karlheinz, & Cunningham, George (1992). Central and Eastern Eurobarometer 2 (Current Affairs and the Media). For Albania Fatos Tarifa, Center for Sociological Studies, University of Tirana. Web address: https://doi.Org/10.4232/1.2251. See also Central and Eastern EUROBAROMETER, No. 2, January 1992, p. 99, 100.

2 Reif, Karlheinz, & Cunningham, George (1993). Central and Eastern Eurobarometer 3 (Political Disintegration). In web: https://doi.Org/10.4232/1.2321. Look and Central and Eastern EUROBAROMETER, February 1993, No. 3 p. 133, 135.

3 Ilirjani, Altin, Bean, Clive, Gibson, Rachel K., McAllister, Ian, Billiet, Jaak, De Winter, Lieven, Frognier, Andre-Paul, (2015). Address in web: https://doi.org/10.7804/cses.module2.2015-12-15.

4 Gedeshi, Ilir (2010). European Values Study 2008: Albania (EVS 2008). Adresa ne web: https://doi.Org/10.4232/1.10176.

5 EVS, GESIS (2010): EVS 2008 Method Report. GESIS-Technical Reports 2010/17. Retrieved from http://www.europeanvaluesstudy.eu/). p.4

the question asked was *Which denomination (religious do you belong to)?*[1] And tey have given the fol lowing answers:

Religious belief	Frequency	Percentages
Muslims	691	45,05 %
Bektashi	107	6,98 %
Orthodox	119	7,76 %
Catholic	132	8,6 %
Jehovah witness	4	0,26 %
Don't know	2	0,13 %
No response	8	0,52 %
NAP	471	30,7 %
Total	1534	100 %

4.3.2 The EVS Survey of 2017

This survey was also conducted by the same institution with the same questions, using the same text in Albanian in terms of questions related to religion and belief. This survey was attended by 1435 participants, out of which 905 were females and 530 males, with the same criteria as the 2008 survey[2]. Question: Do you belong to any religious denomination? 1345 people answered positively and 85 people negatively (and 3 without answers, 2 do not know).[3] While the question: Do you believe in God? They answered with Yes 1384, while with No 51

---

[1] But meanwhile the question: Do you believe in God? 1386 people answered positively, is over 90%, while 89 people answered negatively, is 5.8%! So how is it possible that those who believe in God are over 90% (1386 people) while those who do not belong to any religious group are over 30% (461 people)?! It can be said that this 20% difference are believers in God without religious affiliation. If so then this would be reflected in one of the other survey data. For example, to the question: Regardless of whether you go to Religious Objects or not would you say that you are 1. A religious person 2. A non-religious person 3. A convinced atheist? Only 42 people answered that they are convinced atheists and 87 people that they are nonreligious people, and 1273 that they are religious, so if we add together the atheists with the non-religious people turn out to be 129 people, while above those who did not belong to any the religious group was 461 people! The question "Do you belong to a religious denomination?" in Albanian I think it is wrong, as Albanians understand a 'religious group' as a sect or religious organization, while it would be fairer to say: Do you belong to religious faith? Because Albanians have seen the Muslim, Orthodox, and Catholic communities as religious faiths, is as different religions and not as religious groups, even though Orthodox and Catholics belong to the same Christian religion. Meanwhile, the term denomination used in the west is more appropriate in Albanian for the term sect and was born as a necessity to distinguish between Christian sects, so I think that the answers afterward are contradictory.

[2] Gedeshi, Ilir, Kritzinger, Sylvia, Poghosyan, Gevorg, Rotman, David, Pachulia, Merab, Fotev, Georgy, Kolenovic-Bapo, Jadranka, . . . (2020). European Values Study 2017: Integrated Dataset (EVS 2017). GESIS Data Archive, Cologne. ZA7500 Data file Version 3.0.0, https://doi.org/10.4232/L1351L

[3] In this case, there seems to be a noticeable improvement in the answer, as the confusion must have been less for reasons of perhaps a better clarification of what is meant by this question.

persons, is in the ratio of 96.45% to 3.55%. The question *which religious denomination you belong to* was answered as follows:

Religious belief	Frequency	Percentages
Muslims	1017	70,87 %
Bektashi	80	5,57 %
Orthodox	94	6,55 %
Catholic	138	9,62 %
Evangelist	7	0,49 %
Other	7	0,49 %
No response	2	0,14 %
NAP	90	6,27 %
Total	1435	100 %

4.4 ESS Survey of 2012

Another survey by a foreign international organization is that of the European Social Survey (ESS). In this survey undertaken by the "Open Society Foundation for Albania" participated 1201 people, out of which 549 were men and 652 women and based on the declarations of their religious[1] affiliation we have the following results:

Religion or denomination belonging to at present

		Frequency	Percent	Valid Percent
Valid	Roman Catholic			11,8
	Protestant	I	,1	,1
	Eastern Orthodox	115	9,6	12,9
	Other Christian denomination	6	,5	,7
	Islamic	65 8	54,8	73,8
	Eastern religions	1	,1	,1
	Other non- Christian religions	5	,4	
	Total	391	74,2	100,0
Missing	Not applicable	309	25,7	
	Refusal	1	,1	
	Total	310	25,3	
Total		1201	100,0	

---

[1] As it appears on the data in the table, 309 people, or 25.7% of the respondents were not included in the answer to this question, because they answered the question "Do you consider yourself to belong to a certain faith or religion?" negatively, but meanwhile the question: *Regardless of whether or not you belong to a certain religion, how many believers do you consider yourself?* only 54 people responded at all religiously. So, there are equally contradictions between this large number who declare that they do not belong to any faith or religion and the small number of those who are not religious at all!

4.5 UNDP and IDM Survey of 2017

Other surveys including the question of religious affiliation involve that of the United Nations Development Program (UNDP) conducted in collaboration with the Institute for Democracy and Mediation (IDM).

According to this survey conducted by UNDP and IDM in 2017 in Albania, about religious tolerance, with a representative sample of 1100 people from 40 different municipalities, the following religious percentages resulted:[1]

Religious belief	Percentages
Muslims	52,06 %
Bektashi	7,5 %
Orthodox	13,08 %
Catholic	13.82 %
Protestant	1,74 %
Other	1,19 %
Atheist	4,03 %
Don't know/unsure	5,58 %
Refuse to response	1 %
Total	100 %

4.6 Friedrich Ebert Foundation Surveys

The German Foundation "Friedrich Ebert" with an office in Tirana has conducted several social surveys among young people, in some of them one of the questions asked was which religion do young people belong to or practice.

4.6.1 Albanian Youth Survey 2011 and 2015

In this survey 2011[2] and 2015[3] with Albanian youth, which was attended by 1200 people, out of these 639 men and 561 women, the question "*which religion you practice*" was answered as follows:

Religious belief	Percentages 2011	Percentages 2015
Muslims	55,58 %	76 %
Bektashi	3,75 %	2 %
Orthodox	11,58 %	7 %

---

[1] Religious Tolerance in Albania, drafted by UNDP and IDM 2018. p. 31

[2] Albanian Youth 2011,"Between Present Hopes and Future Insecurities!" published in 2013, p..35, 36. In web: http://library.fes.de/pdf-files/bueros/albanien/10056.pdf

[3] Albanian Youth 2015, "Slow change, internet support ... and trust in the EU!" Web source: http://library.fes.de/pdf-files/bueros/albanien/12299.pdf

Catholic	8,75 %	10 %
Atheist	1,92 %	1,2 %
Do not practice any religion	16,5 %	2 %
Others / no response	1,92 %	1,8 %
Total	100 %	100 %

The inclusion of the answer "does not practice any religion" between religious affiliations, creates a kind of confusion, because identification with a certain religion does not necessarily mean its practice, in the understanding of today's people, and they are not atheists either, as this survey shows. So this relatively high percentage should be divided between unqualified believers, other religious affiliations, those who say *I do not know*, and agnostics.

4.6.2 Albanian Youth Survey of 2018/2019

In the same line as the previous two surveys, the foundation conducted a third survey with 1200 young people, aged 14-29,[1] where among other questions was the one about religious affiliation, which was answered in this way:

Religious belief	Percentages
Muslims	69 %
Bektashi	4 %
Orthodox	10 %
Catholic	12 %
Do not belong to any religious faith	3 %
Protestant	1 %
No response	1 %
Total	100 %

If in the first two surveys conducted by this foundation the category of "does not practice any religion" is included, in the third case it is formulated differently as "does not belong to any religion" which differs in essence and gives different results, and of course, this is more accurate in terms of the question of religious affiliation.

4.7 ALPSA Surveys of 2005-2006

These surveys were conducted by the Comparative Study of Electoral Systems (CSES) based in Michigan, USA, which deals with the study of electoral opinion around the world. These surveys were conducted in cooperation with the Albanian Political Science Association (ALPSA).

The first survey was conducted in July 2005 with a sample of 1500 people, where 48% of the interviews (or 705) were conducted in the six main districts of the country distributed in 83 interview units (Primary Sample Units).[2] The rest (or 795 interviews) were conducted in other

---

[1] Albanian Youth 2018/2019, p. 5. source in web: http://library.fes.de/pdf-files/bueros/albanien/15257.pdf

39..,-

Altin Ilirjani, Summary of some results of the Albanian Electoral Survey 2005, published by the Albanian

districts distributed in 90 interview units."[1] The second survey was conducted in December 2005 on 910 families in Tirana and Durres.[2] The third survey was conducted with "a random sample of residents in Tirana, Albania in June 2006. The fieldwork took place during the period 5-11 June. The survey was administered through face-to-face interviews in apartments with a representative sample of 1,200 individuals over 18 years of age.[3] From these surveys, we have the following data:

Religious belief	Percentages July 2005	Percentages December 2005	June 2006	
			Frequency	Percentages
Muslims	64,2 %	67 %	755	63,55 %
Bektashi	6 %	6 %	110	9,26 %
Orthodox	14,7 %	13 %	166	13,97 %
Catholic	13,2 %	6 %	79	6,65 %
None	1,9 %	6 %	58	4,88 %
Other	-	2 %	20	1,68 %
Total	100 %	100 %	1188	100 %

As can be seen in the second and the third survey, the number of Catholics is smaller, for the understandable reason of their greater concentration in the northern and northwestern areas of Albania.

4.8 World Values Survey (WVS) Surveys

WVS has organized several surveys in Albania, when, among other things, the question of religious affiliation has been part of them.

4.8.1 Albania Survey of 1998

This survey was conducted in December 1998 with a sample of 999 people, divided by age group, starting from 18 years old, as well as by regions and sex according to a random selection.[4] The question about religious affiliation was answered as follows:[5]

Political Science Association (ALPSA). p. 2. Web source: http://alpsa.org/aes/docs/AES2005-permbledhie.pdf

[1] Ibid p. 32.

[2] Altin Ilirjani, Albania Survey # 1: Tirana - Durres The First 100 Days of the Democratic Party Government, p. 24.

[3] Altin Ilirjani, Globic Public Opinion Survey # 2: Albanian Public Opinion, Chapel Hill, North Carolina, USA June 2006, p.3 Web source: http://albania.globic.us/docs/globic2 report shqip.pdf

[4] Under the direction of Prof. Dr. Hans-Dieter Klingemann and in collaboration with Index Albania, Ltd., Tirana WV3 Technical Report Albania 1998, web source: http://www.worldvaluessurvey.org/WVSDocumentationWV3.jsp

[5] WV3_Results Study # Albania 1998_v20180912, p. 50, In web: http://www.worldvaluessurvey.org/WVSDocumentationWV3.jsp

V179.- Religious Denomination

	Number of cases	%/Total
Roman Catholic	70	7.0%
Protestant	4	0.4%
Orthodox	204	20.4%
Jew	2	0.2%
Muslim	706	70.7%
No, not a member	12	-1.2%
NA	1	0.1%
(N)	(999)	100%

Selected sample: Albania 1996 (999)

The answer to this question as people who do not belong to any religion turn out to be 1.2%, but meanwhile the other question in the survey whether you are religious or not, 4.9%[1] answered as a convinced atheist! This contradiction can probably be explained by the fact that some people even though they do not believe, continue to identify themselves when asked about religion with that of their family, or there may have been a misunderstanding of how the questions might have been asked, as in the case mentioned above.

4.8.2 Albania Survey 2002

This survey was conducted in February-March 2002 with a sample of 1000 people and the answers for religious affiliation were as follows:[2]

V1S4.- Religious denomination

	Number of cases	%Total
No answer	4	0.4%
None	129	12.9%
Evangelical	13	1.3%
Muslim	580	53.0%
Orthodox	180	18.0%
Other	6	0.6%
Roman Catholic	88	8.8%
<N)	(1,000)	100%

4.9 Selected *sample: Albania 2002 (1000)*

Survey of the USIA (United States Information Agency) in 1991

Given that this agency of the United States Department of State was transformed in 1999 into another institution,[3] I found it impossible to provide a direct source for the survey conducted by it in 1991 in Albania, even after some thorough internet searches. For this reason, I referred

---

[1] WV3_Results Study # Albania 1998_v20180912, p. 51.

[2] The survey was conducted in cooperation with Index Albania and under the direction of Prof. Kosta Bajrabas, WV4_ResultsStudy #Albania 2002_v20180912, p. 77, Web Source:
http://www.worldvaluessurvey.org/WVSDocumentationWV4.jsp

[3] Integrating with the State Department in October 1999 see:
https://www.federalregister.gov/agencies/united- states-information-agency

to prof. Fatos Tarifa, as the publisher and director of this survey on behalf of this foreign institution. According to what prof. The survey fee was conducted in October 1991, by the Scientific Sector of Sociology at the Faculty of Philosophy and Sociology of the University of Tirana with a sample of 1000 people, from fifteen districts of the country. One of the questions contained in that survey was also about religious affiliation, where the answers to it were:[1]

Religious belief	Percentages
Muslims	26 %
Orthodox	14,7 %
Catholic	6,9 %
None	52,4 %
Total	100 %

5.2 Conclusions

These were some of the surveys I managed to collect, which some of them have large differences in the percentages they show. Of course, it is difficult to make a final assessment, but they differ in terms of methodology and practice followed. But in the meantime, some of the differences between these surveys can be explained by the years when the demographic changes took place, which is related to two main elements: internal and external migration and generations change, but meanwhile, the third reason may involve the change itself of the state of religiosity among people, which is reflected in their expression of religious affiliation, although the latter is difficult to test only based on the statements of these surveys, what I think most is the methodology and practice followed in each moment. For example, questions in some cases are unclear and sometimes exclude or include in the answer's different groupings. Also, often the presentation of alternatives restricts and unknowingly directs the respondent towards a certain answer, such as the actual relationship that is created between the interviewer and the respondent, the presence or absence of other people, the completion of the survey sheet by the person or interviewer, etc. All of these are possible elements in explaining these changes.

However, the answers to the three traditional beliefs in Albania are easier to analyze and clearer in the answers. So, if we limit ourselves to only those three, for which there is even higher sensitivity, we will have this graph of surveys over the years: [2]

---

[1] Fatos Tarifa, To Albania, With Love, Hamilton Books 2007, p. 69.
[2] I removed the results from the 2005 INSTAT survey where Orthodox, Catholics and others are included together.
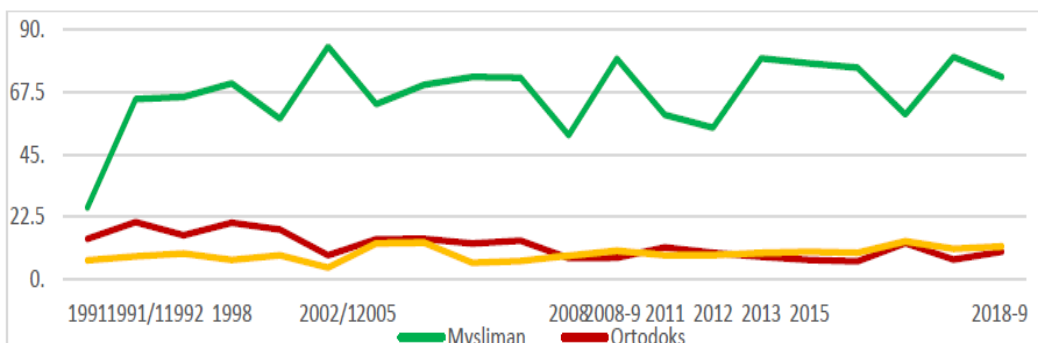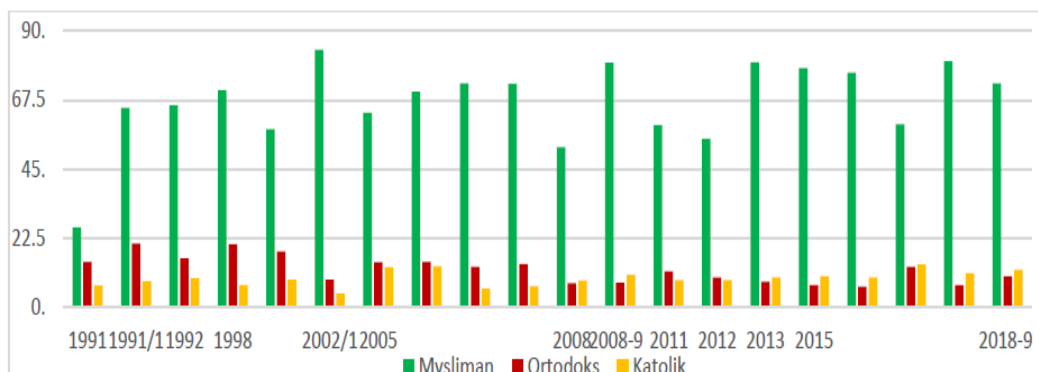
As can be seen from the graph, the polls show large value changes over the years, especially for Muslims and Orthodox, while for Catholics less. According to these surveys, Muslims fluctuate in extreme values from 26% to 84%, Orthodox from 6.55% to 20.7%, and Catholics from 4.3% to 13.82%, but for the latter, as I mentioned above, this difference is more readable and understandable if we take into account the places where the surveys were conducted and knowing that most of them are concentrated in a certain area of Albania. Meanwhile, if we would take all these values for granted and would dare to draw an average, for each faith, for this thirty-year period, we would have the following values: Muslims 67.08%, Orthodox 12.18%, and Catholics 9.31%. If we compare these values with those of the census, we will have this difference, less than the average of the polls over the years: for Muslims 8.29% and for Orthodox 5.43%. Both of these together make up 13.72%, which is surprisingly almost equal to the percentage of those who refused to answer during the census (13.79%). It may also indicate to whom exactly those who have refused to answer belong, who turn out to be Muslims and Orthodox. In fact, this may be supported by what we presented at the beginning that the communities that contested the most before and after the 2011 census were Orthodox and Muslims, and at the same time those who most refused to answer the question of their religious affiliation. Meanwhile, for Catholics, in contrast to the census, the average number of polls over the years is about 0.72% less, a negligible figure, which confirms the stability of data over the years for this community. Atheists turn out to be on average 1.95% while the census has put them at a value of 2.5%. The difference here can be explained by the difficulty presented by the figures of some of the surveys, which often do not have a clear definition for this category. The same can be said for the percentage of unspecified believers, who may have

been included in other categories and in any other category, in the surveys presented. Meanwhile, the average of surveys for evangelicals gives a relatively much higher figure (0.99%) than that of the census (0.14%), but even this can be explained by the reasons given above. What needs to be kept in mind, in this case, is that we have a timeline that spans three decades, and the issue of faith is not something fixed, such as the issue of ethnicity, but is affected both by birth rate, migration, and conversions. So, the 2011 census considering what we said, despite the reserves raised, turns out to be quite close to accurate. The question that arises in this case is how is it possible that based on the old data of 1927 the Orthodox community turns out to be the most damaged, at least by about 8%, compared to the polls? The answer to this can be given with several possibilities, which are currently possible hypotheses, but which will be considered in another study:

- First, because the Orthodox community is most affected by emigration abroad, especially including the Greek minority which is a good part of the Orthodox in our country.

- Secondly, because the Orthodox community is mostly concentrated in the southern areas has been affected by low birth rates and an aging population, which is more pronounced in these areas.

- Third, because the Orthodox community is the most urbanized, and as such it is likely to have been even more affected by secularism during the communist regime and conversion after the 1990s. Urbanization also affects the low birth rate and aging population, mentioned above.Fourth, the Muslim population, is traditionally the largest in number and spread throughout the country, has also been included by migration, urbanization and its consequences, is by low birth rate and secularization and of course by conversions, after the 90s. This is more than true, but the compensation for Muslims seems to have been made by the high birth rate of the northern and northeastern areas of Albania in particular, which are traditional areas with populations of the Islamic faith. But all these assumptions remain to be verified.

Undoubtedly all this overview is a rough look at the percentages of religious affiliations, taking into account all these surveys conducted during these 30 years, and comparing them with the 2011 Census, while some of them are highly controversial for very high or low values they give for each of the traditional religious affiliations in Albania and for other categories. The next census, if not accompanied by the issues raised in the past, may or may not confirm these conclusions accurately.

References

[1]   Tarifa Fatos, To Albania, With Love, Hamilton Books 2007.

[2]   Bajraba Kosta, WV4_ResultsStudy #Albania 2002_v20180912.

[3]   WV3_Results Study # Albania 1998_v20180912.

[4]   WV3_Results Study # Albania 1998_v20180912.

[5]   WV3 Technical Report Albania 1998.

[6]   Ilirjani Altin, Public Opinion Survey Globic # 2: Albanian Public Opinion, Chapel Hill, Karolina e Veriut, SH.B.A. June 2006.

[7]   Ilirjani Altin, Albania Survey # 1: Tirana - Durres The First 100 Days of the Democratic Party Government.

[8]   Ilirjani Altin, Summary of some results of the Albanian Electoral Survey 2005, published by the Albanian Political Science Association (ALPSA).

[9]   Albanian Youth 2018/2019. Publication of the "Friedrich Ebert" foundation 2019

[10]   Albanian Youth 2015, "Slow change, internet support ... and trust in the EU!" Publication of the "Friedrich Ebert" foundation 2015.

[11]   Albanian Youth 2011, "Between Present Hopes and Future Insecurities!" Published by the Friedrich Ebert Foundation 2013.

[12]   Religious Tolerance in Albania, drafted by UNDP and IDM, 2018.

[13]   European Social Survey, (2012). ESS Round 6 of the main questionnaires. London: Center for Comparative Social Studies, City University London.

[14]   Gedeshi, Ilir, ... (2020). European Values Study 2017: Integrated Dataset (EVS 2017). GESIS Data Archive, Cologne. ZA7500 Data file Version 3.0.0

[15]   EVS, GESIS (2010): EVS 2008 Method Report. GESIS-Technical Reports 2010/17.

[16]   Gedeshi, Ilir (2010). European Values Study 2008: Albania (EVS 2008).

[17]   Ilirjani, Altin, Bean, Clive, Gibson, Rachel K., McAllister, Ian, Billiet, Jaak, De Winter, Lieven, Frognier, Andre-Paul, (2015).

[18]   Reif, Karlheinz, & Cunningham, George (1992). Central and Eastern Eurobarometer 2 (Current Affairs and the Media). For Albania Fatos Tarifa, Center for Sociological

[19]   Studies, University of Tirana.

[20]   Central and Eastern EUROBAROMETER, No. 2, January 1992.

[21]   Domestic Violence in Albania: A National Population-Based Survey 2013, Report

[22]   prepared by Dr. Robin N. Haarr UNDP International Consultant, November 2013.

[23]   Institute of Statistics, Institute of Public Health, and ICF. 2018. Albania Demographic and Health Survey 2017-18. Tirana, Albania.

[24]   Institute of Statistics, Institute of Public Health [Albania] and ICF Macro. 2010. Albania Demographic and Health Survey 2008-09. Tirana, Albania.

[25]   Reproductive Health Survey Albania 2002, Final Report. Published in May by INSTAT 2005.

[26]   Monitoring the Situation of Children and Women, Albania Multiple Indicator Cluster Survey 2005 Final Report, published by INSTAT and UNICEF February 2008.

[27]   Selenica Teki, Albania in 1927, "Tirana" Printing House, Tirana 1929.

[28]   DEMOGRAPHY MAGAZINE Nr. 1 Year 2013.

Websites

[1] http://www.arkivalajmeve.com/Katoliket-kunder-Censusit-Do-te-regjistrojme-

[2] besimtaret.1047134631/

[3] http://www.panorama.com.al/fete-kunder-censusit-bektashinjte-nuk-u-pyetem/

[4] http://www.gazetatema.net/2011/10/01/nis-sot-regjistrimi-i-popullsise-aleanca-kuq-e-zi- grisni-fleten-per-fene-e-etnine/

[5] http://www.e-zani.com/2011/10/04/kmsh-mbeshtet-censusin-edhe-pse-me-rezerva/

[6] https://orthodoxalbania.org/2020/kisha-jone/te-dhenat-e-censusit-2011-per-te-krishteret- orthodhokse-te-shqiperise-jane-teresisht-te-pasakta-dhe-te-papranueshme/

[7] http://www.instat.gov.al/media/1548/censusi i popullsis dhe banesave 2011-mikrodata.rar

[8] https://doi.org/10.4232Z1.2251. Data address from Eurobarometer published in 1992.

[9] https://doi.org/10.7804/cses.module2.2015-12-15. Address data from CSES that deals

[10] with the comparative study of electoral systems. CSES Module 2: 2001-2006.

[11] https://doi.org/10.4232/1.10176. Data Address for European Values Study 2008: Albania (EVS 2008)

[12] https://doi.org/10.4232/1.13511. Data Address for European Values Study 2017:

[13] Integrated Dataset (EVS 2017)

[14] http://www.europeanvaluesstudy.eu/

[15] https://www.europeansocialsurvey.orgZdata/country.html?c=albania

[16] http://library.fes.de/pdf-files/bueros/albanien/10056.pdfhttp://library.fes.de/pdf-files/bueros/albanien/12299.pdf

[17] http://library.fes.de/pdf-files/bueros/albanien/15257.pdf

[18] http://alpsa.org/aes/docs/AES2005-permbledhje.pdf

[19] http://albania.globic.us/docs/globic2reportshqip.pdf

[20] http://www.worldvaluessurvey.org/WVSDocumentationWV3.jsp

[21] http://www.worldvaluessurvey.org/WVSDocumentationWV3.jsp

[22] http://www.worldvaluessurvey.org/WVSDocumentationWV4.jsp

[23] https://www.federalregister.gov/agencies/united-states-information-agency

Tax Evasion in Albanian Economy After '90

Viola Tanto

PhD Candidate in Tax Law, Business & Private Law Department, European University of
Tirana, Tirana, Albania,

Abstract

Albanian economy has gone through some difficult processes during different periods. For 45 years, it was a centrally planned economy, because of the dictatorial system. Albanian economy suffered a defeat during its adoption from centralized economy to a liberal economy. The main difficulty was the concentration of the Albanian economy in the cooperative system. In this type of system, all properties were owned by the state, there was no right of privatization. After '90 the identity of properties was returned. The banking sector, as one of the most important sectors of economy, was not having an appropriate development. Not only inflation would be the problem of the economy, but also the loss of trust for the deposit of money in the second level banks that could be opened, which would lead to the failure of the financial sector. An important factor which characterize the economy is the informality. This article seeks to explain the factors that influenced informality in economy, in specific, tax evasion. Tax evasion is an illegal action as it constitutes a deed where the person is breaching the provisions found in the Tax Procedures Law and Penal Code. This paper shall discuss such provisions in the Albanian legislation.

Keywords: tax evasion, legislation, liberal economy, informality, economic growth

1. Introduction

Recently, we have been witnesses to a significant increase in the quantitative and qualitative level of tax evasion and tax avoidance. Often, the "battle" between fiscal system and contributors in bad faith (or suspected as such) is made on the basis of power of probation (burden of proof) regarding the elements of the transaction that must be verified by the tax administration. Nowadays, tax evasion is leaving more and more space to avoid refined, in contrast to what might generally be thought, it is not only the prerogative of big companies, corporations or powerful groups of business, but it's become a common management tool for small and medium enterprises and in some cases for natural persons.

Economy evolved with the same steps with the evolution of mankind. The need for economic change and the adoption of economic was the result of evolution of the society. Application of transition in Albania was very difficult, because Albania was one of the poorest country of Europe. It was a communist country with similar features with other socialist countries but with a centralized economy, in other words Albanian people did not have the right to have a property.

Structural changes in the banking system started since 1992 with the economic reforms, which began with the change of legal basis. The structure changed with the adoption of the law on

'Bank of Albania' and the approval of the law "On the banking system in the Republic of Albania". The banking system with its inefficiency as a financial intermediary created spaces for pyramids (in 1997) to absorb the growing savings, especially savings of immigrants. Interest rates on deposits offered by these companies were too high and ranged from 6-8% per month. Main causes of pyramid schemes were lack of appropriate legal framework and political factor.

The developments in the real sector, during '92-'96 were characterized by a sensitive economic increase of 9 % per year, a decline in the average level of inflation of 17.5 % , and a sensitive improvement of current account and budget deficit. Progress in the macroeconomic stabilization was based on the design and implementation of strong monetary and fiscal policies and also on rapid privatization in agriculture, retails, wholesales, small and medium enterprises which helped economic growth of the country. The desire and effort to fill the budget theoretically one side and ignorance of the Albanian reality, made to fixed quotas excise arbitrary values, provoked by withholding production firms or tax evasion.

Refering to the Working Document of the Secretariat of the Investment Council (SIC): *Informality, A Common Government-Business Challenge, December 2015,* since the 1st of September 2015, the Government officially initiated an extensive campaign against informality in the country. This campaign was preceded by public statements during July–August 2015 on the necessity to fully establish rule of law in the economic and commercial sphere of the country. The campaign was also preceded by a series of concrete, but not published, steps by the Government, including the establishment of a working group within the Council of Ministers, discussions in the Inter-ministerial Strategic Planning Committee (SPC), and the presentation of the campaign to the National Economic Council (NEC).

The process was accompanied by a large number of on-site tax inspections (fiscal visits) aimed at scanning the informality situation, numerous media statements by all stakeholders, followed by a series of legal initiatives. A "unique" intensity of debate and reaction was observed concerning this campaign, involving the Government, the business and its representative associations, as well as international institutions*.*

2. Literature Review

Every serious research requires, first of all, the definition of the methodology that will be used for its realization and for the drawing of conclusions. The method of study is closely related to the chosen field of study, as the method above all must be appropriate to the field of study and the results required to be achieved. The methodology used for all the key issues addressed in this paper is largely qualitative. This paper also includes comparative methods on specific aspects of the paper. The main methodological principle in legal comparison is that of functionality, namely "la in law the only things which are comparable are those which fulfill the same function" (Gorezi, 2011: 25).

Based on the above analysis, the methodology used to carry out this paper is presented as follows.

Doctrinal research (collection and processing of the literature). This phase consists of reviewing the literature related to the object of study, which includes the identification, collection and systematization of books, monographs, schientific articles, papers of national

and international conferences in the legal field. The selection of literature is spread over a relatively considerable number of foreign authors as well as some local authors.

Analysis of the legislation. In achieving certain objectives in this paper we have relied on the method of analysis and synthesis. This method consists in formulating legal problems through the analysis of legislation. In our legal system, legal norms are found in codes, laws and other acts. Since norms regulate general situations, the method of legal analysis serves to identify and solve problems of theory and practice, through the interpretation of these norms. Also, this method serves to clarify the ambiguity of norms, their placement in a logical and coherent order and to analyze their interaction other norms.

Comparative method. For a better understanding and interpretation of domestic legal norms, the realization of a comparative analysis between the domestic tax legislation and the legislation of those countries, which has served as a model for Albanian legislation.

The method of analysis of case law is also a very important method, which serves to see the way of interpretation and practical application that Albanian and foreign courts have made to tax evasion and the doctrine of abuse of law. The analysis of the practice of foreign courts serves to see the way of interpretation and practical application of tax evasion by these courts, in order to have a better understanding of tax evasion and the methods of its ascertainment by the Albanian courts.

Quantitative method. During the work were reflected statistical data of criminal offenses in the field of taxes published in the official Annual Reports of the GDT. These data show an increase, year after year, in the number of criminal offenses in the field of taxation in Albania. As no statistical study of tax evasion has been conducted in Albania, this is one of the limitations of this paper.

2.1 Informality and the tax system

The informality in Albania is identified mainly in the form of unregistered businesses, fiscal evasion, and informal employment. An important aspect of "*informal economy*" is "*criminal economy,*" the kind of economy resulting from the illegal production of products and services and activities forbidden by the law. The difference between the two is that in *criminal economy,* what is forbidden is the activity itself, but in *informal economy*, the activity itself is legal, but the income is concealed and avoided through illegal means.

Tax evasion, as a phenomenon of corruption overall economy of our country, in this extended period of transition, tends not only by moral anti-law to benefit, above all, the adoption of the law, not in the real conditions of development our economic, mentality, transitions and versatile infrastructure fiscal.

Albania, with the entry into the market economy felt a duty to adopt Western laws in various sectors of the economy, and specifically, in the fiscal sector. Western Europe, in reality it enforced these laws for a long period, subject to supply and demand. This resulted in the harmonization of the price upon request. Due to the low level of life and fiscal mentality, excises were put under a strict technical control, not produced rampant evasion. They defined levels of tax payable and especially, excise duties to achieve the objective of their optimum absorption by the state, to realize not only the budget revenues (out lower).

In order to create an anti-evasion atmosphere because populations larger than our country and not only that, but the state tradition most part, these countries rushed to recognize capitalists young and teach the masses, with the tradition of the new tax reduction tax evasion by using tax policy carefully.

The tax system represents one of the main pillars that facilitates or impedes the formalization of economy, also making the business climate more attractive or not. Regarding the tax system, businesses have identified the following concerns: tax burden, fragmentation of the tax system, tax administration, and tax procedures.

The administration of taxes is mentioned as an issue in different recent reports of international organizations on the business climate of Albania. As it's stated in the Working Document of SIC, businesses have continuously emphasized and made different comments, generally negative ones, over the capacities of the administration, interpretation of the legislation, and frequent tax inspections.

Tax avoidance is one of the most difficult issues with which they are confronted tax authorities, courts and legislation throughout the world, especially in places where it is hard to believe or doubt that the tax system is the main instrument to increase revenues that support government investment (Orow, 2000). Tax avoidance and other forms that deviate from the failure of taxes or reduce them can be called without hesitation more widespread phenomenon in recent centuries. Tax avoidance involves arranging a transaction or a series of transactions, as to obtain a tax advantage, distinguishing the tax planning, which is lawful and tax evasion, as the incidence of serious violations of tax rates.

Increasing cases of avoidance must be given a choice and must take immediate and concrete measures. This poses a serious challenge against the effectiveness of the tax laws.

In all the multitude of books, articles or reports on this subject are noticed contradictions and different currents of thought on the nature and causes of tax evasion, ways of responding to it or address it, citing the fact that some perpetrators tax avoidance is a problem which requires a response by the legislation.

The divergence in the views of different groups of researchers, doctrine or jurisprudence come as a consequence of the legal traditions of the countries that belong or individual rights and obligations in tax law.

The main issues and the most vulnerable areas (Palumbo, 2011) which have been and continue to be problematic for Albania, as well as for other countries include:

 - The lack of a clear and coherent policy to tackle the structural choices provided by tax legislation;

- The fact that the tax system exists as an economic reality in the business world and as a real and substantial cost affects the shape of the majority of transactions;

- The existence and application of formal principles characterizing many of the transactions and creating differences which are more formal than substantive;

- Different taxes for different businesses and the lack of a coherent framework of income tax on investment.

Ways that are followed to address tax avoidance have been different. Abuse of the law doctrine is used in all areas of law, including the right to tax. The European Court of Justice (De La Feria & Vogenauer, 2011) alluded to more than thirty years connected with the terms "abuse or abusive practices", but for a long time the meaning of these references has been unclear. Recent years there has been a radical change in attitude, mainly due to the development by the Court of a test for finding of abuse and its application in the field of taxation. The European Court of Justice has formulated a principle of general anti-avoidance according to this doctrine.

The principle of prohibition of abuse of rights can be used as an effective basis for addressing tax avoidance, which is a manifestation of abuse of the right of the taxpayer. The principles that govern tax avoidance and evasion are provisions that prohibit the performance of complex structured transactions intentionally by the taxpayer, to divert from paying the tax.

Before determining these principles, we need to make the difference of the behaviors of the taxpayer, in order to better understand the link between the illegal conduct and general principles.

One of the manners of tax benefit, which is in any case illegal is tax evasion.

Tax evasion is the taxpayer's behavior (Galdieri, 2009), that consists in a direct violation of tax liabilities as a result of existence of some elements related to the birth of the tax. In practice, the taxpayer avoids the payment, wholly or partially, of the tax liability using tools / illegal ways to hide all or part of the taxable base.

These behaviors of taxpayers, which are illegal, can come as a result of gross negligence or intent on committing acts or omissions e.g failure of invoices or lack of billing transactions (such as omission of the taxpayer), or may result in active actions as fulfillment of invoices for transactions that are really nonexistent (Caraccioli, 2009). In this way the definition of conduct for tax purposes is very simple: there is tax liability specified in the relevant rules, the person/business is not aimed at changing the legal structure, but illegally, evading this obligation. Usually these situations occur in the case of creating models or transactions, for e.g corporate mergers, divisions, transformations, created as entities without a "valid reason economic", but to take an advantage of tax. Ratio (reason) is a savings/evasion of taxes (Terracina, 2012).

2.2 Tax avoidance and tax planning

Tax avoidance should not be confused either with tax evasion (as discussed above), which is in breach of a legal obligation to pay taxes, nor with tax saving. The taxpayer can make the choice among of the various options offered by the legal system to minimize the tax burden.

The concept of tax saving is broader and more general than that tax avoidance. Well, we can say that the tax saving is a grouping that includes all sub-groups considered. Methods, tools, techniques of conducting tax avoidance are different from those of the realization of tax planning.

In fact, there is absolutely nothing wrong in choosing between two or more different transactions that lead to the same result, where the choice of one leads to lower taxes, reduction or elimination of the tax burden.

The possibility for taxpayers realizing a savings (Pistone, 1995) allowed by the legal system (the so-called tax-free zone) is characteristic of capitalist economic systems. It is symbolic that

such opportunity was given without hesitation the former communist countries after leaving the planned economy system.

The benefit of tax savings by planning when there is no exceed of the limits of legality, can be very useful and socially. It was argued that the specific weight of the tax burden is an instrument to stimulate (or discourage) a certain kind of social or economic choices of taxpayers.

Meanwhile, the essential features of tax avoidance is avoidance or deviation from the definition of tax rates or the use of legal space for the performance of certain transactions. The tax burden is not mitigated by falsifying the facts of tax relevant (as in the case of tax evasion), or through simulation of certain transactions (as in the case of fraud), but through careful use of tax rates existing gaps (Palumbo, 2011).

Often, (Galdieri, 2009) taxpayers willing to avoid taxes, create more complex schemes with the sole purpose to avoid the law. Tax avoidance, in other words, consists in acquiring a particular economic outcome, using the not the normal procedure provided for by the legal system. The main problem lies in the fact that how far can go the taxpayer, choosing less heavy taxation without avoiding the law.

2.3 Effects of tax evasion and tax avoidance

Despite the great focus on reducing informality undertaken in recent years, tax evasion remains at a high level and is even ingrained in the local culture, as seen in Chart I below. Tax evasion is widespread in many sectors of the economy, with the largest losses observed in construction, trade and services. A number of anti-informality measures and campaigns do not appear to have achieved significant and sustained Compliance improvements. It is clear that a different and more strategic approach is needed.

Graph I of referrals to the Prosecutor's Office[1]
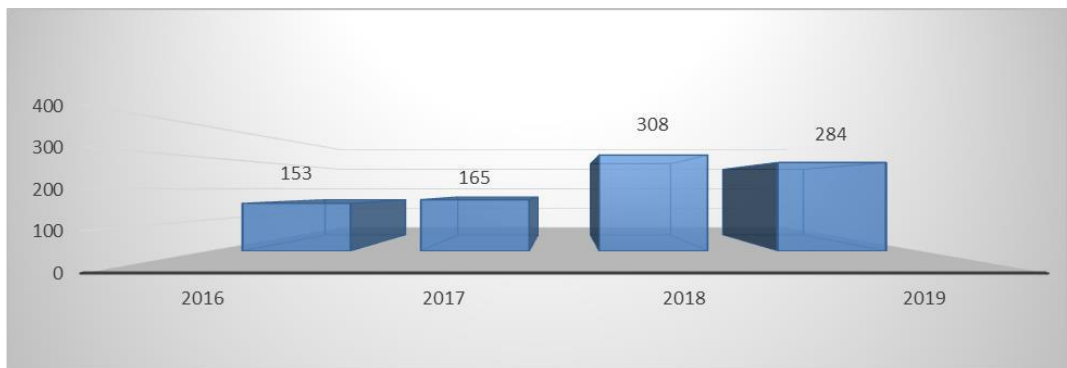
By law, one of the principles of tax administration is the promotion of self-declaration and voluntary compliance. Working to achieve these two elements will have a noticeable impact on improving Compliance.

---

[1] Source: Annual Report 2019-GDT

Some proven approaches that are effective in other countries, and that aim to increase compliance, and increase the implementation of tax law are:

Reducing the VAT Compliance Gap

Set the tax for the property with unexplained origin (including the use of the automatic exchange of financial account information through a well-prepared voluntary transparency program)

Reducing informality in the labor market

Reducing cash economy and undervalued reporting, and

Restricting revenue leakage through artificial tax avoidance adjustments.

Albania suffers from an ingrained and pervasive culture of informality, which has a significant negative effect on tax revenues. While there are no reliable estimates for the total value of the tax gap.

In addition to the loss in tax revenue, informality at this level undermines social cohesion and economic growth. The low level of trust in the justice and effectiveness of the tax system, brings a continuous cycle and culture of non-compliance as well as unfair competition to businesses in the informal economy.

A contributing factor to this low "tax morale" is the complexity of the tax structure and the high cost of compliance. Frequent tax policy changes undertaken in recent years have introduced into the system elements of horizontal injustice, e.g. the fact that salaried employees pay income tax and social contributions to a mass many times higher than self-employed workers who have the same level of income, as well as the expansion of special tax benefits for different sectors and segments of taxpayers. Some of the political changes are due to artificial tax evasion such as fictitious self-employment, the division of companies to benefit from the lower level of income tax and the arbitration of the tax rate.

Tax authorities are addressing tax inconsistencies in part through "fight against informality" campaigns, which began in September 2015. These campaigns, which involve many departments and focus on high-profile inspections, with immediate and on-the-spot monitoring , recently have better defined objectives and are coordinated through an inter-ministerial operational commission chaired by the MoF.

Strengthening criminal policy on the other hand translates as a tool of force and pressure in order to collect as much budget revenue from taxes and fees. In fact, this paper does not claim to exhaust all the problems on the causes and measures taken to administer tax liabilities, but aims to make a modest contribution to have clear concepts of these phenomena and why, not to distinguish between them. The principles governing tax evasion and tax avoidance are provisions that prohibit the performance of complex and deliberately structured transactions by the taxpayer, to deviate from the payment of tax liability (Terracina, 2012: 183-190). Before defining what these principles are, we need to differentiate these taxpayer behaviors in order to better understand the connection between illegal behaviors and general principles.

One of the ways of tax profit and causing the tax gap is tax evasion (Caraccioli, 2009).

Fiscal evasion is that illegal behavior of the taxpayer, which consists in a direct violation of tax obligations, as a result of completing some elements related to the birth of the tax (Galdieri,

2009: 191). We are dealing with evasion when, in practice, the taxpayer evades payment, in whole or in part, of the tax liability by used illegal means / ways to hide all or part of the taxable base (Brown, 2012: 201-202).

These behaviors of the taxpayer, which are illegal, may also come as a result of gross negligence or intent to perform actions or omissions such as: non-submission of invoices or non-invoicing of transactions (such as taxpayer omissions), or may result in active actions such as filling in invoices for transactions which are really non-existent (Terracina, 2012: 183-190).

Given this special importance, the establishment by law of the states of taxes and duties, to finance its budget, their payment and collection is of fundamental importance and precisely to protect this system, lawmakers impose restrictive and penal measures for violators of the law.

Coercive measures may be of an administrative nature and in certain cases of a criminal nature, relating to the deprivation of liberty of the person or holder of the subject in the case of other legal organizations. For this reason, the legislator did not find it reasonable to make a division of them outside the Criminal Code (Elezi, 2015), thus being satisfied only with the administrative penalty. Tax offenses related to taxes and fees are closely related to the relevant legislation, as such they are reference offenses and an accurate and complete doctrinal interpretation of the offense cannot be made without reference to tax legislation.

In this way the definition of behavior for evasion purposes is simpler: there is a tax liability defined in the relevant rules, the person, subject to this tax does not intend to change the legal structure, but contrary to law, avoids paying this liability (Galdieri, 2009: 191).

Usually these situations occur in the case of creating corporate models or transactions such as mergers, divisions, transformations of different companies, created as entities without a "valid economic reason", but to gain tax advantages unfairly or to saved from non-payment of obligations, even in cases where it is not specified in special rules.

Ratio (reason) of evasion is an systematic saving of tax liabilities in favor of the taxpayer. In any case, the consequence of tax evasion is the lack of revenue (tax gap) in the state budget.

According to the Albanian legislation in force, with criminal offenses in the field of tax, we mean those offenses (actions or omissions), illegal, committed intentionally and in order to avoid paying taxes and fees in various forms (Elezi, 2015). These criminal offenses have a common group object. They protect the legal relations established in the field of taxes and fees, in order to secure the economic interests of the state from criminal acts or omissions.

3. Conclusions

This paper has explored a number of issues regarding shadow economy and fiscal evasion. Although in different levels and ways, shadow economy is present in every country. Tax evasion is an important and significant phenomenon that affects both developed and developing economies. Size of the informal economy and fiscal evasion associated with it should be clearly understood, in order to forecast the appropriate policies to deal with these issues.

Generally countries with low tax rate, tend to have less fiscal evasion. However, Albania is an exception, since it has or had a low tax rate, but fiscal evasion is still a major problem. As the tax rate increase, the probability of evading taxes increases, too. Tax payers lack trust on

governmental institution, so they evade taxes or pay only the amount they believe they can be caught.

In order to reduce tax evasion, Tax Administration should increase the quality of audits and controls. This can be done through an improvement in tax audit methodologies and existing topics, creating a unique database with the results of inspections made on businesses and individuals. Strengthening of financial control may also help in the reduction in the size of informal economy.

Government should develop business management tools for a more precise control or a database including taxpayer's taxpaying habits. Fiscal evasion can be reduced also by the improvement of enforcement procedures. In order to control tax evasion government should:

a)Build business- friendly policies abolish repressive practices against business and fiscal arbitrariness,

b)Increase cooperation between different state agencies

c)Increase the capacity and professionalism of customs and tax administration, in order to improve the control of fiscal evasion in the labor market it is required the education of both employees and employers;

d)Strengthening the legal and financial penalties for individuals and companies who manipulate company balance sheets.

International experiences suggest that stronger penalties function better when adequate incentives have been created preliminarily for formalization purposes and when informal companies have a more successful transition towards formalization.

On the other side there are many question marks on the efficiency of the complaint system, including tax appeal procedures and complaints procedures through the judicial system.

The formalization reform must also have a goal to relieve the administrative burden for taxpayers, by promoting compliance with the tax system and the regulatory system as well as a higher standard of the final goods and services in the following aspects: For e.g. Improvement of public institutions' infrastructure in relation to application of online systems and enhancing the exchange of information in real time. More concretely, the online coordination of State Inspectors and online exchange of information on Inspections as well as coordinated registration of private entities, with institutions such as the NRC, Tax Office, Employment Office and other Inspectorates (e.g. NFA, the Environment Inspectorate, etc.) or the General Directorate of Customs for imports of raw materials (necessary for agro-business).

References

[1] Antonini L., 1966, *Equivalenza di fattispecie tributarie ed elusione di imposta*, Riv. dir. Fin, 167-174.

[2] Amatucci F., 2009, *L'abuso del diritto nell'ordinamento tributario nazionale, Clausola generale antielusiva*, Corriere giuridico.

[3] Brown Karen B., *A comparative look at regulation of corporate tax avoidance, Comparative prespectives on law and justice*,12, Springer editor, p.p 1-5, 198-199.

[4]   De la Feria R. & Vogenauer S., 2011, *Prohibition of Abuse of Law, A New General Principle of EU Law?*, Studies of the Oxford Institute of European and Comparative Law.

[5]   Ivo Caraccioli, 2009, *Elusioni o forzature nell'applicazione dell'imposta di registro,* Gianni Marongiu; *Spunti di metodo in tema di "abuso del diritto",* Paolo Gentili; Neotepa- Periodico ufficiale dell'A.N.T.I. – Associazione Nazionale Tributaristi Italiani, Milano.

[6]   Galdieri E., 2009, *General anti-avoidance rules & doctrines*, EUCOTAX Wintercourse 2009, Barcelona, Università LUISS – "Guido Carli" – Roma, *Facoltà di Giurisprudenza,* Cattedra di Diritto Tributario, p.p 27, 191.

[7]   Garbarino C., 2009, *The development of a judicial anti-abuse principle in Italy*, British Tax Review, B.T.R.

[8]   Lavoisier, 2099, *L'abuso di diritto nell'ordinamento tributario italiano*.

[9]   Losurdo F., 2011, *Il divieto dell'abuso del diritto nell' ordinamento europeo, storia e giurisprudenza*, G.Giappicheli Editore, Torino.

[10] Orow Nabil BEc, LLB (Hons), 2000, Department of Business Law and Taxation, Faculty of Business and Economics, Monash University, Victoria, Australia, *General anti-avoidance rules, A comparative International analysis,* Jordans Editor, Bristol.

[11] Palumbo G., 2011, *Elusione fiscale e abuso del diritto, L'aggiramento degli obblighi impositivi tra legittimo risparmio ed evasione fiscale*, Cesi Multimendia, Milano, 1-3.

[12] Piantavigna P., 2011, *Abuso del diritto fiscale nell' ordinamento europeo*, G.Giappicheli Editore, Torino.

[13] Pistone P., 1995, *Abuso del diritto ed elusione fiscale*, Padova, p.p 7-8.

[14] Terracina D., 2012, *Riflesi penali dell' evasione fiscale, Tra ricchezza nascosta e regime del dichiarato*, Dike Giuridica Editrice, Roma, 183-190.

[15] Jarvis, Chris, 1999, *The Rise and fall of the Pyramidic Schemes in Albania.*

[16] World Bank, 1994, *"Albania and the World Bank. Building the Future*", Washington DC.

[17] World Bank, 1998, *"Albania Beyond the Crisis",* Washington, D.C

[18] INSTAT

[19] Secretariat of the Investment Council: Working Document – *Informality, A Common Government-Business Challenge, December 2015.*

[20]   Annual Report of National Registration Center, 2015, Albania

Marriage Dissolution (Divorce) – a Comparison Overview: Albania, Kosovo, Macedonia

Sulejman Ahmedi

Prof. Dr, State University of Tetova

Abstract

The research includes the marriage dissolution and its consequences, which constitute today one of the most debated topics, considering not only the significant increase of the number of divorces in years, but also the trends in recent years in some European countries. Thus, this paper presents the hypothesis as follows: The Institute of dissolution of marriage in Albanian, Kosovo and Macedonian Law which preserves and must preserve the balance between the contractual freedom of the spouses and the court's intervention to dissolve the marriage in order to avoid abuses that may result from the "privatization" of the marriage dissolution and its consequences. Taking the cause precisely from the latter, the question arises whether the dissolution of marriage, as the institution that lies between private and public law, should be given priority to the solutions offered by the spouses ("the privatization of the institution"), or should public law be governed by the regulation of the institution, in the context of the special protection that the marriage and family enjoy by the State? From what is said above it is necessary to analyze by comparative approach the normative framework, legal doctrine and the case studies of these countries, regarding the dissolution of the marriage and the consequences it brings. The European countries and the tendency to harmonize family law in Europe will serve as orientation point to analyze the solutions currently offered by Albanian, Kosovo and Macedonian law as well as to provide the necessary recommendations. In particular, the subject of analysis is the reasons for the dissolution of marriage, the ways and the procedural aspects of its solution, the consequences on both personally and property terms between the spouses.

Keywords: marriage, marriage dissolution (divorce), consequences of marriage dissolution, "privatization" of marriage dissolution

Introduction

Preliminary consideration is that the marriage is a basic institution not only for the private interest of the spouses or their children, but also the public, which is interested in the family's safety and survival (Omar, 2010: 187). Problems related to the dissolving of marriage are of a theoretical and practical nature. Demographic data in Europe show a decrease in the number of marriages and an increase in the number of marital dissolutions as a result of changes in the legislation of member countries, which increasingly recognize the right of cohabiting

couples.[1][2] In contemporary societies, the marriage is not a communion that must last forever and continue even when close emotional relationships between spouses as a basis for family and spousal life do not function (Fantetti, 2011: 128-131). No matter how one might see it, there is a reality that can not be denied, which is that between spouses, disagreements may still arise. To avoid such "unbearable life", special attention has been paid since the ancient times of mankind's history, for the juridical regulation of marriage, and also for its resolution.lt is pointless to insist strongly that a marriage should be kept alive for a couple in a situation where it is established that the conjugal life has become meaningless and unsteady. Therefore, divorce is considered as a way out of a state characterized by a worsening of the conjugal relations. Today, the legal provisions of various countries maintain an interim stand between the complete prohibition of marriage and permission to end marriage. Family life does not end when the couple ends in divorce or when the parties do not live together (Kilkelly, 2003: 19). Moreover, the marriage resolution and the consequences derived from it in regulating family life are dealt with in the dual context of private law and public law. The first relates to the regulation of private relationships that arise from marriage; the second, with the special protection that the family and the marriage enjoy from the State. This is because the family created by marriage as an important subsystem of society for its proper functioning is indispensable for the existence and reproduction of the social community (Omari, 2010: 187). Issues related to dissolution of the marriage are current, not only in the countries subject of analysis, but also on an international and European level. Organizations organized since ancient times have regulated the dissolution of the marriage with legal norms from Roman, Greek, Byzantine, Egyptian, etc., as well as Albanian customary law. In the contemporary European era, the data in which we can refer to and ascertain that the marriage settlement was legally regulated derive since XVII. Although marriage implies a legal union and coexistence between a couple with a prospective to be stable, unique and long-lasting, this does not always happen in practice. On the contrary, there are many cases where the need for divorce is born, since social life, in fact marital life in society, has different dimensions and dynamics. Like the question of marriage resolution, which is going through a constant change, the same dynamic has followed the definition of the juridical nature of dissolution of marriage (Puhan, 1969: 184). The dissolution of marriage is closely related to marriage and its relation: every social relationship, once created, needs to be regulated and defined in terms of the conditions, causes and ways of its extinction (Vasilev & Haxhi, 1980: 126). The right to divorce is a completely personal right and belongs exclusively to the spouses. Although marriage is related to the will of the spouses, its dissolution must be made according to the legal rules and husband and wife cannot solve it on their own (Zaçe, 1996: 18). In order for the marriage to be able to end definitively, there must be reasons determined by law and legal procedure, to be resolved by the final judgment of the competent state body, specifically the court (Podvorica, 2006: 120). Divorce may only be required as long as the two spouses are alive. The supposition mentioned must exist for the entire duration of the divorce proceedings. From this definition, these are the most important features of marriage divorce:

---

[1] For statistical data in Europe see: Marriage and divorce statistics, on

http://ec.europa.eu/eurostat/statistics- explained/index.php/Marriage and divorce statistics, seen on December 20, 2015.

[2] Marriage, according to this doctrinal power, was defined as the link between a man and a woman that refers to an indissoluble common life.

a) a valid marriage is legally dissolved;

b) a marriage is dissolved during the common life;

c) the court, as a rule, as the competent state body, makes the decision on divorce,[1]

d) the reasons for the termination of marriage should be provided by law;

Marriage as a juridical act, sui generis, which differs from other legal actions based on the contractual freedom of the parties, is resolved by a court decision and not with the consent of the spouses. According to the KFRSI-I (Family Code of the Republic of Albania) from 1982, the courts were obliged to mention the causes that had caused the shock of marital relations and to determine the spouse for whose fault the marriage was resolved. Some of these reasons are as follows: maltreatment; severe insults; the violation of adultery; incurable psychic illness; penal punishment of one of the spouses; other causes that may shake the marriage to an extent of such deterioration, that their common life is impossible, and the marriage has lost its purpose, etc. (Begeja, 1985: 270). Divorce can only be made for reasons foreseen by law. According to Article 53 of the Constitution of the Republic of Albania, "Everyone has the right to marry and have a family. Marriage and family enjoy the special protection of the state. Creating and resolving a marriage is regulated by law." According to Article 37 of the Constitution of the Republic of Kosovo, "Marriage and its resolution are regulated by law and are based on the equality of spouses." The legislations of Macedonia, Albania and Kosovo have adopted a mixed system which foresees the general causes and particular causes for seeking divorce. The causes leading to divorce are different in character and nature. For example, from the 2007 statistics analysis in Macedonia, the doctrine (Mughal, 2015: 102-103) ranked among the reasons justifying the high number of marriages and at the same time the low number of divorces, those religious and cultural norms that morally condemn performing sexual relations outside the marital relationship. In Albania, recent sociological studies (Molla, 2015: 449) list domestic violence, unemployment and migration among the social and economic causes, this in turn leads to the cooling of couples' relationships and the violation of adultery. The legislation of the Republic of Macedonia is expressed in terms of worsening marital relations to the extent that common life has become unbearable (Article 40 of the LFRM - Family Law of the Republic of Macedonia), but in contrast to Albanian legislation does not list specific causes. LFRK (Family Law of the Republic of Kosovo) is similar to LFRM (Family Law of the Republic of Macedonia) because it does not list specific causes but refers to serious or persistent disorder of marital or other causes, as a result of

which marriage is irretrievably resolved (Article 69/1 LFRK). The Kosovo Jurisprudence emphasized that: Marriage should be maintained only when there is a mutual love of spouses, which is also reflected in their harmonious coexistence and the wish of one husband is not enough to preserve it (Trial Judgment Bulletin, 2013: 918).[2]

---

[1] There is a tendency in Europe to expand the autonomy of the parties to resolve the marriage (when there are no juveniles) to resolve the marriage even without a court decision (for example, with the assistance of a lawyer or notary).

[2] See the decision of the Supreme Court of the Republic of Kosovo (Judgment, Ac No. 65/2012) of 29 October 2012, which rejected as ungrounded the Applicant's appeal and upheld the Judgment of the District Court in Prizren C. no. 125/2012 of July 27, 2012.

The legal logic requires that in the judgment on the divorce of the spouse, the court is obliged to determine whether the relationships are broken to the extent that the conjugal life is unbearable. This means that it is necessary to ascertain the reasons for reaching the dissolution of the marriage (Totaj & Hamzaj, 2009: 111)[1]. If there are three ways to resolve marriage in all three countries, the reasons for marital divorce are numerous and, depending on their types, the law also provides for the procedure to be followed in each case as well as the consequences that arise of them. It is often the case that the court is placed in the face of an analysis of facts, behaviors, and non-fulfillment of rights and obligations which are generally considered as a breach of marriage obligations. Statistics in the study countries show that the worsening of spousal relationships is on the rise, for various reasons.[2] The procedure for marriage dissolution, in all three countries, is regulated by the Family Code (or the Family Law) and the civil procedure law of the states in question. Marriage will be considered dissolved only after the competent court will make a decision on this, assessing the fulfillment of the conditions set forth in the material law. Family issues are quite sensitive, especially in the divorce proceedings because of the personal rights and duties of spouses and other family members. Therefore, the lawmaker has foreseen the principles to be respected during the conduct of this procedure, the court's competence.[3]

Conclusion

The categorization of the consequences arising after the dissolution of marriage on the occasion of the dissolution of marriage ends the legal relationship between the spouses, created as a result of the marriage bond. In this sense, dissolution of marriage represents a legal fact with the authentication of which the law provides for extinction of martial relationship. From the analysis of the institute of dissolution of marriage in the comparative examination results an increase in the number of marital dissolution in all three countries. The comparison between Kosovo and Macedonia shows that the number of the dissolution of marriage is higher in the latter and that fictitious marriages are a widespread phenomenon in these countries. Among the main factors affecting the dissolution of marriage for the three countries in the analysis rank such migration and the economic reasons. The current normative regulation in Albania, Kosovo and Macedonia is presented as more traditional and conservative. This is evidenced in the decisive role that the legislation of the countries subject to analysis attributes to public intervention limiting the contractual freedom of spouses to dissolution of marriage. My opinion is that this approach should be preferred in order to protect the family core from a "privatization" of the dissolution of marriage carried out in an expedited procedure, which contradicts the purpose of the special protection that the marriage and the family enjoy from State. This is intended not only to preserve family values but also to avoid possible abuses, especially in fictitious marriages.

---

[1] The doctrine defines the unseen secular causes of divorce, such as those that are presented naturally and as such cannot be borne by any of the spouses (such as character mismatches, different approaches, etc.)

[2] See, Statistical Review on the Resolution of the Marriage (Divorce) in the Republic of Albania, the Republic of Kosovo as well as in the Republic of Macedonia

[3] Thus, for example, Article 30, paragraph 2, point 1, Law on the Courts of the Republic of Macedonia (Official Gazette of the Republic of Macedonia, No.58/06, 35/08,150/10) defines the substantive competence of the basic courts which are competent to adjudicate for the termination of marriage.

Bibliography

[1] Abazi I, et al., (1996) E drejta familjare në Islam, Shkup.

[2] Abdul'ati H & Haxhi., (1995) Struktura familjare në Islam, Shkup.

[3] Aliu A., Gashi H., (2007) E drejta familjare, Prishtinë: Universiteti i Prishtines..

[4] Amram M., D'Angelo A., (2011). La famiglia e il diritto fra diversity nazionali ed iniziative dell'Unione Europea, Milano: Cedam.

[5] Auletta T., (2007). Bilanci e prospettive di dititto di famiglia a trenf anni dalla riforma, Milano: Giuffrë.

[6] Bakic V., (1979). Porodicno pravo, dvanaesto dopolneto i izmeneto izdanie, Beograd: Savremena administracija.

[7] De Singley F.R., (1985) Sociologie de la famille conteporaine, Paris: Edithion Nathan.

[8] Elezi I., (2006) Kanuni i Labërisë, Tiranë: Toena.

The Evaluation of Prishtina Citizens on Privatization

Aferdita Dervishi

PhD Cand. European University of Tirana

Abstract

The purpose of this paper is to make effort to study the perception of citizens on privatization in Kosovo enterprises. This is revised paper of earlier edition on this topic, where is added the assessment at privatizations with Special Spin Off method (SSO). There are several studies carried out related to privatization of Socially Owned Enterprises in Kosovo, challenges and problems of privatized enterprises. However it is less studied the consideration of citizens on the interference of privatization into their lives and social welfare. The study is based on primary data collected through interviews with former employees and other citizens, entwisted by secondary source of data, through qualitative method. Previous study published with IIPCCL (2016) is completed with additional findings. The general picture is that with privatization in Kosovo too many working positions are lost and directly influenced family economies, while with privatization with specific method Spin Off Special 66.2% of jobs are kept. It is found that citizens interviewed are satisfied with SSO method, but majority of them are not satisfied with the privatization process in general. The state politics in Kosovo should be more supportive towards production and business revitalization.

Keywords: privatization, employees, perception, social impact, economic impact, SOS.

Theory aspects

Privatization is the process of transformation of the property structure expected to help economic development of a country. Of course, privatization includes a broad range of social consequences, and a growing concern over the negative repercussions of privatization has spawned research worldwide (Prizzia, 2005). While at west countries privatization lead to increase on profitability (La Porta and Lopez-de-Silanes (1997) and Megginson et al. (1994)), at transition countries the results on privatization are mixed:

- the transition economies for instance did not merely privatize a
- number of key state-owned firms or strive to improve the functioning of their legal and
- institutional framework.
- the transition economies for instance did not merely privatize a
- number of key state-owned firms or strive to improve the functioning of their legal and
- institutional framework.

Benett et al. (2006) estimate a growth model at 23 transition economies over the period 1990-2003, considering factor inputs. They consider the theories of (Ericson, 1991), *The transition economies emerged from a largely common system of central planning and communist ownership but are heterogeneous in terms of resource endowments, have followed a variety of policy mixes* (World Bank, 1996; EBRD, 2002), and *have exhibited a large variance in their growth rates* (Svejnar, 2002), for their assessment. They tested different specifications to estimate their model, using dynamic panel data methods that control for country and time fixed effects as well as potential endogeneity. The key proposition they test is that different methods of privatization have different effects on economic growth. It is found that mass privatization was the chosen method both in relatively successful economies like the Czech Republic and Lithuania, and in more difficult environments like Russia and Ukraine. While results related to methods of privatization and growth, reflect that the sale privatization method never exerts a significant independent influence on growth, and the method of mixed privatization hardly has a statistically significant effect. In contrast, the method of mass privatization is shown to be positively associated with growth.

Privatization is fundamentally political [...] issue which in democratic contexts is typically subject to ideological and political party choice (Soressen, 2009, pp. 33). In the proper processes and right ways of carrying privatization of Socially Owned Enterprises (SOE's) by transferring the assets and obligations to private businesses or private entities is believed to benefit free competition and markets, to stimulate production effects as well as to encourage investments from domestic and foreign capitals. SOE's may be placed at the hierarchy of economic-financial performance ranked from very good to very bad (Kikeri & Nellis & Shirley, 1994, 38). Hence enterprises may undergo reform process to suit to the globalization requirements and technology advancements in order to succeed.

There is a deficit on empirical studies related to the methods of privatization.

Several studies try to uncover the effects of privatisation on labour productivity, employment and earnings. According to 17 studies related to privatized enterprises that Estrin, Hanousek, Kocenda and Svejnar performed in their cross-compared analysis, focusing on enterprises in foreign ownership, results that the concept of workers' action and control cannot have statistically significant impact on employment. Other authors made efforts to find the correlation of state owned firms with low salaries and wages, like there are cases at Czhechoslovakia and Russia, but the case suited to Poland.

(Williamson, 2000, pp.595-613) states that reform of enterprises cannot be treated separately from the reform of institutions. Thus countries, especially former socialist –communist countries that undergo transition period need to reform policies and regulations next to reforming SOS's. State politics are important to give a proper direction of privatization process through policies and regulations in order to have important impact on the employment generation, investments and raise of economy in generally. Offering good legal base and transparent process management is expected to improve products, services and markets, to have new investments, as well as to improve usage of information technology.

Number of researchers paid attention to privatization in Kosovo. Roland has distinguished five most important obstacles related to the process of privatization in Kosovo (Roland, 2000, pp.236-239): political environment, flow of shareholders, obstacles of market structure, bureaucracy and obstacles in the system of information. Another study *Privatization-the*

Lessons of Experience (Kikeri & Nellis &, Shirley, 2005, 9), talks about two indicators that impact the performance and success, the economic productivity and welfare of consumers. The Special Spin Off (SSO) method, one of the privatization methods, is unique, and it has not been used at other countries. It consists of forming an subsidiary enterprise called NewCo from the mother company. The debts and obligations remain with the mother company, and the NewCo is tendered. SSO contains conditions that are investment, keeping existing employees and adding new ones, keeping the same activity for five years, and sometimes saving of patents, licences, prohibition to remove machinery from the compound for a limited time period. After privatization with SSO, the companies were monitored by Privatization Agency of Kosovo (PAK) (before Kosovo independence, 2008, by Kosovo Trust Agency – KTA).

In Kosovo there are identified 590 SOE's (Working Report,2009, Kosovo Privatization Agency). According to the Report of RIINVEST Institute (2008), from the total number of SOE's identified for privatization, only 30% of them have been operating after the war in Kosovo. Privatization process in Kosovo is proved to be the biggest challenge within South East Europe because of numerous reasons, that may be classified as follows (Dervishi, 2012,63):

- long delays in relation to definition of political status of Kosovo
- insecurity and hesitations from UNMIK-United Nations Mission in Kosovo[1]
- involvement of too many interested parties in this process
- the disputes of properties that were caused as a consequence of misusing Kosovo property and assets that were transformed to Serbs, during the time of violent measures of Serbia in Kosovo in 90's.
- lack of cadastral books because, serbs upon their withdrawal from Kosovo after the war have taken the cadastral documents and it is difficult to find out the transformation of immovable properties (Dervishi, 2012,143).
- obstacles to Kosovo authorities to have access to the northern part of Kosovo where local serbs don't allow to administer SOEs

Despite international fear and obstacles from Belgrade, interrupted several times, again the process of privatization in Kosovo continued again. Until now there have been 60 waves of privatization and 27 sales of assets through liquidation method (See: www.pak-ks.org).

Different papers considering the study of privatization process in Kosovo have not empirically analysed the perception of citizens or former employees of SOE's. Accordingly in this paper is made an effort to find the consideration of citizens in relation to the impact of privatization to the quality of their lives as well as to find out the level of satisfaction with the process of privatization, and the level of trust to state institutions.

Purpose and research methodology

This empiric study is completion of my original paper published from IIPCCL at Conference Proceedings ICIS V-2016, Vol.1, 2016, pp. 358-364). The original paper is completed with an

---

[1] UNMIK was established in June 1999 after the end of NATO intervention in Kosovo because of ethnic cleaning of Albanian population of Kosovo from Serbian military and paramilitary forces during the war in Kosovo, while NATO force called KFOR have taken over security.

extended assessment on the citizens' perception on privatization with SOS's. The terms of the study remains the same. The survey is developed in 2015 and 2018.

The study is carried based on the primary data collected and its treatment through combination of secondary source of data, with qualitative and comparative methods. Primary data is collected through direct questionnaire with former employees and other citizens in the region of Prishtina, capital city of Kosovo. Secondary source of data is carried by studying reports, journals, books and other publications related to privatization. It is selected the list of 10 sold SOE's, mainly big ones that were expected to produce effects. At the initial paper for each region 2 enterprises and for each of them 30 citizens were interviewed, meaning that 300 people were interviewed in five regions. In this paper additional 100 interviews were done. From this number 91 accepted to respond and 9 refused to talk about privatization.

- Total number of interviews conducted is 372 respondents and 27 refused to respond.
- Analyze of data is processed through the following steps:
- Producing of questionnaires to carry out interviews
- Performing direct interviews with former employees or citizens
- Data collection and their registration
- Analyze of data and outputs
- Comparison of outputs with literature on privatization and politics
- Determining the main consequences and benefits of privatization
- Findings with conclusions and recommendations

Analyse of perception of citizens for privatization

Political environment is of high importance in privatization process, as well as transparency of the process. One among the best researchers in Albania on privatization (Mema, 2003, 11), points out three main characteristics of privatization: speed of the process, social justice and transparency of the process. Law and its execution have been found to be very big problem with 21% and with 27% big problem after privatization at the privatized enterprises in Kosovo (Dervishi, 2016,pp.33-43). Another author (Knudsen,2010,96) points out that: *International state builders might have achieved responsibility-free privatization in Kosovo-but the wider domestic population does not seem to have benefited from the process.*

The findings of this study seek to investigate the result of citizens' consideration to the output of privatization in Kosovo.   The questions of questionnaire were linked with employment, state policies for privatization, benefits, loss, and transparency of the process as well as their personal remarks for it.

Question 1: Are you happy with the privatization mode" From the interviewees 70.2% emphasized they are not happy at all with the privatization model and process. Firstly the employees remained without job and secondly the process was not transparent. Out of 281 interviewees only 11 of them declared to have benefited from privatization, while 5 of them were buyers of SOE's. Out of 5, two of them who were not happy with the procedures because they had to wait long time from being proclaimed as a buyer until contract signature. The same question for Special Spin Off sold enterprises: 65 % where happy, 23% were not happy and and 12% had mixed opinions.

Question 2: Have you or your family members kept the job after privatization, only 14% declared to have kept their job. But, not all of them still have that job, meaning that only 5.3% out of 14.2% of them who had job after privatization are still working in the privatized enterprise, but out of 5.3 % only 4.1 % of employees receive their wages on time.
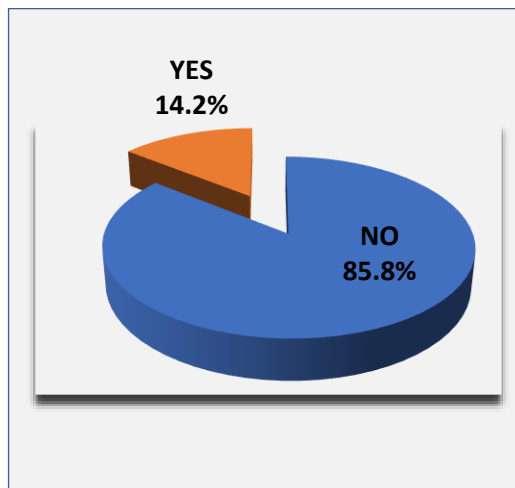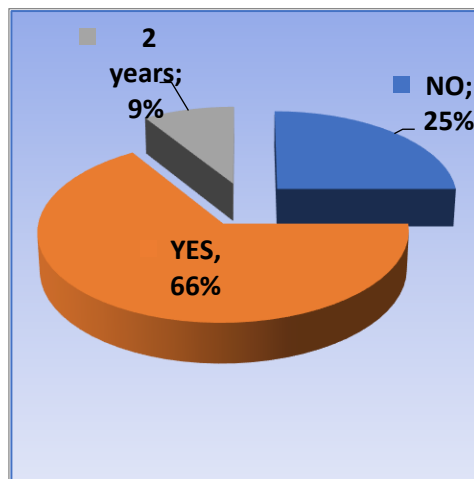

Fig.1. Source: Canvas questionnaire   Fig. 2. SOS privatization

The same question to Special Spin Off (SOS) sold enterprises: 66% were happy, and 25% were not, because they lost their job, and 9% have had job only for 2 years (see Fig.2)

Question 3: Have you or your family benefited or lost from the privatization. If YES what is the type of your benefit? In this question 52.2% responded they have benefited in some form from privatization, and 47.8% declared to had no benefit from privatization. From 52.2% the benefit is as follows: 30.5% from allocation of 20% to employees from privatization of SOE, 23% are renting premises and have bind a contract with PAK , 5.4 of them still have a job, 8.1% have privatised an asset or enterprise from PAK, 10% of them declared to have found another job and they consider this as a benefit of being redundant from previous SOE, and the remaining 23.5% got a positive respond on their requests from Liquidation authority, to pay their remaining wages that remained unpaid since they terminated the job at respective SOE. This question does not refer to SOS privatizations.

Question 4: Do you consider politics of privatization and legal base of Kosovo government is in favour of employment generation? The respond was negative with 94.2% which is very serious concern and needs to be considered seriously by government and policy makers in Kosovo. In the same question SOS responded 39.1% in favour, and 61%, not in favour.

Question 5: Do you think the politics and legal base of privatization is in favour of economic development of the country? With Yes-declared only 9.5% of respondents, while 90.5 % of them declared with NO. This is big concern that must be taken in consideration with caution. Responds from the same question from SOS: 40 % declared YES and 60 % declared NO.

Question 6: Do you think the process of privatization in Kosovo is transparent to public?

The general opinion is that process is not transparent, as follows: 88.3% declared the process is not at all transparent, other 0.7% think it was to some extend transparent, but only 0.5% think it is transparent and 10.5 –refused to respond on this question.

Question 7: Do you think population of Kosovo is happy and the economy of the state have benefited from this process? If your reply is NO, please give reasons why you think so. At this question 78.2% responded negatively, 6.8 % think little benefit, 3% positively with YES and the rest from 12% did not want to give a reply to this question.
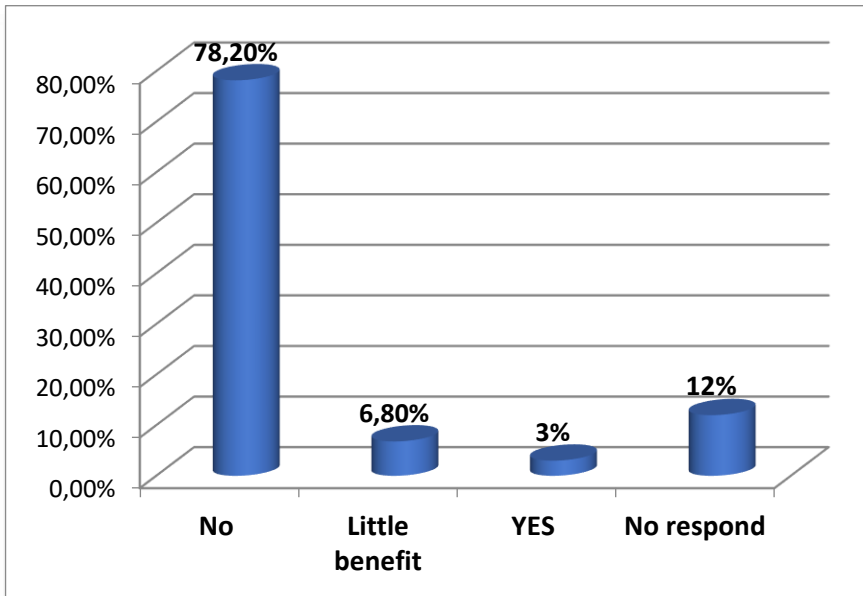
Fig. 3. Canvas questionnaire-responds on question 7

At the same question for the SOS privatization respondents gave the following answers: 61.2% responded negatively, 30.8 % think little benefit, 6% positively with YES and the rest from 2% did not want to give a reply to this question. In generally they are not happy because they think the privatization is influenced by political parties and the majority of important enterprises are sold to people who have power or links with politics.
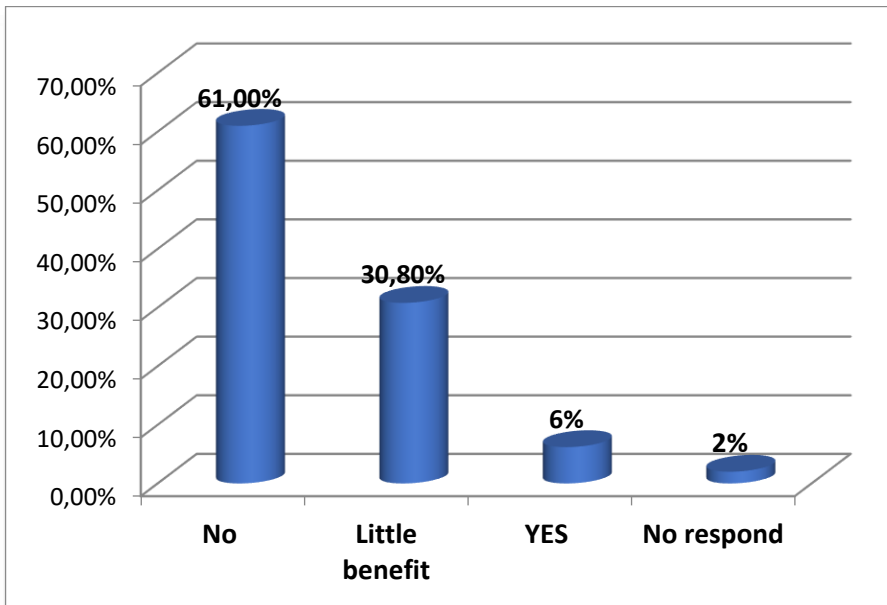
Fig. 4. Canvas questionnaire- SOS responds on question 7

Question 8: Are you happy with the behave and commitment of PAK staff during your visit to PAK premises to get information? From the respondents 38% of them declared to be happy, 24% were happy to some extent, little happy declared 16.1 % and not happy declared to be 21.9% of the respondents. The respond was similar by two groups.

Question 9: Citizens and former employees were asked to give their remarks regarding the process of privatization and liquidation of enterprises developed in Kosovo?

Main and most important remarks collected are following:

From the privatization employees who worked all their life have not benefited, but only individuals (70.5%).

There were huge delays on payment of 20% from the proceeds of privatization to employees; however people found some satisfaction with 20% proceeds.

There are big delays on distribution of means from liquidation related to debts SOE's had towards former employees and creditors (78.1%)

The law for economic development and employment generation is only in the paper while the reality is different because only few former SOEs are working (69.8%). Mostly they are rented or used for construction of buildings, is their remark.

The privatization in Kosovo have not produced positive effects to our lives and we have lost our jobs (81.4%).

During performance of survey with citizens and especially with a number of former SOE's employees there was some difficulties. Firstly there were some hesitations to respond and cooperate from around 1/4 of the interviewee but since it was guaranteed that no name will

be given in the publication of the paper, then they gave freely their opinion to the majority of questions put to them. Around 1/6 of former employees didn't want to cooperate, but it is given an explanation that the survey is for study purposes and it individual study which results may only have any benefit to them, but will not damage them in any manner.

After analyse of replies and its comparison with the literature and other papers related to privatization and its effects the paper comes up with the conclusion of outcomes.

Conclusions

Kosovo as a part of Europe, of course have undergone through transition period as other South East European Countries. Privatization of SOE's is normal process that started after the war and it was necessary to perform this process in order to keep the property of Kosovo economic assets and save them to further transformations from Serbia. Kosovo's privatization is characterized as a difficult and long process, performed as quick sale of SOE's through newly formed enterprises called NewCo to private investors through highest bidding procedure, but without preliminary assessment of assets or capacities of entity. The consequences of privatization for employees and their welfare are not respected and are not taken into consideration from the government seriously. However privatizations with Special Spin Off method, are much more successful in the terms of employment. The problems of former employees are bigger at normal privatizations comparing to SOS privatizations.

From the strategic point of view the consequences for Kosovo's economy, especially production and exports, as well as mining sector is not to be desired. The certain amount of sales of the SOE's is still deposited at foreign banks and the money is not invested in Kosovo in a way that our state would have direct impact from it. From the isolation of funds, Kosovo economy have negative effect on economic raise of Kosovo and welfare of citizens as they more depend on services, administration and on remittances. PAK should speed up with proceeds from liquidation to allocate to people their debts. PAK should consider review of operational policies, by improving them in favour of employment after privatization. The state politics should be more supportive towards production and business revitalization. Kosovo government should be more carefully to the voice of citizens and the politics of privatization to return the benefit of countries economy and better life of its citizens.

References

[1]   Jens Stihoff Soresen (2009), State collapse and reconstruction in the periphery: political economy, ethnicity and development in Yugoslavia, Serbia and Kosovo,*E-book*, p.33

[2]   Kikeri, Sunita; Nellis, John; Shirley, Mary (1994), "Privatization. The Lessons of Experience". *A World Bank Publication*. Washington D.C.

[3]   Williamson, Oliver E. (2000), The New Institutional Economics: Taking Stock, Looking Ahead, *Journal of Economic Literature*, Vol.XXXVII, pp.595-613

[4]   Knudsen-Augestand, Rita (2010), " Privatization in Kosovo: The International Project 1999-2008, NUPI

[5]   T.T. Ram Mohan, (2001), Special Articles, Privatisation: Theory and Evidence, *Economic and Political Weekly,* pp. 4865-4871.

[6]   Dervishi (Berisha), Afërdita (2012), Pas privatizimi dhe performancat e ndërmarrjeve në Kosovë, *RIINVEST.*

[7]   Dervishi, Aferdita (2015), Challenges of Privatised Enterprises in Kosovo, *Journal* on *Law and Economic Aspects,* University of Lodz, pp.33-43.

[8]   Estrin S. (2008) Privatization Impacts in Transitio Economis. In: Palgrave Macmillan (eds), The New Palgrave Dictionary of Economics. London

[9]   Group of authors, (2008), , *Privatization and Post-privatization in Kosova: Glass Half Empty or Half Full?*, RIINVEST Research Report.

[10]   John Bennett, Saul Estrin and Giovanni Urga (2006), Methods of Privatization and Economic Growth in Transition Economies, Working paper series, No.93

[11]   Mema, F. & Koci, S. (2002), Mass Privatisation Process and Post Privatisation in Albania. *Sotush and East European Developent Centre*

[12]   Mema, F. & Koci, N. (2002), Privatization in Albania: success of failure? *Conference proceedings: Integration and Transformation in Albania, Hungary and Macedonia*, Germany

[13]   Hanousek J; Estrin S; Kocenda E, Jan Svejnar (1998), The Effects of Privatization and Ownership in Transition Economies, *AEA Journal, Vol.47*

[14]   Law on Kosovo Privatization Agency No. 03/L-067, amended in September 2011

[15]   *EBRD Transition Report*, 2006.

[16]   UNMIK Regulation 2002/12 on the Establishment of Kosovo Trust Agency

[17]   Kosovo Privatization Agency, (2010), Working Report 2009.

The Autonomy of the Persons with Mental Health Issues in Evidence-Based Psychiatry

Rezarta Demneri

PhD, Full – time Lecturer, Department of Criminal Law Faculty of Law, University of Tirana

Abstract

The scientific accuracy of evidence-based psychiatry is anything but established due to the non-physicality of its object of study, the human psyche. A mental capacity assessment gains legal relevance when evaluating the need for an involuntary treatment or placement. The United Nations Convention on Rights of People with Disabilities provides that a person with mental health issues should benefit from equal recognition before the law in all aspects of life. This includes the right to consent or deny medical treatment. This paper aims to outline the shortcomings of the legal regulation in Italy and Albania concerning the exercise of autonomy on part of the persons with mental health issues in the decision-making process regarding the medical treatments that involve them. A case-sensitive evaluation of the mental capacity and consequently of the legal competence of the person, typical for common law countries such as the UK, is more attuned to the principles of medical ethics and deontology that recognise that the person with mental health issues is entitled to his/her autonomy, despite being affected by a mental disorder. [*]

Keywords: informed consent, Albanian law, Italian law, involuntary medical treatment, mental capacity, UN Convention on Rights of People with Disabilities.

Introduction

Informed consent is crucial to the legitimacy of any medical intervention. It is through consent that the person exercises his or her right to self-determination that is ultimately linked to the principle of autonomy in biomedical ethics. Any hindrance to the realisation of the right to self-determination could entail a violation of the right to liberty of the person, that to be free from torture and other inhuman or degrading treatment as well as the right to private life, as listed in the European Convention of Human Rights (ECHR).

The Italian and Albanian jurisprudence and doctrine stand on completely different levels in matters related to medical liability and human rights. Regardless of the different backgrounds and legal framework, both countries struggle to understand and implement effectively the provisions of 'equality before the law' and non-discrimination on grounds of mental disability, provided by the UN Convention on the Rights of Persons with Disabilities (CRPD). The United

---

[*] This is an updated rework of an article previously published by the Author in SEE I EU Cluster of Excellence in European and International Law, Series of Papers, Volume 3, 2017, p. 23-40, Verlag Alma Mater, ISBN: 978-3-946851-14-1. Permission to publish the revised work was granted by the first Publisher.

Kingdom law (England & Wales)[1] and consolidated jurisprudence provide that a person with mental health issues can be considered mentally capable and therefore legally competent to make decisions about his or her medical treatment. Furthermore, the UK law recognises the person a right to be 'unwise', without risking to being considered as unsound i.e. mentally incapable, on that ground (Mental Capacity Act [MCA], 2005). I argue that the challenges encountered in Italy and Albania may be attributable to the rigidity of continental law, which clashes with the inductive approach, typical of the common law tradition, which is necessary when dealing with medical cases.

The Fallacies of Evidence-Based Psychiatry

Evidence-based medicine (EBM) provides for a standardised medical opinion on the methodology applicable for the diagnosis, treatment and prognosis of the different pathologies by shifting the practice away from non-systematic clinical approaches (Thomas, Bracken, & Timimi, 2012). EBM requires continuing education on part of the health professionals so to ensure that healthcare is provided in accordance with the most updated scientific knowledge. Results are considered as 'scientific' if they stand rigorous testing and integrated evaluation, an example of which are meta-analysis.

The systematic categorisation of mental disorders is provided by the Diagnostic and Statistical Manual of Mental Disorders (DSM – V) issued by the American Psychiatric Association (APA) or alternatively, by the International Statistical Classification of Diseases and Related Health Problems (ICD-10), issued by the World Health Organization (WHO). It is common that the definitions of the different types of mental disorders change in the newer editions of these manuals, altering as a result the whole system of knowledge. For example, pursuant to the Mental Health Act (MHA, 2007) of the UK, intellectual disabilities are no longer considered as mental disorders. Compared to EBM, evidence-based psychiatry (EBP) is much more likely to suffer from the lack of psychiatric and statistical expertise on part of the statisticians and physicians, respectively, involved in gathering and interpreting scientific data (Nieuwenhuis, Forstmann, & Wagenmaker, 2011). Nieuwenhuis, Birte & Wagenmaker present an example of this situation by pointing out that a common mistake made by researchers is reporting, "*that one effect was statistically significant, whereas the other effect was not*" instead of proving "*a statistically significant interaction*" between two effects (p. 304).

There has been longstanding debate in legal doctrine and jurisprudence whether there should be a threshold over which the probability of accuracy of the medical opinion is 'sufficient' for being admitted as legal evidence. This is especially relevant when evaluating the existence of a causal link between two or more circumstances in a criminal offense or lawsuit for damages caused while receiving health care. A scientifically based decision is even harder to be achieved when the person involved has mental health issues. According to Schauer, the evaluation of scientific evidence in a legal case should not be carried out according to scientific parameters; legal criteria should be preferred instead (Lavazza & Sartori, 2011, p. 146). Schauer reports how medical opinions with 55 percent or even 25 percent of probability of accuracy were admitted as evidence in court for the simple reason that it was the highest degree of precision achievable at that stage of technological development (*ibid*, p. 146). The

---

[1] Although approved by the Parliament of the UK, the provisions of the laws discussed in this article are applicable only to England and Wales.

current Italian jurisprudence and doctrine do not consider scientific evidence to be legally incontestable. Scientific evidence is expressed typically in terms of statistical probability. The Court of Cassation of Italy abandoned deductive reasoning in favour of the inductive approach by pointing out that, regardless of how elevated the probability of accuracy of a scientific law is, the judge must ponder all the evidence admitted in court, to reach a decision based on logical probability (Franzese sentence, 2002). This avoids the danger of the expert opinion becoming the *de facto* judge of a medical negligence case.

Differential diagnosis and treatment in EBM should result from an integrated evaluation of the information gathered through clinical, laboratory and imaging examination. Unless the mental disorder is caused by brain lesions or other physiological causes (such as alcohol or drugs), psychiatric treatment is based strongly, if not exclusively, on inductive reasoning and statistical data. These two are then correlated to the behaviour of the persons who were enrolled in other studies and clinical trials. The need to refer to meta-analysis derives from the fact that the various studies conducted at an earlier time may have applied similar, yet not identical criteria and standards. EBP can provide results that *may* apply to a given case; it cannot however explain how and why an action caused the effect registered. Theories stemming from meta-analysis could be labelled as lacking scientific ground if we refer to Popper's definition of what is 'scientific'. The results based on inductive interpretations of the behaviour of a person have limited possibilities for empirical validation. Hence, these results bear a high risk of fallacy due to the uncontrollability of the environment under study: the human psyche.

The pursuit of the aetiology of the mental disorder or that of a "*treatment algorithm*" (term used by Thomas et al., p. 296), as a premise for applying an EBP approach, is doomed to fail from the start. Saraceno points out that inconsistency in psychiatry is not a crime, it is a fact (Rossi, 2015). This stance is confirmed by Thomas et al. (p. 296) who state that the so-called '*nontechnical/nonspecific aspects'*, i.e. the contexts, values, meanings and relationships in which the person with mental health issues engages during his/her life, although are considered as being of secondary importance by EBP, play actually a cardinal role in the assessment of the condition of the patient. Recognising the importance of these factors would reshape the approach of psychiatry as well as the expectations from the mental health caregivers and their exposure to liability.

This brief analysis of the shaky ground upon which psychiatry is erected, highlights how the alleged scientific character of the data and methodology applied by the medical practitioners, represents anything but a reliable premise when overruling the decision made by a patient with mental health issues. Appelbaum reports the data from a Raymont et al. study where 48% of 302 medical inpatients with acute conditions were actually mentally incompetent to consent to medical treatment; however, only a quarter of these 302 inpatients were deemed as mentally incapable by the caregivers providing care to them (Appelbaum, 2007).

The Validity of Consent to Treatment of a Person with Mental Health Problems

The cross-reference between inalienable rights and consent to treatment

Alongside the acknowledgement of the limitations intrinsic to EBP comes the acceptance of the fact that personalized healthcare is crucial when the person is affected by mental health issues. The volatility of EBP is a weakness that cannot be ignored, nor avoided. However, this

"volatility" should not be abused by those in a stronger position (i.e. the healthcare practitioners or the person's legal proxy) to overrule the will of the vulnerable person, merely because he/she has a mental illness. This would hinder the right to self-determination of the person he/she is entitled to, in the same way as the person who is not affected by a mental disorder. Vulnerable persons are actually entitled to reinforced safeguards of their rights precisely due to their mental health or physical conditions. According to the international case law, the person suffering from mental illness is subjected to the violation of the right to liberty, that to be free from torture and other inhuman or degrading treatment as well as of the right to a private life. The Albanian Criminal Code provides for two figures of the crime of "Torture" (Article 86 and 87). After much debate, Italy has finally adopted in 2017 a special provision in its Criminal Code (Article 613-ter) punishing "Torture".

A person's right to liberty, which comprises a physical as well as a mental dimension, can be limited only if provided by and in compliance to the law. Article 27 (2) (d) of the Albanian Constitution provides that the right to liberty can be limited only if the mentally incapable person represents a danger to the society. The criterion of danger is absent in the provision of Article 5 (1/e) of the ECHR and will be discussed briefly *infra.*

According to the DSM – V, a mental disorder is:

"[…] *a syndrome characterized by clinically significant disturbance in an individual's cognition, emotion regulation, or behaviour that reflects a dysfunction in the psychological, biological, or developmental processes underlying mental functioning. Mental disorders are usually associated with significant distress in social, occupational, or other important activities. An expectable or culturally approved response to a common stress or loss, such as the death of a loved one, is not a mental disorder. Socially deviant behaviour (e.g., political, religious, or sexual) and conflicts that are primarily between the individual and society are not mental disorders unless the deviance or conflict results from a dysfunction in the individual, as described above"* (American Psychatric Association, APA, 2013).

The mental dimension of the right to freedom is directly linked to the principle of self-determination, this last being exercised through consent. The Italian Constitutional Court defines consent as the "*foundation and legitimacy"* to any medical treatment (Judgement no. 471/90; Judgement no. 238/96). The current position of the penal jurisprudence of the Italian Supreme Court is that neither the absence nor the invalidity of consent from providing insufficient information to the patient, can be relevant to establishing whether there was given substandard medical care. The Italian Court of Cassation has also stated that although consent is a premise to providing healthcare, it does not entail a medical '*right to intervene*', if that goes contrary to the wishes of the mentally capable patient. A brief synthesis of the national and international legal substrate as well as of the jurisprudence and doctrine relevant to informed consent to medical treatment and criminal liability is provided by (Canestrari, 2014) and (Funghi & Giunta, 2005)

Legal doctrine has dedicated less attention to information as a crucial element for a valid consent. The fulfilment of the obligation to provide 'due information' should be more of a reference point rather than an objective in itself (Beauchamp & Childress, 1999). The Authors discern two declensions of informed consent:

- Consent as an autonomous thereby personal authorisation to undergo a medical procedure or to take part in clinical trials (*ibid*).
- Consent expressed in a specific form, in an institutionalised language required by social rules. In some cases, even though consent is granted autonomously, it can be legally invalid because it did not comply with specific formal requirements ((Beauchamp & Childress, p. 149).

Two of the most important international acts that recognise informed consent as a fundamental premise for the administration of medical treatment are the Council of Europe (CoE) Convention on Human Rights and Biomedicine (Oviedo Convention) and the CRPD. However, the Oviedo Convention and the CRPD offer different levels of safeguards to the right to self-determination of the person. Pursuant to Article 7 of the Oviedo Convention, the possibility to order involuntary psychiatric treatment is limited only for the shortest amount of time necessary and only in presence of a serious mental disorder that poses great danger for the health of the patient. Furthermore, a right to appeal this measure on part of the patient or his/her legal guardian must be ensured. Article 15 of the CRPD provides that

"[...] *no one shall be subjected without his or her free consent to medical or scientific experimentation" and that States "[...] shall take all effective legislative, administrative, judicial or other measures to prevent persons with disabilities, on an equal basis with others, from being subjected to torture or cruel, inhuman or degrading treatment or punishment*".

The Oviedo Convention provides that a physician can intervene exceptionally when the patient or his/her legal proxy is not able to consent or refuse medical treatment (On emergency as a legal justification for administering medical treatment without prior consent on part of the patient or his/her legal guardian, see European Court of Human Rights' decision ("Glass v. the UK", 2004). This situation can be absorbed within the legal justification of the "*state of necessity*", pursuant to Article 20 of the Albanian criminal code and Article 54 of the Italian criminal code, which require however that the harm (in this case, to the health of the patient) must be actual and not otherwise avoidable. Canestrari takes a slightly more moderate stance compared to the Italian criminal code provision by arguing that the state of necessity can activate also in cases where the conduct of the physician is aimed at neutralising "*an eventual source of harm*" i.e. when harm is not imminent (Funghi & Giunta, p. 178-179). This stance is akin to the definition of "medical treatment" for a mental disorder provided by the MHA 2007 (UK), briefly commented in the following subsection.

Considering the jurisprudence of the ECtHR and pursuant to Articles 5 and 7 of the Oviedo Convention and Articles 12, 18 and 19 of the Recommendation Rec (2004)10 of the Committee of Ministers (CoE), two fundamental rights exposed to violation during the administration of involuntary psychiatric treatment are the right of the person not to undergo cruel, inhuman or degrading treatment and the right to respect of private life. A violation of Article 8 of the ECHR can be justified only if compliant to the second paragraph of the same provision i.e. the intervention which violates the right to enjoy private life is aimed at avoiding any harm to the person itself or to society.

With respect to the violation of the right not to undergo cruel, inhuman or degrading treatment, the ECtHR in the case ("Herczegfalvy v. Austria", 1992) has stated that

"(…) a *measure which is a therapeutic necessity cannot be regarded as inhuman or degrading. The Court must nevertheless satisfy itself that the medical necessity has been convincingly shown to exist*".

In the same decision, the ECtHR continues, "*What distinguishes treatment from torture or inhumane or degrading treatment is the manner in which the treatment is administered*". (On this issue, see also ECtHR, ("Keenan v. the UK", 2001).

The abusive administration of neuroleptics to mental health facility inpatients has been considered by the Special Rapporteur on Torture of the UN (2008) as a violation of Article 3 of the ECHR (European Union Agency for Fundamental Rights, FRA, 2012).

Recalling the principle of equality and non-discrimination, the CRPD establishes that nobody affected by a mental disorder should be denied legal capacity only because of his or her condition. An assessment of the mental capacity is necessary whenever involuntary treatment is sought. In order to be applied correctly, Articles 15, 17 and 25 (d) of the CRPD on consent to medical treatment need to be read in conjunction (European Union Agency for Fundamental Rights, FRA, p. 22). However, there is still no unified standard on how to reach to such integrated interpretation of the CRPD provisions.

Article 33 of Law n. 833/1978 of the Republic of Italy "On the creation of the National Healthcare System" provides that the respect owed to the person cannot be violated under any circumstance and that any intervention should respect the human dignity. The same provision of the Italian law refers to Article 32 of the Constitution to highlight the constitutional grounds for the administration of involuntary psychiatric treatment. Article 32 § 1 of the (Italian) Constitution establishes that nobody shall be forced to undergo medical treatment unless provided by the law.

Can a psychiatric assessment limit the effective implementation of the shared decision-making model between patient and physician?

On January 31, 2018 the Italian Law n. 219/2017 " On consent to medical treatment and advanced dispositions" entered into force providing among other things, for a new type of legal proxy called "*fiduciario*" (it.) nominated by the mentally capable person prior to his/her eventual fall into incapacity to accepting or refusing medical treatments. The Italian Civil Code already provides for three different types of legal guardianship, which are "*curatela*", "*tutela*" and "*amministrazione di sostegno*", based on the level of dependency of the person from another. Currently, the Italian and Albanian law apply the 'substituted decision-making model' in which the legal guardian is authorised to make any decision on behalf of the person under guardianship. The substituted decision-making model is considered to clash with the 'shared decision-making' model promoted by the CRPD. For this reason, Italy was advised to repeal all laws blocking the implementation of the shared decision-making model (Committee on the Rights of Persons with Disabilities, 2016).

Shared decision-making could entail, in some cases, the interpretation of signs or other forms of communication through which the person with mental health issues manifests his/her will. Much debate has ensued as to whether this interpretation should be faithful to the essence of the person or to what is considered as logical and 'normal'. As noted by Donnelly:

"*When interpreting signals from a person whose views and feelings are essentially alien to them, decision-makers may fall back on what they believe to be a 'normal' response to the situation. In*

so doing, the wishes identified may not be those of the person lacking capacity but those which the decision-maker believes she would have if she were in the patient's situation" (2009, p. 13-14).

The Code of Practice for the MCA 2007 (UK) recommends that decision-makers be empathetic in reconstructing the wishes of the person lacking capacity, by evaluating extensively all relevant information without stopping at what they i.e. the decision-makers, think is important (Point 5.7.). The (Handbook for Parliamentarians on the Convention on the Rights of Persons with Disabilities, 2007) goes further by recommending that the person affected by a mental disorder, should be allowed to enter a "*representation agreement"* that allows for assisted decision-making without any obligation to undergo a psychiatric assessment, as this would undermine the effective application of Article 12 of the CRPD.

Principle 11 (9) of the Guidelines for the Promotion of Human Rights of the Persons with Mental Disorders of the WHO recognises the legal validity of consent by legal proxy. However, it recommends "*to inform the patient about the nature of the treatment and any possible alternatives and to involve the patient as far as practicable in the development of the treatment plan*" (WHO, Division of Mental Health and Prevention of Substance Abuse, 1996). In the same line is the provision of Article 22 on involuntary placement and treatment of the mentally ill person of the Recommendation Rec(2004)10 (CoE).

Congruous to the legislation, Article 33 (4), Article 35 (3) and Article 37 of the Italian (Code of Medical Deontology) provide that consent to medical treatment should be granted by the legal guardian of a mentally capable minor or of a mentally incapable adult. In case of a mentally capable minor who is legally incompetent, the physician is bound to involve the minor in the decision-making process (Article 6 (3) of the Oviedo Convention), to have consideration of his or her wishes as well as to take note of any eventual disagreement on part of said minor with regard to the medical treatment proposed. As pointed out by Canestrari

"The hardcore personal nature of life and health as well as the constitutional stature of the relevant legal safeguards applicable to these values, represent a public order limit which render them unavailable to either the incapable person and his or her legal guardian" (Funghi & Giunta, p. 176).

The term 'assent' is sometimes used in place of 'consent' when the person receiving medical treatment is affected by mental health issues, (European Forum for Good Clinical Practice, EFGCP, 2013). According to Donnelly (p. 7-8), the shared decision-making model supported by Section 6 of the (MCA 2005) (UK) implies that the lack of mental capacity due to a mental disorder, does not justify an automatic disregard of the wishes of the patient. Furthermore, the involvement of the patient in the decision-making process enables the medical staff to achieve a clearer perception of his or her condition and personality, contributing therefore to a correct application of the law (Donnelly, *ibid*) that prioritizes the principle of self-determination.

Even the so-called liberal countries such as the UK, struggle when it comes to respecting as legally valid the decisions of a person affected by a mental disorder. The UK MCA 2005 recognises a proper right of the person to make unwise decisions, without risking being considered mentally incapable as a consequence (Section 1, Principle 4). This right is also recognised in non-binding international acts such as by Principle 4 (2) & (3) of the "Guidelines

for the Promotion of Human Rights of the Persons with Mental Disorders" (WHO, 1996) as well as Article 2 (2) of the Recommendation Rec (2004)10 (CoE).

Prior to the consolidation of jurisprudence that associated the freedom of religion with the right to self-determination, any refusal to undergo a life-saving blood transfusion due to being contrary to one's religious beliefs, was considered 'unwise' from a medical perspective. In this scenario, the physician would have the duty to assess the mental capacity of the patient since the adult is presumed to be legally competent. This indicates that medical practice is able to discern between 'unwise' and 'unsound' decisions or behaviour. As stated in the ECtHR milestone case ("Winterwerp v. the Netherlands") concerning involuntary placement "*... Article 5.1e* [of the European Convention on Human Rights] *obviously cannot be taken as permitting the detention of a person simply because his views or behaviour deviate from the norms prevailing in a particular society*".

Mental capacity is assessed by applying clinical standards that were elaborated originally in 1988 and later updated in 2007 by Appelbaum. These clinical standards measure the ability of the person to understand the information about the medical treatment proposed, to retain and evaluate the different variables explained in lay terms and finally to come out with a decision as a result of this weighing process (Appelbaum, 2007). These same standards are listed in the Italian Code of Medical Deontology.

The right to self-determination is also inextricably linked to the principle of dignity. As Buchanan & Brock point out, a blind and sterile execution of the wishes of the person with mental health issues by calling upon the respect of the right to liberty or of the right to private life would be just as detrimental as the unjustified violation of these rights on the grounds of the person's mental disorder (Berghmans & Widdershoven, 2003). This highlights the need for the adoption of a case-sensitive approach on matters of consent to medical treatment i.e. rules that are flexible enough to strike a balance between the interests in play.

S145 (4) of the (Mental Health Act [MHA] 2007)(UK) provides for a legal definition of the medical treatment related to mental disorder as any intervention, which purpose is "*to alleviate, or prevent a worsening of the disorder or one or more of its symptoms or manifestations*". Pursuant to this MHA 2007 provision, the ECtHR has stated that an involuntary psychiatric measure can therefore be ordered if it is appropriate to prevent a worsening of the illness, without necessarily serving as a treatment for the actual disorder ("Hutchinson Reid v. the UK", 2003).

The introduction of new guidelines for the administration of involuntary psychiatric treatment that include the criterion of danger to oneself or to others could help buffer any eventual undue interference in the human rights. In several countries, involuntary treatment is ordered depending on how 'serious' the mental illness is. The Norwegian regulation provides that a person is administered involuntary treatment if affected by 'serious mental disorders' that include "*psychosis or deviant states of mental deficiency where the reduction in functioning is as substantial as that seen in psychosis interpretation*" (Zhang, Mellsop, Brink, & Wang, 2015). *Zhang et al.* led a comparative study on involuntary psychiatric treatment and observed that, as a rule, involuntary treatment is ordered only once the physician has diagnosed a mental disorder and proved that the person needs psychiatric treatment (*ibid,* p. 100, 103). The legal orders that provide for the 'danger' criterion require additional evidence that such danger is caused by the mental disorder affecting the person. Unlike what provided

by Article 27 (2)(d) of the Albanian Constitution, involuntary treatment in Italy (pursuant to Law n. 180/1978) can be administered without needing to prove that the behaviour of the person with mental health issues poses a danger to oneself or to society. The previous regulation (Italian Law n. 36/1904) focused more on the protection of the community from any harm coming from a mentally ill person rather than providing safety and treating him/her. However, the adoption of the danger criterion in administering involuntary treatment is recommended in the White Paper of the (Working Part of the Steering Committee on Bioethics, CDBI, 2000) of the Council of Europe and provided also by Recommendation No. R (83) 2 of 22 February 1983 and Recommendation 1235 (1994) of April 12, 1994, both referenced in the document.

Information as an Essential Element of a Valid Consent

Equality before the law, pursuant to Article 12 of the CRPD, can be achieved by requiring healthcare providers to support the person with mental health issues in the decision-making process, instead of leading over him or her. The final step in the decision-making process is the collection of consent (or refusal) to medical treatment on part of the patient or his/her legal guardian. However, as mentioned in the second section of this work, the decision needs to be informed in order to be legally valid.

The right to consent to medical treatment is also a vital element of the right to integrity pursuant to Article 3 (2) of the European Union Charter of Fundamental Rights and Article 17 of the CRPD. The Italian (Constitutional Court, 2008) has stated that informed consent to medical treatment is a synthesis of two fundamental rights deriving from Article 32 of the Constitution: the right to self-determination and the right to health (as in right to receive healthcare, AN) (paragraph 4). The second paragraph of Article 32 of the Italian Constitution provides that nobody shall be obligated to undergo medical treatment except according to the law. Similarly, Article 56 of the Albanian Constitution guarantees the right to equal access to healthcare as well as to benefit from health insurance. However, from a medical ethics perspective, this formulation recalls the principle of justice, rather than that of autonomy.

The jurisprudence of the Italian Constitutional Court on consent to medical treatment has recognised that the person has a distinct right '*to information*' on what concerns the nature and possible outcomes of the treatment, as well as on the alternatives available (Constitutional Court, 2008). The same Court follows by arguing that the right to information stems from the right to liberty (provided by Article 13 of the Italian Constitution), which combined with the prohibition to make a person undergo unauthorized medical treatment (Article 32 (2) of the Italian Constitution), sets the standard of autonomy in the decision-making process concerning medical treatments (*ibid*). Furthermore, the right to information of the person can be violated independently from his/her right to health (Court of Cassation, 2011; 2013). This means that a physician can be held civilly liable for failing to provide due information prior to collecting consent from the patient, even though his/her conduct did not cause any actual harm to the health of the patient. For recent relevant case law on this matter see Fargione (2016, p. 556).

Uniform legal standards on providing due information to the patient are yet to be established in both the Albanian and Italian legislation. On this matter, Beauchamp & Childress suggest preferring the "subjective standard" to that of the "reasonable person" or that of the

"professional practice". The subjective standard is tailored to the needs of the patient in that the physician will have to determine and provide the information that the patient would want, so to know to participate effectively in the decision-making process (Beauchamp & Childress, p. 155). The adoption of this standard is important for two reasons: The European Court of the Human Rights (ECtHR) case law has found a violation of the right to liberty when involuntary placement or treatment has been ordered without a specialist visiting and carrying a proper psychiatric assessment of the patient ("Malofeyeva v. Russia"; "Zagidulina v. Russia"; "Petukhova v. Russia", 2013). Secondly, certain legal regulations among which the Italian one, do not require that the physician that orders the administration of involuntary treatment to be a psychiatrist. Article 33-35 of the Italian Law No. 833/78 "On the national health service" provide that a motivated request for administering involuntary inpatient treatment must be presented by two physicians to the Mayor of the city where the institution is located.

Conclusions

The reformation of the medical science achieved through the adoption of the EBM has reverberated on the legal framework, especially that concerning human rights and medical liability. EBP has a higher risk of fallacy compared to EBM, despite relying heavily on neuroscience in an attempt to provide for a physical validation to its conclusions. In addition, EBP is based on inductive interpretations of the human behaviour and it cannot control the environment under study i.e. the human psyche. The current Italian and Albanian law provide that regardless of the rate of accuracy, expert opinion, including the medical one, should be evaluated in conjunction with all the other evidences admitted in court. The reasoning behind the decision of the court should be expressed in terms of logical probability instead of statistical (Franzese sentence, 2002). The Italian jurisprudence and doctrine do acknowledge the limitations of medical science with regard to the applicability of its results in a legal decision.

The shared decision-making model can be adapted into the so-called "*supported decision-making*" one when medical treatment involves persons with disabilities. For either decision-making model, it is important to have uniform medical standards on how to establish what is 'due information' owed to the specific patient prior to administering medical treatment. The Albanian and Italian legal orders must harmonise their regulation with the legal safeguards granted to the person with disabilities on matters of equality before the law and non-discrimination as provided by the CRPD. This would be attainable by recognising a right of the person to make unwise decisions without being considered mentally incapable based solely on this ground. The first step to achieving this harmonisation could be adopting a legal definition of mental disorder that refers to the medical science stance.

Bibliography

[1]   Glass v. the UK, Application no. 61827/00, 2004 (European Court of Human Rights, ECtHR).
[2]   Herczegfalvy v. Austria, no. 10533/83, 1992 (ECtHR).
[3]   Hutchinson Reid v. the UK, no. 50272/99, 2003 (ECtHR).
[4]   Keenan v. the UK, no. 27229/95, 2001 (ECtHR).

[5]   Malofeyeva v. Russia, no. 36673/04, 2012; Zagidulina v. Russia, no. 11737/06, 2013; Petukhova v. Russia no. 28796/07, 2013 (ECtHR).

[6]   Winterwerp v. the Netherlands, no. 6301/73, 1979 (ECtHR).

[7]   American Psychiatric Association, APA. (2013). Diagnostic and Statistical Manual of Mental Disorders (DSM – V). Retrieved from https://cdn.website-editor.net/30f11123991548a0af708722d458e476/files/uploaded/DSM%2520V.pdf

[8]   Appelbaum, P. S. (2007). Assessment of Patients' Competence to Consent to Treatment. The New England Journal of Medicine (NEJM); 357(18), 1835.

[9]   Beauchamp, T. L., & Childress, J. F. (1999). Principi di Etica Biomedica. Le Lettere.

[10]   Berghmans, R. L., & Widdershoven, G. A. (2003). Ethical Perspectives on Decision-Making Capacity and Consent for Treatment and Research. Medicine and Law, 22(3), 392.

[11]   Canestrari, S. (2014). Bioetica e Diritto Penale. Torino: Giappichelli.

[12]   Charter of Fundamental Rights of the European Union

[13]   Code of Practice for the MCA 2007 (United Kingdom, UK).

[14]   Convention on Human Rights and Biomedicine of the Council of Europe (Oviedo Convention, 1997)

[15]   Council of Europe (CoE)Recommendation Rec(2004)10.

[16]   Committee on the Rights of Persons with Disabilities, O. (2016). Concluding Observations on the Initial Report of Italy. Retrieved from http://tbinternet.ohchr.org/_layouts/treatybodyexternal/Download.aspx?symbolno=CRPD%2fC%2fITA%2fCO%2f1&Lang=en

[17]   Constitution of the Republic of Albania

[18]   Constitution of the Republic of Italy

[19]   Constitutional Court of the Republic of Italy, Judgement no. 438 of 12. 15, 2008.

[20]   Court of Cassation of the Republic of Italy (Civil Section), Judgement no. 11950/2013; Judgement no. 16543/2011.

[21]   Criminal Code of the Republic of Albania

[22]   Criminal Code of the Republic of Italy

[23]   Donnelly, M. (2009). Best Interests, Patient Participation and the Mental Capacity Act 2005. Medical Law Review, 17(1), 1-29. doi:https://doi.org/10.1093/medlaw/fwn021

[24]   Council of Europe, European Convention on Human Rights (ECHR, 1950)

[25]   European Forum for Good Clinical Practice, EFGCP. (2013). Guidelines on Medical Research for and with Older People in Europe. 12.

[26]   European Union Agency for Fundamental Rights, FRA. (2012). Involuntary Placement and Involuntary Treatment of Persons with Mental Health Problems. Retrieved from https://fra.europa.eu/sites/default/files/involuntary-placement-and-involuntary-treatment-of-persons-with-mental-health-problems_en.pdf Fargione, V. (2016). Il Danno da Lesione del Diritto all'Autodeterminazione nella Scelta dei Trattamenti Sanitari. Danno e Responsabilità(5), 556.

[27]   Court of Cassation of the Republic of Italy United Penal Sections, Judgement no. 30328/2002 (Franzese case).

[28]   Funghi, P., & Giunta, F. (Eds.) (2005). Medicina Bioetica e Diritto. I Problemi e la loro Dimensione Normativa. Edizioni ETS.

[29] Handbook for Parliamentarians on the Convention on the Rights of Persons with Disabilities. (2007). (14), 89-90. Retrieved from http://www.ipu.org/PDF/publications/disabilities-e.pdf

[30] Constitutional Court of the Republic of Italy, Judgement no. 471/90; Judgement no. 238/96.

[31] Lavazza, A., & Sartori, G. (Edt.). (2011). Neuroetica: Scienze del Cervello, Filosofia e Libero Arbitrio. Il Mulino.

[32] Mental Capacity Act [MCA]. (2005) (UK). Part 1, Section 1 (4).

[33] Mental Health Act [MHA] 2007 (UK).

[34] National Federation of the Orders of Medical Surgeons and Dentists of the Republic of Italy (FNOMCeO), Code of Medical Deontology.

[35] Nieuwenhuis, S., Forstmann, B., & Wagenmaker, E.-J. (2011). Erroneous Analyses of Interactions in Neuroscience: A problem of Significance. Nature Neuroscience(14), 1105–1107.

[36] Rossi, S. (2015). La Salute Mentale tra Frammentazione e Ricomposizione dell'Identità dei Diritti. Ragion Pratica(2), 464.

[37] Republic of Italy, Law no. 219/2017 "Norme in materia di consenso informato e di disposizioni anticipate di trattamento".

[38] Thomas, P., Bracken, P., & Timimi, S. (2012). The Limits of Evidence-Based Medicine in Psychiatry. Philosophy, Psychiatry & Psychology, 19(4), 296.

[39] WHO, Division of Mental Health and Prevention of Substance Abuse. (1996). Guidelines for the Promotion of Human Rights of the Persons with Mental Disorders. Retrieved from https://apps.who.int/iris/handle/10665/41880

[40] Working Part of the Steering Committee on Bioethics, CDBI. (2000). White Paper "On the protection of the human rights and dignity of people suffering from mental disorder especially those placed as involuntary patients". Strasbourg. Retrieved from http://www.coe.int/t/dg3/healthbioethic/Activities/08_Psychiatry_and_human_rights_en/DIR-JUR(2000)2WhitePaper.pdf

[41] Zhang, S., Mellsop, G., Brink, J., & Wang, X. (2015). Involuntary Admission and Treatment of Patients with Mental Disorder. Neuroscience Bulletin, 31(1), 101.

[42] United Nations Convention on the Rights of Persons with Disabilities (CRPD, 2007)

Gender Quotas and the Achievement of Gender Equality in Political Parties

Elvina Daja

Universiteti "Aleksander Moisiu " Durres

Jonida Brati

Universiteti "Aleksander Moisiu " Durres

Abstract

This dissertation focuses on the role of women in society, mainly women in public and political decision-making. The paper refers to the protection of human rights: there are no women's rights but only human rights. The choice of this topic is strongly related to the protection of human rights in general and in particular, all vulnerable and marginalized groups in society. Despite the positive development of the legal framework that regulates women's participation in political life in Albania, the legal concept of equitable representation has not yet become a political culture in our country. Thus, there was a need to analyze and assess the concrete situation of the implementation or incorrect implementation of these rights accepted and implemented de jure but not so respected de facto. In order to confirm whether Albanian women in leading roles have real power or not, during the paper their participation and representation in all levels of the main powers in Albania is evidenced and evaluated in several plans. Gender equitable representation, gender justice and the concept of gender equality are widely accepted by institutions and political actors, as a significant issue, which in terms of importance has become a significant part of Albanian legislation, whether in the framework of fulfilling the obligations of our state as member in international institutions and at the same time as a signatory of the acts adopted by these structures, either in the framework of the approximation of the national legislation with that of the European Union

Keywords: gender, quotas, achievement, gender, equality, political, parties

Issues of Measurability on the Transparency of the Administrative Procedure Among Clients

Balázs Hohmann

Dr., Assistant lecturer, University of Pécs, Faculty of Law, Department of Administrative Law

Abstract

The requirement for the transparency of the administrative procedure and the expectations for this arise step by step during the relevant legislation of European countries. However, the concept of this often used adjective remains vague in many cases, making it difficult to put it into practice. However, the requirement is of great importance for modern public administration systems in the 21st century: transparency has been proven to play a major role in building and maintaining citizens' trust in public administration and public bodies. Therefore, in addition to the objective meaning of transparency, which can be explored from legislation and the relevant legislative document, it is important to use empirical methods to explore the perceptions of transparency in clients. Transparency of the administrative procedure is in many respects a subjective concept. After all, in addition to the legislation on the administrative procedure and the consistent application process, as well as their communication, it depends to a large extent on the perceptions, knowledge, information and experience of the main stakeholders, usually natural persons clients. The presentation and the related study aim to explore this sense of transparency with empirical methods and seek to make practical findings that are independent of national specificities.

Keywords: administrative procedure, client, transparency, empirical methods.

Building Resilience in Schools Through Sport Activities

Alexandra Galbin

Dr., Alexandru Ioan Cuza University of Iasi,

Department of Sociology and Social Work

Abstract

This paper brings into attention the importance of doing sport activities in schools, as a strategy for building resilience. It is widely known that during this period of Covid-19 many sport activities have been reduced and children are engaged less in sport activities. In this line, the paper analyses the impact of Covid-19 on sport activities and its impact on children wellbeing, and how sport contributes to the resilience of children. Resilience is important for children mental health. It helps children to deal with daily difficulties such as homework, exams, bullying, family context, but also to cope with challenges later in life, during adolescence and adulthood. Practicing sport children learn life skills, transferring these skills to other context such as home, and communities. The paper also suggests some directions that should take into consideration in order to increase the awareness of doing sports activities in school context.

Keywords: resilience, sport, school participation

Explanation of the Impact of Team Entrepreneurial Orientation on Team Performance: Results of Empirical Research at Electro-Energy Company

Anna Wójcik-Karpacz

Jan Kochanowski University, Faculty of Law and Social Science, Poland

Sascha Kraus

Jan Kochanowski University, Faculty of Law and Social Science, Poland

Jarosław Karpacz

Jan Kochanowski University, Faculty of Law and Social Science, Poland

Joanna Rudawska

Jan Kochanowski University, Faculty of Law and Social Science, Poland

Monika Ingram

Jan Kochanowski University, Faculty of Law and Social Science, Poland

Abstract

Purpose: The purpose of this research was twofold: firstly, to find out how team entrepreneurial orientation is related to workplace performance for teams; and secondly, to analyse whether mutual trust between a manager and an employee moderates the relationship between entrepreneurial orientation and performance in teams.Research Design & Methods: The set of research proposals identifies (1) how team entrepreneurial orientation and team performance are related to each another, (2) how the relationship between team entrepreneurial orientation and team performance is moderated by team trust. The method used for carrying out empirical research was CAWI. In order to complete this research, data concerning about 55 teams from the Electro-Energy Company were collected. The project was founded by the National Science Centre in Poland allocated on the basis of a decision DEC-2014/15/B/HS4/04326. Findings: The results of the hierarchical regression analyses revealed that team entrepreneurial orientation is related to high levels of team performance. The variation in the team entrepreneurial orientation–team performance relationship was explained by team trust: the higher the level of increasing trust in the team, the stronger the relationship between entrepreneurial orientation and performance in that team. To conclude, employees may reciprocate for favourable relationships with managers by exhibiting extra-role entrepreneurial behaviour which, by increasing entrepreneurial orientation in the team, is possible to enhance team performance. Research limitations/implications: It is possible that a certain manager perceives high performing teams as more deserving of benevolence. Future research should examine data samples from team members in non-technical industries in order to improve the generalisation of the results. It is possible that different backgrounds may have an impact on the estimated relationships.

Keywords: team entrepreneurial orientation, team performance, team trust

From Walls Protecting People, to Walls Protecting States

Zuhal Karakoç Dora

Dr., Turkish Grand National Assembly

Abstract

Since the foundation of the world, human communities have developed sheltering and protection tools and corresponding defence and attack means against the attacks from outside. Constructing walls was one of the main methods of this. In this walls against enemies, Great Wall of China has a special place. However; the Wall that marked the last century is the Berlin Wall between 1961 and 1989, a symbol of political division in a global context. Yet, it is a coincidence that after the fall of the Berlin Wall, all the concepts of war and border became ambiguous. The world shrank, Samuel Huntington's predictions began to come true, and more and more identity battles began to take place. Besides; after the Cold War, the modern World has brought to the forefront how to protect itself from the mass movements. There, now, have been uncontrolled humanitarian movements with even greater threats than the atomic missiles of the USA or the USSR. When the internal conflict in Syria, started in 2011, and then the internal proxy wars started to shake not only the neighbouring countries like Turkey, but also the whole of Europe; successive safekeeping measures emerged. Developed countries first strengthened their borders in order to combat the influx of refugees or irregular migration; and then, they tried to shift the problem out of Europe by creating buffer zones. The fact that the EU-Turkey relations after 2013, which loads shield mission to Turkey, is almost entirely rests on the refugee crisis, explains this situation best. In this study, when on the one hand discussing the Wall having been built over the eastern and south-eastern borders of Turkey in excess of 1,000 km.; on the other hand, we will try to analyse the financial support and mute dissent of the EU for this Wall. If Turkey had tried to construct such a Wall prior to 2011, it could have had very strong opposition and reaction from the EU. Yet, now, it is being supported. This study seeks to associate the process of the wall being constructed on the borders of Turkey with the walls of late history. While aiming to understand the new security concept of the European Union, we specifically care to explain what Turkey's role is here.

Keywords: Migration, security, the EU, Turkey, wall

Voter Turnout in Albania 1991-2017

Alban Nako

PhD Candidate, Epoka University, Tirana, Albania

Abstract

Voter turnout is a crucial indicator on the citizens level of involvement in democracy and a continuous decline raises red flags on its functionality. I theorize that this decline in Albania is a product of electoral manipulation, where political machines mix different clientelist strategies, vote-buying, turnout buying and abstention buying, to win elections. Relying on a mix method sequential explanatory approach, I will investigate who conducts electoral fraud and how it is ensured that their agents deliver fraud when needed and as much as it is needed? I theorize that electoral fraud is conducted locally by bureaucratic compliances, who in a weakly institutionalized environment require political support for their survival. On the other hand, experiments with a variety of election laws have infringed the political knowledge of Albanian citizens. The impacts of these reforms vary in surprising ways, providing insight into the mechanisms by which Albania has reduced turnout and increased the polarizing influence.

Keywords: Vote turnout, Albania, clientelism, political parties

Positive of Being a Leader Charismatic in Academic Institutes in Arab World

Salwa Alrais

Abstract

Leadership defined as skills and values a person have towards reaching to goal or result. Leadership developed by instinct and we can see many people they have leadership naturally in their personality. The aim of this presentation is to promote leadership among academic or organizational level as important tool through learning what type of leadership person have or developed either by instinct or by adapting some important values and charisma especially in Arab countries. Leadership can be influences to help individuals in their personal and professional lives and to reach success and particularly needed to for students, teachers and university communities. A leader faculty teacher, leader student, leader advisor, leader administrator, leader dean, and leader assistant. It is a new way of improving doing the same work but in advanced way as leadership. In this presentation, I will talk about the importance of promoting leadership in level of the academic organization or any organization. Ways to influence leadership in students and to be leaders, and what is the result from leading your field. Adaption of important values of leadership skills and adapting perfect personality, and finally wheal of leadership creative approaches.

Keywords: Positive, Leader, Charismatic, Academic Institutes, Arab World

Effects of Longevity Optimism on Health and Financial Domains

Cristina Vilaplana-Prieto

London School of Economics (LSE), IZA and CESIfo, Universidad de Murcia, Joan Costa-Font

Abstract

We measure 'longevity optimism' (LO) by comparing actual survival realizations of European end of life exit interviews data and individual self-reported longevity expectations. We then relate LO to 'meteorological optimism' (MO), that is how weather predictions and actual weather compare. We exploit the variation in individual's life history to estimate the causal effect of LO on health, and financial behaviours. Sensitivity analysis with respect to the degree of violation of the exclusion restrictions confirms that our set of instruments based on parent's living status and parent's age of decease are 'plausibly exogenous'. We find that one standard deviation change of LO increases the adoption of healthier lifestyles (the probability of being current smoker or having sedentary lifestyle decreases by 48.41% and 211.55%, respectively, and the probability of consuming alcohol every day or almost everyday decreases by 71.19%). It also has an impact on financial investments and increases the probability of holding fixed income securities: bonds by 45.45% with respect to mean probability, mutual funds by 50.12% and retirement accounts by 69.22%. In contrast, MO exerts a more considerable influence over financial behaviors (especially bonds and life insurance) rather than healthy lifestyles.

Keywords: survival probability, longevity optimism, optimism, life expectancy, expectations, health behavior, financial behavior.

Effects of longevity optimism on Health and Financial Domains

Joan Costa-Font

London School of Economics (LSE), IZA and CESIfo

Cristina Vilaplana-Prieto

Universidad de Murcia

Abstract

We measure 'longevity optimism' (LO) by comparing actual survival realizations of European end of life exit interviews data and individual self-reported longevity expectations. We then relate LO to 'meteorological optimism' (MO), that is how weather predictions and actual weather compare. We exploit the variation in individual's life history to estimate the causal effect of LO on health, and financial behaviours. Sensitivity analysis with respect to the degree of violation of the exclusion restrictions confirms that our set of instruments based on parent's living status and parent's age of decease are 'plausibly exogenous'. We find that one standard deviation change of LO increases the adoption of healthier lifestyles (the probability of being current smoker or having sedentary lifestyle decreases by 48.41% and 211.55%, respectively, and the probability of consuming alcohol every day or almost everyday decreases by 71.19%). It also has an impact on financial investments and increases the probability of holding fixed income securities: bonds by 45.45% with respect to mean probability, mutual funds by 50.12% and retirement accounts by 69.22%. In contrast, MO exerts a more considerable influence over financial behaviors (especially bonds and life insurance) rather than healthy lifestyles.[1]

Keywords: survival probability, longevity optimism, optimism, life expectancy, expectations, health behavior, financial behavior.

JEL: I18, D14, G22.