



# Masters International R&D Center

## MIRDEC 2019

MIRDEC-14th  
International Academic Conference  
Contemporary Trends and Multidisciplinary Issues in  
Social Sciences  
(Global Meeting of Social Science Community)

## CONFERENCE PROCEEDINGS ISTANBUL 2019

Full Paper Series

Editors

Tamer Budak  
Joaquim Ramos Silva  
Antonio Focacci

Kadir Has University  
Istanbul, Turkey  
08-10 October 2019

MIRDEC-14th, International Academic Conference on  
Contemporary Trends and Multidisciplinary Issues in Social Sciences  
(Global Meeting of Social Science Community)  
08-10 October 2019, Kadir Has University, Istanbul, Turkey.  
Masters International Research & Development Center

[www.mirdec.com](http://www.mirdec.com)

**FULL PAPER SERIES - ISTANBUL 2019**

**ISBN: 978-605-80074-2-0**

# Masters International Research & Development Center

## **MIRDEC International Academic Conference**

MIRDEC-14th  
International Academic Conference  
Contemporary Trends and Multidisciplinary Issues in Social  
Sciences  
(Global Meeting of Social Science Community)

# CONFERENCE PROCEEDINGS

**ISTANBUL 2019**

## **FULL PAPER SERIES**

Editors

**Tamer Budak  
Joaquim Ramos Silva  
Antonio Focacci**

ISBN: 978-605-80074-2-0

Kadir Has University  
08-10 October 2019  
Istanbul, Turkey

## **Editors**

### **Tamer Budak**

#### **Inonu University, Turkey**

Dr. Tamer Budak is a full professor of tax law at the Faculty of Law, Inonu University, Malatya, Turkey. He has taught modules related to domestic and international taxation for many years. His area of research relates to tax administration and compliance, tax simplification, tax theory, and behavioral taxation. He was a visiting fellow Levin College of Florida University (2009), Business School of University of Exeter UK (2013-2014), and Max Planck Institute for Tax Law and Public Finance, Germany, (2017). He has been an editor of Inonu University Law Review since 2014, co-authored in many publications, and member of scientific committee of various academic journals.

### **Joaquim Ramos Silva**

#### **University of Lisbon, Portugal**

Dr. Joaquim Ramos Silva is Full Professor at the Lisbon School of Economics and Management, University of Lisbon. Head of the Economics Department in 2014-2018. His research interests fall in a broad range of subjects, particularly international economics, and among others, the process of firms' internationalization, interaction between the private sector and public policies, sustainable development, international organizations. The author of four books and the editor or co-editor of eight, published around eighty scholarly papers in peerreviewed journals and edited books, including Business Process Management Journal, Journal of Business Economics and Management, Journal of Economic Studies, Tourism Management, and WMU Journal of Maritime Affairs. He has actively participated in numerous international activities of research such as scientific events, editorial boards and commissions, projects, reviews, etc. A researcher of SOCIUS/CSG (Research in Social Sciences and Management), ranked as "Excellent" by FCT, the main Portuguese body that supports science.

### **Antonio Focacci**

#### **Bologna University, Italy**

Dr. Antonio Focacci is a senior lecturer at Bologna University in Italy. He has publications and presentations in various international journals and conferences. He is invited member of two international Journals Editorial Bords and served as a referee for many others. His research interest have covered different fields in economics and in management with specific reference on: sustainable economics, economics of commodities, economic cycles, investment assessment, energy and renewables, models for evaluating CSR and strategic positioning of business, etc.

**MIRDEC-14th, Istanbul 2019, Turkey**

Conference Head

Prof. Slagjana Stojanovska  
*IBF, Macedonia*

Conference Director

Dr. Kemal Cebeci  
*Marmara University, Turkey*

**MIRDEC-14th, Istanbul 2019, Turkey**

**CONFERENCE BOARD, Scientific Committee**

**Prof. Dr. Slagjana Stojanovska**  
*IBF, Macedonia*

**Dr. Kemal Cebeci**  
*Marmara University, Turkey*

**Prof. Dr. Joaquim Ramos Silva**  
*University of Lisbon, Portugal*

**Prof. Dr. Aieman Al-Omari**  
*Hashemite University, Jordan*

**Prof. Marta M. Machuca**  
*Universitat Internacional de Catalunya, Spain*

**Adjunct Professor Jacques Saint-Pierre**  
*Laval University, Canada*

**Dr. Maria del Pablo-Romero**  
*University of Seville, Spain*

**Dr. Adam Pawlicz**  
*University of Szczecin, Poland*

**Dr. Aram Belhadj**  
*University of Carthage, Tunisia*

**Dr. Aziz Sair**

*University Ibn Zohr, Morocco*

**Dr. Mohamed Zniber**

*University Ibn Zohr, Morocco*

**Dr. Tanu M. Goyal**

*Indian Council for Research on International Economic Relations, India*

**Assoc. Prof. Dr. Penka Peeva**

*Assen Zlatarov University, Bulgaria*

**Assoc. Prof. Dr. Asmahan Altaher**

*Applied Science University, Jordan*

**Assoc. Prof. Dr. Rong Zhang**

*Nishinippon Institute of Technology, Japan*

**Dr. Antonio Focacci**

*University of Bologna, Italy*

**Dr. Jinhua Lee**

*University of St. Andrews, United Kingdom*

**Dr. Mirela Tase**

*Universiteti Aleksander Moisiu Durres, Albania*

**Dr. Rosella Carè**

*University Magna Graecia of Catanzaro, Italy*

## MIRDEC-14th, Istanbul 2019, Turkey

### REFEREE BOARD

**Prof. Dr. Slagjana Stojanovska**  
IBF, Macedonia

**Dr. Kemal Cebeci**  
Marmara University, Turkey

**Prof. Dr. Aieman Al-Omari**  
Hashemite University, Jordan

**Prof. Dr. Joaquim Ramos Silva**  
*University of Lisbon, Portugal*

**Prof. Dr. Nazrul Islam**  
Uttara University, Bangladesh

**Prof. Dr. Ahmed Smahi**  
Tlemcen University, Algeria

**Adj. Prof. Dr. Jacques Saint-Pierre**  
Laval University, Canada

**Adj. Prof. Dr. Antonio R. Andres**  
University Camilo Jose Cela, Spain

**Adj. Prof. Dr. Mariusz E. Sokołowicz**  
University of Lodz, Poland

**Assoc. Prof. Dr. Asmahan Altaher**  
Applied Science University, Jordan

**Assoc. Prof. Dr. Penka Peeva**  
Assen Zlatarov University, Bulgaria

**Assoc. Prof. Dr. Rong Zhang**  
Nishinippon Institute of Technology, Japan

**Assoc. Prof. Dr. Rajesh Kumar**  
Malaviya National Institute of Technology, India

**Assoc. Prof. Dr. Haitham Nobanee**  
Abu Dhabi University, United Arab Emirates

**Assoc. Prof. Dr. Aktham Issa Al-Maghaireh**

UAE University, United Arab Emirates

**Assoc. Prof. Dr. Jolly Ghose**

Kolhan University, India

**Assoc. Prof. Dr. Svitlana Denga**

Poltava University of Economics and Trade, Ukraine

**Assist. Prof. Dr. Salem Abdulla**

Azzaytuna University, Libya

**Assist. Prof. Dr. Hebatallah Adam**

Ain Shams University, Egypt

**Assist. Prof. Dr. Benish Chaudhry**

University of Modern Sciences, United Arab Emirates

**Assist. Prof. Dr. Aruna Singh**

Lexicon Institute of Management Education, India

**Dr. Jinhua Lee**

University of St. Andrews, United Kingdom

**Dr. Adam Pawlicz**

University of Szczecin, Poland

**Dr. Antonio Focacci**

University of Bologna, Italy

**Dr. Rosella Carè**

University Magna Graecia of Catanzaro, Italy

**Dr. Aram Belhadj**

University of Carthage, Tunisia

**Dr. Mirela Tase**

Universiteti Aleksander Moisiu Durres, Albania

**Dr. Vijay Barthwal**

Government College, Chief Editor, ESRI Journal, India

**Awad Elsayed**

Plymouth Business School, United Kingdom

## MIRDEC-14th, Istanbul 2019, Turkey

### CONFERENCE TOPICS

**Accounting:** Auditing, business, social and environmental Business – SMEs, MNEs, strategy, responsibility in accounting and accountants, environmental, sustainable and responsible business, IFRS, public-private cooperation in sound accounting, global trends in accounting strategies, international audit standards.

**Business & Enterprise:** Business cycles, business planning, supporting SME, policies to promoting SME, e-commerce, women entrepreneurs education and development, strategic integration between innovation & entrepreneurship, entrepreneurship in developing countries, corporate and social entrepreneurship, leveraging digital skills for innovation in the society, high-tech, R & D, enterprises.

**Demography & Population:** Migration studies, demography, population studies.

**Economics:** Microeconomics, macroeconomics, economic growth, fiscal and monetary policy, finances, public regulations, sustainable development, agro-economics, climate change.

**Environment:** Environment economics, fiscal policy for protecting environment, green production, sustainable growth, natural resource, management, climate change, macro-micro issues in environment studies.

**Education:** Research & development in education, technology and education, education strategies for different age groups, life time education, pedagogy, learning and teaching, educational psychology, curriculum and instruction, e-learning, virtual learning, global internet courses, blended learning, flipped, pathway, enabling, work integrated learning, executive training, training and development, educational leadership.

**Entrepreneurship:** Product, innovation, social, political, knowledge, corporate venturing, digital media.

**European Studies:** EU crisis, monetary union, enlargement process of EU, tax harmonization in EU, fighting with tax competition in EU, EU energy policy, competitiveness, EU social policy, Fighting unemployment, income distribution, EU migration, understanding migrants and asylum in European Union, European migrant crisis, refugee crisis, social reflections of Syria crisis to EU area, cooperation for improving EU, Brexit, future projections, EU environment policy and resource efficiency, EU relations with third party countries, climate change and EU, integration, culture.

**Finance:** Corporate, international, green finance, financial reporting, public finance, financial markets, financial services, financial instruments, capital movements, government budgeting.

**Globalization studies:** Framework of globalization, history of globalization, economic globalization, cultural globalization, political globalization, globalization and international law, globalization and arts, globalization and conflicts, globalization and new world order, sustainable growth and development, globalization and climate change, regional integrations, human rights and globalization, migration, global institutions, technological platform for globalization, national boundaries, globalization and internet, globalization and sports, globalization and free trade.

**Health:** Public health, health policies, hospital management, public and private health services, economic, social and political aspects of health services.

**International Business:** Culture and business, regional-global business, entry modes, strategy, expansion, mergers & acquisitions, trade, franchising strategies.

**Internet & Social Media Studies:** Social media, internet, future of communication.

**Management:** Human resources, cultural problems in labor mobilization, international human resource, mobility of human resource, business, cross cultural, corporate governance, financial resources, gender issues, technological resources, natural resources, knowledge.

**Marketing:** New media, social media marketing strategies, international, consumer research, market research, policy research, sales research, pricing research, distribution, advertising, packaging, product, media.

**Philology, Language & Translation Studies:** Historical study of language, aspects and research of speech production, transmission reception, linguistics, translation studies.

**Social Business:** Socially responsible enterprise, environmentally conscious enterprise, non-government institutional activities, globalization and social business, care programs.

**Social Sciences:** Anthropology, communication studies, new communication in new world order, demography, development studies, information and communication studies, international studies, journalism, library science, human geography, history, law, political science, public administration, psychology, sociology.

**Tourism:** Developing sustainable tourism destinations, tourism and heritage preservation, tourism economics, tourism policies, hospitality, tourism management and marketing, tourism planning and regional development, protected areas and tourism.

**MIRDEC-14th, Istanbul 2019, Turkey**

**KEYNOTE SPEAKERS and PAPERS**

**Onyeka Nwelue**

*The Invention of the Black Race by Pink Philologists*  
**Queensland University, Haiti**

**Stamatis Gargalianos**

*Theater Short Games: Cataloging and Classification Based on Books and Practice in Elementary Schools*  
**University of Western Macedonia, Greece**

**Imdat Dogan**

*Digital Energy*  
**Finance and Investment Executive, Istanbul, Turkey**

**Rengin Ak**

*Is Bioenergy a Life Balance?*  
**Kirklareli University, Turkey**

**Rosa Fagundes**

*Best Practices for Teaching Writing to English Learners*  
**Metropolitan State University, United States of America**

## MIRDEC-14th, Istanbul 2019, Turkey

Special thanks to Keynote Speakers:

**Onyeka Nwelue**

*Queensland University, Haiti*

**Stamatis Gargalianos**

*University of Western Macedonia, Greece*

**Imdat Dogan**

*Finance and Investment Executive, Istanbul, Turkey*

**Rengin Ak**

*Kirklareli University, Turkey*

**Rosa Fagundes**

*Metropolitan State University, United States of America*

Special thanks to Masters International Research & Development Center  
conference team:

**Slagjana Stojanovska**

*IBF, Macedonia*

**Kemal Cebeci**

*Marmara University, Turkey*

**M. Veysel Kaya**

*Kırıkkale University, Turkey*

**Özkan Zülfüoğlu**

*Marmara University, Turkey*

**Oumayma Aatig**

*Morocco*

We are very pleased to introduce the proceedings (**Full Paper Series**) of the **MIRDEC-14th, International Academic Conference on Contemporary Trends and Multidisciplinary Issues in Social Sciences (Global Meeting of Social Science Community), 08-10 October 2019**, Kadir Has University, Istanbul, Turkey.

MIRDEC thanks to all our participants and authors for their academic and social contributions.

**Mirdec-14th Istanbul 2019 Conference Proceedings, Full Paper Series**

Masters International Danismanlik Arastirma Yayincilik  
Masters International Consultancy Research and Publishing

**ISBN: 978-605-80074-2-0**

MIRDEC Publishing

**Editor:**

**Tamer Budak**

**Joaquim Ramos Silva**

**Antonio Focacci**

Copyright © 2019 Masters International Danismanlik Arastirma Yayincilik, editors and the authors. All rights reserved. No part of the material protected by this copyright may be reproduced or utilized in any form or by any means, without the prior written permission of the copyright owners, unless the use is a fair dealing for the purpose of private study, research or review. The authors and editors reserve the right that their material can be used for purely educational, scientific and research purposes.

**Publisher:** Masters International Danismanlik Arastirma Yayincilik

Masters International Consultancy Research and Publishing

**ISBN: 978-605-80074-2-0**

MIRDEC Publishing

**Publisher certificate no: 35822**

**Publication date: 31 December 2019**

Publisher address: Cinarlicesme sk. No: 21/13 PK: 34303 Kucukcekmece  
Istanbul Turkey

Tel: +90 532 525 23 95

**[www.mirdec.com](http://www.mirdec.com)**

**[info@mirdec.com](mailto:info@mirdec.com)**

**Published at:** Transkop Buro Makinalari San ve Tic Ltd Sti. Address: Bagdat cd. No: 287/291A Maltepe - Istanbul, Turkey. Sertifika No: 42007. (Certificate no: 42007).  
Tel: +90 (0216) 383 34 14.

MIRDEC-14th, International Academic Conference on  
Contemporary Trends and Multidisciplinary Issues in Social Sciences  
(Global Meeting of Social Science Community)  
08-10 October 2019, Kadir Has University, Istanbul, Turkey.  
Masters International Research & Development Center

[www.mirdec.com](http://www.mirdec.com)

**FULL PAPER SERIES - ISTANBUL 2019**

**ISBN: 978-605-80074-2-0**

# MASTERS INTERNATIONAL

## Research & Development Center

MIRDEC-2019

ISTANBUL 2019

Conference Proceedings: Full Paper Series

**ISBN: 978-605-80074-2-0**

## TABLE OF CONTENTS

### **EMILIO MOYANO-DIAZ, HÉCTOR VARGAS GARRIDO AND DORIS MÉNDEZ CAMPOS**

FACTORS ASSOCIATED WITH COMMUTING ACCIDENTS (CA) IN CHILEAN WORKERS ..... 5

### **HÉCTOR VARGAS GARRIDO, EMILIO MOYANO-DIAZ AND DORIS MÉNDEZ CAMPOS**

SLEEPING HOURS AND COMMUTING ACCIDENTS IN CHILEAN WORKERS BY COUNTRY'S REGIONS..... 13

### **YE HTUT OO AND WONGSA LAO HASIRIWONG**

ROLES OF OPIOID-RELATED HEALTH LITERACY AND SOCIOECONOMIC HARDSHIP ON MENTAL HEALTH STATUS OF ADULT MALES IN KACHIN STATE, MYANMAR..... 21

### **MAHMUT SAYLIKAY, EDIP ALI PEHLIVANLI, IMDAT DOGAN AND ADNAN AKIN**

THE RELATIONSHIP BETWEEN ORGANIZATIONAL WHISTLEBLOWING, WORK ALIENATION AND EMPLOYEE TURNOVER INTENTION: A REVIEW IN THE BANKING SECTOR ..... 31

### **CLAUDIU MEREUTA**

CRITICAL ANALYSIS ON THE EVALUATION OF THE QUALITY MANAGEMENT SYSTEM IN DOCTORAL SCHOOLS OF ROMANIA..... 43

### **ELENA MEREUTA**

THE QUALITY OF RESEARCH: AN ESSENTIAL PART OF THE EXTERNAL EVALUATION OF THE UNIVERSITY ..... 51

### **M. VEYSEL KAYA AND ABDULKADIR TIGLI**

ENVIRONMENTAL INSURANCE AS A CONTEMPORARY MODEL OF “DOUBLE-DIVIDEND HYPOTHESIS”: DEFICIENCIES, CRITICS AND DISCUSSIONS ..... 57

### **MAIS QUTAMI**

ASSIMILATION AND HYPHENATED IDENTITIES IN MULTIETHNIC NARRATIVES IN THE USA..... 63

### **HONE WAENGARANGI MORRIS**

TE TAIAO, TE TINANA, E RUA, E RUA..... 79

### **AYTAC AYDIN, ABDULKADIR TIGLI AND M. VEYSEL KAYA**

DOES THE CYBERSPACE OF INDUSTRY 4.0 STAGE RESERVE SOCIAL RISKS? THE CASE OF POLITICAL MOVEMENTS ON OECD COUNTRIES ..... 87

<b>ESRA ULUKOK, MAHMUT SAYLIKAY, HACI BAYRAM ISIK AND ADNAN AKIN</b> THE FURNITURE SECTOR CORPORATE CAPACITY RESEARCH: A SAMPLE OF KIRIKKALE .....	93
<b>SASO JOSIMOVSKI, LIDIJA PULEVSKA AND MARTIN KISELICKI</b> IMPLEMENTING THE FREEMIUM BUSINESS MODEL IN THE SOFTWARE INDUSTRY: KEY FINDINGS AND IMPLICATIONS.....	105
<b>FATIMA ZAHRA AND SEYEDEHSAMANEH FATEMI</b> ORIGION TOWARDS DEVELOPMENT: INDO-PERSIAN AESTHETIC CHARACTERISTICS OF PAISLEY ORNAMENT .....	113
<b>PATHE SEINY</b> HUMAN RIGHTS AS A FACTOR OF ECONOMIC INCLUSION IN SOCIAL CLASSES .....	121
<b>IRINA ANA DROBOT</b> TWIN NOVELS: POSSIBLE EXPLANATIONS.....	143

**MIRDEC 14th– ISTANBUL 2019**

We are very pleased to introduce the proceedings (**Full Paper Series**) of the **MIRDEC-14th, International Academic Conference on Contemporary Trends and Multidisciplinary Issues in Social Sciences (Global Meeting of Social Science Community), 08-10 October 2019**, Kadir Has University, Istanbul, Turkey.

MIRDEC thanks to all our participants and authors for their academic and social contributions.

**Mirdec-14th Istanbul 2019 Conference Proceedings, Full Paper Series**

Masters International Danismanlik Arastirma Yayincilik  
Masters International Consultancy Research and Publishing

**ISBN: 978-605-80074-2-0**

MIRDEC Publishing

**Editor:**

**Tamer Budak**

**Joaquim Ramos Silva**

**Antonio Focacci**

Copyright © 2019 Masters International Danismanlik Arastirma Yayincilik, editors and the authors. All rights reserved. No part of the material protected by this copyright may be reproduced or utilized in any form or by any means, without the prior written permission of the copyright owners, unless the use is a fair dealing for the purpose of private study, research or review. The authors and editors reserve the right that their material can be used for purely educational, scientific and research purposes.

**Publisher:** Masters International Danismanlik Arastirma Yayincilik

Masters International Consultancy Research and Publishing

**ISBN: 978-605-80074-2-0**

MIRDEC Publishing

**Publisher certificate no: 35822**

**Publication date: 31 December 2019**

Publisher address: Cinarlicesme sk. No: 21/13 PK: 34303 Kucukcekmece  
Istanbul Turkey

Tel: +90 532 525 23 95

**[www.mirdec.com](http://www.mirdec.com)**

**[info@mirdec.com](mailto:info@mirdec.com)**

**Published at:** Transkop Buro Makinalari San ve Tic Ltd Sti. Address: Bagdat cd. No: 287/291A Maltepe - Istanbul, Turkey. Sertifika No: 42007. (Certificate no: 42007).  
Tel: +90 (0216) 383 34 14.

MIRDEC-14th, International Academic Conference on  
Contemporary Trends and Multidisciplinary Issues in Social Sciences  
(Global Meeting of Social Science Community)  
08-10 October 2019, Kadir Has University, Istanbul, Turkey.  
Masters International Research & Development Center

[www.mirdec.com](http://www.mirdec.com)

FULL PAPER SERIES - ISTANBUL 2019

ISBN: 978-605-80074-2-0

# MASTERS INTERNATIONAL

Research & Development Center

# MIRDEC-2019

# ISTANBUL 2019

Conference Proceedings

Full Paper Series

**ISBN: 978-605-80074-2-0**

EMILIO MOYANO-DIAZ<sup>1</sup>, HÉCTOR VARGAS GARRIDO<sup>2</sup> AND DORIS MÉNDEZ CAMPOS<sup>3</sup>

FACTORS ASSOCIATED WITH COMMUTING ACCIDENTS (CA) IN CHILEAN WORKERS

### Abstract

The death rate from traffic accidents in Chile decreased up to 8.2 per 100 thousand inhabitants in 2018, although the country has steadily increased the number of vehicles and the number of accidents in the last few years. Likewise, the number of accidents at work decreased on average by 3.3% per year from 2014 to 2018. Nevertheless, the rate of commuting traffic accidents (CA) has increased by 2.9% per year. CA refer to the trip from home to the workplace, from the workplace back home, or between jobs of the same or different employers; may occur either on foot or by any other means of transportation. They represented 23.7% of the occupational accidents, increased from 49,056 to 54,883 from 2012 to 2016, and affecting mainly to women.

It is of great importance to explain the increase and look for stopping. In this line, this work search for identifying factors associated with CA.

**Method:** Two CA databases are analyzed. The first have 59.063 records from the Metropolitan and Maule Regions (30,324 and 28,739 records, for 2016 and 2017, respectively); the second contains the number of days lost due to the CA (41,868 National records for the year 2016).

**Results:** Statistical analyses show significant differences in accident rate, fatality, and consequence of lost days according to both personal (sex, age, among others) and environmental factors (weather, the season of the year and others) which are discussed. These factors together explained 23.9% of the variance of lost days.

**Keywords:** Commuting accidents, personal and environmental factors

**JEL Codes:** R41

### Introduction

In Chile, work accidents decreased on average of 3.8% by year during the period 2013-2017 (198,551 vs 170,063) but commuting accidents (CA) -home to work or inversely- increased 3.4% during the same period (47,879 vs 54,640) (SUSESO, 2017). While a higher percentage of males than females are involved in occupational or work accidents (68% men vs 32% women), the figure is reversed in the case of CA (52% women vs 48% in men). Therefore, finding the explanations about this difference is a very interesting scientific enquire, and in this study, we will analyze associated factors with CA according to gender.

We do not know which variables might explain that issue. However, we know that CAs would be strongly influenced by cultural practices related to transport, such as who drives the vehicle and who accompanies, bringing children to schools, shopping practices, and more widely differentiated roles

---

<sup>1</sup> University of Talca, Chile, emoyano@utalca.cl.

<sup>2</sup> University of Talca, Chile, hvargas@utalca.cl.

<sup>3</sup> University of Talca, Chile, dmendez@utalca.cl.

We acknowledge to FUCYT-ACHS for the grant to the Project N° 228-2018. Corresponding author for this article: Hector Vargas Garrido.

according to gender. We also do not know whether there are different cultural factors in the traffic environment among large and middle-size cities that can contribute to explaining it.

No comparative analysis has been made between CA involving workers from a large vs small or middle cities, which will be considered in this study as well. Previous research has shown higher rates of work accidents in workers from Industry and Transportation, followed by Construction, but we do not know for the case of CA. Likewise, workers who are injured in their jobs correspond mainly to the youngest age range, from 25 to 49 years old, but we also do not know for CA (Carrasco & Donari, 2016). Finally, the number of days lost by CA has increased sharply by 56% from 2006 to 2015 (Dirección del Trabajo, 2015).

### **Objective**

The present study seeks to advance in answering the question about sex differences in Commuting Accidents (CA) in Chile. CA and corresponding lost days will be compared considering personal variables such as sex, age, and direction of the trip, and environmental variables such as weather, the season of the year, and type of Industry of injured workers. We control by the size of the region: the Metropolitan region where the capital city is located (Santiago, 8,000,000 population) and a medium-sized region (Maule, 1,000,000 inhabitants) in the south-central agricultural area of the country which capital is Talca (250,000 inhabitants).

### **Method**

It is a quantitative and comparative big data study of workers who have suffered commuting accidents (CA) in Chile, affiliated to the leading Workers' Safety Agency (WSA) in the country (Asociación Chilena de Seguridad, ACHS).

The sample corresponds to the entire registration database available for 2016 and 2017, with more than 80,000 cases of CA. Uncompleted records were discarded, so the analyzed database took 59,063 records (cases), 56,407 (95.5%) from the Metropolitan Region and 2,656 (4.49%) from the Maule Region.

From the database, we will consider two types of variables: some personal (sex, age, direction of the trip), and some environmental variables (the type of transportation, season of the year, type of Industry).

### **Results**

Results will be shown in the following order: sex, age, sex-age, the direction of the trip (home-work or work-home), by region, lost days as a consequence of CA, and a statistical model to explain lost days for CA. Some suggestions are extracted from these results in order to support prevention campaigns and new and specific areas of research and questions for going more in-depth on CA.

**Table 1. Sample of commuting accident (CA) victims by sex and Region: Metropolitan (Santiago) and Maule (Talca)**

Region	Accidents by sex		Total
	Male	Female	Total M+F
Metrop. Region	24459 (43%)	31948 <b>(57%)</b>	56407*
Maule Region	1290 (49%)	1366 (51%)	2656 n.s.**
Both Regions	25749 (44%)	33314 <b>(56%)</b>	59063***

Note: \*Z Value=33.587,  $p<0,05$ . \*\*Z Value= 1,042 n. s. \*\*\*Z Value= 29,459,  $p<0,05$

Source: Authors.

Females participate significantly more than men in CA in the prominent region/city and the total sample. In this line, when controlled by the total number of WSA affiliated workers for 2016 by sex; we found that in the Maule region for each 7 CA in males there are 10 in the female. Likewise, in the Metropolitan region for every 6 CA in males, there are 10 in women. Males reach a rate of 1.32 CA per 100 workers in Metropolitan region vs 2.36 in women (ratio 0.56), while in the Maule region are 1.44 vs 2.13 respectively (ratio 0.68).

As it can be seen in Table 2, male and female workers between 18 and 49 years old concentrate more than 78% of the total of CA, like in traffic accidents in general and related death.

**Table 2. Frequency and percentages of CA by six age ranges (10 years) and sex**

Ages Ranges	f Accident		Total by age and sex			
	Freq	%	% Male and Female in each range			
			Male	%	Female	%
18-29	19563	33.1	10129	<u>52</u>	9434	48
30-39	15336	26.0	6745	44	8591	56
40-49	11207	19.0	4148	37	7059	<u>63</u>
50-59	8988	15.2	2797	31	6191	<u>69</u>
60-69	3147	5.3	1353	43	1794	57
70-80	621	1.1	397	<u>64</u>	224	36
No/Informat	201	0.3	--		--	
Totals	59063		25569		33293	

Source: Authors.

A similar percentage in CA is observed in the early stages of working life by sex, but as the age increases, males decrease their participation and females increase it. This tendency is reversed in the last range of age (70 to 80 years old, corresponding to conventionally non-working ages) where males attain first place.

**Table 3. CA according to direction of the trip -Home-Work or Work-Home- for both regions, and sex**

Direction of trip	By Region						By Sex			
	Metrop.		Maule		Both Regions		Male		Female	
	f	%	f	%	f	%	f	%	f	%
Home-Work	33510	78,3*	1793	71*	35303**	78*	15446*	76,2	19857	79,32*
Work-Home	9263	21,7	733	29	9996	22	4821	23,8	5175	20,67
Total	42773		2526		45299		20267		25032	

Note: \*Valor Sig.  $p < 0,05$ . 13,764 cases are unclassified about direction of the trip, so the analysis include  $N = 45.299$ .

Source: Authors.

There are proportionally and significantly more CA Home-Work than Work-Home, and this is valid for both Regions and both sex. However, by sex and the direction of the trip, the percentage of CA Work-Home is significantly higher for males, while for Home-Work is significantly higher for females.

To verify whether the season of the year has an impact on CA see Table 4.

**Table 4. Commuting accidents by seasons, and sex**

Season	Accident		Sex			
	Freq	%	Male	%	Female	%
Winter (1)	7517	24.79	3376	45	4141*	55
Autumn (1)	8455	27.88	3661	43	4794**	57
Spring (2)	7635	25.18	3277	43	4358***	57
Summer (2)	6717	22.15	2904	43	3813****	57

Note1: \*Valor  $Z = 8,578$   $p < 0,05$  \*\*Valor  $Z = 13,003$   $p < 0,05$  \*\*\*Valor  $Z = 12,449$   $p < 0,05$  \*\*\*\*Valor  $Z = 11,59$   $p < 0,05$ .

Note2: Statistical analysis compared two groups of seasons: Winter + autumn, vs spring + summer (15972 vs 14352),  $Z = -10.554$ ;  $p < .05$ .

Source: Authors.

Winter and autumn together, namely darker and raining seasons, concentrate a higher percentage of CA (53% approx.) than spring plus summer (47% approx.) significantly, maintaining higher participation of females in every season.

**Consequences of Commuting Accidents: Working lost days (LD).** CA may imply lost days (LD) as a consequence, but it does not happen in every case. So, there are CA with and with no LD (WLD and NLD).

Comparisons by regions and sex show that there is a higher percentage of CA WLD than NLD, 58% vs 42%, respectively. The tendency of a higher percentage of WLD is observed in both regions: for Metropolitan is 57% vs 34%. However, in the case of Maule the difference is significantly greater, 72% vs 28% (WLD vs NLD), respectively (Chi-square = 110.13,  $p < .001$ ). Thus, out of every 10 CA in each region, 6 in the Metropolitan region and 7 in the Maule region are WLD.

Regarding sex and consequences, in the Metropolitan region females have higher proportions than males in both WLD (54%) and NLD (60%) CA; while in the Maule region there is no difference in the proportion by sex about WLD CA, but women participate significantly more (56%) in NLD CA.

Concerning the direction of the trip, although the percentage of CA Home-to-Work is the highest, the amount of lost days is higher in the direction Work-to-Home ( $M=89.77$ ) than the former ( $M=83.75$ ),  $F(1,22268) = 300.415$ ;  $p=.000$ .

By economic sector, workers with the highest averages of LD belong to health services ( $M = 350.864$ ;  $IC 341.804-359.924$ ), Telecommunications ( $M = 98.94$   $IC 86.502-111.397$ ), Industries ( $M = 86.92$ ;  $IC = 82.033-91.819$ ), and Public Sector ( $M = 81.63$ ;  $IC = 71.089-92.189$ ).

An analysis of variance using the environmental and individual factors associated with CA shows that the set of seven factors explain 23.9% of the variance in lost days ( $F(1,29409) = 9212.584$ ;  $p=.000$ ;  $\eta^2=.239$ ). Taken separately, it was observed that the four environmental factors explain most of this variance (21,1%); means of transport, season of the year, size of the region, direction of the travel ( $F(1,29409) = 7848.571$ ;  $p=.000$ ;  $\eta^2=.211$ ), while 7.9% of the variance is explained by the three individual factors, sex, age and economic sector ( $F(1,29409) = 2516.891$ ;  $p=.000$ ;  $\eta^2=.079$ ).

## Conclusions

Participation of women in CA is significantly higher in both Metropolitan (Santiago) and medium-sized region (Maule). Moreover, for both sex, the age range of 18 to 49 years concentrates almost 80% of the commuting accidents, and as the age increase, the CA decrease. Between the ages of 30 and 69 women register more CA, but by the age of 70 to 80 years, males' participation is higher.

Our results regarding the greater participation of women in CA coincide with some studies carried out in Europe, but our results about age are different from previous research. A study in Finland found that for women, the risk of accidents increases with age and particularly in those over 50 years where the highest frequency occurs. Meanwhile, a study of workers in France reported that workers ranging from 25 and 34 years have the most amount of road accidents, and in Germany workers under 25 years of age (Eurostat, 2017). In Spain, based on the analysis of 266,646 traffic-related injuries and 168,129 non-traffic-related injuries during the period 2006-2010, it was found that the rates of road accidents are also higher among women than men, both in traffic-related injuries and those not related to this type of event. The frequency distribution confirmed that many more injuries occurred while travelling to work than on the way back and that women were twice as injured as men at nine in the morning (Camino et al., 2017). Our results show there is proportionally and significantly more CA Home-Work than Work-Home direction, and this is valid for both Regions and both sex. Although the number of CA is higher in direction Home-to-Work, the number of lost days (severity) is higher in direction Work-to-Home.

The fact that most CA occurs Home-Work opens questions for future research concerning roles played by males and females about: who drive the car for bringing children to school, shopping, to work, leisure, and so on. What do workers do before arriving at the workplace? Do workers receive sanctions for arriving late to work?

According to our findings, prevention and safety campaigns for Chilean workers against CA must be focalized in people ranging 18 to 49 years old, especially in females when they travel from Home-Work. Chiron, Bernard, Lafont, and Lagarde (2008) studied the relationships between self-reported work fatigue and collisions suffered by workers in France, finding that having an uncomfortable job position was a risk factor for commuting accidents in women. However, this relationship was not found for other types of trips in women. These authors posit that being exhausted is the leading risk factor in CA, so to avoid CA, it must be prevented worker reach that fatigue level.

Regarding age, our results are similar to studies carried out in Switzerland, where Lanfranconi (2013) reports that men accident rates decrease while women rates increase with age. This author found that the first age range -18 to 24 years - has five times more accidents than the other age ranges.

Concerning environmental factors, companies should make special efforts to introduce persuasive messages for CA prevention concerning the journey back to their homes, especially in winter-autumn seasons. Health and Telecommunication Industries, as well as Public Organizations, should make special prevention efforts in order to reduce CA and their dramatically amount of Lost days for this cause. Nevertheless, more importantly, industry companies must revise pressure for workers to arrive on time at the workplace. Some studies have observed relationships between pressure to fulfill deadlines at work and road accidents, suggesting that one way to increase road safety is to reduce pressure to meet deadlines (Elfering, Grebner, and Tribolet -Hardy, 2013).

Concerning the five dimensions of psychosocial risk at work, the so-called 'double presence' factor has been analyzed as a possible cause of the higher occurrence of accidents in women. Unlike males, female workers spend much of their 'free time' in unpaid household tasks such as caring children and elderly people. So, stress levels are higher in women than men, and they need more work and family reconciliation (Camino et al., 2017).

Additionally, it seems necessary studying internal work conditions, considering psychosocial risk at work, burnout, fatigue, stress, the number of hours at the workplace, job safety, and type of contract. Palali & van Ours (2017) carrying out an analysis with statistical data in Italy, identified that workers with a temporary contract are more likely to suffer accidents with more severe injuries than workers with permanent contracts. An explanation for this is not available, suggesting that it could be related to both safety behaviour and employment conditions (security-stability-type of contract). Also, it is not possible to distinguish between the effect of experience and seniority in the job with the effect of having a temporary contract. It is also not clear whether differences in investment in occupational safety training contributed to differences in the severity of accidents at the workplace. It could be that employers invested more in job security training of workers in permanent jobs than in workers in temporary jobs. Winter and autumn, the darkest and rainiest seasons of the year concentrate significantly more CA than Spring-Summer, maintaining always greater participation of women. Females outperform males, regardless of the means of transport used (except for a particular private vehicle in which they do not differ by sex). The government must emphasize prevention campaigns by the end of summer or starting autumn focusing on females.

Regarding driving, different studies have indicated that men, especially young people, show attitudes and behaviours of higher risk and transgression than women (Moyano, Bianchi, and Torquato, 2014; Moyano and Mladinic, 2001). In Switzerland, women use more vehicles than men in urban spaces, in which the likelihood of having accidents is the highest. Women present more accidents in agglomerations and short distances. Also, women have more accidents from Monday to Thursday, while men from Thursday to Sunday, when activities are more related to leisure in evenings and nights (Lanfranconi, 2013).

A relevant tendency to deepen in terms of road accidents is the increasing use of two-wheeled vehicles to move to work and the possible accident risks that they imply (Hollingworth, Harper, and Hamer, 2015). Increasingly, the environmental policies of the countries promote means of transport such as bicycles, encouraging people to decide their use, as well as facilitating their availability through public policies implemented by municipalities (Ekström and Linder, 2017) or from the central State (Moyano Díaz, 2017). A study in the United Kingdom (Hollingworth et al., 2015) showed that the accident by bicycle is more dangerous when used as a means of transportation to work and when stopping at red lights is not respected. This same study concluded that the accident when using the bicycle is less among people over 60, women, and among those who make proper use of safety measures such as helmets and lights.

Lost days due to CA are explained in 23.9% by a model which includes three individual and four environmental factors. Environmental variables explain most of the variance, suggesting that future preventive measures should focus on environmental rather than individual variables.

## References

Camino, M., González, O. & Fontaneda, I. (2017). Gender Differences in Commuting Injuries in Spain and Their Impact on Injury Prevention. *Biomed Research International*, Published online Nov 26. doi: 10.1155/2017/3834827.

Carrasco, C. & Donari, J. (2016). Accidentabilidad laboral: análisis de las causas más recurrentes y factores intervinientes. *Departamento de Estudios Dirección del Trabajo*, 34.

Chiron, M., Bernard, M., Lafont, S., & Lagarde, M. (2008). Tiring job and work related injury road crashes in the GAZEL cohort. *Accident Analysis and Prevention*, 40, 1096–1104. doi: 10.1016/j.aap.2007.12.001.

Dirección del Trabajo (2015). Encla 2014. *Informe de Resultados Octava Encuesta Laboral*. Departamento de Estudios. Santiago de Chile: Andros Impresores. ISBN: 978-956-9661-22-8.

Elfering, A., Grebner, S., & Tribolet-Hardy, F. (2013). The long arm of time pressure at work: Cognitive failure and commuting near-accidents. *European Journal of Work and Organizational Psychology*, 22, 737–749. Doi: 10.1080/737 749 1359432X.2012.704155.

Ekström, C., & Linder, A. (2017). *Fatally injured cyclists in Sweden 2005–2015. Analysis of accident circumstances, injuries and suggestions for safety improvements*. VTI notat 5A-2017. Linköping: Statens väg- och transportforskningsinstitut.

Hollingworth, M. A., Harper, A. J. L., & Hamer, M. (2015). Risk factors for cycling accident related injury: The UK Cycling for Health Survey. *Journal of Transport & Health*, 189–194. DOI: 10.1016/j.jth.2015.01.001.

Lanfranconi, B. (2013). Risques d'accidents des conductrices et des conducteurs: une comparaison. Données des assureurs-accidents selon la LAA. Lucerne: Service de Centralisation des Statistiques de L'assurance - Accidents LAA (SSAA). In [http://www.suva.ch/fr/studie\\_unfallrisiko\\_von\\_pwlenkern\\_ssuv-02.11.2012-d.pdf](http://www.suva.ch/fr/studie_unfallrisiko_von_pwlenkern_ssuv-02.11.2012-d.pdf).

Moyano Díaz, E., Bianchi, A., & Torquato, R. (2014). Aportaciones a las ciencias de la salud. El comportamiento peatonal arriesgado de chilenos y brasileños. *Terapia Psicológica*, 32, 3, 227-234.

Moyano D. E. & Mladinic, A. (2001). Exposición, percepción de peligrosidad y de control de riesgos y comportamiento vial en peatones y conductores. *Psykhé*, 10(1) 135-145.

Moyano Díaz, E. (2017). *Política, valores, creencias y ambiente*. Cap. 2 En: La vía medioambiental: desafíos para un Chile futuro. Ministerio de Medio Ambiente (Gobierno de Chile). Editor P. Salinas Quintana.

Palali, A. & van Ours, J.C (2017) Workplace accidents and workplace safety; on under-reporting and temporary jobs, *Labour*, 31 (1), 1-14.

SUSESO (2017). *Estadísticas de Seguridad Social 2016*. Superintendencia de Seguridad Social. <http://safetyforlife.cl/estadisticas-sst-2016/>.

**HÉCTOR VARGAS GARRIDO<sup>1</sup>, EMILIO MOYANO-DIAZ<sup>2</sup> AND DORIS MÉNDEZ CAMPOS<sup>3</sup>**

**SLEEPING HOURS AND COMMUTING ACCIDENTS IN CHILEAN WORKERS BY COUNTRY'S REGIONS**

**Abstract**

In Chile, the law considers two types of work accidents: at the workplace and commuting to work. While the former decreases and involved mainly males, the latter keeps constant and occurred primarily to females. This study searches for relationships between hours and quality of sleep with work accidents' rates among workers by gender. We found meaningful correlations between commuting accidents with the quantity of sleep and sleepiness. Likewise, linear regression procedures related both workplace and commuting accidents rates (data from Social Security Superintendence, SUSESO) with workers' hours and quality of sleep (by National Quality of Life Survey, ENCAVI), considering regions as units of analysis, obtained that sleeping hours inversely explains a 25% of variance for commuting to work accidents. These results are in line with previous findings, and go deeper into the Chilean system, considering a less known type of accidents such as commuting to work. Some explanations and implications for occupational health are discussed.

**Keywords:** Commuting accidents, occupational health, gender, sleeping hours

**JEL Codes:** R41

**Work accidents in Chile, at the workplace and while commuting**

Chile recorded 218,002 work accidents in 2018. According to the Chilean Law (16,744), work accidents are split into two types: accidents at the workplace and when commuting to work; reaching 164,407 (75.4%) and 53,595 (24.5%) cases, respectively (SUSESO, 2019).

A Workplace Accident (WA) is any injury a person suffers in the course of work, while a Commuting Accident (CA) occurs on the habitual route, in either direction, between the place of work to home, or between different jobs (either on foot or by any other means of transportation; Law N°16,744). Both types of work accidents have meaningful differences.

In absolute terms, WAs have felt 23.53% from 2012 (214,986) dramatically to 2018 (164,407), but CAs increased 9.25% from 49,056 to 53,595 in the same period. Likewise, proportionally, WAs rate has decreased from 4.9 accidents per a 100 insured workers by the law in 2012 to a 3.1% in 2018, while CAs rate is kept constant from 1.1% per a 100 workers in 2012 to 1.0% in 2018 (SUSESO, 2019).

By gender, it is observed a higher percentage of male workers affected by WAs (68 vs 32%, males and females, respectively). However, the percentage is slightly higher for females with regard CAs (48 vs 52%, respectively). These tendencies are similar to Spain, where Camino-López, González-Alcántara, & Fontaneda-Camino (2017) found that WAs affects mainly males rather than females, and these researchers were surprised about the inverse relationship in CAs by gender. Additionally, they found

---

<sup>1</sup> University of Talca, Chile, hvargas@utalca.cl.

<sup>2</sup> University of Talca, Chile, emoyano@utalca.cl.

<sup>3</sup> University of Talca, Chile, dmendez@utalca.cl.

We acknowledge to FUCYT-ACHS for the grant to the Project N° 228-2018. Corresponding author for this article: Emilio Moyano-Díaz.

CAs occurs predominantly in the way to the workplace instead of back home, similar to what has been recently reported in Chile (See, Moyano-Díaz, Vargas-Garrido, & Méndez-Campos, 2019, this issue). Concerning lost days, they are increasing in number as a consequence of WAs (from 15.6 days in 2012 to 20.3 in 2018), as well as for CAs (from 20.2 in 2012 to 26.4 in 2018). In both types of accidents, males have a higher number of lost days (22.6 vs 15.6 in WA; and 31.1 vs 21.8 in CA, males vs females, respectively). Likewise, CAs participate in 41% (147) of the total death caused by work accidents (355 cases). However, if we consider that CAs are only 24.6% of the overall work accidents, they are overrepresented regarding these regrettable effects. Chilean statistics (SUSESO, 2019) is consistent with comprehensive data showing that CAs have more severe consequences (such as deaths, permanent disabilities) than WAs. In this vein, they also have higher economic consequences (Munich RE, 2004). It has to be noticed that Chilean law considers both WA and CA as work accidents; thus, they are covered by insurance and included in social security statistics. Nevertheless, these treatments are not homogeneous alongside the world (Nordin, 2014). For example, there are countries which covered CA (Greece, Germany, and Brasil), and some other not (Denmark, Poland, and the USA) (Munich RE, 2014). Moreover, European statistics (Eurostat, 2013) expressly exclude CAs within its records.

In this way, WAs and CAs show differentiated features and behaviors, also are treated divergently by countries' laws and statistics; in summary, WA and CA are related but with a different nature.

### **Quantity and quality of sleep, and their effects on health and accidents**

Sleep is a physiological need for human beings. It allows the body to restore energy and vitality for adequate performance during daytime (Durán, Mattar, Bravo, Moreno, & Reyes, 2014). Likewise, sleep is essential for both individual and social well-being. Its deprivation can have negative consequences for health and safety (Chatzitheochari & Arber, 2009). Research considers two types of sleep dimensions: quantity and quality.

Quantity of sleep refers to the amount of time someone sleeps (Watson et al., 2015); while, quality of sleep usually considers variables such as sleepiness, bad quality of sleep (no repairing sleep), or using medicines for sleeping (see, for example, Brossoit et al., 2018). It has been observed weak relationships between quantity and quality of sleep, reason why some researchers have suggested evaluating them as different constructs (Litwiller et al., 2016).

It has been found that 7 hours of sleeping time during night time is appropriate for adults in order to keep adequate health and cognitive levels (Watson et al., 2015). Sleeping less than seven hours increases the risk of heart diseases, obesity, diabetes, depression, and in general, all death causes (Gallicchio & Kalesan, 2009). Despite these shreds of evidence, few hours of sleeping and long working hours are typical in modern societies. Komada, Asaoka, Abe, & Inoue (2013) reported by 60s of last century, 90% of people were going to sleep around 11 pm, and for 8 hours on average. In contrast, by 2010, more than half of the population is still awakened later than 11 pm and sleeping on average 7 hours and 14 minutes; this is, over just the minimum appropriate. So, in the last 50 years, 1 hour of sleeping has been lost; and because a normal distribution, half of those people are sleeping less than the seven recommended hours. This latter situation can be underlying for what is so-called excessive daily sleepiness (EDS) which reaches 15% of daily time in modern societies (Kaneita et al., 2005).

Regarding the quality of sleep, also its disturbance is related to risk increase to die, diabetes, obesity, burnout (see Uehli et al., 2014), as well as affect the immunological system, poor cognitive performance, and undermine mental health (Foster & Wulff, 2005). Despite those adverse concrete effects, people with lack of adequate sleep habituate themselves to such circumstances, underestimating their sleepiness and bad quality of sleep (Van Dongen, Maislin, Mullington, & Dinges, 2003).

There are some findings relating to the quality and quantity of sleep with accidents. About quantity, Komada et al. (2013) revised traffic accidents and found that sleep less than 6 hours it is a risk factor for drivers. Moreover, sleep less than 7 hours is a risk factor related to workplace accidents in the construction sector (Powell & Copping, 2010).

Regarding the quality of sleep, Uehli et al. (2014) -in a meta-analysis with 27 papers, found workers with sleep problems have a higher risk of suffering injuries compared to workers without problems. These authors established that 13% of injuries could be attributed to lack of sleep, where most important causes are using medicines to sleep and breathing problems while sleeping. Likewise, they found the less critical and related issue is sleepiness, usually related to the quantity of sleep. Also, it has proved that sleep restrictions are related to commuting accidents when the mode of transport is driving a vehicle (see, for example, Robb, Sultana, Ameratunga, & Jackson, 2008).

### **Objective**

This work explores relationships between quantity and quality of sleep with work accidents in Chile (both workplace and commuting), taking regions of the country as units of analysis.

### **Method**

It is a correlational study which relates data from Social Security Superintendence (SUSESO 2015, 2016) with the National Quality of Life Survey (ENCAVI, 2015).

Data from SUSESO consolidates both workplace and commuting accidents coming from all the workers' safety agencies in Chile. In this study, rates have been computed according to SUSESO procedures (SUSESO, 2019), namely, the number of accidents was divided by the total number of affiliated workers. For the three studied months, total cases were 43,770 of WAs, and 12,529 of CAs, with 4,936,064 affiliated workers (3,053,790 and 1,882,274, males and females, respectively.). This database does not include variables about sleeping hygiene.

ENCAVI, on its side, asked people in Chile for variables associates with several dimensions, such as "health and work," "health and well-being," "illnesses and accidents," "social support," "sexuality," among several others. A total sample is 7,041 participants, from which we extracted those who declare having a formal contract; this is, workers mandatory affiliated to safety agencies. Therefore, we had a by-sample of 2,993 records (50.2 vs 49.8%, males and females, respectively). In this study, we took only dimension "health and well-being," and specifically among the variables associated with "sleep hygiene," we considered the following:

V1 On average, how many hours have you slept every night the last month? A free answer expected (Hours; LM).

V2: During the last month, how would you evaluate your quality of sleep? Scale: from 1 (Quite Good) to 4 (Quite Bad) (Quality; LM).

V3: During the last month, how many times were you drowsy while driving, eating, or doing any other activity? Scale: from 1 (Never) to 4 (Three or more per week) (Sleepiness; LM).

V4: During the last 30 days, to what extent had you problems such as falling to sleep during the daytime, being awakened at night time, or awakening so early in the morning? Scale: from 1 (Never) to 5 (Too much) (Problems; LM).

V5: How difficult was for you feeling restful and restore during day time? Scale: from 1 (Never) to 5 (Too much) (Rest Dif; LM).

V6: In general, last year, the quality of my sleep was? Scale: from 1 (Very Bad) to 5 (Very Good) (Quality; LY).

ENCAVI was carried out from November 2015 to January 2016; therefore, statistics from SUSESO considered also those three months. In order to make information comparable, databases were split by regions of the country and sex; this is, units of analysis in this study are the regions of the country. Chile by then had 15 regions from North to South.

## Results

Table 1 shows the correlations between both WAs and CAs, with the variables, referred to the quantity of sleep, quality of sleep (last month), sleepiness, having problems for sleeping, having rest difficulties, and quality of sleep (last year).

**Table 1. Pearson correlations among WA and CA rates and sleep variables**

		Quantity of sleep			Quality of Sleep														
		Hours (LM)			Quality (LM)			Sleepiness (LM)			Problems (LM)			Rest Dif (LM)			Quality (LY)		
		M	F	T	M	F	T	M	F	T	M	F	T	M	F	T	M	F	T
WA	<i>r</i>	-.17	-.12	-.15	.20	.13	.17	.22	.26	.27	.28	.19	.27	.33	.11	.21	-.15	-.23	-.21
	<i>p</i>	.55	.68	.59	.47	.64	.54	.44	.35	.33	.32	.50	.32	.23	.70	.44	.58	.41	.46
CA	<i>r</i>	-.55*	-.51*	-.55*	.19	.12	.17	.52*	.04	.28	.28	.14	.26	.26	.04	.16	-.18	-.19	-.21
	<i>p</i>	.03	.05	.03	.49	.67	.55	.05	.90	.31	.31	.63	.35	.36	.88	.58	.52	.49	.45
n = 15.																			
* <i>p</i> ≤ .05																			

Source: Authors.

In the case of workplace accidents, there are no meaningful correlations ( $p \geq .23$ ). However, regarding commuting accidents, meaningful negative correlations are found with the quantity of sleep (for males,  $p < .03$ ; females,  $p = .05$ ; and total sample,  $p < .05$ ), and with sleepiness a positive correlation in the case of males ( $p = .05$ ). Our study considers regions of Chile as the unit of analysis; therefore, results show that as sleeping hour increases in the regions, the lower the CA's rate among their workers; both sexes keep the same tendency, separately. Likewise, greater levels of sleepiness are along with higher CA's rates among males of the regions of Chile.

In order to check whether sleeping variables can explain both types of accidents, linear regression models are conducted on both workplace and commuting accidents with sleep variables as predictors. Two regressions are adequate and fit a model: sleeping hours as a predictor of CA for the total sample (see Table 2), and sleeping hours as a predictor in the case of males (see Table 3).

**Table 2. Linear regression model on CA and sleep variables as predictors for total sample**

	B	SE B	$\beta$	t	Sig.
Constant	.78	.24		3.27	**
Sleep Hours	-.08	.03	-0.55	-2.40	*

Adjusted  $R^2 = .25$  (Stepwise method;  $R^2 = .31$ ,  $F(1,14) = 5.74$ ,  $p < .05$ ).  
 \* $p < .05$ ; \*\*  $p < .01$ .

Source: Authors.

In Table 2 can be observed that “sleep hours” can explain inversely 25% of CA for the total sample,  $R^2 = .25$ ;  $F(1,14) = 5.74$ ;  $p < .05$ . The explained variance increases by up to 35% when the sample only takes males,  $R^2 = .40$ ;  $F(1,14) = 8.54$ ;  $p < .05$  (see Table 3).

**Table 3. Linear regression model on CA and sleep variables as predictors for males**

	B	SE B	$\beta$	t	Sig.
(Constante)	.70	.19		3.72	**
Sleep hours	-.08	.03	-0,63	-2.92	*

Adjusted  $R^2 = .35$  (Stepwise method;  $R^2 = .40$ ,  $F(1,14) = 8.54$ ,  $p < .05$ ).  
 \* $p < .05$ ; \*\*  $p < .01$ .

Source: Authors.

Our results allow to maintaining there is a moderate relationship between hours of sleeping reported by workers in each region with the commuting accidents rates of workers from those same regions ( $r = -.55$ ). Likewise, the relationship is inverse, where sleeping hours could explain noteworthy CAs rates variability (25%).

### Discussion and conclusion

Although our results were obtained from different databases -thus, there might be other variables underlying these relationships, the fact that our results are in line with previous findings gives support to our procedure.

Unlike some previous findings (Powell & Copping, 2010; Uehli et al., 2014), in Chile, there would be no relations between sleep variables with accidents at the workplace, but there would with commuting accidents -as it has been analyzed by Robb et al., 2008. Similar to Uehli et al., who found a slight relation between sleepiness and workplace accidents, we have found a slight relation between sleepiness and commuting accidents in males. The most robust relation is regarding “sleeping hours” which can explain 25% of the variance of commuting accidents by regions of Chile, a percentage that increases up to 35% when only males are considered.

Lacking of sleep can be associated with commuting accidents but no with workplace accidents may find an explanation when we consider that people who suffer sleep problems are aware of these type of issues (Uehli et al., 2014). In this vein, they can display some coping strategies at the workplace in avoiding negative results of sleeping problems, coping strategies which can be narrowed or limited by the pressure and the context of commuting.

It is worth notice that Chilean law establishes 45 working hours per week, one of the most extended working hours within OECD countries. Likewise, Chilean workers reported miserable sleeping hours (7 hours, 10 minutes; ENCAVI, 2016). McCarthy (2016) shows that in the Netherlands people sleep on average 8 hours and 5 minutes; while one of the worse countries reported, Singapore, people sleep 7 hours and 24 minutes, which is somewhat better than Chile. Within this scenario, it seems clear that Chilean workers are in a rush when commuting, but at the same, time those extended working hours should allow them to go slowly while working. There is enough time for it.

In sum, in line with previous findings, we have found relations between sleepiness and sleeping hours with accidents among workers by regions of Chile. Our results show that while sleeping hour increases in the regions of Chile, the lower the commuting accidents rate is found among their workers. Interestingly, there is no relation between sleeping variables with workplace accidents. These findings suggest two lines of developing. First, prevention and safety campaigns should use strategies in line with “if you are a worker with sleep deprivation, please take care on the way to work”; and second, keeping on this research in order to verify whether findings are mirrored using same samples.

## References

- Brossoit, R. M., Crain, T. L., Leslie, J. J., Hammer, L. B., Truxillo, D. M., & Bodner, T. E. (2018, November 29). The Effects of Sleep on Workplace Cognitive Failure and Safety. *Journal of Occupational Health Psychology*. Advance online publication. doi: 10.1037/ocp0000139
- Camino-López, M. A., González-Alcántara, O. J., & Fontaneda, I. (2017). Gender Differences in Commuting Injuries in Spain and Their Impact on Injury Prevention. *BioMed Research International*, V. 2017 (ID 3834827). doi: 10.1155/2017/3834827.
- Chatzitheochari, S., & Arber, S. (2009). Lack of Sleep, Work and the Long Hours Culture: Evidence from the UK Time Use Survey. *Work, Employment and Society*, 23, 30-48. doi: 10.1177/0950017008099776.
- Durán, S., Mattar, P., Bravo, N., Moreno, C., & Reyes, S. (2014). Association of quality of life perception with sleeping patterns in Chilean older people. *Revista Médica de Chile*, 142, 1371-1376.
- Eurostat (2013). Summary Methodology. European Statistics on Accidents at Work (M e t h o d o l o g i e s & W o r k i n g p a p e r s). Luxemburg, European Union. doi: 10.2785/40882.

- Foster, R., & Wulff, K. (2005). The rhythm of rest and excess. *Nat Rev Neurosci*, 6, 407–414. doi: 10.1038/nrn1670.
- Gallicchio L, & Kalesan B. (2009). Sleep duration and mortality: a systematic review and meta-analysis. *J Sleep Res*, 18, 148–158. doi: 10.1111/j.1365-2869.2008.00732.x.
- Kaneita, Y., Ohida, T., Uchiyama, M., Takemura, S., Kawahara, K., Yokoyama, E., Miyake, T., Harano, S., Suzuki, K., Yagi, Y., Kaneko, A., Tsutsui, T., Akashiba, T. (2005). Excessive daytime sleepiness among the Japanese general population. *J Epidemiol*, 15, 1–8. doi: 10.2188/jea.15.1.
- Komada, Y., Asaoka, S., Abe, T., & Inoue, Y. (2013). Short sleep duration, sleep disorders, and traffic accidents. *IATSS Research*, 37, 1–7. doi: 10.1016/j.iatssr.2013.06.001
- Litwiller, B., Snyder, L. A., Taylor, W. D., & Steele, L. M. (2016, November 28). The Relationship Between Sleep and Work: A Meta-Analysis. *Journal of Applied Psychology*. Advance online publication. doi: 10.1037/apl0000169.
- McCarthy, N. (2016). Who's Getting The Most Sleep? Statista. Retrieved October 2019 from <https://www.statista.com/chart/4845/whos-getting-the-most-sleep/>.
- Moyano-Díaz, E., Vargas-Garrido, H., & Méndez-Campos, D. (2019, this issue). Factors associated with commuting accidents (CA) in Chilean workers. *MIRDEC 14<sup>th</sup> Conference Proceedings*, Istanbul 2019.
- Munich Re (2004). Commuting accidents: A challenge for workers' compensation systems. Order number 302-04092. *Münchener Rück*. Munich, Germany.
- Nordin, R. B. (2014). Rising Trend of Work-related Commuting Accidents, Deaths, Injuries and Disabilities in Developing Countries: A Case Study of Malaysia. *Industrial Health*, 52, 275–277.
- Powell, R., & Copping, A., (2010). Sleep deprivation and its consequences in construction workers. *Journal Of Construction Engineering And Management*, 136, 1086-1092. doi: 10.1061/(ASCE)CO.1943-7862.0000211.
- Robb, G., Sultana, S., Ameratunga, S., & Jackson R. (2008). A systematic review of epidemiological studies investigating risk factors for work-related road traffic crashes and injuries. *Inj Prev*, 14, 51-58. doi: 10.1136/ip.2007.016766.
- SUSESO (2015). *Report by Months 2015*. Social Security Superintendence. Santiago, Chile.
- SUSESO (2016). *Report by Months 2016*. Social Security Superintendence. Santiago, Chile.
- SUSESO (2019). *Annual Statistics Report on Social Security 2018*. Social Security Superintendence. Santiago, Chile.
- Uehli, K., Mehta, A. J., Miedinger, D., Hug, K., Schindler, C., Holsboer-Trachsler, E., Leuppi, J. D., & Künzli, N. (2014). Sleep problems and work injuries: A systematic review and metaanalysis. *Sleep Medicine Reviews*, 18, 61-73. doi: 10.1016/j.smr.2013.01.004.
- Van Dongen, H. P., Maislin, G., Mullington, J. M., & Dinges, D. F. (2003). The cumulative cost of additional wakefulness: dose-response effects on neurobehavioral functions and sleep physiology from chronic sleep restriction and total sleep deprivation. *Sleep*, 15, 117-26. doi: 10.1093/sleep/26.2.117.

Watson, N. F., Badr, M. S., Belenky, G., Bliwise, D. L., Buxton, O. M., Buysse, D., Dinges, D. F., Gangwisch, J., Grandner, M. A., Kushida, C., Malhotra, R. K., Martin, J. L., Patel, S. R., Quan, S., & Tasali, E. (2015). Recommended amount of sleep for a healthy adult: a joint consensus statement of the American Academy of Sleep Medicine and Sleep Research Society. *Sleep* , 38, 843–844. doi: 10.5665/sleep.4716.

YE HTUT OO<sup>1</sup> AND WONGSA LAO HASIRIWONG<sup>2</sup>

## ROLES OF OPIOID-RELATED HEALTH LITERACY AND SOCIOECONOMIC HARDSHIP ON MENTAL HEALTH STATUS OF ADULT MALES IN KACHIN STATE, MYANMAR

### Abstract

**Background:** In Myanmar, opioid abuse has impact not only on health of users but also societies. However, the roles of opium on mental health of general population has not been well investigated. Thus, this study aimed to identify the influence of opium and socioeconomic factors on mental health of non-opium user males in Kachin State, Myanmar.

**Methods:** This cross-sectional study was conducted among 327 samples who were randomly selected from household registration of local government. Inclusion criteria for selection of the respondents were males of 18 years or above who never use illicit drugs. The 28-item General Health Questionnaire (GHQ-28) was used to assess mental health status. Data were collected using a pre-tested structured questionnaire interview. Multiple logistic regression was used to identify the association.

**Findings:** The study indicated that having inadequate and problematic level of opioid-related health literacy (Adj. OR = 2.28, 95%CI: 1.05 – 4.96,  $p < 0.05$ ), having inadequate income (Adj. OR = 2.53, 95%CI: 1.46 – 4.39,  $p < 0.01$ ) as well as sharing accommodation with opium user (Adj. OR=2.74; 95%CI: 1.23 to 6.13,  $p < 0.05$ ) increased the odds of poor mental health of non-opium user adult males.

**Conclusions:** Opioid-related health literacy and socioeconomic factors had influence on mental health status of general population. It is essential to take appropriate measures to improve health literacy on opium especially among vulnerable group to help preventing them from choosing illicit drugs as coping mechanism for mental health problems.

**Keywords:** Mental health, opium literacy, socioeconomic factors, males, Kachin, Myanmar

**JEL Codes:** I18, I19

### Introduction

Nowadays, mental illness is a growing global concern which have a significant impact on health, social and economic consequences. The World Bank (2019) stated that “mental disorders, such as depression, anxiety, and substance use disorders, impose an enormous global disease burden that leads to premature mortality and affects functioning and quality of life”. According to Global Burden of Disease Study 2017, 970 million people were estimated to have a mental or substance use disorder. Mental health problem is also enormous in Myanmar as both depressive and anxiety disorders were included in top ten contributors to years lived with disability (Institute for Health Metrics and Evaluation, 2017). People who abused drugs may experience mental health problem and vice versa, mental disorder may lead to drug use (National Institute on Drug Abuse, 2018). Hartz et al (2014) reported that people with severe mental illness were 4.6 times more prone to use recreational drugs.

Opioid abuse also is a worldwide problem which affect health and development of the societies (International Narcotics Control Board, 2013). Meehan (2017) stated that Myanmar ranked second in production of opium poppy and had a heavy burden of opioid use. Opium and heroin were the preferable drugs for users in Myanmar which were also the most problematic drugs as they were mainly used as

<sup>1</sup> Khon Kaen University, Thailand, yehtutoo@kkumail.com.

<sup>2</sup> Khon Kaen University, Thailand, wongsa@kku.ac.th.

an injection form (Gooch, 2016). Kachin, one of the most opium producing states, suffered socioeconomic burden of opioid use. Oo and Doe (2017) stated that not only drug users but also their family members experienced drug abuse problems such as discrimination from the societies, financial hardship and health problems including HBV, HCV and HIV/AIDS.

Although effect of opioid abuse on health of users and their families were examined, mental health status of general population affected by opioid abuse has never been well investigated. Thus, this study aimed to identify the influence of opium-related health literacy and socioeconomic factors on mental health of males in Kachin State, Myanmar who had never used illicit drugs. Knowing these factors would be helpful for policymakers, local authorities and non-governmental organizations to develop relevant policies and implement effective interventions to prevent mental health problems of the community from opioid abuse.

## Methods

### Study design

This cross-sectional study was conducted to identify influence of opium-related health literacy and socioeconomic factors on mental health of males in Kachin State who had never used illicit drugs. Only males were focused since it was a part of Independent Study: “A case-control study on risk factors of opioid use” which was conducted among male opioid users and male non-drug users.

### Participants

The sample size of this study was 327 which was derived from the method of Fleiss with a continuity correction for the case-control study. Samples were adult males who were simple randomly selected from general population in Kachin state, Myanmar via household registration of local government. The inclusion criteria were males aged 18 years old and older who lived in Kachin State and had never used illicit drugs. The exclusion criteria were males who had serious physical and mental problems as well as those who could not verbally communicate with interviewers.

### Data collection

The tool for data collection was a structured questionnaire interview that consisted of three sections: 1) Socioeconomic and Demographic characteristics, 2) Opioid-related information including knowledge and health literacy and 3) 28-item General Health Questionnaire (GHQ-28 Thai version) to assess mental health status. The questionnaire was forward (English to Myanmar) and backward translated (Myanmar to English) as well as was tested by 3 experts for content validity. The data was collected by the trained interviewers with a written guideline. Verbal consent was taken from the respondents before administering the interview.

### Data analysis

Stata 14.2 was used to perform data analysis. The categorical variables were described as number and percentage and the continuous variables were described as mean (standard deviation) and median (maximum; minimum). For inferential statistics, simple logistic regression was utilized to identify the association between each independent variable and mental health. The variables which might associate with study outcome ( $p$ -value  $< 0.25$ ) were continued into the final model of multivariable analysis using a multiple logistic regression. The magnitude of association was presented as adjusted odds ratio and 95% confident interval (CI). The statistically significant value was  $< 0.05$ .

## **Ethical approval**

As stated earlier, this study was part of the Independent Study: “Risk Factors of Opioid Use Among Males in Kachin State, Myanmar: A Case-Control Study” which was ethically approved from Khon Kean University Ethics Committee in Human research, (Approval number HE622140 4.3.03: 20/2019).

## **Results**

### **Descriptive analysis**

The total of 327 adult males were participated to a structured questionnaire interview. The mean age of the respondents was 34.36 ( $\pm 15.92$ ). 50.67% of them were single while 44.34% were married. Regarding educational attainment, about 70% finished secondary school at most. Majority of them (70.64%) were Kachin whereas one-fifth were Bamar in ethnicity. More than three-fourth (76.76%) were Christians and 21.1% were Buddhists. Most of the respondents (85.32%) were religious. Only about 18% of them were from rural areas. Concerning employment status, about 32% were unemployed. Different types of jobs such as farmers, drivers, office staff, religious workers and sellers were observed in this study. About 54% of the participants had monthly income of  $\leq 100,000$  Myanmar Kyats (MMK) and 40% of them stated their earnings were inadequate or even had debts, see Table 1.

**Table 1. Socioeconomic and demographic characteristics of participants (n=327)**

Characteristics	Number	Percent (%)
<b>1. Age (years)</b>		
Below 20	63	15.87
20 – 39	149	26.85
40 – 59	84	22.62
60 and above	31	16.13
Mean ( $\pm$ SD)	34.36	( $\pm$ 15.92)
Median (min : max)	28	(18:81)
<b>2. Marital Status</b>		
Single	166	50.76
Married	145	44.34
Others	16	4.89
<b>3. Education Level</b>		
Primary or illiterate	39	11.93
Secondary	188	57.49
College/University	100	30.58
<b>4. Ethnicity</b>		
Kachin	231	70.64
Bamar	63	19.27
Others	33	10.09
<b>5. Religion</b>		
Christian	251	76.76
Buddhist	69	21.1
Others	7	2.14
<b>6. Religious belief</b>		
Not believe	3	0.92
Believe but not practice	45	13.76
Believe and practice	279	85.32

Source: Authors.

Participants were also asked about opioid-related knowledge and health literacy questionnaires to determine their level of knowledge and health literacy. There were 10 questionnaires of opioid information. Total knowledge level of a participant was calculated from total participants' knowledge score divided by total maximum score and multiplied the result with 100%. The level of knowledge was then classified into three groups: "poor" if the respondents could answer not more than 50%; "intermediate" should they have 51 to 70% of knowledge level and "good" for having more than 70% of knowledge level. As shown in Table 2, about two fifths of controls had good knowledge on opioids but more than 35% of participants had poor knowledge related to opioids.

Health literacy was assessed by using health literacy survey – 47 questionnaires. 4-point Likert scale was used, and score of 1 was given for "very difficult", 2 for "fairly difficult", 3 for "fairly easy" and 4 for "very easy". The total score was ranged from 0 to 50. They were categorized into four groups: "inadequate" if the score was between 0 to 25, "problematic" if the score was between 26 to 33, "sufficient" if it was from 34 to 42 and "excellent" if it was from 43 to 50. It was observed that almost the same amount of participants had fell into "problematic" (39.45%) and "inadequate" groups (37.92%), see Table 2.

**Table 2. Level of Opioid-related knowledge and health literacy (n=327)**

Characteristics	Number	Percent (%)
<b>Knowledge</b>		
Poor (0-50%)	74	22.63
Intermediate (51-70%)	190	58.10
High (71-100%)	63	19.27
Mean ( $\pm$ SD)	58.72	( $\pm$ 19.33)
Median (min : max)	60	(0:100)
<b>Opium literacy</b>		
Inadequate (0-25)	129	39.45
Problematic (25-33)	124	37.92
Sufficient (33-42)	59	18.04
Excellent (42-50)	15	4.59

Source: Authors.

### Identification of mental health problems by using GHQ-28

The 28-item version of general health questionnaire (GHQ-28 Thai version) was utilized to determine whether the four components of general health: somatic complaints, anxiety and insomnia, social dysfunction and depression - were poor or good. All the participants were asked for their mental health state over the past two weeks. Each component or subscale contains seven items in GHQ-28. Goldberg's scoring guideline, GHQ scoring method, was used to check the respondents' mental health status, i.e. "0-0-1-1" scoring method, where 0 was given for the first two options, "better than usual" and "same as usual" and 1 was assigned for "less than usual" and "much less than usual". The total score for a subject was ranged between 0 to 28 and cut-off point was 4/5 as a threshold. In other words, participants with the score of less than 5 (0 to 4) had fair to good mental health whereas those with the score of more than

4 (5 and above) had poor mental health. As shown in the table below, there were about 22% of respondents who had poor mental health state, see Table 3.

<b>Table 3. Prevalence of poor mental health among the respondents (n=327)</b>		
<b>GHQ-28</b>	<b>Frequency</b>	<b>Percentage</b>
Poor (above 4 scores)	70	21.41
Fair to good (<5 scores)	257	78.59

Source: Authors.

#### **Factors associated with opioid use among males in Kachin State: A bivariable analysis**

Table 4 shows the crude association between poor mental health status and age, marital status, ethnicity, religion, employment status, income, financial situation, place of living, betel quid chewing, opium use by accommodation sharer and opium literacy ( $p < 0.25$ ). The results showed that young and old aged people were 1.79 times more prone to poor mental health than middle-aged group. Moreover, being single, Kachin, Christians and other religions rather than Buddhists, people with 30,000 MMK or lower income and those live in rural areas were also associated with poor mental health condition. Other factors which were significantly associated with poor mental condition were inadequate income (OR = 2.58, 95%CI: 1.50 – 4.43), not chewing betel quid (OR = 2.26, 95%CI: 0.77 – 6.64), having accommodation sharers who used opioids (OR = 2.45, 95%CI: 1.13 – 5.30) and poor or inadequate health literacy (OR = 2.29, 95%CI: 1.08 – 4.88).

**Table 4. Factors associated with mental health state among adult males in Kachin State: a simple logistic regression**

Characteristics	Number	% of people with poor mental health	Crude OR	95%CI	p-val
<b>1. Age</b>					0.02
Middle age (20-59)	233	18.03	1		
Young and old age	94	29.79	1.79	1.11 to 3.36	
<b>2. Marital status</b>					0.01
Ever married	158	15.82	1		
Single	169	26.63	1.93	1.12 to 3.34	
<b>3. Ethnicity</b>					0.04
Other ethnic groups	96	14.58	1		
Kachin	231	24.24	1.87	0.99 to 3.56	
<b>4. Religion</b>					0.20
Buddhist	69	15.94	1		
Christian and others	258	22.87	1.56	0.77 to 3.17	
<b>5. Employment Status</b>					0.01
Employed	225	17.78	1		
Unemployed	102	29.41	1.92	1.12 to 3.33	
<b>6. Income</b>					0.02
More than 30,000	228	17.98	1		
30,000 or lower	99	29.29	1.89	1.09 to 3.27	
<b>7. Financial Situation</b>					0.00
Enough	195	14.87	1		

Source: Authors.

### Factors associated with opioid use among males in Kachin State: A multivariable analysis

11 factors from simple logistic analysis were proceeded to a multivariable analysis using multiple logistic regression with backward elimination. The final model indicated that the factors associated with poor mental health status were inadequate and problematic level of opioid-related health literacy (Adj. OR = 2.28, 95%CI: 1.05 – 4.96, p <0.05), having inadequate income (Adj. OR = 2.53, 95%CI: 1.46 – 4.39, p <0.01) and sharing accommodation with opium user (Adj. OR=2.74; 95%CI: 1.23 to 6.13, p <0.05), see Table 5.

**Table 5. Factors associated with mental health state among adult males in Kachin State: a multiple logistic regression**

Characteristics	Number	% of people with poor mental health	Crude OR (95%CI)	Adjusted OR (95%CI)	p-value
<b>1. Financial Situation</b>					< 0.01
Enough	195	14.87	1		
Not enough	132	31.06	2.58 (1.50 to 4.43)	2.53 (1.46 to 4.39)	
<b>2. Opioid use by people who share accommodation</b>					< 0.05
No	295	19.66	1		
Yes	32	37.5	2.45 (1.13 to 5.30)	2.74 (1.23 to 6.13)	
<b>3. Opium literacy</b>					< 0.05
Sufficient or Excellent	74	12.16	1		
Inadequate or Problematic	253	24.11	2.29 (1.08 to 4.88)	2.28 (1.05 to 4.96)	

Source: Authors.

## Discussion

This cross-sectional study aimed to identify the risk factors of poor mental health status among adult males in Kachin State, Myanmar, who had never used illicit drugs. It was observed that two socioeconomic factors: having accommodation sharers who used opioids (Adj. OR=2.74; 95%CI: 1.23 to 6.13,  $p < 0.05$ ) and inadequate financial situation (Adj. OR = 2.53, 95%CI: 1.46 – 4.39,  $p < 0.01$ ) had influence on poor mental health status. Opioid-related health literacy was also associated with opioid use. It might be that adult males have to deal with problems of their accommodation sharers - family members or friends - who used opioids and bear their burden of drug abuse such as taking the domestic responsibility, financial problems or crimes. As a result, the participants may have poor mental health condition during the study time. Concerning financial status, it was similar to the studies of Ahnquist and Wamala (2011) and Kopasker, Montagna and Bender (2018) which mentioned that economic hardship increased the risk of poor mental health. A review of seventy-eight studies by Silva, Laureiro and Cardoso also stated the association between low income and worse mental health. As their financial status was insufficient, they may need to take loans with high interest rates which made participants difficult to pay them back, causing mental health problems such as depression. Adult males whose health literacy was poor or inadequate were 2.28 times more likely to have poor mental health status than those who had sufficient or excellent health literacy. No studies about the relationship between the variables was found but a study by Lincoln et al. (2006) stated the association among participants with alcohol and drug dependence. It is also possible that the low literacy, together with having accommodation sharers who used drugs, led them to have poor mental health when the sharers were in need of help from opioid abuse. However, there is a need to explore about mechanisms underlying the association between opium literacy and mental health among the group. There were several limitations in this study. The study measured exposures and outcome at the same time, and thus, causal relationship between exposures and outcome could not be identified. Moreover, as it only focused on adult males, other populations such as adolescents, elderly, females and people with chronic health conditions were not represented in this study.

## Conclusion

The study indicated that opioid-related health literacy and socioeconomic factors had influence on mental health status of general population. It is essential to take appropriate measures to improve health literacy on opium especially among the above-mentioned vulnerable groups to help prevent them from choosing illicit drugs as coping mechanism for mental health problems. Opioid-related health education should also be promoted by using different languages for different ethnic groups so as to understand the drug problems, consequences and how to deal with the issue. On the other hand, different study design such as cohort study is needed to identify the causal relationship between the factors and the mental health status.

## References

- Ahnquist, J., & Wamala, S. P. (2011). Economic hardships in adulthood and mental health in Sweden. the Swedish National Public Health Survey 2009. *BMC public health*, *11*(1), 788.
- Gooch, L. (2016, June 20). Poppylands: Understanding Myanmar's addiction to heroin. *Al Jazeera*. Retrieved on 28 February 2019 from <https://www.aljazeera.com/indepth/features/2016/06/poppylands-understanding-myanmar-addiction-heroin-160619114736853.html>.
- Hartz, S. M., Pato, C. N., Medeiros, H., Cavazos-Rehg, P., Sobell, J. L., Knowles, J. A., ... & Pato, M. T. (2014). Comorbidity of severe psychotic disorders with measures of substance use. *JAMA psychiatry*, *71*(3), 248-254.
- Institute for Health Metrics and Evaluation (2017) Myanmar Country Profile. Retrieved on 30 October 2019 from <http://www.healthdata.org/myanmar>.
- Institute for Health Metrics and Evaluation (2018). Global Burden of Disease Study 2017. Retrieved on 30 October 2019 from <http://ghdx.healthdata.org/gbd-2017>.
- International Narcotics Control Board. (2013). Report 2013. Retrieved on 15 January 2019 from [https://www.incb.org/documents/Publications/AnnualReports/AR2013/English/AR\\_2013\\_E.pdf](https://www.incb.org/documents/Publications/AnnualReports/AR2013/English/AR_2013_E.pdf).
- Kopasker, D., Montagna, C., & Bender, K. A. (2018). Economic insecurity: A socioeconomic determinant of mental health. *SSM-Population Health*, *6*, 184-194.
- Lincoln, A., Paasche-Orlow, M. K., Cheng, D. M., Lloyd-Travaglini, C., Caruso, C., Saitz, R., & Samet, J. H. (2006). Impact of health literacy on depressive symptoms and mental health-related: quality of life among adults with addiction. *Journal of general internal medicine*, *21*(8), 818-822.
- Meehan, P. (2017). Opium and 'Development' in Myanmar: the political economy of a resurgent crop. Retrieved on 14<sup>th</sup> March 2019 from <https://www.twai.it/magazines/opium-and-development-in-myanmar-2/>.
- National Institute on Drug Abuse. 2018. Comorbidity: Substance Use Disorders and Other Mental Illnesses. Retrieved on 30 October 2019 from <https://www.drugabuse.gov/publications/drugfacts/comorbidity-substance-use-disorders-other-mental-illnesses>.
- Oo, Y. H., & Doe, G. H. (2017). A qualitative case study on predicaments of spouses of people who inject drugs (PWID). *The Three Millennium Development Goal Fund*.

Silva, M., Loureiro, A., & Cardoso, G. (2016). Social determinants of mental health: a review of the evidence. *The European Journal of Psychiatry*, 30(4), 259-292.

United Nations Office on Drugs and Crime. (2017). World Drug Report 2017. United Nations Publication.

World Bank. (2019). Mental Health. Retrieved on 30 October 2019 from <https://www.worldbank.org/en/topic/mental-health>.

MAHMUT SAYLIKAY<sup>1</sup>, EDIP ALI PEHLIVANLI<sup>2</sup>, IMDAT DOGAN<sup>3</sup> AND ADNAN AKIN<sup>4</sup>

## THE RELATIONSHIP BETWEEN ORGANIZATIONAL WHISTLEBLOWING, WORK ALIENATION AND EMPLOYEE TURNOVER INTENTION: A REVIEW IN THE BANKING SECTOR

### Abstract

Organizational whistleblowing, is extremely important in that it serves to ensure internal control in the workplace. On the other hand, alienation from work involves the process of moving away from the individual's self, environment and social life in the workplace under the influence of different phenomena. In this context, this study aims to determine the relationship between organizational whistleblowing and work alienation from work under workplace conditions for those employee turnover intention. In this research, the primary data collection method was utilized to measure the perceptions of participation and other bank employees in the province of Kırkkale. In the study, the organizational whistleblowing scale developed by Park et al. (2005), the work alienation scale developed by Scott et al. (1999) for those who have the employee turnover intention and the work alienation scale developed by U. Kaya and N. Serçeoğlu (2013). was used.

**Keywords:** Whistleblowing, work alienation, employee turnover intention

**JEL Codes:** M12, J53, G21

### 1. Introduction

Whistleblowing is defined as either “consulting to the public when there is a common mistake” (Aydın, 2002-2003) or “reporting possible bad and wrong behaviors in organizations (Aktan, 2006) while alienation is defined as being indifferent or insensitive behavior of an individual towards himself / herself or his / her environment and his / her work, and it can be accepted as a reason of low productivity and performance in the work environment in terms of being a negative phenomenon. On the other hand, due to the fact that the intention to quit is seen as employees losing or decreasing their ties with the entity and assessing different options in situations where they do not show sufficient success, it involves the preparation of ground for instability and distressed working environments. Specifically, work alienation arises when employees do not have control over the workforce, and as a result, they feel to be forced to do their job and alienate to their job eventually. A person alienated to his work and work is also a person who is alienated from other living creatures, alienated and transformed, and alienated from the characteristics of knowing and alienating his birth. Cangızbay (1989: 133) captures the human being as a creature, as a result of the knowledge, behavior, and power of mind, of the things that he or she possesses.

The intent of leaving the job as a different variable in the study is that the employee plans to leave the entity. Okten (2008) defines the intention to quit, as a 'devastating and active behavior', as demonstrated by the “failure of employers to keep their employees happy”. According to Hardy (1987), employees do not have the intention to quit when they see enough of their successes, but also when they see their success is going down and their productivity and loyalty to the entity reduces, and then begin to explore new opportunities.

---

<sup>1</sup> Kirikkale University, Turkey.

<sup>2</sup> Aksaray University, Turkey.

<sup>3</sup> Finance and Investment Executive, Dr., PhD in Banking and Finance, Istanbul, Turkey, imdatdogan@yahoo.com.

<sup>4</sup> Kirikkale University, Turkey.

In the case of high satisfaction to the job in employment conditions, the motivation to quit was seen to be low. (Rusbelt, Farrell, Rogers ve Mainous, 1988). On the other hand, the intention to quit indicates that the employee plans to leave the entity/company. Planning comes before the thought of abandonment, and is the early indicator of the voluntary separation decision. (Lambert, Hogan ve Barton, 2001). Conversion of the intention to quit to disruptive behavior is a process and influenced by many elements (Hom, Caranikas-Walker, Prussia ve Griffeth, 1992). Addae, Praveen Parboteeah ve Davis (2006), at the work in they did in Trinidad and Tobago put forward the relationship between psychologic discourse interventions and intention to discontinue to work. They have indicated that intention to quit the job encompasses looking for a new job, evaluating alternative job opportunities, decisions to stay or leave the company. Gökçe (2013) examines the mistakes that teachers have seen in their schools, and the ways in which they are disclosed, and found out that the most common mistakes are either wasting the resources or using the resources for personal benefits. Also, the whistleblowing situation has increased according to the seniority, and the teachers have noted that this situation is preferable not to report officially. Erkmen ve Bozkurt (2016) in their study titled “Moderating effect of organizational commitment on the relationship between work alienation and formalization” has examined the relationship between job alienation, self-reliance, and formalism, and revealed that the three changes are inextricably linked together. This study investigates the relationship among job alienation, educational construction, and intention to quit job by examining different demographic groups of employees in banking sector.

## **2. Research methodology**

In this study, the scales associated with the variables are identified in the litereture review and the survey form was formed by utilizing country-specific measurements. In the study, permeable and reliable scales were utilized. Participants’ level of work alienation (i), whistleblowing (ii) and intention to work (iii) were measured by the 6-item scale developed by Kaya and Serçeoğlu (2013), the 9-item scale and deduction intentions developed by Park, Rehg and Lee (2005) and by Wayne, Shore and Linden (1997), accordingly. This questionnaire was initially sent to 96 employees working in deposit banks with random sampling methodology. 84 of questionnaire were returned and 7 were eliminated due to careless fill out. As a result, 77 of questionnaire were accepted for assessment and out analysis. The aim of this study is to reveal the relationship among alienation to work, the intentions to quit job and whistleblowing in banking sector.

## **3. Data analysis and results**

The demographic distribution associated with the study in banking sector is shown below.

**Table 1. Demographic statistics**

VARIABLE	CATEGORY	FREQUENCY	(%)
<b>Gender</b>	Female	23	29,9
	Male	54	70,1
<b>Marital Status</b>	Married	63	81,8
	Single	14	18,2
<b>Age</b>	30 and below	23	29,9
	31-40	46	59,7
	41-50	8	10,4
<b>Bank Capital Structure</b>	State Bank	22	28,6
	Private Bank	55	71,4
<b>Job Title</b>	Teller	16	20,8
	Service Delivery	12	15,6
	Service Responsible	20	26,0
	Assistant Manager	17	22,1
	Manager	4	5,2
<b>Department</b>	Director	8	10,4
	Operation	44	57,1
	Marketing	33	42,9

Source: Authors.

Table 1 presents demographic statistics for the participants from deposit banks. While 54 of the participants in the survey are male, 23 of them are female employees. In terms of marital status and age groups, more than 80% of the participants are married and 60% of which are between the age of 31 and 40. When the banks' capital structures are examined, it can be seen that while 22 of the participants work at state banks 55 of the participants work at private banks. In terms of departments, 44 employees work in the operations and 33 employees work in the marketing department. If there is an interconnection, the normality test should be implemented to determine the direction and direction of the relationship to be used in the correlation analysis. The Kolmogorov Smirnov test was utilized to determine if the data was not normally distributed.

**Table 2. Normality test results**

Variable	Kolmogorov-Smirnov		
	Statistics	df	p
Alienation to Work	0,412	77	0,000
Whistleblowing	0,270	77	0,000
Intention to quit job	0,279	77	0,000

Source: Authors.

When the data is examined in Table 2, it is seen that all three variables show deviations from the normal distribution significantly ( $p < 0.05$ ). Therefore, nonparametric methods are used in the analysis of data that does not exhibit normal distribution.

### 3.1. Comparison of demographic groups

Non-parametric Mann Whitney and Kruskal Wallis methods were utilized to make comparisons between demographic groups. For the comparison of two groups, Mann-Whitney's test and for more than two groups' comparison Kruskal-Wallis test was utilized.

**Table 3. Results of the Mann Whitney U Test of gender groups**

Variable	Gender	N	Average	Total	U	p
Alienation to Work	Female	23	29,89	688	412	,010**
	Male	54	42,88	2316		
Whistleblowing	Female	23	46,74	1075	443	,043*
	Male	54	35,70	1928		
Intention to quit job	Female	23	27,65	636	360	,003**
	Male	54	43,83	2367		

\*:p<0,05    \*\*:p<0,01

Source: Authors.

According to the results on Table 3, alienation to work, whistleblowing and intention to quit are statistically significant in 95% confidence intervals between genders. When the averages among different variables are assessed; alienation to work for male employees is higher than that of female employees, whistleblowing for female employees is higher than that of male employees and intention to quit job for male employees is higher than that of female employees. In this context, it is estimated that levels of alienation to work and intention to quit job for male employees may be linked.

**Table 4. Results of the Mann Whitney U Test for median status groups**

Variable	Marital Status	N	Average	Total	U	p
Alienation to Work	Married	63	41,06	2587,00	311	,058
	Single	14	29,71	416,00		
Whistleblowing	Married	63	38,10	2400,00	384	,441
	Single	14	43,07	603,00		
Intention to quit job	Married	63	40,65	2561,00	337	,156
	Single	14	31,57	442,00		

Source: Authors.

When the data examined in Table 4, it is seen that all three variables in marital status median group were not significantly different ( $p > 0.05$ ) by 95% confidence intervals. Meanwhile, when averages are examined, it can be seen that alienation to work and intention to quit job are higher in married employees while whistleblowing is higher in single employees.

**Table 5. Kruskal Wallis test results for age groups**

Variable	Age Groups	N	Average	$\chi^2$	sd	p
Alienation to Work	30 and below	23	32,46	4,544	2	,103
	31-40	46	40,58			
	41-50	8	48,75			
Whistleblowing	30 and below	23	42,48	5,082	2	,079
	31-40	46	40,08			
	41-50	8	22,81			
Intention to quit job	30 and below	23	31,70	6,707	2	,035*
	31-40	46	39,99			
	41-50	8	54,31			
*:p<0,05						
Source: Authors.						

Table 5 presents Kruskal Wallis test results for age groups within three variables. According to the results; while there is no significant difference among age groups for alienation to work and whistleblowing, intention to quit job has a difference among age groups at 95% significance level ( $p<0,05$ ). Hence, the two Mann-Whitney-U tests were performed in order to determine the difference between the age groups in the intention to quit.

**Table 6. Mann Whitney U Test results for age groups**

Variable	Age Groups	N	Average	Total	U	p
Intention to quit job	30 and below	23	29,91	688	412	,125
	31-40	46	37,54	1727		
Intention to quit job	30 and below	23	13,78	317	41	,017*
	41-50	8	22,38	179		
Intention to quit job	31-40	46	25,95	1193	112	,071
	41-50	8	36,44	291		
*:p<0,05						
Source: Authors.						

As can be seen from Table 6; intention to quit job is much lower in “30 and below age group” than “41-50 age group” at 95% confidence level ( $p<0,05$ ). The reasons why intention to quit job increases by the age might due to more intensive work pace and structure in banking sector, employees’ performance expectations or burnout or desire to evaluate the experience of employees within the bank in enterprises that need financing.

**Table 7. Mann Whitney U Test results for Banks' capital structures**

Variable	Bank's Capital Structure	N	Average	Total	U	p
Alienation to Work	State	22	48,14	1059,00	410	,015*
	Private	55	35,35	1944,00		
Whistleblowing	State	22	47,86	1053,00	544	,478
	Private	55	35,45	1950,00		
Intention to quit job	State	22	36,20	796,50	404	,019*
	Private	55	40,12	2206,50		

\*:p<0,05

Source: Authors.

Examining bank employees in terms of banks' capital structure in Table 7, it can be seen that alienation to work is higher in state banks while intention to quit is higher in private banks both being statistically significant at 5%. According to this result, we can recommend that state banks should increase awareness and education, efficiency of performance management and job satisfaction in order to decrease employees' alienation to work. Also, private banks should increase the job satisfaction, more competitive career development and compensation packages to employees in order to avoid high intention to quit job in their entity.

**Table 8. Kruskal Wallis Test results for position groups**

Variable	Position Groups	N	Average	$\chi^2$	sd	p
Alienation to Work	Teller	16	39,47	10,664	5	,058
	Service Delivery	12	27,75			
	Service Responsible	20	43,58			
	Assistant Manager	17	32,79			
	Manager	4	54,88			
	Director	8	48,75			
Whistleblowing	Teller	16	39,09	9,031	5	,108
	Service Delivery	12	46,46			
	Service Responsible	20	40,95			
	Assistant Manager	17	34,91			
	Manager	4	56,25			
	Director	8	22,81			
Intention to quit job	Teller	16	40,19	11,467	5	,048*
	Service Delivery	12	25,50			
	Service Responsible	20	42,60			
	Assistant Manager	17	33,35			
	Manager	4	50,13			
	Director	8	54,31			

\*:p<0,05

Source: Authors.

Examining Table 8, one can observe that among three variables intention to quit is statistically different at 5% among all job titles. Tamhane T2 test was conducted to figure out the difference on which positions significantly.

**Table 9. Tamhane T2 Test results for positions groups**

Position (I)	Position Groups (J)	Average Difference (I-J)	Std. Err	p
Teller	Service Delivery	,94444	,52758	,743
	Service Responsible	-,13333	,43923	1,000
	Assistant Manager	,30392	,42880	1,000
	Manager	-,58333	,61426	,999
	Director	-,87500	,38025	,382
Service Delivery	Teller	-,94444	,52758	,743
	Service Responsible	-1,07778	,49904	,477
	Assistant Manager	-,64052	,48989	,968
	Manager	-1,52778	,65836	,554
Service Responsible	Director	-1,81944*	,44801	,015*
	Teller	,13333	,43923	1,000
	Service Delivery	1,07778	,49904	,477
	Assistant Manager	,43725	,39316	,992
	Manager	-,45000	,58993	1,000
Assistant Manager	Director	-,74167	,33955	,442
	Teller	-,30392	,42880	1,000
	Service Delivery	,64052	,48989	,968
	Service Responsible	-,43725	,39316	,992
Manager	Manager	-,88725	,58221	,958
	Director	-1,17892*	,32595	,022*
	Teller	,58333	,61426	,999
	Service Delivery	1,52778	,65836	,554
	Service Responsible	,45000	,58993	1,000
Director	Assistant Manager	,88725	,58221	,958
	Director	-,29167	,54744	1,000
	Teller	,87500	,38025	,382
	Service Delivery	1,81944*	,44801	,015*
Director	Service Responsible	,74167	,33955	,442
	Assistant Manager	1,17892*	,32595	,022*
	Manager	,29167	,54744	1,000

\*:p<0,05

Source: Authors.

According to the results; directors' intention to quit are significantly different ( $p<0,05$ ) from the positions of service responsible and assistant manager. The reasons for director positions to have a high intention to quit job may stem from mismatch between the level of experience, compensation along with high demand for them in banking space.

### 3.2. Correlation analysis

Non-parametric the Spearman correlation test method is used in the correlation analysis that shows the correlation between the variables, since the normal distribution of the data from the participants is not present. Correlation analysis examined the relationship between alienation to job with intention to quit job and whistleblowing. Positive relationship between variables is expected.

**Table 10. Spearman Correlation Test for variables**

Variables		AtW	W	IqJ
Alienation to Work	Correlation Coefficient	1.000	0.267*	0.905**
	p		0,019	0,000
	N	77	77	77
Whistleblowing	Correlation Coefficient	0.267*	1.000	0.077
	p	0,019		0,504
	N	77	77	77
Intention to quit job	Correlation Coefficient	0.905**	0.077	1.000
	p	0,000	0,504	
	N	77	77	77

AtW: Alienation to Work, W: Whistleblowing, IqJ: Intention to Quit Job

Source: Authors.

According to Spearman correlation analysis test results; while a positive correlation exists ( $r=0,267$ ) between “alienation to work” and “whistleblowing” with 95% confidence level, there is a positive and strong correlation ( $r=0,905$ ) between “intention to quit job” and “alienation to work” at 99% significance level. The following hypotheses have been developed in the framework of these conjunctions, with the notion that “alienation to work” may increase the severity of “intention to quit job”.

H1-0: There is no meaningful impact of “alienation to work” to “intention to quit job” on bank employees.

H1-A: There is a meaningful impact of “alienation to work” to “intention to quit job” on bank employees.

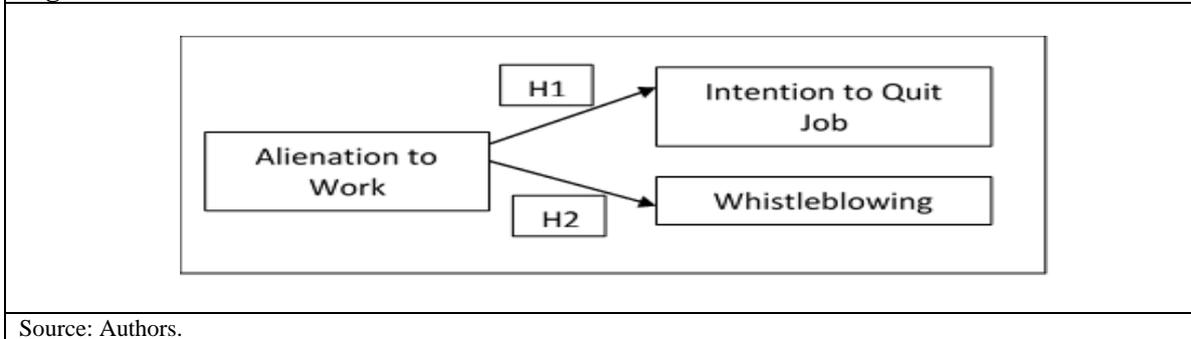
H2-0: There is no meaningful impact of “alienation to work” to “whistleblowing” on bank employees.

H2-A: There is a meaningful impact of “alienation to work” to “whistleblowing” on bank employees.

### 3.3. Regresyon analysis

In hypothesis framework, the following conceptualization on the basis that “alienation to job” has an effect on “whistleblowing” and “intention to quit job” has been developed.

**Figure 1. Research model**



The linear regression analysis was conducted to test the hypotheses. The results of the regression analysis are given below.

**Table 11. Regression analysis results**

Dependent Variables:		Intention to quit job	Whistleblowing
Independent Variable		<b>H1</b>	<b>H2</b>
Alienation to Work	$\beta$	,882	,070
	t	16,247	-,608
	p	,000**	,545
R <sup>2</sup>		,779	,070
Adjusted R <sup>2</sup>		,776	-,008
<b>F</b>		<b>263,954**</b>	<b>0,370</b>

\*\*p<0,01

Source: Authors.

According to the Table 11, it can be seen that “alienation to work” has a significant impact on “intention to quit job” at 99% confidence level with an adjusted R<sup>2</sup> of 77,6%. Examining the  $\beta$  coefficient, there is a 88,2% positive statistically significant relationship ( $p= 000$ ) between the variables of “alienation to work” and “intention to quit job”. In other words, a unit of increase in “alienation to work” variable leads to 0,882 unit increase in “intention to quit job” variable. According to these results, we can reject H1-0 (There is no meaningful impact of “alienation to work” to “intention to quit job” on bank employees.) and accept H1-A (There is a meaningful impact of “alienation to work” to “intention to quit job” on bank employees).

Examining further Table 11, it can be seen that “alienation to work” has no significant impact on “whistleblowing”. Therefore, we can accept H2-0 (There is no meaningful impact of “alienation to work” to “whistleblowing” on bank employees.) and reject H2-A (There is a meaningful impact of “alienation to work” to “whistleblowing” on bank employees).

#### 4. Conclusions

This study investigated the relationship among “alienation to job”, “whistleblowing”, and “intention to quit job” by examining different demographic groups of employees in banking sector. According the results, evidences demonstrate that both “intention to quit job” and “alienation to work” are observed higher in males than females in banking sector. On the other hand, female employees are much inclined to whistleblowing than male employees. Moreover, variables of alienation to work and intention to quit job are higher in married employees while whistleblowing is higher in single employees. As far as the analysis of age groups, intention to quit job is higher in 41-50 age group than 30 and below age group. Overall, it is seen that “intention to quit job” increases by the age, which may be due to more intensive work pace and structure in banking sector, employees’ performance expectations or burnout, employees’ desire to evaluate other employment opportunities, etc. One of the reasons behind these results might be, as mentioned in Gündogdu (2018) high profit expectation and employee policy of banking sector.

Alienation to work and whistleblowing are seen higher in state banks while private banks encompass intention to quit. Surprisingly, while alienation to work is higher, which does not turn in to intention to quit job in state banks. In other words, while levels of alienation to work observed higher in state banks levels of intention to quit job are much higher in private banks. However, correlation analysis between these two variables were positively correlated to each other. This might be explained by state banks’ following characteristics such as higher job security, better working conditions, less workload, performance expectations and less job stress, etc.

According to the results; directors' levels of intention to quit are significantly different ( $p < 0,05$ ) than the positions of service responsible and assistant manager. The reasons for director positions to have a high intention to quit job may stem from mismatch between the level of experience, higher compensation expectation in banking space.

As far as the regression analysis, "alienation to work" has a significant impact on "intention to quit job" at 99% confidence level with an adjusted R<sup>2</sup> of 77, 6%. Therefore, we reject H1-0 (There is no meaningful impact of "alienation to work" to "intention to quit job" on bank employees.) and accept H1-A (There is a meaningful impact of "alienation to work" to "intention to quit job" on bank employees.).

Lastly, while one important restriction of the study is to be conducted in one city, this study is one of the early researches performed in its area. Therefore, this might be a good source for future studies. Expanding research limits by including such as job satisfaction, organizational trust, justice, citizenship, exhaustion, creating an atmosphere of trust, treatment in organizational communication variables would lead to more comprehensive studies.

## References

- Addae, H.M., Parboteeah, K.P., Davis, E.E. (2006) "Organizational commitment and intentions to quit: An examination of the moderating effects of psychological contract breach in Trinidad and Tobago" *International Journal of Organizational Analysis* 14(3):225-238.
- Aktan, C. C. "Organizasyonlarda Yanlıř Uygulamalara Karřı Bir Sivil Erdem, Ahlaki Tepki ve Vicdani Red Davranıřı: WHISTLEBLOWING", *Mercek Dergisi* Ekim-2006.
- Ali, A. (1988). Scaling an Islamic work ethic. *The Journal of Social Psychology*, 128(5), 575-583.
- Aydın, U. "İř Hukuku Açısından İřçinin Bilgi Uçurması (Whistleblowing)", *Sosyal Bilimler Dergisi* 2002-2003.
- Banai, M., Reisel, W. D. ve Probst, T. M. (2004). A Managerial and Personal Control Model: Perceptions of Work Alienation and Organizational Commitment in Hungary, *Journal of International Management*, 10: 375-392.
- Cangızbay, K.(1989) "Çeviri Yolu ile Bilim Dili Yaratılabilir mi?", *Cumhuriyet Gazetesi*, Bilim ve Teknik Eki, Eylül.
- Erkmen, T.,Bozkurt, S. (2016) "Moderating effect of organizational commitment on the relationship between work alienation and formalization" *Journal of Economic Development, Management, I T, Finance, and Marketing; Beverly Hills\_Vol.8, Iss. 2, Sep: 16-23.*
- Field, A. (2009). *Discovering statistics using SPSS*. Sage publications.
- Gökçe, A. T. (2013) "Relationship between whistle-blowing and job satisfaction and organizational loyalty at schools in Turkey" *academic journals*, Vol. 8(14), pp. 1186-1197, 23 July.
- Hardy C.C., (1987). "The Blue Chip Investment Strategy: Quality, Value and Timing for Income Appreciation", New York, F Watts.

Kaya, U., & Serçeođlu, N. (2013). Duygu İşçilerinde İşe Yabancılaşma: Hizmet Sektöründe Bir Araştırma. *Calisma ve Toplum*, 36(1).

Kim, N. (2012). Employee Turnover Intention Among Newcomes in Travel Industry, *International Journal of Tourism Research*, 16 (1): 56-64.

Gündođdu, A. (2018). Etik Bankacılık ve Türkiye’de Uygulanabilirliđi.

Ökten, S. S. (2008). Güçlendirmenin İş Tatmini ve İşten Ayrılma Niyeti Üzerine Etkisinde Kalite Kültürünün Ara Deđişken Olarak İncelenmesi. (Yayınlanmamış Yüksek Lisans Tezi), Gebze İleri Teknoloji Enstitüsü, Gebze.

Rusbelt, C. E., Farrell, D., Rogers, G. and Mainous, A. G., (1988), Impact of exchange variables on exit, voice, loyalty and neglect: An integrative model of responses to decline job satisfaction, *Academy of Management Journal*, 31(3), 599- 627.

Seeman, M. (1967). On the Personal Consequences of Alienation in Work, *American Sociological Review*, 32 (2): 272-285.

Taboli, H. (2015) ” Burnout, Work Engagement, work alienation as predictors of turnover intentions among universities employees in Kerman” *Life Sci J* 2015;12(9):67-74]. (ISSN:1097-8135).

Tuna, M , Yeşiltaş, M . (2014). Etik İklim, İşe Yabancılaşma ve Örgütsel Özdeşleşmenin İşten Ayrılma Niyeti Üzerindeki Etkisi: Otel İşletmelerinde Bir Araştırma. *Anatolia: Turizm Araştırmaları Dergisi* , 25 (1) , 105-117.

Vandekerckhove W, Commers MSR (2004) “Whistleblowing and rational loyalty”, *journal of business ethics*, Volume 53, Issue 1–2, pp 225–233.

CLAUDIU MEREUTA<sup>1</sup>

## CRITICAL ANALYSIS ON THE EVALUATION OF THE QUALITY MANAGEMENT SYSTEM IN DOCTORAL SCHOOLS OF ROMANIA

### Abstract

The paper presents the methodological norms and the contradictions generated by the quality evaluation process in the Romanian doctoral schools. The paper presents a critical analysis on the most controversial elements of the methodology for evaluating the quality of doctoral schools, as well as proposals for their improvement. Following the analysis of the standards and quality indicators proposed by the national accreditation agency in higher education, it was found that there are certain limitations and that some doctoral schools might be deeply affected by this process, even if they have a long tradition in the higher education and training of researchers through this form of schooling.

**Keywords:** Quality management, standards, doctoral school

**JEL Codes:** I21

### 1. Introduction

Evaluation of doctoral studies involves the evaluation of fields of doctoral studies and also of doctoral schools. The following types of assessments are performed for the evaluation of fields of doctoral studies:

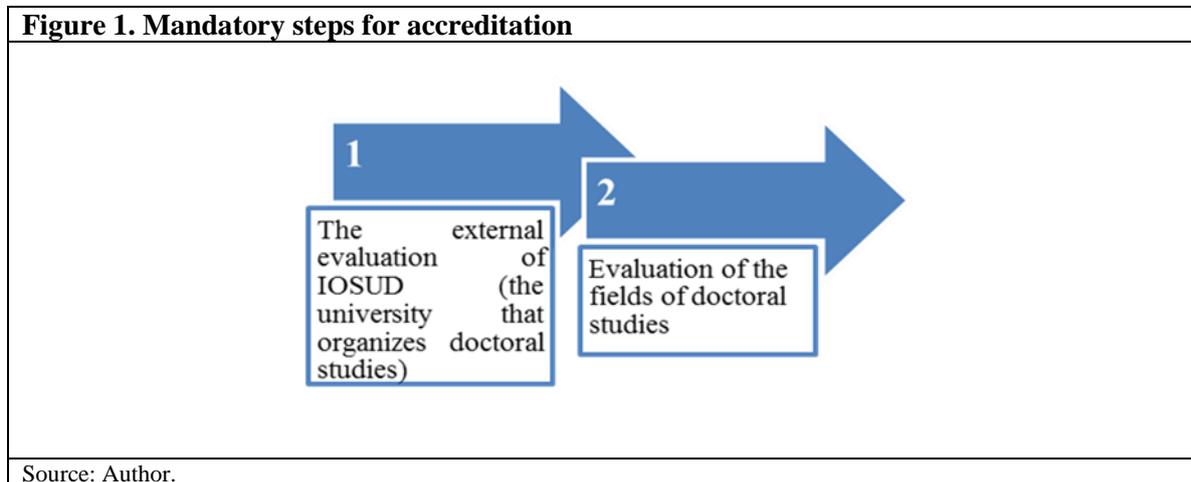
- evaluation for the provisional authorization of a new field of doctoral studies;
  - evaluation for accreditation of a new field of doctoral studies in an existing IOSUD, which is the institution that already organize doctoral studies)
  - evaluation for accreditation of a new field of doctoral studies, with the recognition of the IOSUD;
  - evaluation for the accreditation of a field of doctoral studies previously provisionally authorized, within a maximum of one year from the date of graduation of the first promotion of doctors, but not more than five years from the date of the provisional authorization
  - periodic evaluation of a field of doctoral studies, from 5 to 5 years;
  - reassessment within a maximum one year in case of non-compliance with the mandatory indicators for accreditation;
  - monitoring evaluation, within a maximum of 3 years from the initial evaluation.
- For the doctoral school, the following types of assessments can be performed:
- evaluation for the provisional authorization of a new doctoral school;
  - evaluation for accreditation of a doctoral school previously provisionally authorized, in maximum one year from the date of graduation of the first promotion of doctors, but no more than five years from the date of the provisional authorization;
  - reassessment within a maximum of one year in case of non-compliance with the mandatory indicators for accreditation;
  - periodic evaluation of an accredited doctoral school, from 5 to 5 years;
  - monitoring evaluation, within a maximum of 3 years from the initial evaluation.

---

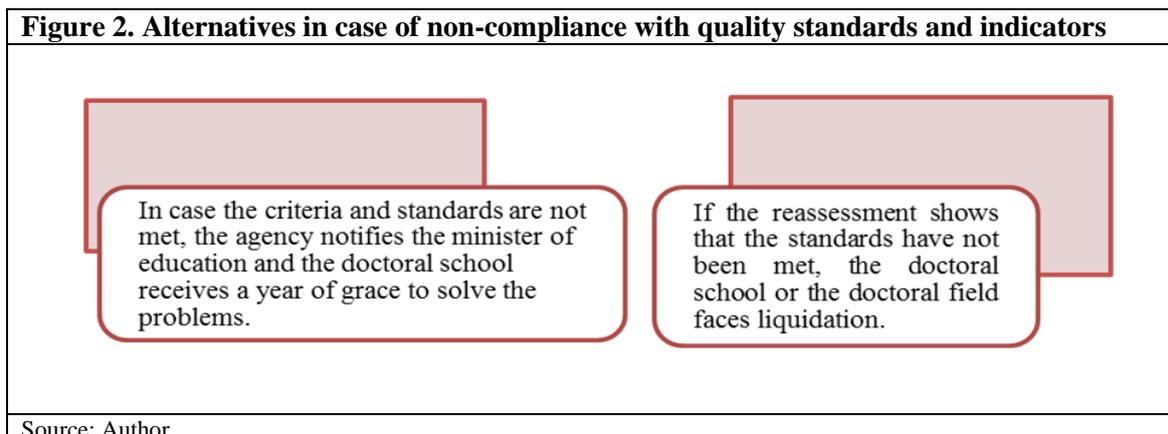
<sup>1</sup> Dunarea de Jos University of Galati, Romania, Claudiu.Mereuta@ugal.ro.

## 2. Stages of evaluation of doctoral studies

According to the National Education Law, the process of evaluating doctoral studies, involves mandatory, to complete the steps shown in fig.1.



- Each IOSUD draws up an internal evaluation report and requests the Agency to evaluate each field of doctorate studies.
- The Agency appoints an expert committee, which analyzes the internal evaluation report provided and verify, by visits to the applicant how standards and criteria are met.
- The Agency Council validates the experts' report by verifying compliance with the methodology.
- In case of finding compliance with the quality standards and criteria, the Agency proposes to the Ministry of National Education maintaining the accreditation for the field of evaluated doctoral university studies.
- In case of no compliance with the quality standards and criteria, the alternatives are shown in fig.2

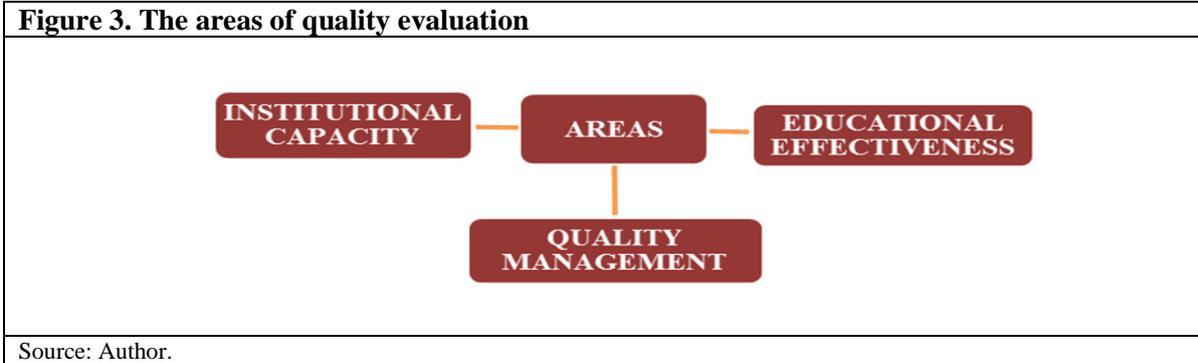


The effects of liquidation of a doctoral school are:

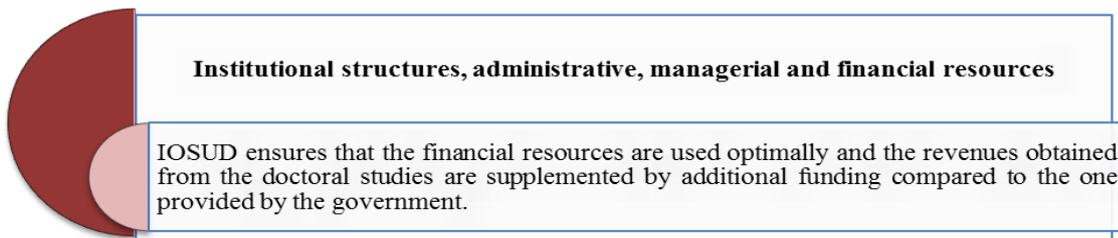
- The school doesn't organize selection for new doctoral students;
- A doctoral school that has lost its accreditation can be accredited after at least 5 years after the loss of this quality, only after resuming the accreditation process.

### 3. System of criteria, standards and performance indicators used in the accreditation and periodic assessment of the doctoral studies – critical analysis

The areas of quality evaluation, according to national agency of accreditation are shown in fig.3.

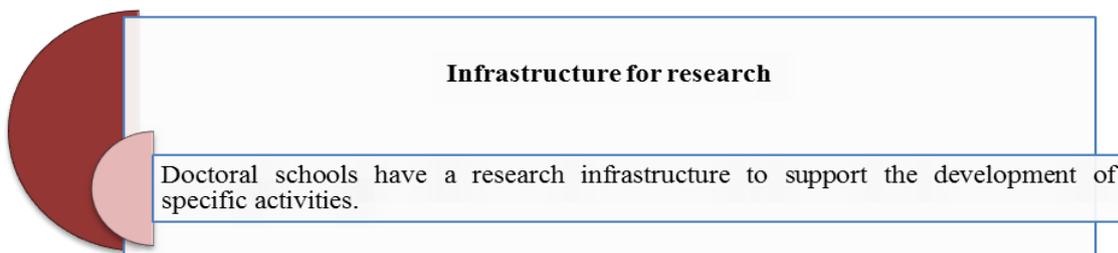


#### 3.1. Institutional capacity



#### Performance indicators – critical analysis

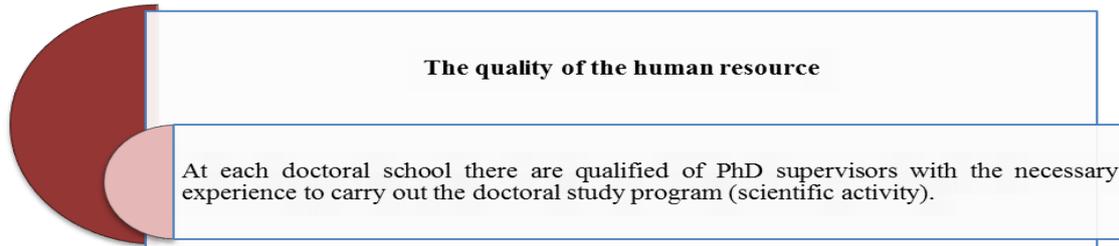
- Existence of at least one research or institutional development grant / human resources in implementation at the time of submission of the self-assessment file, in the field evaluated.
- A minimum of 10% of the doctoral students benefits for a minimum of six months from other sources of funding than governmental ones;
- At least 5% of the total amounts from doctoral grants and fees are used support the expenses of the professional training of the doctoral students (participation in conferences, schools of summer, courses, internships abroad, publication of specialized articles or other specific forms of dissemination, etc.).



#### Performance indicators – critical analysis

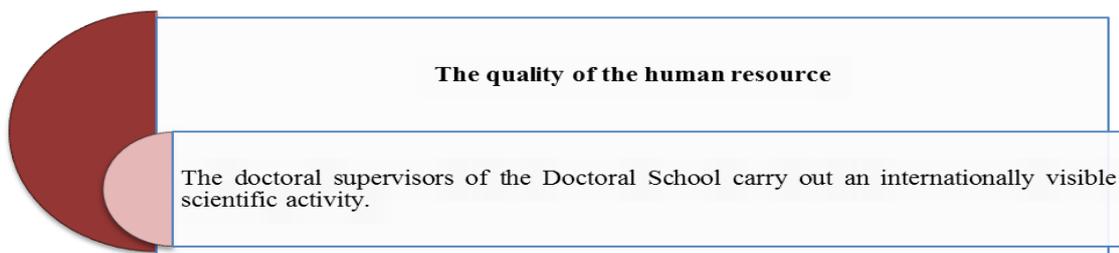
- Premises and material supplies allow research activities in the field assessed in accordance with the mission and objectives set (computers, specific software, equipment, laboratory equipment, library,

access to international databases etc.). The research infrastructure and the research services are publicly presented through a platform.



#### Performance indicators – critical analysis

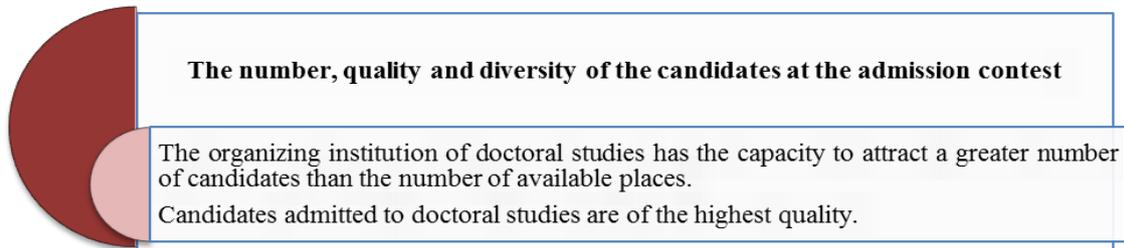
- Within the doctoral field, there are at least three PhD supervisors to carry out this activity and at least 50% of them (but not less than three) meet the minimum national standards at the time of the assessment, necessary and compulsory for obtaining the attestation certificate.
- At least 3 of the PhD supervisors in the evaluated doctoral field are fulltime professors of IOSUD.
- The share of doctoral supervisors coordinating simultaneously more than 8-12 doctoral students, does not exceed 5%.



#### Performance indicators – critical analysis

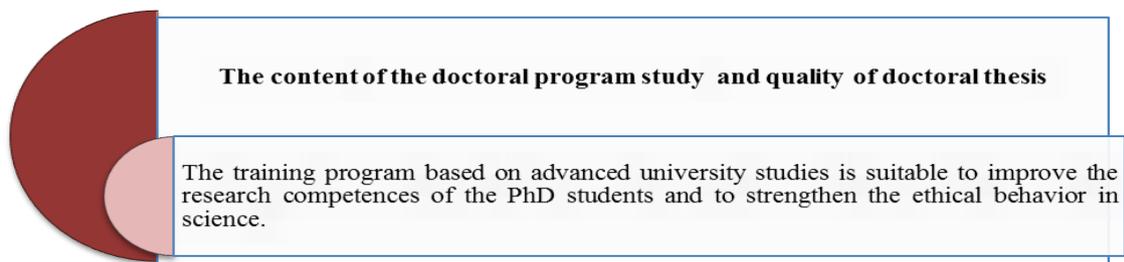
- The PhD supervisors in the field created/developed fields/research directions, through their work.
- At least 50% of the three PhD supervisors in the field subject to evaluation submit at least 5 indexed publications of Web of Science or ERIH in journals with impact factor or other achievements, with significance relevant to the respective field.
- The doctoral supervisors have national and international visibility during the last five years, consisting of: number of citations (Web of Science, Scopus, Google Scholar); membership in the Scientific Committees of the publications and conferences, national and international membership in boards of professional associations, national and international guest status at conferences or expert groups held abroad or as a member of committees to support doctoral theses at universities abroad or in conjunction with a university abroad.

### 3.2. Educational effectiveness



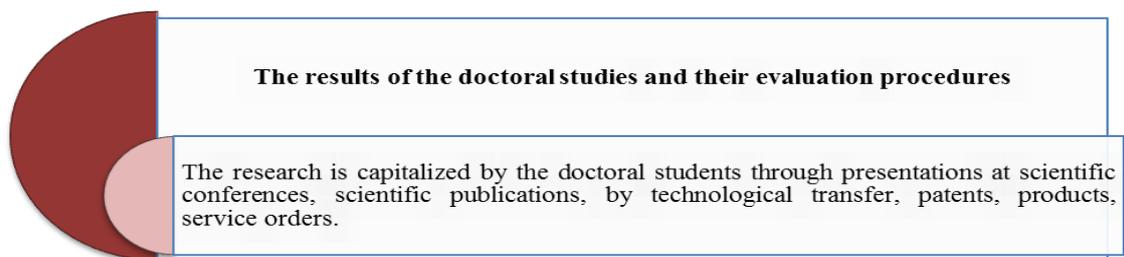
#### Performance indicators – critical analysis

- The ratio between the number of graduates at the master studies from other higher education institutions who have registered for the admission to doctoral studies during the last five years and the number of places funded from the state budget is at least 0.2
- The dropout rate for doctoral students within 2 years of admission does not exceed 30%
- 



#### Performance indicators – critical analysis

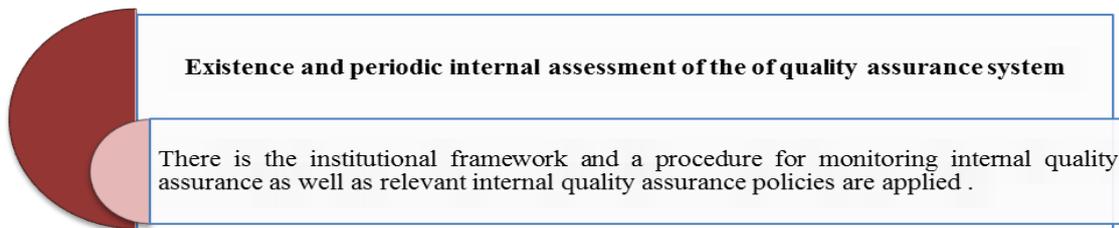
- For each field of study, a summary report for the past five years must be provided. It will include: number of theses completed and validated for each scientific advisor of the doctoral school; the number of theses restored and validated; the number of theses with proven plagiarism; the number of papers published in authorship with PhD students; the number of patents in authorship with PhD students; the number of doctoral students participating in national and international conferences; the internship at other universities in the country or abroad; the number of science research grants involving PhD; number of doctoral theses verified for similarity.
- There is at least one discipline dedicated to ethics in scientific research and intellectual or thematic property well delineated on these topics within a discipline taught in the doctoral program.
- Throughout the entire duration of the doctoral training period, the doctoral students benefit from the guidance of guidance commissions, an aspect reflected by guidance and written feedback or regular meetings, complementary to those offered by the scientific doctoral supervisor.
- 



#### Performance indicators – critical analysis

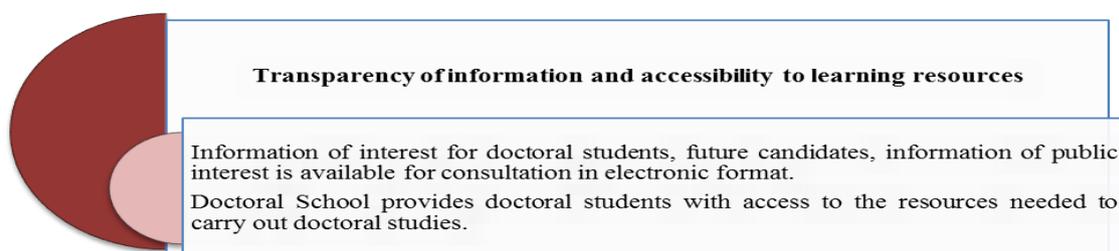
- For the evaluated field, at least one article or other relevant contribution per doctoral student who has obtained the title of doctor for the last 5 years is made available to the evaluation commission. From this list, the members of the evaluation committee randomly select 5 articles or relevant contributions per field of doctoral studies. The articles, thus selected and analyzed, will receive a rating on the original contribution to the development of the domain, on a scale from 1 to 5. At least three articles must reach threshold 3.
- The ratio between the number of presentations, including posters or exhibitions, at prestigious international events (held in the country or abroad) and the number of doctoral students who have completed their doctoral studies during the evaluated period (last five years) is at least equals 1.
- The number of doctoral theses assigned to a certain referent coming from a higher education institution, other than the evaluated IOSUD, should not exceed for the theses coordinated by the same doctoral supervisor, in one year.

### 3.3. Quality management



#### Performance indicators – critical analysis

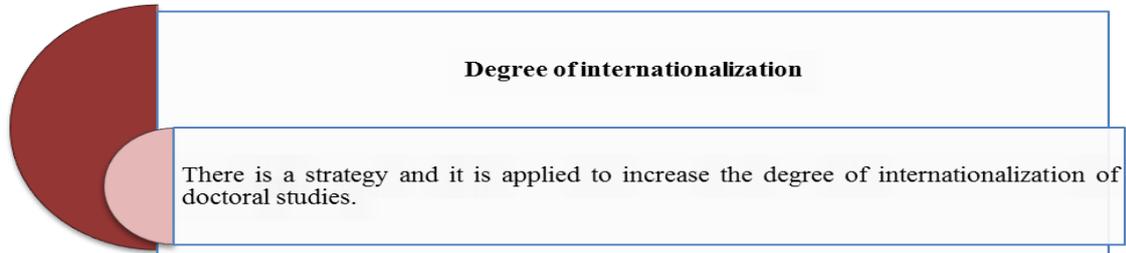
- IOSUD has developed and periodically applies a procedure for internal evaluation and monitoring the evolution of doctoral schools, between the evaluated criteria being compulsory: the scientific activity of the PhD supervisors; the infrastructure and logistics required to carry out the research activity; the subsequent procedures and norms on the basis of which the doctoral studies are organized.
- During the doctoral training period, feedback mechanisms are implemented to identify the students' needs, as well as their level of satisfaction with the doctoral program as a whole, in order to continuously improve the academic and administrative services offered.
- 



#### Performance indicators – critical analysis

- All doctoral students have free access to a platform with relevant databases / library for organized doctoral studies.
- Each doctoral student has access, upon request and with the approval of the doctoral supervisor, to an electronic system for checking the degree of similarity with other existing scientific or artistic creations.

- All doctoral students have access to scientific research laboratories or other facilities depending on the specific field within the doctoral school, according to internal rules.



#### Performance indicators – critical analysis

- The university signed agreements for mobility of PhD students and staff with foreign universities, research institutes, with companies operating in the field studied (for example ERASMUS agreements for the cycle of doctoral studies) and at least 20% of the doctoral students have completed a training course abroad or another form of mobility, such as participating in international scientific conferences.
- The internationalization of the activities within the doctoral studies is supported by measures (for example, the participation in educational fairs for attracting international doctoral students; the inclusion of international experts in commissions for guiding or supporting doctoral theses, etc.).

#### 4. Conclusions

- a) The evaluation of the quality of the doctoral schools proved to be insufficiently prepared by the authorities.
- b) The very tight deadline between approving the methodology and submitting the self-assessment reports to the national agency made many universities unable to comply (only two months).
- c) In Romania there are 57 universities that organize doctoral studies in 214 doctoral schools and in 436 doctoral fields. The amount of information that the national agency should have processed is therefore very large.
- d) The administrative structures that validate the doctoral theses and the doctoral titles were not included in the evaluation teams.
- e) The current criteria for habilitation are difficult to meet by senior doctoral supervisors. This could lead to the abolition of some traditional doctoral schools.

#### 5. References

Hotărârea Guvernului României nr. 681 din 29 iunie 2011 privind aprobarea Codului studiilor universitare de doctorat, cu modificările și completările ulterioare (Government Decision no. 681 of June 29, 2011 regarding the approval of the Code of university doctoral studies, with subsequent modifications and completions).

[http://www.aracis.ro/fileadmin/ARACIS/1\\_Prima\\_Pagina\\_web/2018/Ghid-ESD\\_-\\_27.12.2018\\_-\\_FINAL.pdf](http://www.aracis.ro/fileadmin/ARACIS/1_Prima_Pagina_web/2018/Ghid-ESD_-_27.12.2018_-_FINAL.pdf).

Ordinul nr. 3353/2018 privind aprobarea de noi domenii în cadrul școlilor doctorale organizate în instituțiile organizatoare de studii universitare de doctorat acreditate (Order no. 3353/2018 regarding the approval of new fields within the doctoral schools organized in the accredited doctoral studies organizing institutions).

Legea Educației Naționale nr. 1/2011, cu modificările și completările ulterioare (National Education Law no. 1/2011, as subsequently amended and supplemented).

Metodologia de evaluare a studiilor universitare de doctorat, din 01.11.2018 (Methodology for evaluating doctoral university studies, from 01.11.2018).

Metodologia de evaluare externă, a standardelor, a standardelor de referință și a listei indicatorilor de performanță a Agenției Române de Asigurare a Calității în Învățământul Superior din 14.12.2017 (Methodology for external evaluation, standards, reference standards and list of performance indicators of the Romanian Agency for Quality Assurance in Higher Education since 14.12.2017).

Ordonanță de urgență nr. 75/2005 privind asigurarea calității educației, cu modificările și completările ulterioare (Emergency Decree no. 75/2005 regarding the quality assurance of education, with subsequent modifications and completions).

ELENA MEREUTA<sup>1</sup>

## THE QUALITY OF RESEARCH: AN ESSENTIAL PART OF THE EXTERNAL EVALUATION OF THE UNIVERSITY

### Abstract

The paper presents the process that universities must go through periodically to demonstrate compliance with quality standards and indicators. An extremely important role belongs to the research component and, therefore, it is given special attention. In order to efficiently coordinate and manage the research activity of a university, a quality management system on the ISO 9001-2015 standard can be implemented for this type of activity. The paper presents the methodological steps for the certification of the quality management system in the research activity, highlighting the opportunities and the possible risks.

**Keywords:** Research, quality management, external evaluation

**JEL Codes:** I23

### 1. Introduction

The external evaluation at institutional level is mainly focused on the following aspects:

- assessment of the way in which the content of the bachelor, master and doctoral programs allow the students to complete all their academic qualification proposed by the university, involving their professional knowledge, competences and abilities;
- the peer review carried out by experts evaluators as a means of the internal quality assurance;
- organizing the evaluation so as not to disturb the didactic processes in the university;
- the mutual respect, so that the evaluation process should be carried out normally, in a friendly environment;
- the maintenance and continuous improvement of academic standards and improvement of the learning infrastructure;
- the use of self-evaluation as a key document, that must have a reflexive and evaluative character (it starts from the statements comprised in the self-evaluation report and analyses these statements' truthfulness);
- the responsibility of the assessed institution to provide the expert-evaluators with all relevant information (any document mentioned in the self-assessment must be at the evaluators' disposal);
- direct access of the expert evaluators to the data and documents supporting all the affirmations and statements from the self-evaluation report.

### 2. Research activity in the external evaluation process

The evaluation process involves three major areas: institutional capacity, educational effectiveness and quality management.

The evaluation of the research quality is in part B of the self-assessment reports, which is educational effectiveness, namely B.3. Scientific research activity

- a) Standard - Research programs

---

<sup>1</sup> Dunarea de Jos University of Galati, Romania, Elena.Mereuta@ugal.ro.

*Research planning* - the institution has a long-term strategy and medium and short-term programs referring to the research objectives, projects and expected outcomes, as well as the resources. There is a research ethos and culture, and also concerns for the valorization of research outcomes. The long-term strategy and medium and short-term programs on research are endorsed by the councils of faculties and approved by university Senate, together with the specification of the practices of obtaining and granting the achievement resources and of the valorizations methods. Research interests are predominantly institutional.

With regard to competitiveness and validation, research planning takes into consideration, and is made within, the national framework. Research is predominantly relevant at national level. Research planning and achievement are made in relation to the European and global framework.

*Research achievement* - research owns enough financial, logistic and human resources in order to achieve its objectives. There is an academic climate and culture strongly centered on research, evidenced by the number of research grants, publications, and the cognitive and technological transfer through consultancy, scientific parks etc. There are doctoral schools for training young researchers. There is evidence that scientific research corresponds to standards of quality or excellence, from the point of view of the organization; there is monitoring of research project development; internal approval of outcomes; elimination of unethical practices such as: reproduction without permission of research results obtained by other researchers, plagiarism, neglect of bioethical norms etc.

*Research valorisation* - research is validated through: educational publications, scientific publications, technological transfer through consultancy centers, scientific parks and other structures for validation and the realization of new products etc. Each academic staff member and researcher produces at least one publication or didactical or scientific achievement per year. The research outcomes are appreciated at national level through awards, citations, quotations etc. The publications, patents, and other important outcomes are mentioned in international databases.

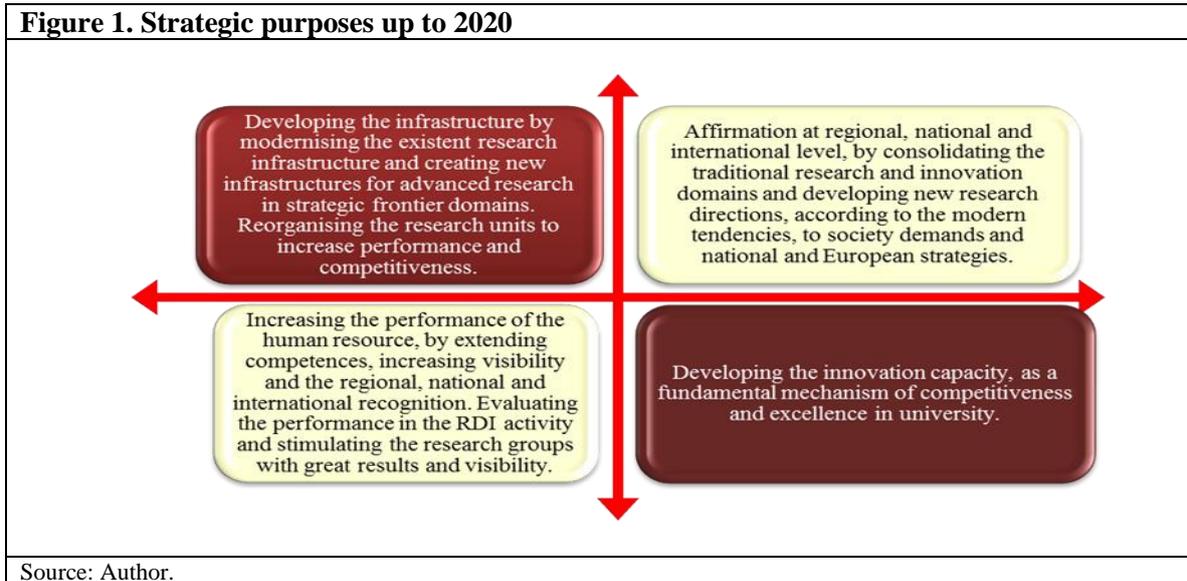
### **3. The state of scientific research at the analyzed university**

The analyzed university promotes the development of a research environment focused on technological progress and innovation, which is competitive at national and international level, and which may consolidate this institution into an excellence pole focused on generating knowledge and technological transfer, with a direct impact on the growth of the scientific performance, visibility and quality of services towards the economic and social environment.

At the same time, the correct principles of deontology and ethics in scientific research, for training, developing and motivating the human resource are promoted.

Strategic purposes up to 2020 are shown in fig.1

**Figure 1. Strategic purposes up to 2020**

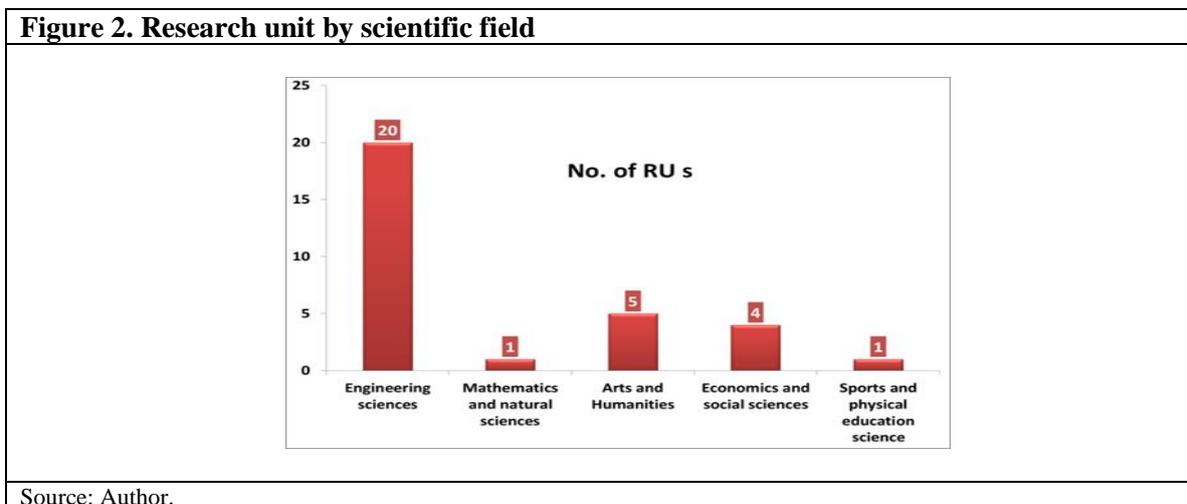


The research activity of the university is carried out within the university research units (RU). In 2018, 31 RU were evaluated in view of accreditation and hierarchisation (fig.2). Among these research units, 16 have been included in the category of “excellence” due to the fact that, following the evaluation process, it was found that they carry out multi-, inter- or transdisciplinary research-development-innovation activities, relevant from the standpoint of scientific content and knowledge transfer to the society.

The Integrated Interdisciplinary Competitive Research Platform – named ReForm - represents a modern frame of organization oriented towards the efficient activation of university resources (human resources, strategic infrastructure) for comprehensive multi-, inter- or transdisciplinary research – competitive at regional, national and international level, with scientific, technological, cultural and social impact.

The ReForm research platform integrates the activity of all research units with that of the doctoral schools, so as to improve efficiency, scientific performance, impact and visibility. Some performance indicators are shown in table 1.

**Figure 2. Research unit by scientific field**



**Table 1. Performance indicators in scientific research**

No	Performance indicators	Total
1	RD projects won in national competitions (no.)	31
2	RD projects won in international competitions (no.)	15
3	Success rate in national RD competitions (%)	22.50
4	Success rate in international RD competitions (%)	23.75

Source: Author.

#### 4. Accreditation of the quality management system in the research activity

The quality management system of the research activity was audited by and certified according to the standard SR EN ISO 9001: 2015, by an accredited agency in the field of quality management system. Obtaining the certificate represents recognition of the application of modern principles in the management of research, innovation and development activities, at the level of the university, the faculties and the research units accredited at the institutional level.

The certification represents an important step for the participation of the analyzed university in European competitions of research projects, in accordance with the strategic objectives set out in the Research-Development-Innovation Strategy (RDI) 2016-2020, competitiveness, excellence and internationalization.

The general requirements for accreditation process are:

- Analyzing the documented information of the organization's management system;
- Assessing the specific conditions of the organization's location and conducting discussions with the organization's staff;
- Analyzing the situation of the organization and its understanding of the requirements of the standard, in particular regarding the identification of key performances or of the significant aspects, processes, objectives and operations of the management system;
- Obtaining information regarding the management system, including: location/locations, processes and equipment used, levels of controls established, applicable legal and regulated requirements;
- Resource allocation analysis;
- Evaluation of internal audits and management analyzes as well as the level of implementation of the management system.

The most common nonconformities are:

- A more complete identification and a clearer presentation of the relevant stakeholders for the QMS field - RDI management is required;
- The quality policy must be communicated to all relevant stakeholders for the QMS field;
- It is necessary that the risks and opportunities are identified in relation to the objectives set in the operational plan, associated with the relevant aspects; actions must also be established to deal with these risks and opportunities.
- The list of QMS documents must be updated to meet the requirements of the latest edition of ISO 9001: 2015 and also to highlight the entire framework of procedures and regulations of the RDI-office.
- It is necessary to monitor consistently all the improvement actions established in the meetings of the Council for Scientific Research.

## 5. SWOT analysis of RD activity for the analyzed university

### Strengths:

- The existing infrastructure allows for competitive, high-performance research.
- Highly qualified human resource is competitive to develop interdisciplinary research, in strategic fields.
- Attracting considerable financial resources especially in national competitions.
- Coagulation of the potential of the RDI by setting up the ReForm platform.
- Recognition of the professional-scientific value of the members of the academic community.

### Weaknesses:

- Reduced involvement of UDJG research units in approaching complex, interdisciplinary topics.
- Reduced ability to raise funds through international competitions.
- Relatively small number of partnerships with international partners.
- The reduced knowledge transfer to the socio-economic environment and the relatively reduced partnerships with the economic environment.
- Maintenance of equipment (service, calibration), at the level of research units accredited at the institutional level.

### Opportunities:

- Funding for RDI activities through institutional development projects, from national agencies;
- Involving young people in RDI activities and the supporting grants for young people through projects, publication fees, mobility, the award of publications and patents.

### Threats:

- The risk of losing, through migration, an important resource of human capital (brain-drain).
- Competition between universities.
- Decreasing or stagnation of the funding for research from public funds, which contributes to widening the gaps between Romanian universities and prestigious universities abroad.

## 6. Conclusions and perspectives

- a) Creating relevant research units to develop research in strategic research areas promoted at national and international level.
- b) Inclusion of research units in international research networks.
- c) Participation of the university in research partnerships through clusters.
- d) Attracting funds for the financing of scientific research, artistic creation and sports performance.
- e) Organizing, in partnership with prestigious scientific institutions and/or organizations, conferences and seminars with national and international relevance.
- f) Publication of the RDI results in journals from the main international scientific stream.
- g) Patenting the results of the RDI at national and international level.

## References

Legea Educației Naționale nr. 1/2011, cu modificările și completările ulterioare (National Education Law no. 1/2011, as subsequently amended and supplemented).

Metodologia de evaluare externă, a standardelor, a standardelor de referință și a listei indicatorilor de performanță a Agenției Române de Asigurare a Calității în Învățământul Superior din 14.12.2017 (Methodology for external evaluation, standards, reference standards and list of performance indicators of the Romanian Agency for Quality Assurance in Higher Education since 14.12.2017).

Ordonanță de urgență nr. 75/2005 privind asigurarea calității educației, cu modificările și completările ulterioare (Emergency Decree no. 75/2005 regarding the quality assurance of education, with subsequent modifications and completions).

M. VEYSEL KAYA<sup>1</sup> AND ABDULKADIR TIGLI<sup>2</sup>

**ENVIRONMENTAL INSURANCE AS A CONTEMPORARY MODEL OF “DOUBLE-DIVIDEND HYPOTHESIS”: DEFICIENCIES, CRITICS AND DISCUSSIONS**

**Abstract**

In comprehending the science of economics, the first definition that we face is as follows: Economics is a branch of social sciences that researches the methods of making optimal use meeting the unlimited needs of people in an optimum way from limited resources. In numeric economics, although algorithmic formulas are produced on the basis of labor (L) and capital (C) factors; the beginning of economic activities are natural resources. Soil, sand, various minerals, air, water, oil, plants and animals, especially hydrocarbon resources are the most important inputs of the economic cycle. However, the limitations on how these natural resources can be used by governments and private enterprises, and how to prevent the wastes generated at the end of the production process from to reach the dimensions threatening the environment can be discussed only after these problems have emerged. The most remarkable problem that was overlooked in the 16th and 17th century Merchantilism was transformed into the capitalist production ideology by Adam Smith, a professor of moral philosophy in the 18th century, and how to assess industrial and municipal waste. The notion of externalities (concretely negative externalities) that was introduced by the Swedish economist Knut Wicksell from the Vienna School at the end of the 19th century and Arthur C. Pigou, one of the representatives of Cambridge School in the beginning of the 20th century; production units have not actuated enough to take necessary measures. Huge adversities; such as perforation of the ozone layer, depletion of underground and surface resources, and climate changes have only begun to be noticed since the 1970s and led the international community to take necessary measures. In developed countries, serious legal arrangements have been made regarding environmental awareness and the use of resources, but other group countries, who do not want the outflows of foreign capital have been loosely on this issue. If the notion of environmental economy is considered as an environmental problem, no significant progress has been made on this issue on a global scale, yet. Within the framework of intergovernmental cooperation in order to prevent inefficient use of resources and to reduce industrial wastes or to evaluate them at appropriate standarts; scientific research, diplomatic initiatives, international conventions have been intensively striven. In recent years, although generally preferred ways to reduce the environmental pollution through tax arrangements, has come to the fore in practices related to environmental pollution insurance in Turkey. However, the scope of these insurances is insufficient due to the environmental pollution caused by sudden events or accidents. Whereas; events that pollute the environment and recources are rather gradual. The fact that an insurance system that can produce solutions for gradual pollution types has not been developed is a major deficiency.

**Keywords:** Eco-Economics, misallocation, negative externalities, double dividend hypothesis, Pigouvian taxes, environmental responsibility insurances.

**JEL Codes:** H23, K32, O13, P48, Q56

**Introduction**

When the economic behavior, production and consumption stages of mankind are examined; the primitive society stage dealing with hunting and gathering, the agricultural society stage which develops agriculture and animal husbandry, the industrial society stage that starts using natural resources with raw materials obtained from agriculture and animal husbandry, the information society stage that

<sup>1</sup> Kirikkale University, Turkey, mveyselkaya@yahoo.com.

<sup>2</sup> Kirikkale University, Turkey, abdukkadirtigli@hotmail.com.

generates parabolic benefit by increasing the industrial production with information and communication technologies, and finally the beyond-information society stage, where artificial intelligence creates hyperbolic benefit by eliminating error and human resources in production, emerges. When these behavioral paradigms are developing, nature is neglected as the issue of the restriction of natural resources used in production is ignored; it threatens sustainable growth and development, both in terms of waste of resources and in the case of industrial and urban waste causing environmental pollution. Although this threat emerged after the industrial revolution, it was not realized because it coincided with a period when economic doctrines began to emerge. Theories that interested only in growth models have begun to threaten natural resources.

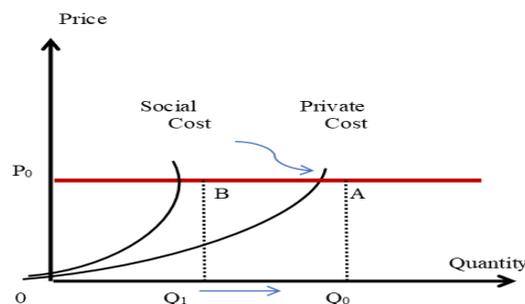
In 1970s, when neo-liberalism reigns in full swing, capital flows and multinational companies gained liberty of investment and production that had become mobile, the danger has yet to be recognized. After this stage, two different situations are discussed: Sustainable growth and sustainable development. As the sensitivity of developing countries in terms of natural resource use and environmental pollution is based on the need for production-based growth, only sustainable growth is aimed. In developed countries, the significance of sustainable development<sup>3</sup> emerges as the development phase has been started.

### 1. Disruption of ecological balance and measurements in context of negative externalities

The question of externalities was initially researched in the literature by the Austrian School. The externalities, which became an important issue of economics with the Malthusian propositions of Knut Wicksell and his followers, reinforced their position with the fiscal suggestions offered by Arthur C. Pigou, one of the representatives of Cambridge School in the early 20th century.

In the literature, the measures referred as Pigouvian Taxes, along with include hypotheses which are intended to prevent environmental pollution and waste of production, therefore it is perceived as a second way of earning in terms of providing tax revenue to the government. As a matter of fact, according to Speck (2008: 32-33), the environmental tax practices which started to be put into force in the same period in Europe.

**Figure 1. The social and private costs of negative externalities**



Source: Generated by authors.

<sup>3</sup> In the process of sustainable growth, structural reforms and other macroeconomic indicators are often the devices. Restrictive and preventive precautions on the negative externalities on the use of natural resources are not considered here. On the other hand, sustainable development aims to limit the use of natural resources and to treat and reduce wastes left in the environment above the growth that leads to production and especially tourism as the cultural integration (Gunesch, 2016: 24). Therefore, while maintaining economic growth, the quality of life of mankind and other creatures is maintaining.

The significant conspicuous circumstance is the lack of social cost than private cost in the **figure 1**. Production on the  $Q_1$  level, which corresponds with B price point, is increasing to  $Q_2$  level. So, this rising has a new cost, in other words, this production stage has a private cost on A point.

Ackerman and Stanton (2012) wanted to draw attention to climate risks, which are increasing incrementally, in their quantitative study. In that investigation, the indicators shows that the carbon emissions create between 150\$-500\$/ton recently.

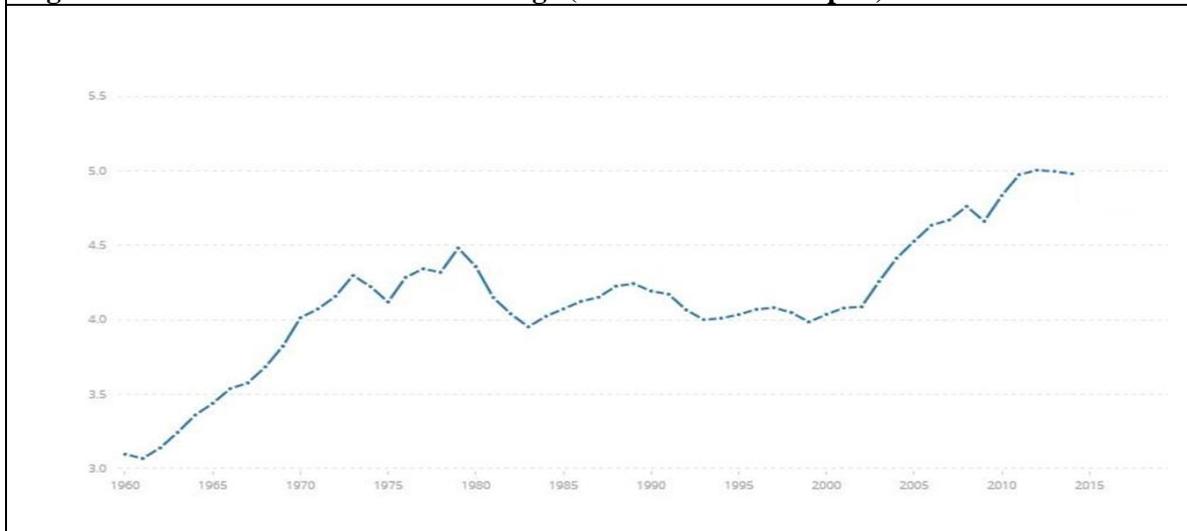
Once again, in another study, it has been found increasingly coastal pollution for warning the authorities, by using the Coastal Impact and Adaptation Model (CIAM) (Diaz, 2016: 153).

Pigouvian taxes, which emerged as a tax of defending the “double-dividend hypothesis”, have been criticized by many economists for their inefficiency and dysfunction as a result of quantitative and qualitative analyzes.

Carlton and Loury (1980), in their numerical analysis on Pigouvian taxes, revealed for theorems by means of the long run Pigouvian taxes, they did not meet expectations. However, in another numerical analysis on selected countries, it was found that there is a direct correlation between the level of ecological awareness and development with libertarian government (Barret and Graddy, 1998: 13).

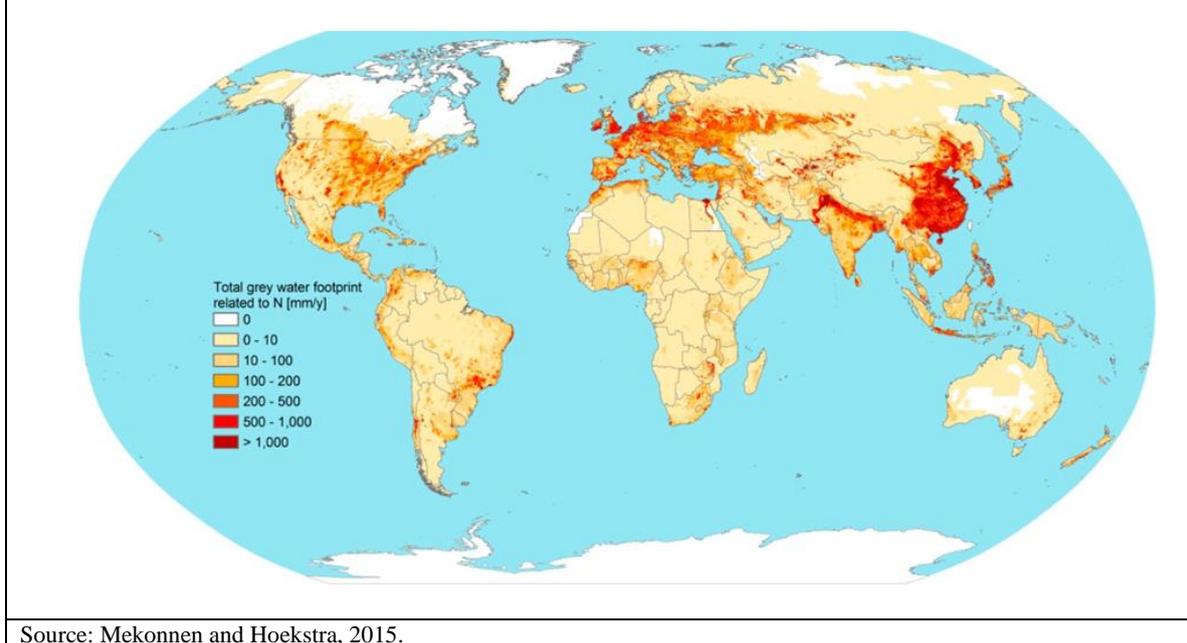
William Jack Baumol, a professor of economics at New York and Princeton Universities, examined the impact of taxation on externalities in his 1972 paper. In practice, Baumol (1972: 316), criticized the ability to qualify, claiming that the Pigouvian taxes had not been fully achieved; despite the scientific validity of the taxation system in question, it has stated that it brings many difficulties and costs.

**Figure 2. CO2 emissions of World Average (Metric Tons Per Capita)**



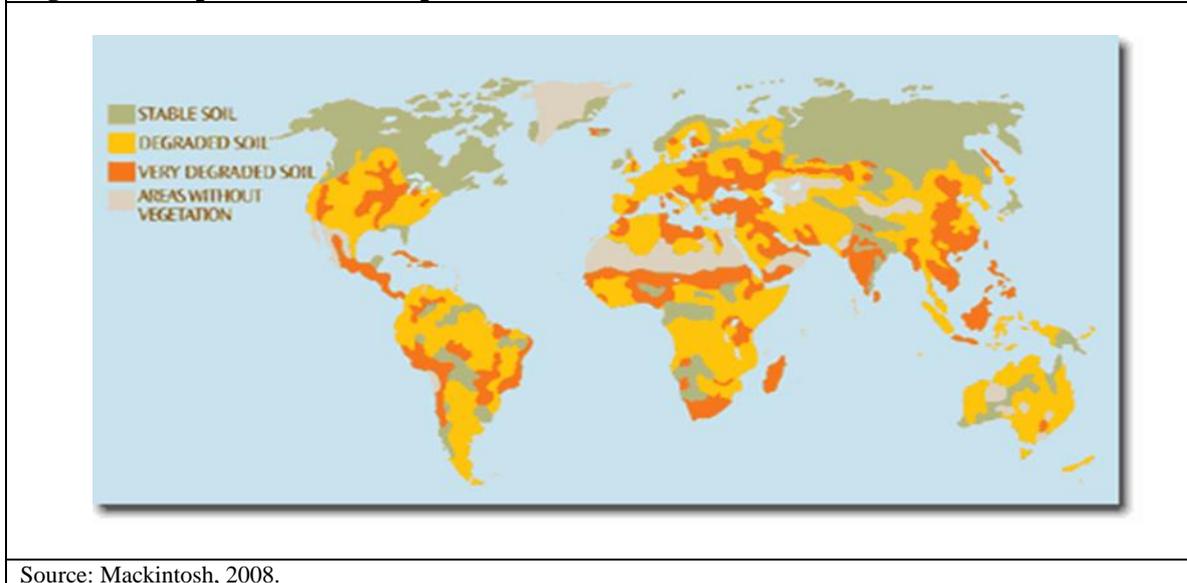
Source: Worldbank, 2019.

**Figure 3. Water pollution level map**



Source: Mekonnen and Hoekstra, 2015.

**Figure 4. Soil pollution level map**



Source: Mackintosh, 2008.

Insley et al. (2018: 39) claim that carbon emissions to the air caused a 3°C temperature<sup>4</sup> rise in the industrial run comparatively to the pre-industrial period, by using the *Integrated Assessment Model* produced by Nobel prize-winning economist Dr. William Nordhaus, a professor at Yale. So, there will be no reason why the temperature level will no evolve from a linear increase to a logarithmic increase unless other different precautions are urgently deployed, in addition to the ecological (environmental) taxes.

<sup>4</sup> However, Nordhaus (2019: 12268) in his study; has adjusted this value between 0°C-4°C. Additionally, he expressed that this value will be above 6°C, later on.

## 2. The Environment Liability Insurance as an alternative ecological precaution

The implementation of environmental liability insurance for enterprises is in force in countries that have been completed their development and in some developing countries. However, the scope of this insurance includes environmental pollution, which is often the result of sudden accidents. In addition, such an insurance system has not been developed for natural resources, which are considered as free goods and precautions are now taken to ensure their limited use. Resource usage is taxed or charged if certain limits are exceeded. It is clear that all these measures do not prevent waste of resources. Because, these taxes, which are included in the production costs, are reflected to the consumer as indirect taxes, the level of consumption is not restricted to the sufficient level. The environment continues to pollute rapidly.

The most important reason that causes environmental pollution is the continuity of the activity that creates the pollution, or in other words, its graduality. However, the pollution rate in sudden accidents is almost negligible compared to the gradual pollution generating. Keeping the scope of environmental liability insurance quite narrow is contrary to scientific reality. The pragmatic factors such as the fact that the profitability level of the firms do not decrease, that the lobbies of the firms are effective in government administration, and that the politicians who manage the government engage in industrial and commercial activities keep the scope of this new insurance system narrow.

### Conclusion, critics and discussions

Environmental taxes to prevent negative externalities are considered as “double-dividend taxes”, in the literature. Here, one of the double earnings is the person or company polluting the environment by paying taxes to government; this allocation is assigned to environmental cleaning up. It also has the effect of reducing the income distribution inequality through taxes. In the countries, tax revenues are mostly collected from the wage earners. In the hypothetical approach, the increase in environmental taxes means the reduction of income taxes collected from wage earners. However, this hypothesis is rebuttable as to whether the tax burden on wage earners is indeed diminished. The increase in the tax revenues of the state may indirectly contribute to the income of the wage earners. Getting away with such fiscal illusions is nothing more than a tactic of gaining time against environmental disasters. In order to prevent environmental pollution, reduce carbon emissions and restrict the use of natural resources, two remarkable issues that are being discussed frequently in the 21st century are on the agenda. The first one is the discussion of production through recycling, and the other one is the degrowth or green economy. Malthusian policies are inefficient, because they restrict the time required to take serious measures. At the moment, the scope of environmental insurance, which is in fact a contemporary method applied in addition to environmental taxes, should be extended to the required level. In addition to the gradual production of polluting the environment, not only against sudden accidents in land, air and maritime transport, but with increasing rate of insurance premium schedules to insure a “continuous polluting process” should be established urgently.

### References

- Ackerman, F. and Stanton, E. A. (2012). Climate Risks and Carbon Prices: Revising the Social Cost of Carbon. *Economics*, 6(10). <https://www.econstor.eu/bitstream/10419/57819/1/690226691.pdf> (accessed on 16.08.2019).
- Barrett, S. A. and Graddy, K. (1998). Freedom, Growth and the Environment. *Nota di Lavoro, No.94.1998, Fondazione Eni Enrico Mattei (FEEM) Milano*. <https://www.econstor.eu/bitstream/10419/154952/1/NDL1998-094.pdf>. (accessed on 01.08.2019).

- Baumol, W. J. (1972). On Taxation and the Control of Externalities. *The American Economic Review*, 62(3), 307-322. <https://www.jstor.org/stable/pdf/1803378.pdf?refreqid=excelsior%3A474248fe4e10f1110d3ed6a7fb31f942> (accessed on 09.09.2019).
- Carlton, D. W. and Loury, G. C. (1980). The Limitations of Pigouvian Taxes As a Long-Run Remedy for Externalities. *The Quarterly Journal of Economics*, 95(3), 559-566. [https://www.brown.edu/Departments/Economics/Faculty/Glenn\\_Loury/louryhomepage/cvandbio/Limitation\\_of\\_Pigouvian\\_Taxes\\_1980.pdf](https://www.brown.edu/Departments/Economics/Faculty/Glenn_Loury/louryhomepage/cvandbio/Limitation_of_Pigouvian_Taxes_1980.pdf) (accessed on 02.08.2019).
- Diaz, D. B. (2016). Estimating Global Damages from Sea Level Rise with the Coastal Impact and Adaptation Model (CIAM). *Climatic Change*, (137), 143-156. <https://link.springer.com/content/pdf/10.1007%2Fs10584-016-1675-4.pdf>. (accessed on 17.08.2019).
- Gunesch, K. (2016). Sustainably Caring for People, Planet and Profit by Encouraging Ethical, Social, Ecological and Economic Responsibilities: The International Travel and Tourism Industry's Triple Bottom Line in Theory and Practice. *Review of Socio-Economic Perspectives*, 1(2), 21-34.
- Insley, M., Snoddon, T. and Forsyth, P. A. (2018). Strategic Interactions and Uncertainty in Decisions to Curb Greenhouse Gas Emissions. *University of Waterloo, Department of Economics Working Paper*, (1805). [https://uwaterloo.ca/economics/sites/ca.economics/files/uploads/files/insley\\_snoddon\\_forsyth\\_working\\_paper\\_june\\_2018.pdf](https://uwaterloo.ca/economics/sites/ca.economics/files/uploads/files/insley_snoddon_forsyth_working_paper_june_2018.pdf) (accessed on 15.08.2019).
- Mackintosh, C. (2008). Soil-Our Financial Institution. *Wildimage Web Site*. <http://www.wildimages.eu/2008/08/soil-our-financial-institution/>, (accessed on 15.09.2019).
- Mekonnen, M. M. and Hoekstra, A. Y. (2015). Global Gray Water Footprint and Water Pollution Levels Related to Anthropogenic Nitrogen Loads to Fresh Water. *Environmental Science and Technology*, (49), 12860-12868. <https://core.ac.uk/download/pdf/31154543.pdf> (accessed on 03.09.2019).
- Nordhaus, W. (2019). Economics of the Disintegration of the Greenland Ice Sheet. *PNAS*, 116(25), 12261-12269. <https://www.pnas.org/content/pnas/116/25/12261.full.pdf> (accessed on 16.08.2019).
- Speck, S. (2008). The Design of Carbon and Broad-Based Energy Taxes in European Countries. *Vermont Journal of Environmental Law*, (10), 31-59. <http://vjel.vermontlaw.edu/files/2013/06/The-Design-of-Carbon-and-Broad-Based-Energy-Taxes.pdf> (accessed on 31.07.2019).
- Worldbank (2019). CO<sub>2</sub> Emission Levels for World Average (Metric Tons Per Capita). *Worldbank Data*. <https://data.worldbank.org/indicator/EN.ATM.CO2E.PC?end=2018&start=1960&view=chart> (accessed on 05.09.2019).

MAIS QUTAMI<sup>1</sup>

## ASSIMILATION AND HYPHENATED IDENTITIES IN MULTIETHNIC NARRATIVES IN THE USA

### Abstract

Research shows that immigration can be traumatizing as immigrants are unsettled by the foreign lands they find themselves in and the unfamiliar culture and language they have yet to learn about. Host societies, on the other hand, expect them to assimilate and shed their old identity and language in favor of the new one. They do not seem to have any conception of the complexity of such a process especially when these immigrants suffer from negative stereotypical images of them and feelings of displacement and uprootedness.

The current study examines various perceptions of assimilation and the process of identity formation within the US and how they are being addressed in three multi-ethnic short stories: Gish Jen's (1991) "In The American Society," Helen Rivas Galvan's (2008) "My Identity," and Mohja Kahf's (2009) "Manar of Hama." Characters within these stories representing Chinese, Mexican, and Arab American cultures respectively find themselves caught in the middle between two cultures. Their conflicts partially arise from the fact that individuals belonging to these ethnic cultures are seen as "perpetual foreigners" to say the least and are hardly welcomed by the American mainstream. Nevertheless, their success in the eyes of White Americans is measured by how well they have adopted the Americans norms they consider "superior." The parents in these stories reject assimilation and resist any attempts at Americanization. The children, however, develop a dual sense of belonging and embrace their hyphenated identities as they inhabit two cultural worlds and systems of thought simultaneously and on daily basis.

**Keywords:** Assimilation, hyphenated identity, Arab- American, Chinese, Mexican American

**JEL Codes:** F22, J10, O15

*The implication of the "war on difference," is that the burden of proof is on the "outsiders," the "foreigners," "to prove" they are one of us. If liberal societies find it necessary to impose such requirements on outsiders, then they should articulate these limits explicitly instead of camouflaging them under the rubric of public safety or terrorism. Otherwise, let us come to terms with our fallacious assumptions about radically heterogeneous cultures, and deal with our self-righteous insecurities as such, rather than punishing others who do not conform to rules that remain unstated.*

*Falguni Sheth*

Most host countries which have accepted immigrants expect them to assimilate to their cultures without necessarily considering the complexity of this process. While immigration and assimilation are viewed as positive options for citizens escaping wars, conflicts, or harsh living conditions, research shows that immigration can be traumatizing and when it is, assimilation becomes nearly an unachievable goal.

Trauma, as Caruth (1996) notes, occurs when the mind is unable to articulate or process a certain experience and its psychological impact on an individual because of the failure to "fully assimilate" it as it takes place (p. 5). Immigration can be traumatic for those leaving their homelands as they are unable to process this sudden disconnection with everything they know and love. This move to another country is not merely a matter of geography but it entails giving up the emotional connection to people and land.

---

<sup>1</sup> University of Petra, Jordan, eternalmais@yahoo.com.

An immigrant risks everything when he/she immigrates as there is no guarantee the transition will be successful. Trying to process the experience of being uprooted and having to start an entire life in a state of complete foreignness and unfamiliarity is a highly complicated and stressful task which some are unable to overcome and so are traumatized and psychologically devastated by it.

Foster (2001) believes that immigrants first deal with economic or security threats within their homelands, and when they immigrate, they lose family and social connections and find themselves isolated (p. 154). They are faced with the challenge of building a whole new life in an unfamiliar environment. In addition to being overwhelmed with the new culture and system they need to learn about, they are shocked by the realization that their hopes for a new prosperous beginning will not be fulfilled sometimes because of the lack of job opportunities, fluency in the host language, or racist attitudes toward them (p. 154).

The trauma immigrants experience is because of the foreign language they can barely speak and the shame and frustration that come from knowing they may no longer be the source of information for their children who will know more than they do as they learn the new language and start to assimilate to the dominant culture. They may even depend on their children to navigate cultural differences. They feel helpless and estranged in the new land while they are also being uprooted from their homeland.

Immigrant parents may be traumatized by the fact that many of them can no longer hold the positions they had in their countries or expect the same amount of respect they received as they take on low paid jobs in the foreign country. Nevertheless, they need to take on the role of provider and the strong role model for their children when all sources of psychological comfort and power for these individuals have been taken away. Not only are they unsettled by all these obstacles, but are also faced with the need to renegotiate their identities and help shape their children's in the new world. It is crucial for the psychological well-being of these immigrants to develop a sense of belonging and attachment to a home or cultural group and this is exactly what is missing in their lives (Berry, 1997).

Adler (1977) states that the highly complex process of immigrating and settling into a new country always involves the negotiation of identity, one's sense of belonging, and home that are not determined by any geographic borders. One's cultural identity is shaped by a belonging to a cultural group in which values, beliefs, and emotional attachments are shared. This explains the estrangement immigrants feel in the host country. According to Liu, Maher and Sheer (2019) "The sense of belonging means to feel accepted, safe, and valued, and free to be himself or herself" (p. 43). Being foreign, immigrants cannot feel this way when they have not developed any connections to people or the environment they have come to not to mention the cultural and sometimes racial and sociopolitical barriers that stand in the way. Furthermore, Belonging also seems to be more related to language, tradition, and family connections than actual citizenship especially for cultures that maintain their heritage such as the Chinese (Liu, Maher and Sheer (2019, p. 43).

Liu, Maher, and Sheer (2019) state that feelings of uprootedness lead to the perception of lost control over one's life as immigrants no longer feel they belong to their homelands or the host nation (p. 40). Nevertheless, they are still expected to provide a solid foundation from which their children can grow when they themselves feel displaced and lost in the new society. Unfortunately, the mainstream considers immigration a great privilege granted by their governments to people who have trouble living in their own nations and need to move to a foreign country in search of a new home. They expect immigrants to assimilate to the new culture, show gratitude, and embrace this opportunity they have been granted by their generous nations.

Successful assimilation meant in the past equal opportunities for minorities which implied the shedding of one's ethnicity and fully participating in the "American Way of Life" L. Paul Metzger (1971, p. 628). This view puts emphasis on the immigrant and his/ her efforts to adopt a new identity and become an active participant in American society. It also disregards various acts of exclusion that a minority faces by the mainstream which really minimize chances for equal opportunities. This is built on the false premise that many opportunities are available to minorities and no obstacles stand in the way as long as new identities are taken on.

One scholar believes that new immigrants can actually contribute to America's success. Aryeh Spero (2006) mentions in his article "Assimilation Required for America's Continued Success" that he supports the idea that new immigrants would not pose a threat to "our" way of life if there was a revival of the Melting Pot paradigm. They would even become an asset. He believes in the need for "Americanization" but thinks the elite's advocacy of multiculturalism hinders the process of Americanization especially as they created programs of bilingual education (p. 716). This line of thought that strongly advocates Americanization does not embrace diversity or celebrate difference, rather it considers the erasure of ethnic cultures and their languages a necessity for the success of Americanization and assimilation. The United States' notion of Melting Pot involves the blending of diverse people who are expected to shed their past identities, let go of the old, and conform to the supposedly unified American mold. While altering an identity is theoretically doable, in reality it is part of the trauma immigrants experience and suffer from.

Fitting the mold and adopting the American lifestyle and identity is easier for some ethnicities than others. European Americans are generally perceived as being more American than any minority such as the Asians, Latinos, Africans, or Native Americans (p. 739). Studies have shown that American identity is usually associated with Whiteness and that ethnic minorities, on the other hand, have been viewed as the "perpetual foreigners" (p. 740). In fact, "The White racial identity in the USA operates as a norm or cultural expectation" (p. 742). An instance on the difficulty of granting national identity to minorities or non- Whites is when late president Obama was viewed as not American enough to represent the American people unlike Clinton or McCain for instance (p. 744). It has been proven that the more minorities show an allegiance to their original ethnic group, the less American they are perceived (745). Devos and Mohamed (2014) argue that the question "Where are you from" to individuals with hyphenated identities, non- White in particular, reminds them of society's denial of their identity as Americans and skepticism of their Americanness and sense of belonging to America (p. 749). These sentiments contribute to the exclusion of ethnic minorities from mainstream America and their inability to assimilate to American culture. Associating American identity to Whiteness and "unconscious assumptions" about what Americanness means imply that national identity can psychologically be granted much more easily to those of European descent than it is with ethnic minorities (p.750). This idea of how "Americanness" is measured by the mainstream contradicts with its understanding of assimilation as the process minority groups go through by which they start to resemble, over time, the larger society they have become part of (Massey, Douglas S., & Brendan P. Mullan. 1984). Minorities especially from non- European origins would not be able to assimilate if it depends on their growing resemblance to the larger society as their race and skin color prevents that from happening and will always be regarded "different."

Rumbaut (1999) argues in his article "Assimilation and Its Discontents: Ironies and Paradoxes" that the most common way the term assimilation has been used implies a "one- way- ness" and a "fixed, given, and recognizable target state to which the foreign element is to "Americanize," dissolving into 'it,' becoming, in that elusive and expansive word, "American" (p. 2) This perception of assimilation fails to consider the lack of options people of color have because of their inability to fully become "American" due to skin color and their cultural backgrounds. Yet they are still expected to conform to American norms as Theodore Roosevelt once stated "There can be no fifty-fifty Americanism in this

country...there is room here only for 100 percent Americanism, only for those who are American and nothing else” (Qtd in Rumbaut, p. 2). This statement implies that being fully American or not is a conscious decision minorities make with no consideration to the complexity of the process of integrating into a foreign culture and having to deal with issues of identity negotiation and racial discrimination.

There is also the assumption that immigrants need to learn ways to help them become more American which can be done through overcoming their “deficits” with regard to the new culture, language, educational system and society (Rumbaut, p. 4). Immigrants often realize this is the prevalent attitude toward them by which they feel either humiliated and insulted for being viewed inferior and “less than” who need to adopt norms that are “superior” to their own, or motivated to further embrace American culture and norms in the hope of gaining more acceptance by the mainstream. When immigrants face many challenges trying to survive in the new culture, they eventually make adjustments without thinking of it as assimilating to enhance their children’s and their own chances of mobility within the mainstream (Alba, 2017, p. 1433). Their unconscious efforts to become part of American society actually bring them closer to becoming assimilated individuals.

Handlin (1951) describes assimilation as an “emotionally painful reaction to the social disorganization that resulted from leaving one society and going to another.” While this perception recognizes the pain involved, other scholars underestimate it by viewing it as a simple “process of recasting new arrivals in a uniform, recognizable, American mold.” It also sets American lifestyle as the standard by which everyone should live regardless of differences or cultural preferences. Kraut (2014), however, found that more contemporary views dismissed this understanding of assimilation and found it reductionist as it cannot be applied to people of color (p. 710). That is, it cannot be expected of all minorities to fit in to this “uniform” American “mold.”

### **Attitudes toward Asian Americans**

The three races under discussion suffer differently due to the stereotypes the mainstream has of them. Nevertheless, various studies prove that Asian Americans have faced the least discrimination compared to Latinos and Arab Americans. The “Committee of 100,” a 2004 study on American attitudes toward Chinese Americans and Asian Americans, indicated that many Americans viewed them as hardworking individuals who value family and education (p. 39). They are not seen as trouble makers but as well-mannered owners of their own businesses (p.40). While many Americans admired them for that, many still thought they were arrogant, aloof, “keeping to themselves ... and disapproving of the larger American community,” and so their success and education are not valued (p. 39). On the contrary, the host society is often resentful of their “perceived Asian American success” (p. 40). Anti- immigrants think Chinese- Americans take away many jobs from Americans which they feel is unfair because “Americans” should be taken care of first (p. 41). This only generates hostile and antagonistic relations between the two races. They feel they cannot be trusted or approached as they do not speak English and do not want to (p. 41). They are seen to be less likely to be involved in the community or interested in its affairs and are more “inward looking” which makes them unassimilable and distant in the eyes of white Americans (p. 42).

Many Chinese immigrants did not think about issues of discrimination when they came to the US. They just believed in the American dream and felt they need to work harder than others to prove they are real Americans. They feel that no matter how well they speak English or adopt American norms, they will still be “othered” by the mainstream and new stereotypes may appear that will un-‘whiten’ them at any time or place regardless of how much they have assimilated. They have seen themselves being portrayed negatively as Asian cartoon characters who have “slant eyes, thick glasses and heavy Asian accents” (Zhou, 2014, p.1180- 1181). Ironically, the arbitrariness of white acceptance of Chinese Americans is what strengthens their identity as “Asian American” and their desire to fight together with people from

their ethnic group. But they still do their best to participate in the American life and not be treated like a racialized other. They have made adjustments to their lives to be considered more American. Kraut (2014) explains that many Asian immigrants to the USA have been trying to change their physical appearance to look less foreign and gain more acceptance by the American mainstream. It became popular among them to have surgeries to westernize their eyes and look less Asian (p. 714). But there is evidence that suggests many Asian Americans do not “desire to blend in with whiteness or unhyphenated Americanness.” That is, they do not want a white identity even if they desire the privileges that come with it (Kim, 2007, p. 567). They wish to keep their ethnic identity regardless of racism and discrimination.

Asian Americans’ status in society is, unfortunately, determined by US relations with their home countries, and thus it can constantly undergo change due to political instability. America has played a role in reproducing an Orientalist image of Asians as “foreign, other or feminine” in justifying their globalization projects in Asia. They have also been viewed as an inferior other, child-like or inauthentic American (Kim, 2007, p. 564). One study shows that two-thirds of Americans think China is a future threat to US security and so the Chinese’s “Americanness” is constantly being questioned. Many worry that Chinese Americans are much more loyal to China than the US and this only intensifies racism against them and reinforces their image as “permanent aliens” (Committee of 100, p. 42).

### **Attitudes toward Mexican Americans**

Mexican immigrants to the USA were seen as inferior and less intelligent than white Americans and so were considered “unassimilable” (Kraut, 2014, p. 720). Ironically, this view of them only reinforces an unwillingness on their behalf to assimilate, adopt any American norms, or become “assimilable” which whites usually push for. Many whites have developed a negative attitude towards Latinos seeing them as a source of threat. Many are convinced that their existence in the US creates a divide in society as they hold on to their culture and language. Samuel Huntington (2004) believes they are a danger to American unity. He states:

*The persistent inflow of Hispanic immigrants threatens to divide the United States into two peoples, two cultures, and two languages. Unlike past immigrants, Mexicans and other Latinos have not assimilated into mainstream US culture . . . Particularly striking in contrast to previous immigrants is the failure of third and fourth-generation people of Mexican origin to approximate US norms in education, economic status, and intermarriage rates (p. 36).*

In Huntington’s (2004) view, they are a disappointment because they failed to assimilate and take on American values. Lacayo (2017) asserts that positive images of them as hardworking and family oriented have been interpreted negatively. That is, these qualities have been made to be perceived problematic and a limitation that stands in the way of their progress in “modern” culture within the USA because Mexicans are simple and “happy with less” (p. 6). In other words, Mexicans are thought to have tight relationships with their families which is an obstacle stopping them from building connections and networking which could eventually further their economic growth (p.7). Many whites believe Latinos are “culturally deficient” and incapable of change or improvement, and what is worse is that they pass on their set of values and disinterest in education to the next generation and so their lack of upward mobility is reproduced time and again (Lacayo, 2017, p.7).

There is also a general belief among Americans that Latinos lack the desire and ability to assimilate because they refuse to give up on their language and are thought to be against assimilation and unassimilable. There is also the fear that their children will continue to practice “a deficient culture” and not adopt “superior” American norms or learn to speak English (Lacayo 2017, p. 11). The mainstream does not respect them for having preserved their cultural heritage and language. Their ability to protect their language from being erased even if they spoke English is partially due to the fact that they did not have access to Anglo society as it viewed them inferior. In an attempt to facilitate assimilation to White culture for Hispanics, many Anglos made an effort to limit the use of Spanish. The loss of land and becoming more marginalized, however, led to further segregation which contributed to the maintenance of their ethnic identity and a hindrance to assimilation (Haverluk, 1998, p. 471).

### Arab Americans in White America

Whites see both Latinos and Asians as “perpetual foreigners,” yet Asians are still viewed more positively and as a “model minority” especially compared to the way Arab- Americans are seen (Lacayo, 2017, p. 8). **Arab Americans** are not only perceived as foreigners, but as a threat to citizens and the American “way of life.” Arab/ Muslim Americans have been represented as an undesirable “other,” and have been detained and deported since September 11, 2001 as Sirin and Fine (2007, p. 151) put it. They have been discriminated against due to skin color and religion and have been seen as terrorists who pose a security threat to Americans. They feel people deal with them as if they were the enemy within.

Mais Qutami (2011) believes it is not surprising that Arabs and Muslims are misrepresented in American culture and media due to hegemonic discourses that erase contexts and histories to present them as a demonized culture. In this age of cultural colonization, political discourses have promoted viewing them “not only as different from the mainstream but also as constituting a “despised difference” that contributes to the divisive binary of “us” and “them” (p. 159). It is worth noting that they were not always viewed this way. That is, Arabs and Muslims living in the USA prior to 9/11 were rather invisible. They were not perceived as a great threat to American freedom since so many had assimilated to American culture (Qutami, 2011, p.160). It is the political rhetoric which has appeared since 9/11 that encouraged the rise of islamophobia and hatred toward people of Middle Eastern descent. Such antagonism against this minority group was reiterated time and again in presidential speeches delivered by Former President Bush:

*On September 11th, enemies of freedom committed an act of war against our country . . . Americans are asking, why do they hate us? They hate what we see right here in this chamber—a democratically elected government. Their leaders are self-appointed. They hate our freedoms—our freedom of religion, our freedom of speech, our freedom to vote and assemble and disagree with each other . . . Every nation . . . now has a decision to make. Either you are with us, or you are with the terrorist.*

Middle Easterners, through this speech, have been constructed as “enemies of freedom” and of everything America stands for to justify America’s war on terror. They are represented as violent people who are ruled by oppressive dictators that obliterate any chances for a democracy to thrive within the Middle East. This only reinforced the continuous reproduction of negative images of Arabs and Muslims in US media and American psyche which only deepened the divide between “us” and “them” within American society. Arab/ Muslim Americans were dramatically affected by 9/11 and its aftermath because of the racial profiling they continue to go through and constant attacks on them in newspapers, films, academic conferences, literary writings, political discussions, and all kinds of media resources. Ironically, their belonging is continuously called into question although so many measures are taken against them that ensure the development of a sense of “unbelonging” and “exclusion” within American society. They do not feel they are equal to others since their civil rights can be violated at any time if they are perceived as a threat to national security.

Many distorted images and stereotypes of Arabs and Muslims that have been widely circulated in in American media are offensive and humiliating as they are seen as “billionaires, belly dancers, and bombers” (Hamilton, 1994, p.173). One of the common portrayals of their world represents it as a world of immorality and “perverse sexualities and the irrational bonding of barbaric men and obedient women in need of Western civilizational disciplining” (Moallem, 2005, p. 53). This attitude toward them does not make them feel secure or “American” but also makes it more challenging for them to show their loyalty to a community that rejects them.

### **Hyphenated identity**

The three races have the option to assimilate to American culture but the stereotypes whites have of them have become a barrier as the three groups feel unwelcomed by the mainstream for the various reasons discussed previously. Accordingly, they find themselves struggling with their identities and how they should define themselves. They realize they have become different individuals living in multiple worlds at once.

They are constantly conflicted about the degree to which they adopt the mainstream’s cultural norms because there is a lot of emphasis on being accepted and becoming one of “us” rather than being one of “them”. Simultaneously, they feel the pressure to maintain their minority culture by family and friends (Baysu & Phalet, 2019, p. 570). Inhabiting two cultural worlds can be challenging for these minorities especially when their ethnic background is devalued and their cultural identity is threatened due to discrimination and negative stereotypes. p 571. It can also be psychologically demanding for minorities to be both as “they have to maintain different social networks and negotiate different norms and expectations from minority and majority cultures (qtd n Baysu & Phalet 2019, p. 570).

This is evident when the children in the three stories speak English and deal with American peers but when they are home, they are expected to follow different norms and speak their native language as their family demands this of them. On the other hand, having a hyphenated identity can be rewarding if the host nation embraces multiculturalism and appreciates diversity. It would become an asset as these individuals have insight into multiple worlds and various norms and perspectives rather than one. Holding dual identities, they are invested in the two cultural groups they are part of. This has been proven psychologically beneficial to minorities (Baysu & Phalet, 2019, p. 570). They gain from networking and building relationships with both groups and this contributes to their adaptation and knowledge of both cultures and hence improves their ability to “navigate cross- group relationships” (qtd in Baysu & Phalet 2019, p. 570).

E. Chu et al (2017) assert that the concept of bicultural identity entails experiencing two cultures simultaneously (p. 229). This also involves a renegotiation of one’s allegiance and identity by which an individual identifies him/ herself. Other scholars think that “a bicultural identity may be more appropriately conceptualized as a hyphenated cultural identity ... which represents a ‘third’ identity that is not merely reducible to the sum of its parts” (p. 230). While a bicultural identity implies having a belonging to dual cultures, a hyphenated identity is dealt with as a third identity produced through the mixture of two cultures, but does not automatically involve a belonging to neither one on its own. In other words, a hyphenated identity cannot be broken to the two sides of the hyphen as they do not represent the identity of the individual but having the two combined, it produces a third culture to which this individual belongs.

Research reveals that minorities who identify themselves as Americans or as hyphenated Americans are better assimilated into US culture and better speakers of English than their counterparts who do not (Portes & MacLeod, 1996, p. 523). It is worth noting that ethnic self-identification is more affected by the extent to which non-Whites have become familiar with American culture and how much they have mastered the English language and not necessarily by the degree to which they have held on to their parents' original language and this specifically applies mostly to children who speak Spanish (Portes & MacLeod, 1996, p. 537). Minorities may prefer their hyphenated identities because it allows them to “maintain a sense of duality” without being forced to give up on their ethnic or national identity. Unfortunately, host societies do not share this preference and encourage minorities to assimilate. They prefer a “common identity representation” whereby it is required for the mainstream and minorities to “conceive of themselves under a single, superordinate, and shared identity” such as “We are all Australian” or “American” (E. Chu et al (2017, p. 233).

This notion of a shared identity becomes crucial in light of Roos' (1987) argument that through assimilation, and with the passage of time, minorities integrate into American culture. It is assumed that the more they integrate and adapt to the mainstream, the issue of ethnicity becomes less important and their ties to their origins in terms of language and culture are weakened (p. 279). This may be the path the mainstream wishes minorities would take in order to become more “American,” but it is a rather conventional and simplistic approach to dealing with the formation of hyphenated identities.

Robin Cohen (1996) states that in the current world of globalization there is now more room for multiple affiliations and a dual allegiance that is more acceptable (p. 9). He points out that formal citizenship is more about settlement and stability but what really connects people to each other is language, culture, perhaps a religion or a common history which explains the creation of many Chinatowns in the USA. The Chinese found themselves an alternative to their home towns, Chinatowns, which works as an “institutional vehicle” for them to continue to live in their host societies (p. 10). Establishing these communities through Chinatowns is a survival strategy that helps the Chinese cope with their feelings of uprootedness and displacement. It gives them a sense of belonging within the larger society through which they can still practice Chinese culture and traditions and feel they have control over at least some aspects of their lives and still build a life for themselves in the USA. The creation of Chinatowns, in the eyes of Whites, perhaps undermines the “Americanness” of the Chinese. One scholar raises the question whether or not the category American can still hold its true meaning while many individuals define themselves and build their identities mostly in relation to the left side of the hyphen or the smaller group they belong to (Gillota, 2015, p.103).

These hyphenated identities is what connects the three short stories even if they may differ in terms of the cultural backgrounds their characters come from. They are all in-betweeners within American society. In the three stories, immigrant parents, whether Chinese, Latino, or Arab, are portrayed as loyal to their cultural origins and not eager to assimilate to the host nation. Their children, on the other hand, learn English and pick up habits and values from the mainstream.

### Jen's "In the American Society"

Gish Jen's (1991) "In The American Society" examines the life of the Chinese "model immigrant" and their approach to assimilation and White society. The Chinese father owns a pancake house and employs Chinese workers most of the time. He builds a business for himself in which he continues to practice Chinese culture and traditions. He tells stories to his daughters about the way people in China took care of each other and gave charity to the poor justifying the extra money he gives his workers. This was a habit and value his wife disapproved of:

*"Your father thinks this is China," she would say, and then she would go back to her mending. Once in a while, though, when my father had given away a particularly large sum, she would exclaim, outraged, "But this here is the U—S-- of—A"— this apparently having been what she used to tell immigrant stock boys when they came in late.*

His wife who wanted to participate in American activities and culture was outraged by how much her husband was out of touch with reality as he did not acknowledge any need to adapt to the new environment or the life they actually had outside of China. She had left work at a supermarket after having made it to the rank of manager and this experience gave her new vocabulary in English and "new ideas about herself, and about America" (p. 1). She started to develop more interest in American lifestyle and the two country clubs. She wanted to become part of this new society unlike her husband who held on to the past in China. But joining the club required that her husband wear a jacket which he was not willing to do. He only wore "grease- spotted pants, to show how little he cared what anyone thought" (p. 2). He refuses to seek acceptance, follow American norms, or care what society thought of him. His wife disagrees with his approach and lack of willingness to integrate. She complains to her daughters, "Your father doesn't believe in joining the American society... He wants to have his own society" (p. 2). He clings to Chinese culture that shaped him and gives him a sense of security and power because it is the culture he understands and does not intimidate him like the foreign one does. His wife does not understand his perspective or the confusion he may experience within American social circles.

One of his workers who he refers to as "his boys" gets into trouble, he insists on helping him out and suggests talking to the judge with no regard to his wife's reminder that "This is not China" and that his family should come first. He explains to his family that he identifies with his worker because he is Chinese and was in the same position in the past. He tells his family, "You know when I first come to the United States, I also had to hide-and-peek with those deportation guys. If people did not help me, I'm not here today" (p. 6.). He believes he has an obligation to help his fellow people since he was a total foreigner once but he can now afford to help others.

He, finally, accepts to join the country club after his wife puts pressure on him to do so. She requests a recommendation letter from her White friend to be able to join the club. Her attempt at seeking acceptance by the mainstream embodied through this friend was followed by the reply, "Why, I'd be honored and delighted to write you people a letter" (p. 3). The Chinese wife does not realize that although her friend shows kindness to her, she is still being "othered" through her reference to her as "you people." This phrase reinforces the perception of immigrants as "other" and perpetual foreigner based on their ethnic background and skin color. This takes place although her desire to join the club is an attempt at assimilating to American culture which Americans usually advocate.

The Chinese family is invited to a party by the wife's white friend where the father meets Jeremy who is a drunk white man who kept asking him "Who are you?" He is then embarrassed by his behavior and wants to make it up to the Chinese father.

*"What can I do, how can I make it up to you?"*

*"No, tell me, tell me," wheedled Jeremy. "Tickets to casino night? My father shook his head. "You don't gamble. Dinner at Bartholomew's?" My father shook his head again. "You don't eat." Jeremy scratched his chin. (Jen, p. 9).*

Jeremy offers to take him to a casino, gamble, eat a meal with him to which he replied no. Jeremy does not know that this man has rejected everything American and chooses not to assimilate or participate in their American "way of life." He values Chinese culture and language through which he finds comfort after having left everything familiar to him in China. Jeremy ends up giving him his shirt and wants him to try it on but the Chinese father does not want to take off his jacket because he left the price tag on it. Jeremy takes it off by force and sees the discount on the tag and then tells him to take off his shirt repeatedly to which he replied "I do not take orders like a servant." When Jeremy kept pushing him, he threw his shirt into the pool and then the Chinese father throws his jacket into the pool as well and gets angry that everyone is watching this embarrassing scene and decides to take his family and leave the party. Unfortunately, later on he remembers that the keys to the house were in the jacket pocket so they decide to wait for the party to end then call the mother's friend to get them. His daughter comments, "We're going to have to *dive* for them" to which the father replies "You girls are good swimmers... Not like me" (p. 10).

The mother blames herself for this incident because she thinks if it were not for her relentless requests to join the club, the family's dignity and respect would have been left intact. This incident that was humiliating for the dad made his wife reconsider her priorities in terms of assimilation and adoption of American norms because it made her recognize their difference and inability to become one with the mainstream. Moreover, the daughters were happy their dad showed his strength of character and pride in being Chinese. They were glad he did not take any orders from Whites and refused to be treated like an inferior "other" just because he belonged to a minority group. This is when his daughters' love for their father and need to protect his dignity supersedes their need to be integrated and be accepted by White society. Perhaps their desperate need to assimilate to American culture is undermined by the incident as it is fraught with difficulties. In the end, The Chinese American father still refuses to embrace American culture and participate in mainstream society as an American citizen and continues to follow Chinese principles and ideals. Toward the end of the story, the father acknowledges his daughters' ability to integrate into American culture unlike himself. He considers them good swimmers because they can navigate their way in and out of one culture and into another since they have a hyphenated identity as Chinese Americans. They can dive into one or the other and survive just fine.

### **Galvan's "My Identity"**

Helen Rivas Galvan's (2008) story "My Identity" deals with identity negotiation of a Mexican family within the USA. The narrator's father does not allow his children to speak English at home. He asserts "... in My house, you will speak Spanish!" He tells them they could speak all the English they want at school or outside the house but "not to him inside his house" (p. 38). He acknowledges his children's need to practice the English language but still insists on maintaining the mother tongue and culture at home.

The children's mother does not mind abiding by school rules through which parents are expected to speak English to their children at home so they would learn the language more quickly. This issue does not bother her and it does not seem to be a battle she wishes to fight. The Mexican father is concerned with the development of his children's identity. Therefore, he decides to ask his daughter "What are you?" a question that leaves her puzzled since she has not figured out how to label herself in terms of identity. He forces her to think about it because he knows that eventually she would have to face the issue of who she is. She thinks before replying, and she knows that she could not consider herself Mexican as she could not compare her "Mexicaness" to those of her classmates who came from Mexico and her Spanish is not as good either (p. 38). Calling herself "American" did not seem like the appropriate label she would give herself even if she was born in the USA. She does not feel such a title represents who she really is. She asserts "It just didn't feel as comfortable to say I was American as it did to say I was Mexican" (p. 38). This is not to say she is a pure Mexican as she is an American citizen after all even if she does not really view herself that way. This demonstrates that a national citizenship does not guarantee that an individual will actually belong to the place that granted him/ her citizenship. That is, a national citizenship does not create a sense of belonging, it is the attachment to a culture, peoples, shared experience and destiny that does. She is born in America, but has stronger ties with her Mexican family and tradition than to the American mainstream she interacts with outside her home.

Her father draws her attention to the fact that even if she were to refer to herself as American, it does not mean she would be perceived that way by others. His reply to her is "Do you think that people see you the same way they see a white American who was born here?" (p. 38). He wants her to understand that Whiteness, in the American psyche, plays a major role in identifying a person's Americaness. Being an in-betweener experiencing two cultural worlds, the narrator struggles with the question of identity and clearly finds no simple answer to her father's queries:

*I knew he wanted me to think about it, but what was there to think about? I was either Mexican or I was American. No matter what he said, I still felt more Mexican, but I knew I wasn't as "Mexican" as he was. And I certainly wasn't as "American" as some of my classmates. I wanted to cry out "Just tell me! What am I?!!" But it was clear he was finished with the topic, and the 'problem' had been passed on to me (Galvin, 2008, p. 39).*

This is a decision she ought to take on her own since her father's experiences in life differ from her own and so he cannot provide all the answers she needs. After considering options available to her in determining her identity, she finally comes to terms with one:

*I can be "Mexican," "Mexican-American," "American," "Hispanic," "Latina," "American of Mexican Descent," "First-Generation American", "Mexicana-Gringa" or any other monikers that I cannot think of now, or that may come in the future. But for me, "Chicana" fits perfectly, and that is how I would now answer my father's question (Galvin, 2008, p. 9).*

Having thought about it, she, finally, decides to define herself in terms of the two cultures she is part of. She feels the label "Chicana" describes her perfectly, and thus takes on the identity she feels most comfortable with.

In showing the way individuals holding a dual identity straddle two cultures, the writer shifts back and forth between English and Spanish in the story. This shifting between two languages reflects the complexity of the lives of those with hyphenated identities as they enter one world once they depart from the other on daily basis. It also reflects the attempt to integrate to American culture coupled with an insistence on maintaining their cultural heritage no matter how American one becomes. This is not uncommon for Mexican Americans who refuse to let go of their ties to their ethnic group yet cannot deny a shared existence with white Americans. Although her father does not represent a well assimilated

individual by any means, he makes it a point to ask her who she is because he wants her to learn about herself and consider the issue of identity. He is also aware that in the future, her decisions about her identity will be crucial in determining how she goes about her life and how she views the world at large.

The daughter understands her father's concern especially after she becomes an adult and teacher. She realizes she is an in-betweener juggling two cultures trying to stay connected to her ethnic roots while she does not lose sight of the present and her life in America. She believes, and rightly so, that her situation differs from her father's who refuses to assimilate as he holds on to Mexican culture. Not only does he not experience American society as she does, he does not have to face the challenge of choosing one identity over the other or trying to find a balance between the two sides of his hyphenated identity.

The Mexican father in "My Identity" is more aware of the dilemma the children will face in terms of hyphenated identities in America than the Chinese father in "In the American Society." Although he is proud of his Mexican roots, he realizes it would not be fair to expect his child to live by his standards because he has brought her to a new world and should accept the new world order which presents its own challenges especially for those with hyphenated identities. The Chinese father, on the other hand, demonstrates rigidity and resistance to anything American although he finally understands that his daughters will eventually have to deal with their hyphenated identity whether he is against assimilation or not.

### **Kahf's "Manar of Hama"**

Mohja Kahf's (2009) "Manar of Hama" portrays the life of an Arab American female who comes to America to escape the massacres occurring in her country Syria. Her lack of adjustment in the new environment is reflected in her comments about how terrible food is in America and how disgusting the meat smells. Her frustration with the foreign culture and feelings of loss of control are reflected in her statement:

*Khalid keeps saying... things will get better. But I don't see how. Back home I was smart, capable woman who could make her way around in the world... here I get lost if Khalid isn't with me on every little errand; the streets all look the same (111).*

She was a proud independent woman in her homeland who could do things on her own, but now that she has left everything familiar to her, she finds herself feeling helpless and vulnerable as she needs her husband's assistance every time she steps out of the house. She is unable to assimilate or pick up the English language except for the ten words she learned. She is aware though that her children do not experience the same level of anxiety within the new culture as she does because they learned the language and can communicate well with Americans unlike herself. She states:

*"My children can babble away in English by now and they look at their mother who cannot speak two words to the school secretary and I know they are embarrassed. They are already in in another world, one I don't understand" (Kahf, 2009, p.111).*

She realizes that her children have become part of a world she is unable to comprehend or adapt to. She feels isolated as she has no one to talk to and people in general know nothing about her country. She says "I am a ghost from a nonexistent place" (Kahf, 2009, p. 112). The traumatic influence of immigration on this Arab American family is sensed even with the passage of time as the narrator comments "sometimes the feeling comes to me that none of this is really real: us here, in this foreign place, this life without the taste of life" (113). She feels very different and foreign to this culture and land.

This family has come to America for a better life but having left everything they knew, they did not realize they would feel uprooted and displaced. They were not aware of the price they would pay to get a better life. Ironically, the narrator puts emphasis on what is left behind rather than what is to be gained or achieved. The fact that immigration is emotionally painful cannot be denied as individuals find themselves totally lost lacking the tools that equip them to adapt to the new surroundings and necessary human connections that assist them in making a harsh life more tolerable. The narrator points out, "We left it all behind. We left behind the people and the landscape and all the things we knew, all that had ever given our life its taste" (113). She goes on to explain the complexity of unfamiliarity as she lives in fear. She hardly dares to go to the grocery store by herself, because she is too scared to get lost and not be understood due to her lack of fluency in the foreign language. It is ironic that it is these fears and feelings of insecurity that push her to follow a stranger that had the smell of a familiar spice on her. She drops everything and thinks "Here was a scent from home!" (p. 114). When she hears chanting and could recognize the words, she gets emotional and surprised by the thought that someone in Illinois can speak her language. When she meets the lady that smelled like spice and her friends, and sees them eating hummus, she is at ease. She feels welcomed by them and they did not "look blank" when she told them she was from Syria. This gave her comfort and for the first time, she did not feel alienated or alone. She felt it was all "unreal" as she associated with strangers and ate a meal with them and started to feel at home with these people whom she knows nothing about (p. 115). It is not the food that made her feel at home, although before she states that she could not find spice to make food smell like food, but this focus on food and spice is symbolic of her maladjustment and nostalgia for the homeland. Now that she found people with whom she can speak and share a meal, she finally starts to gain a sense of familiarity and human connection she had longed for. Her need to connect with fellow humans supersedes the need for national citizenship. She had a longing for the feeling of comfort and security she experienced with the hippies she met regardless of race and religion. She appreciates this connection with others because it contributes to her psychological well-being that is essential for her survival in the host culture.

The Arab- American mother resembles the Chinese and Mexican father in their resistance to anything American. Similar to the two fathers, she also starts to accept that her children will need to build a life of their own in which interaction with white society becomes inevitable. She comes to terms with the fact that her children's choice to adopt a hyphenated identity does not contradict with their belonging to their Arab ancestry.

The critical examination of the three stories reveals that while assimilation is a possible route for minorities to take, they often choose to adopt a hyphenated identity that really reflects who they truly are. This choice is justified especially when they realize that assimilation entails the shedding of one's identity and history and everything that gives parents in a minority group meaning in life. A good illustration of this is Park and Burgess' (1921) classical conception of assimilation as:

*A process of interpenetration and fusion in which persons and groups acquire the memories, sentiments, and attitudes of other persons and groups, and, by sharing their experience and history, are incorporated with them in a common cultural life (p.735).*

According to this definition, the Chinese, Mexican, and Arab American parents in the three short stories are incapable of assimilation since their memories and attitudes have been shaped by their shared histories within their cultural groups. In reality, they are denied such experiences and "interpenetration" in the mainstream because they are outsiders, and to establish such connections with people from the inside would take several decades. As such, their connection to their own cultural groups and roots is deepened, never lost, and is even become a necessity for survival in the host country. This may apply to the parents within a minority group, but the children have different experiences when it comes to their identity construction. This is seen as the Chinese girls hold on to their father's heritage yet participate

in American life. The Latino daughter who chooses to define herself as a Chicana also embraces her hyphenated identity that allows her to be part of the Latino and American culture simultaneously. The Arab- American child also picks up the language and finds a space in between Arab and American culture where he can adopt a hyphenated identity and be at peace with it.

## References

- Adler, P. S. (1977). Beyond cultural identity: Reflections on cultural and multicultural man. In R. Brislin (Ed), *Cultural learning concepts, application and research* (24–41). Honolulu, HI: University of Hawaii Press.
- Alba, R. (2017). Continuities in assimilation. *Ethnic and Racial Studies*, 40(9), 1430–1437.
- Baysu, G. & Phalet, K. (2019). The up- and downside of dual identity: Stereotype threat and minority performance. *Journal of Social Issues*, 75(2), 568- 591.
- Berry, J. (1977). Immigration, acculturation, and adaptation. *Applied Psychology*, 46, 5-34.
- Bush, G. W. (2004). State of the union address. American rhetoric online speech bank. Transcript of president Bush's address. Retrieved from <https://www.CNN.com/U.S>. 20 Sep. 2001.
- Caruth, C. (1996). *Unclaimed experience: Trauma narrative, and history*. Baltimore: The Johns Hopkins University Press.
- Chu, E., White, F. A., & Verrelli, S. (2017). Biculturalism amongst ethnic minorities: Its impact for individuals and intergroup relations. *Australian Journal of Psychology*, 69, 229–236.
- Cohen, R. (1996). Diasporas and the state: From victims to challengers. *International Affairs*, 72, 507-520.
- Committee of 100: American attitudes toward Chinese Americans and Asian Americans. (2004). *The Diversity Factor*, 12(3), 38—44.
- Devos, T., & Mohamed, H. (2014). Shades of American identity: Implicit relations between ethnic and national identities. *Social and Personality Psychology Compass*, 8(12), 739- 754.
- Foster, R. M. (2001). When immigration is trauma: Guidelines for the individual and family clinician.” *American Journal of Orthopsychiatry*, 71(2), 153- 170.
- Galvan, H. R. (2008). My identity. *Association of Mexican American Educators Journal*, 2, 38- 39.
- Gillota, D. (2015). Stand-up nation: Humor and American identity. *The Journal of American Culture*, 38, 102- 112.
- Hamilton, M. (1994). The Arab woman in U.S. popular culture: Sex and stereotype. In Kadi, J. (Eds.) *Food for our grandmothers: Writings by Arab- American and Arab- Canadian feminists* (173-180). Boston: South End Press.
- Handlin, O. (1951). *The uprooted: The epic story of the great migrations that made the American people*. Boston: Little, Brown and Company.

- Haverluk, T. W. (1998). Hispanic community types and assimilation in Mex- America. *Professional Geographer*, 50, 465-480.
- Huntington, S. P. (2004). The Hispanic challenge. *Foreign Policy*. March/April, 30–45.
- Jen, G. (1991). *Typical American*. Boston: Houghton Mifflin Company.
- Kahf, M. (2009). Manar of Hama. In P. Kaldas & K. Mattawa (Eds.), *Dinarzad's children: An anthology of contemporary Arab American fiction* (111-117). Fayetteville: The University of Arkansas Press.
- Kim, N. Y. (2007). Critical thoughts on Asian American assimilation in the whitening literature. *Social Forces*, 86(2), 561- 574.
- Kraut, A. M. (2014). Doing as Americans do: The post- migration negotiation of identity in the United States. *The Journal of American History*, 101, 707-725.
- Lacayo, C. O. (2017). Perpetual inferiority: Whites' racial ideology toward Latinos. *Sociology of Race and Ethnicity*, 1–14. <https://doi.org/10.1177/23326492176981>.
- Liu, S., Maher, J., & Sheer, V. C. (2019). Through the eyes of older Chinese immigrants: Identity, belonging and home in a foreign land. *China Media Research*, 15(2), 39- 49.
- Massey, D. S., & Mullan, B. P. (1984). Processes of Hispanic and black spatial assimilation. *American Journal of Sociology*, 89(4), 836–73.
- Metzger, L. P. (1971). American sociology and black assimilation: Conflicting perspectives. *The American Journal of Sociology*, 76, 627- 647.
- Moallem, M. (2005). Am I a Muslim woman? Nationalist reactions and postcolonial transactions. In Khan, F. A. (Ed.) *Shattering the stereotypes: Muslim women speak out*. (51- 55). Massachusetts: Olive Branch Press.
- Park, R. E. and Burgess, E. W., (1921). *Introduction to the science of sociology*. Chicago, University of Chicago Press.
- Portes, A. & MacLeod, D. (1996). What shall I call myself? Hispanic identity formation in the second generation. *Ethnic and Racial Studies*, 19(3), 523- 546.
- Qutami, M. (2011). The veil (de)contextualized and nations “democratized”: Unsettling war, visibilities, and U.S. hegemony. *Works and Days*, 29(57), 159- 178.
- Roos, P. (1987). Assimilation or exclusion? Japanese and Mexican Americans in California. *Sociological Forum*, 2(2), 278- 304.
- Rumbaut, R. G. (1999). Assimilation and its discontents: Ironies and paradoxes. *The handbook of international migration: The American experience*. New York: Russell Sage Foundation.
- Sheth, F. (2006). Unruly Muslim women and threats to liberal culture. *Peace Review: A Journal of Social Justice*, 18, 455- 463.

Sirin, S. R., & Fine, M. (2007). Hyphenated selves: Muslim American youth negotiating identities on the fault lines of global conflict. *Applied Development Science*, 11(3), 151–163.

Spero, A. A. (2006) Assimilation required for America's continued success. Humaimevents.com.

Zhou, M. (2014). Segmented assimilation and socio- economic integration of Chinese immigrant children in the USA. *Ethnic and Racial Studies*, 37(7), 1172- 1183.

HONE WAENGARANGI MORRIS<sup>1</sup>

TE TAI AO, TE TINANA, E RUA, E RUA

### Abstract

Language is the land and the land is in the language. The title of this paper reflects a Māori perspective to the world we live and move in and our interaction with the environment. Its literal translation, ‘The environment and the human body are similar’ is the underlying theme of this abstract. In the present climate of global warming and the growing awareness of the need to protect and respect our environment this perspective will assist in providing a conceptual lens to encourage one to view the environment as a living organism, breathing with moods and emotions similar to the human body. Through an analysis of the linguistic terms placed on the land by my ancestors (tīpuna) in Aotearoa I will provide a unique perspective that others can utilise to solidify their personal relationship to the environment (taiao), to mother earth (Papatūānuku), to the heavens (Ranginui) to the energies that sustain life. This analysis may also provide a conduit for comparison or contrast of indigenous perspective globally. As with other cultures the earth is acknowledged by Māori as being feminine the sky as masculine. This idea of masculine and feminine energies coexisting—as with many cultures—is infused into the Māori perspective which I will touch on specific examples throughout this narrative.

**Keywords:** Environment, language, Māori, human body

**JEL Codes:** F64, Q24

The title of this paper reflects a Māori<sup>2</sup> perspective to the world we live and move in and our interaction with the environment. Its literal translation, ‘The *taiao* (environment) and the *tinana* (human body) are kin’ is the underlying theme of this abstract.

In researching philosophies and narratives handed down by my ancestors and recorded by early ethnologists who came to Aotearoa/New Zealand becomes immediately apparent that the ancestors through careful observation and study of the environment and its interconnectedness fashioned a knowledge that everything in this world is connected through whakapapa (genealogy). The interconnected energies that dwell in *Ranginui* (Sky Father); the stars, types of rain, clouds the wind and all weather patterns are all connected through a network of interconnected genealogies. On *Papatūānuku* (Earth Mother) the rocks, the water—fresh and salt, the trees, insect and animal life both on earth and in the ocean are all part of a genealogy that reflects the ancestors understanding of the natural world. In the ever present climate of global warming, climate change and the growing awareness of the need to protect and respect our environment this perspective of connected genealogy will assist in providing a conceptual lens to encourage one to view the environment as a living organism, breathing with moods and emotions similar to the human body that is totally interconnected. Through an analysis of the linguistic terms placed on the land by my *tīpuna* (ancestors) in Aotearoa I will provide a unique perspective that individuals can utilise to solidify their own personal relationship to the *taiao* (environment), to Papatūānuku, to Ranginui and the energies that sustain life. This analysis may also provide a conduit for comparison or contrast of indigenous perspective globally.

---

<sup>1</sup> Massey University, New Zealand, h.w.morris@massey.ac.nz.

<sup>2</sup> The Māori people are the indigenous people of Aotearoa-New Zealand.

As with some cultures the earth is acknowledged by Māori as being feminine and the sky as masculine<sup>3</sup>. The sun *Tama-nui-te-rā* masculine is complemented by the moon *Marama* feminine. This idea of masculine and feminine energies coexisting—as with many cultures—is infused into the Māori perspective which I will touch on with specific examples throughout this narrative.

I begin by referring to the curriculum that guided the Māori traditional *whare wānanga* (school of learning). The curriculum contained what was called the *kauae runga* (terrestrial knowledge) and *kauae raro* (celestial knowledge). The terms used for these two knowledge bases—‘the upper jaw’ and ‘lower jaw’ respectively—give a profound view of the Māori mind of the ancestors who saw all knowledge as emanating from a giant entity, known in western science as the universe. These two knowledges are also conveyed phonetically by the vowel sounds ‘a’ (short as in the word ‘away’, long as in the word ‘far’) referring to terrestrial energies and the vowel sound ‘o’ (short as in the word ‘order’, long as in the word ‘for’) referring to celestial energies. When the two vowels are placed together, **ao**, they form the word for ‘world’ (as well as ‘daylight’, ‘dawn’, ‘bright’, ‘cloud’, and ‘bud’) and are also found in the word for environment *taiao*. When used with possessives these vowels indicate in some instances a spiritual connection when using ‘o/ō’; E tō mātou matua i te rangi/our father which art in heaven<sup>4</sup>, ōku tīpuna/my ancestors; and in other instances an earthly connection when using ‘a/ā’, tā mātou māra/our garden, āku taputapu/my tools.

The term that Māori use for the land is *whenua* (Hawaiian *aina*, Samoan *fanua*, Rarotonga ‘enua, Tongan, Nuiean, *fonua* (Tregear 1891:620)). The word *whenua* also happens to be the word used by my tīpuna to name the placenta. The tīpuna chose this word to recognise and acknowledge that both the land and placenta are living energies that sustain life. The placenta being the organ that nurtures the growing baby within the womb ensuring it develops to its optimum potential providing oxygen and nutrients and acting as a filter to remove waste products from the baby’s blood (Mayo Clinic)<sup>5</sup>. The land Papatūānuku being the life form that nurtures ALL life through providing minerals and water—provided by Ranginui—to the terrestrial ecosystems and forests which in turn provide materials, food, minerals to support human livelihood.

A Māori cultural practice ‘*whenua ki te whenua*’ is to bury the placenta in a special place—usually on ancestral lands—along with the *pito* (umbilical cord). In some instances the *pito* ‘was placed in a cleft in a rock or tree, often on a boundary line of land in which the infant would have rights of ownership’ (Best, 1975:19). This practice strengthens the bonding of the newborn child to the land of their ancestors or in modern times to the land of their birth. There were other forms and methods of disposing of the *pito* within Aotearoa and similarly within the

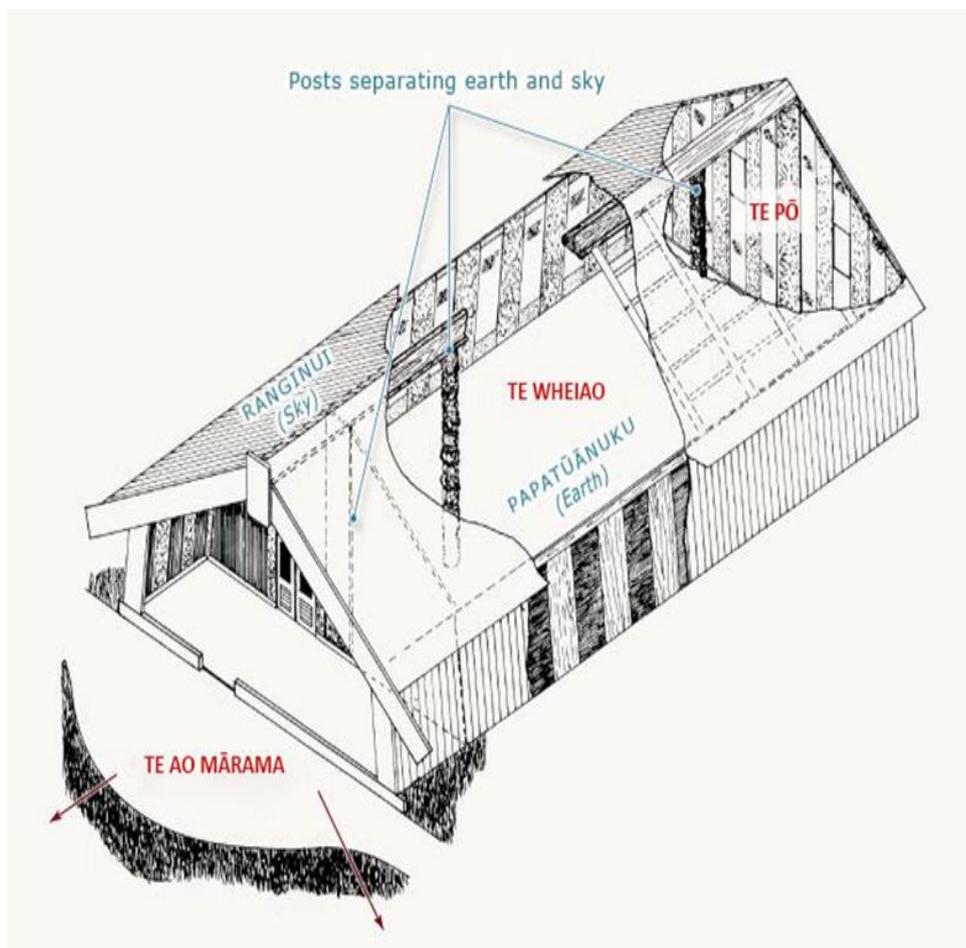
In the beginning, Papatūānuku and Ranginui held each other in close eternal embrace within *Te Kore* (nothingness, potential), *Te Pō* (night, complete darkness). Eventually separated by one of their children *Tāne-māhuta* (guardian of the forest domain and its inhabitants) against the wishes of another sibling *Tāwhiri-mātea* (guardian of the domain of weather) which brought light into the world. The tension between Tāwhiri-mātea and his siblings Tāne-māhuta and *Tangaroa* (guardian of the oceans) manifests into the forces of nature forever antagonising life on earth and the oceans; hurricanes, storms, tidal waves etc. Other offspring of Papatūānuku were located in various divisions of Ranginui and were nurtured by feminine energies *Hine-te-āhuru* (mother of the heavenly bodies), by *Hine-ruru-mai*, and by *Hine-makohu-rangi* (personified form of mist). (Best 1976:59).

<sup>3</sup> Sanskrit-related languages (e.g. Latin, Greek, French, Italian and Portuguese), assign a masculine gender to the Sun and a feminine to the Moon. Older languages of the same Indo-European family (e.g. Sanskrit, German and old Goidelic) the Moon is masculine and the Sun feminine. <http://www.house-of-horus.de/zwoelf.html#> Retrieved 2019-09-10.

<sup>4</sup> First line of the Lord’s Prayer.

<sup>5</sup> <https://www.mayoclinic.org>.

The term *wheiao/whaiao* (place between darkness and light) originates from the action of separating Ranginui and Papatūānuku by Tāne-mahuta. The ancestors also saw a similarity in the separation of earth and sky to that of the birth of a child emerging from the womb via the *wheiao* (birth canal) and to that of the middle of the *tipuna whare* an ancestral house named after the eponymous ancestor of a *hapū* (subtribe). These houses also termed *whare whakairo* (carved house) reflected a human body. The *kōruru* (gable head) representing the face of the ancestor carved with oversized eyes to acknowledge the sentinel aspects of the *ruru* (morepork, a native bird) who oversees the *maraeātea* (plaza, land directly in front of the house). The *maihi* (bargeboards) represent the arms, the *kūwaha* (doorway) represents the mouth, the *pare* (carving above the doorway) represents a female ancestor alluding to the doorway being the *ara o te ora* (pathway of life) the female genitals, where all life passes through. The *tāhuhu* (ridgepole) represents the spine, the *heke* (rafters) the ribs. The early houses had no windows on the back wall leaving that area quite dark, this is also the wall where portraits or carvings of the earliest ancestors are located. This area of darkness implies *Te Pō* the Māori world where the spirit of those who have passed journey to *te wāhi ngaro* (the invisible realm), Nirvana, Paradise. The middle of the house was termed the *wheiao* the space between the dark back wall and the front wall. The front wall of the ancestral house is where the window/s are located and where light enters the house relating to the concept of *te ao mārama* (the world of light) light coming into the world through the separation of Papatūānuku and Ranginui. This architectural design reflects the concept of the baby leaving the womb, *te pō*, entering the *wheiao* to be born into the *te ao mārama*.



Original image taken from - <https://teara.govt.nz/en/artwork/45736/whare-whakairo>

There's is a common proverbial saying used in Māori oratory, *ki te wheiao, ki te ao mārama*;

*Tīhei mauri ora  
Ka puta te ira tangata  
mai i te pō, ki te wheiao  
ki te ao mārama*

The sneeze of life, life's energy  
Humanity emerges  
from darkness, to the **dawn**  
to the **world of light**

This brings to the fore another example of a term—from a Māori perspective—that reflects both the environment and the human body. That term is *hau*, the word for wind or air which Māori perceive as 'the vitality of the universe', and the 'quality that pervades the whole being of humans' (Best, E. 1982:51), human vitality.

*E mōhio ana ahau kei te patu mai koe i a māua ko taku hau; e kore taku hau e riro  
i tō karakia<sup>6</sup>.*

I know you are attempting to kill both my **vital essence** and me; my **vital essence**  
will never succumb to your spell.

The term *hau* originates from two words, *hā* (breath, essence) and *u* (instil) and during the act of pronouncing this word a person experiences both the outward breath and the inner vitality in the same moment. If for some reason the *hau* of a person is disturbed or restricted then it is identified by the addition of the letter 'ā' termed *hauā* (crippled, lame, disabled), *hauā ā-hinengaro* (intellectually challenged), *hauā ā-tinana* (physically challenged), *hauā-pekewhā* (quadriplegic). The people who reside close to or on traditional lands *kāinga* and play an active part in caring for the *marae*<sup>7</sup> providing hospitality for *manuhiri* (visitors) are termed *hau kāinga* literally meaning 'the vitality of the village'. The next term to illustrate the close connection of Māori to the environment is the term *kiri* (skin) used also in reference to the bark of a tree, the hide or pelt of an animal and the rind of a fruit (Tongan, Niuean *kili*, Hawaiian *ili*). It is also the base word of terms for the bereaved family *kiri mate*, *mate* meaning death, self-esteem *kiritau*, *tau* meaning settled, and identity, personality *tuakiri*, *tua* meaning the back of a person.

The Māori word for the forehead is *rae* (Tahitian, Rarotonga *rae*, Samoan, Hawaiian, Tongan *lae*) which is the word and base word for words used to describe a headland, a promontory or peninsula, *rae*, *kūrae*, *pukerae*, *mātārae*<sup>8</sup>. Once again, a geographical feature of the environment encapsulated in the human body to reflect the idea that *Papatūānuku* is also seen as a living being. Another example of indigenous perspective when Māori walk the earth and acknowledge landforms and the environment.

<sup>6</sup> A response said by the tohunga of the Te Arawa canoe Ngātoro-i-rangi to Tama-o-hoi, JPS Volume 2, No.4, December 1893 pg. 223.

<sup>7</sup> courtyard - the open area in front of the *whareniui*, where formal greetings and discussions take place. Often also used to include the complex of buildings around the *marae*.  
<https://maoridictionary.co.nz/search?idiom=&phrase=&proverb=&loan=&histLoanWords=&keywords=marae>.

<sup>8</sup> This word also describes the 'mind's eye', *mata* = eye (*mata ā-rae*).

Moving down from the forehead, we come to the mouth *waha*. The word *waha* found in other words *kūwaha* doorway, *waharoa* gateway or entrance to an ancient fortress *pā* and modern day space where a community gather *marae*. The word *pūwaha* mouth of a river also reflects the Māori mind when it views the mouth as being similar to an entranceway. Other parts of the human body reflecting the meaning of this word are the cervix *waha whare tangata*<sup>9</sup> or the pudenda muliebria *waha*.

The word for neck, throat *kakī* found in the one of the terms for the source of a river *pūkākī* is also the word for a brook or stream paralleling the narrowness of the flow of these waterways to that of the shape of the neck or throat upon Mother Earth.

The words *hiwi* a ridge (of a hill)<sup>10</sup> also found in the word for shoulder *poko hiwi/paki hiwi/poki hiwi* illustrating again the thinking of *tīpuna* in seeing a connection of the body to the lay of the land, the lay of the land to the human body. Other words for a ridge are *tua hiwi* and *kā hiwi*. (Hawaiian *hiwi*, a flat or depressed summit of a protuberance; Tahitian *tuaivi*, a slope of a mountain ridge; Māngaiian *tuaivi*, a hill, *kaivi* a ridge, crest of a hill; Marquesan *tuaivi*, a mountain; Paumotan, *tutaivi*, a hill) (Tregear 1891:75).

The Māori word for hill, hillock, mound, swell up, *puke* is the term also used for pubes, mons veneris (of female). This word is also combined with other words to reflect other environmental elements, with *wai*, water = *waipuke* flood (swelling or mounting up of water), with *huru huru*, feather, pubic hair (in some dialects) = *puke huru huru* puberty, with *moana*, sea = *moana puke puke* choppy seas.<sup>11</sup> On the first sighting by the ancestors of a ship ploughing through the ocean creating its wake, they viewed it as though the ship was devouring the swell, thus the Māori term for a ship is *kaipuke*, eating, consuming the swell.

Turning to words used to describe internal parts of the body that reflect the environment we begin with the word for the physical heart *manawa*, used also for deep underground—the bowels of both the earth and the human bowels—and to describe an unfailing deep spring of water *manawa whenua*, more lately used to describe an aquifer. An oasis is termed a puna *manawa*. The word *ngākau* is the word for the spiritual heart.

The human bone, *iwi* is a common term also for people, tribe and nation and used widely in the phrase, “Ko wai tō iwi?” “Who are your bones/people/tribe?” when discussing tribal connections. In the term *iwi whenua*, it refers to people of the land similar to the term *tangata whenua*. Another word for bone and for skeleton is *kōiwi* also the word a trunk of a tree.

<sup>9</sup> This term ‘whare tangata’ means the ‘house of people, humankind’ referring to the womb.

<sup>10</sup> Retrieved from:

<https://maoridictionary.co.nz/search?idiom=&phrase=&proverb=&loan=&histLoanWords=&keywords=hiwi>.

<sup>11</sup> A proverbial saying in Māori, *He moana puke puke e ekengia e te waka* – choppy seas will be navigated by a canoe. All troubles can be overcome.

One of the terms used to describe emotions *kare ā-roto*, ripples within, refers to the environment with the use of the word *kare*, ripple. Other terms referring to the emotions are *tama roto* and *tama tū ki roto*, the male aspect within. The word *hinengaro*, mind, intellect, literally the invisible female aspect, provides a nice balance to the masculinity of emotions and support the notion promoted in other cultures such as the Chinese yin feminine, yang, masculine. ‘These opposite or contrary forces may actually be complementary, interconnected, and interdependent in the natural world and they may give rise to each other as they interrelate to one another.’<sup>12</sup>

*Kōmata*, zenith, extremity, pinnacle, high point and acme is also the word for nipple (of the breast). The term *kōmata o te rangi*, zenith of heaven reflects the influence of Christianity in early Aotearoa history. *Pito*, as mentioned previously, is the word for the navel, the umbilical cord, or an extremity. The *pito* the section of the umbilical cord nearest the baby’s body —once it detaches from the navel of the baby— is buried alongside the placenta in a special place. The *pito* also refers to the end of a beach, the extremity of the land, and the ends of the earth as used in the terms for the North Pole Te **Pito** Raki, Te **Pito** Whakararo o te Ao and the South Pole, Te **Pito** Tonga, Te **Pito** Whakarunga o te Ao.

The word *puku* stomach, belly, abdomen is also a term used for the centre of the land, *te puku o te whenua*<sup>13</sup>. The belly of the fish, *te puku o te ika*, refers to the centre of the North Island (*Te Ika a Māui*<sup>14</sup> – The Fish of Māui). This analogy extends to other parts of the North Island; *Te Upoko o te Ika* The Head of the Fish (the Wellington region), *Te Hiku o te Ika* The Tail of the Fish (Northland). See the following map for other references to the land as being part of Māui’s fish.

---

<sup>12</sup> "The hidden meanings of yin and yang - John Bellaimey". *TED-Ed*. Retrieved 2019-09-08.

<sup>13</sup> A term used to describe one of the five Māori electorates created in 1996.

<sup>14</sup> According to legend, the ancestor Māui fished up the North Island of Aotearoa from the ocean. The North Island is shaped like a fish.



Source: <http://www.TeAra.govt.nz/en/map/6767/maui-in-new-zealand> <sup>15</sup>

The *rekereke* heels are used as an analogy for the base of a mountain and used in oratory to acknowledge the deceased lying in state and more specifically the photographs of close relations that are placed at the foot of the casket as if placed at the base of a mountain. Some people also use the term *rekereke* when informing others of their upbringing, where they reside or where their authority to speak, their *mana* rests,

Kei ngā *rekereke* o Ruahine tōku kāinga<sup>16</sup>  
My village/hone is at *the base* of Ruahine mountain

The *waewae* legs found in the term *tūrangawaewae* is an analogy for land in respect of where a person's authority *mana* rests and where a person's connection to the land is. It literally means 'a place to stand'. *He tūrangawaewae* a place to stand is an appropriate phrase to end this narrative as the words used by the ancestors to define both the land we live on and the body we live in is my place to stand, my place to share these concepts with other indigenous people. The wish is that these terms, phrases, words handed down through the generations will stimulate further discussion and research into the close

<sup>15</sup> Te Ara - the Encyclopedia of New Zealand (accessed 11 September 2019).

<sup>16</sup> A metaphor sometimes used by the author.

interrelationship we as occupiers of Papatūānuku have. We are but guardians, custodians, *kaitiaki* of Mother Earth for the next generations. Ehara nō tātou te whenua, engari kē he kaitiaki mō ngā whakatipuranga e heke mai ana. Tau ana!

### References/Tohutoro

Best, E. (1975). *The Whare Kōhanga and its Lore*. Wellington: A.R.Shearer Government Printer.

Best, E. (1976). *Māori Religion and Mythology I*. Wellington: A.R.Shearer Government Printer.

Best, E. (1982). *Māori Religion and Mythology II*. Wellington: P.D.Hasselberg Government Printer.

Mead, H., & Grove, N. (2001). *Ngā Pēpeha a ngā Tīpuna*. Wellington: Victoria University Press.

Tregear, E. (1891). *Maori-Polynesian Comparative Dictionary*. Wellington: Lyon and Blair.

Whatahoro, H. T. (1913). *The Lore of the Whare-wānanga*. New Plymouth: Thomas Avery.

Williams, H. W. (Ed.) (1975) (7th ed.). Wellington: A.R.Shearer, Government Printer.

### Internet sources/Pae ipurangi

<https://maoridictionary.co.nz>.

<http://www.reotupu.co.nz>.

<https://teara.govt.nz>.

AYTAC AYDIN<sup>1</sup>, ABDULKADIR TIGLI<sup>2</sup> AND M. VEYSEL KAYA<sup>3</sup>

## DOES THE CYBERSPACE OF INDUSTRY 4.0 STAGE RESERVE SOCIAL RISKS? THE CASE OF POLITICAL MOVEMENTS ON OECD COUNTRIES

### Abstract

In the 21st century, globalization and trade wars inevitably led to an increase in technological innovations and the emergence of the industrial 4.0 revolution. Industry 4.0 is linked to technology in scientific, socio-economic, cultural life spheres, even in all daily activities. The idea that the new popular movements and emerging of non-governmental organizations or that the unions' coming up by workers' actions is undoubtedly far from the influence of the 1960-1980 period. Particularly in authoritarian regimes, the suppression of free thought restricts the scope of political activity. The internet is undoubtedly one of the new fields of these activities for individuals, who cannot express their opinions freely or not declare their ideas under the roof of any non-governmental organization. Individuals can express their thought, organize themselves and call for unification in areas, especially through virtual environments where they can be hidden through VPN networks. In addition, it is possible to conduct activities against the authority or companies by virtual activists who can use the internet at an advanced level.

**Keywords:** Industry 4.0, Cyberspace threats, Hacktivism

**JEL Codes:** L86, L96, O14, O38

### Introduction

The internet, which started its works in 1969 and appeared as a usable network all over the world in 1995, expeditiously began to eliminate borders and became to the most consequential actor in the transformation of the world into a common market. This transformation has caused to the emergence of global trade and the virtual world's new battle field as the area of national and international security threats' action. The virtual space has created a process in which all countries of the world that can interfere; and individuals or governments, who can use information effectively can play an active role. The use of the internet and cyberspace, which began to become widespread in 1995, has not yet reached enough popularity as a threat; today, with the 4th Industrial Revolution, it has become one of the most frequently controversial areas. The reason for this is that with the 4th Industrial Revolution, internet-based transactions started to dominate in all areas of life. In this context, it is especially important to examine the 4th Industrial Revolution to reveal the need for cyberspace security. As this point, hacktivist movements are undoubtedly expanding their field of activity.

In this study, first of all, a historical explanation of the industry 4.0 notion is given in order to reveal the level of virtual world. Then, in order to draw attention to the effects of cyber attacks, the Global Cyber Security Index (GCI) is emphasized on the scale of OECD countries and the possibility that cyberspace may turn into a new political war zone in industry 4.0 age is highlighted.

### 1. Background of industrial revolutions

For thousands of years, the manufacturing process has just been based on two main principles. The first was undoubtedly human labor, and another production factor was domesticated animals. Then, the

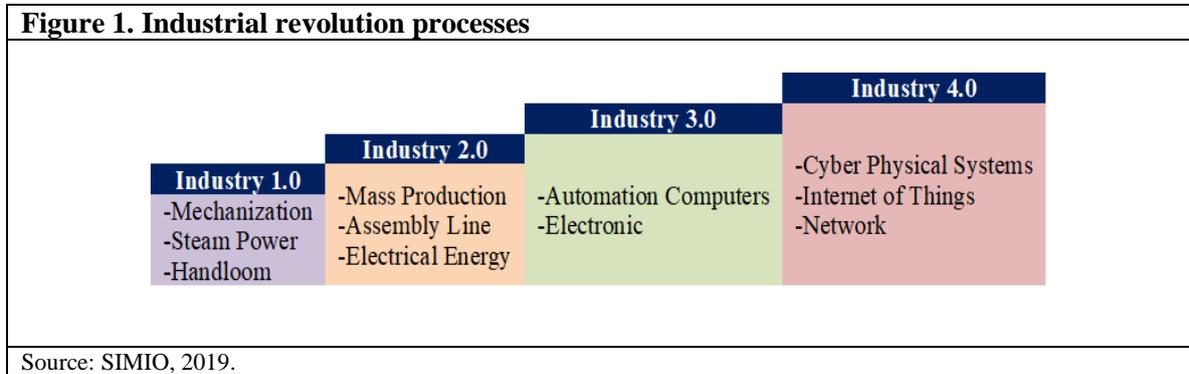
<sup>1</sup> Kirikkale University, Turkey, aytacaydin75@gmail.com.

<sup>2</sup> Kirikkale University, Turkey, abdulcadirtigli@hotmail.com.

<sup>3</sup> Kirikkale University, Turkey, mveyselkaya@yahoo.com.

mankind in the 1st century BC, was introduced to the first machine that produces energy sources with water mills. From the 15th century onwards, the process of development continued through various small inventions and machines using water as the basic energy source. The creation of steam machines started in 1784, carried out the production from the workshop level to the next stage; in other words, to the factoryization. In this period, which is seen as the childhood of capitalism, many small-scale guild masters, independent small craftsmen, exploited wage laborers provided their first savings (Marx, 2009: 714). The first industrial revolution, which lasted until 1870, refers to the period in which weaving, shipping and railway networks became widespread.

The second industrial revolution refers to the period between 1840-1870. This period is the term in which assembly lines started to be used in production by using electricity and mass production depending on the division of labor takes place. By the use of new machines, reduction of production costs, manufacturing of cheaper products to sell them and become competitiveness in this term are the conspicuous features. Unlike the first industrial revolution; this time gap emerges as the period in which production based on cheap labor take place, through labor division (Marx, 2009: 441).



The third industrial revolution came into our lives with the 1970s. This term is a period in which information and communication technologies take an active role in manufacturing processes, the notion of electronics emerges, the production of programmable machines and the rapid progression with the active use of the internet (Bulut and Akçacı, 2017: 52).

The fourth industrial revolution, in other words industry 4.0, developed from the perspective of manufacturing faster and inexpensively by withdrawing human from production processes for competitiveness about 150 years ago, and has taken its place in the literature with the Hannover Fair 2011 in Germany (Industry 4.0, 2019).

As the virtual world notion becomes more effective and the expansion of internet networks, the interaction of cyberspace with the physical world accelerated the fourth industrial revolution (Hirsch-Kreinsen, 2014). The use of information and communication technologies from a new perspective has continued with the active use of cyber-physical systems in the industry (Prinz et al., 2016). Industry 4.0, digitalization and virtualization in manufacturing, future steps in automation systems, harmonious operation of multiple systems, the emergence of objects in communication with each other, harmonious operation of objects with people, efficiency, productivity, operation of optimum cost processes and a self-functioning mechanism emerges in it (Itterman et al., 2018). Industry 4.0 provides increasing in the countries development, efficiency in global markets and the meeting of all countries at common benefit level (Kagermann, 2016).

## 2. The Accent of Cyberspace

Cyber security has become a significant part of our life today. The degree of which networks can be interconnected in the cyberspace means that all our information, data, namely everything can be revealed and that all stages, from national and critical infrastructural informations to basic human rights, can be compromised (ITU, 2017). Therefore, it has taken its place among the extremely substantial basic points.

In the 2018 Global Risk Report; permanent inequality and injustice, domestic and international political tensions, environmental hazards and respectable risk areas in cyber deficits are identified among the four major concerns. Cyber attacks, which did not have a necessary significance until 2017, increased in importance by increasing cyber risks after 2017 (ITU, 2018). In the 2019 Global Risk Report, cyber risks were evaluated as extremely important, in consequence of increasing efficiency of technology and using the artificial intelligence. In particular, worries about data theft and cyber attacks are increasing. In 2019, it was pointed out that security measures should be taken against cyber attacks in the cross-border partnerships of the countries arising from the necessity of cyberspace due to the concern that data privacy will be violated for companies and governments (WEF, 2019).

**Table 1. Extensive cyber case types**

Extensive Cyber Case Types	Sample	Potential Results
Violation of Data Privacy (Third side data)	Unauthorized disclosure of personally identifiable information of third tertius.	Incident response costs, indemnity compensation, reputation damage, regulatory and legal defense costs, possible penalties and fines, responsibility of directors and officials.
Violation of Data Privacy (Own data)	Theft of confidential business information.	Intellectual property theft, responsibility of managers and officials.
Operational Technology Fault	Manipulation of control system	Work cuts, penalties, physical asset damage, bodily injury and death, responsibility of directors and officials
Communication Network Fault	Attacks on a server that causes a company website to be unavailable.	Work cuts, losing of reputation, responsibility of directors and officials.
Nonvolitional Failure of the Third Party System	Transmission of malware to a third party system.	Responsibility for network security failure, regulatory and legal defense costs.
External Server Fault	Corruption in the software application provided by the cloud service.	Conditional work interruptions.
Deletion or Corruption of Data	Malware that deletes data from networked computers.	Losing of data and software, regulatory and legal defense costs, product liability, responsibility of directors and officers.
Chiphering of Data	Ransomware that prevents Access to data or a network.	Ransomware or tribute.
Cyber Fraud / Theft	Illegitimate financial transfer, intrusion into the network or social engineering-based data transfer.	Financial theft / fraud

Source: OECD, 2017.

Cyberspace activities or cyber attacks are not just malicious software applications. Cyber attacks can become a field of political activity, especially in authoritarian regimes. The people, who operate in this field, appear as hactivist.

### 3. Hacker, Hactivism and Global Cyber Security Index (GCI)

*“A hacker utilizes alternative system access methods to sabotage computer systems and networks. Hacking actions are differentiated as illegal and unacceptable (black/grey hat hacking), or legal and acceptable (white hat hacking)”* (Techopedia, 2019). It is not always true that the hacker notion is shown as a negative concept in international organization reports and media. For many hackers, the attempt to make technology more democratic accessible has been seen as an important field of activity. American programmer, hacker and open-access advocate, political activist Aaron Swartz is one of the most significant characters in advocating free access to information. Swartz allegedly downloaded thousands of academic articles from the JSTOR archive in 2011 (Salvo, 2017).

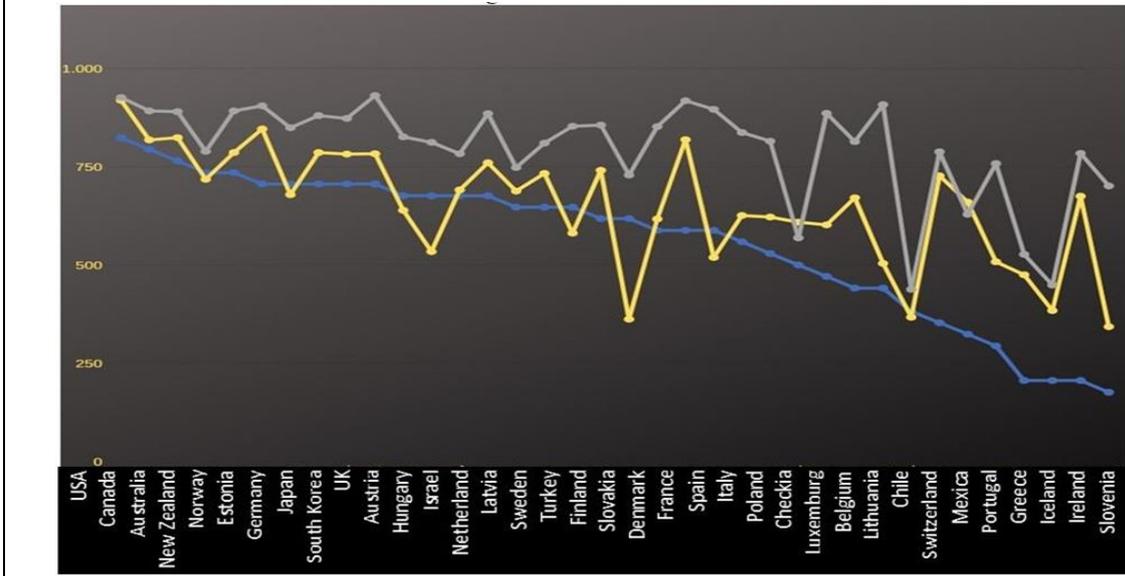
It is not a correct definition to define the hactivism notion as a phenomenon that acts only in line with an ideological view. Hacking has been perceived as a tool used by independent people from each other and increasingly used by individuals to promote their political ideology. It has been claimed that their purpose is to prevent communication using internet-enabled networks and organizations (Hearn et al., 2009). Hactivista are communities, who concentrate on social and political issues as war, monopolization, globalization, neo-liberal policies, telecommunication sector, monopolization of media, education, health, territorial disobediences, labor movements...etc. (Jordan and Taylor, 2004).

The hactivism notion, often perceived as a threat for authoritarian regimes, neo-liberal politicians and supporters of globalization; it is assumed by the opposing viewers that it plays an important role in removing barriers for access the information and in maintaining a more democratic, independent and fair order. In this sense, in order to illustrate the impact of cyberspace that has become a political area of activity, the data is restricted to cover the period between 2014 and 2019, and the values of the Global Cyber Security Index (GCI) are analyzed. 2014 was chosen the beginning year because GCI was published firstly in 2014. This research is limited to the member countries of the Organization for Economic Cooperation and Development (OECD).

The GCI was originally born in 2014 from a joint project conducted by ABI Research and the International Telecommunications Union (ITU). The GCI provides information about cyber security levels of nation-states. The basis of the index; it consists of five categories, which are legal measures, technical measures, organizational measures, capacity building and international cooperation (ITU, 2015). The index is expressed between “0” and “1” values. “0” indicates the worst possible readiness and “1” indicates the best possible readiness (ITU, 2018). The data for OECD countries are below.

**Figure 2** illustrates the GCI values of OECD countries in 2015, 2017 and 2018, below. The blue line indicates 2015 values, the yellow line indicates 2017 and the gray represents 2018 values.

Figure 2. GCI Values of 2015-2017-2018



Source: ITU, 2015; ITU, 2017; ITU, 2018.

## Conclusions

The most weighty feature that distinguishes the cyber activity area from all other political spheres is its boundlessness and universality. Another area of this borderlessness emerges by the globalization is the commercial area, which is monopolized by developed countries. The main concern of developed countries is to increase their competitiveness in this commercial environment. The industry 4.0 notion, which emerged with this reason, obliges every sphere of life to a digital transformation. This digital transformation has brought many cyber security vulnerabilities. In recent years, especially in OECD and EU reports, cyber security costs are frequently emphasized. Although most of them were not carried out by a political cyber activist group, the economic dimensions of these attacks force all countries to take necessary measures. As a matter of fact, a possible vulnerability has the potential to turn into a force that would disrupt the functioning of the whole system. For this reason, cyber space has started to become a new field of activity on a global scale especially in political demands. It stands as a field of political activity in the field of anti-democratic structures as well as the demands of democratic rights. For this reason, in order to operate a process in which the security of individuals life in society and independent thought are dominant, the issue of cyberspace should be adopted to every member of the society from an early age. Despite the continuous improvement in GCI values in the 2015-2018 period, the fact that cyber attacks are still effective in economic responses reveals the size of cyberspace. Particularly, the expansion of cyber activity areas and the spreading of social demands through virtual networks will lead to more and more virtual activists. This shows that a possible group of virtual activists can harm the national and global economy. Impacts that can trigger change in every field, especially in the social and political sphere, will emerge. Therefore, structural reforms and the development of an equal and fair understanding of society are substantial for countries.

## References

Bulut, E. and Akçacı, T.(2017). Endüstri 4.0 ve İnovasyon Göstergeleri Kapsamında Türkiye Analizi, *ASSAM Uluslararası Hakemli Dergi (ASSAM - UHAD)*, 7, 50-72. <https://dergipark.org.tr/tr/download/article-file/353274> (accessed on 14.05.2019).

Hearn, K., Mahncke, J. R. and Williams, A. P. (2009). "Culture Jamming: From Activism to Hactivism". Australian Information Warfare and Security Conference. <https://ro.ecu.edu.au/isw/3/> (accessed on 18.05.2019).

Hirsch-Kreinsen, H. (2014). Wandel von Produktions Arbeit – "Industrie 4.0", *Wsi Mitteilungen*, (6), 421-429. [https://www.boeckler.de/wsimit\\_2014\\_06\\_\\_hirsch.pdf](https://www.boeckler.de/wsimit_2014_06__hirsch.pdf) (accessed on 10.05.2019).

Industry 4.0 (2019). Germany's Vision for Industry 4.0. *Turkey's Industry 4.0 Platform Web Site*. <https://www.endustri40.com/almanyenin-endustri-4-0-vizyonu> (accessed on 01.04.2019)

ITU (2015). Global Cybersecurity Index 2015. [www.itu.int](http://www.itu.int) (accessed on 10.05.2019).

ITU (2017). Global Cybersecurity Index 2017. [www.itu.int](http://www.itu.int) (accessed on 10.05.2019).

ITU (2018). Global Cybersecurity Index 2018. [www.itu.int](http://www.itu.int) (accessed on 10.05.2019).

Ittermann P., Niehaus J., Hirsch-Kreinsen H. (2018). In *Der Industrie 4.0 Trendbestimmungen und arbeits politische Handlungsfelder*, 308, 1-71. [https://www.boeckler.de/pdf/p\\_study\\_hbs\\_308.pdf](https://www.boeckler.de/pdf/p_study_hbs_308.pdf) (accessed on 10.05.2019).

Jordan, T. and Taylor, P. (2004). *Hactivism and Cyberwars Rebels with A Cause*. London: Routledge.

Kagermann, H., Anderl, R., Gausemeier, J., Schuh, G. and Wahlster, W. (2016). *Industrie 4.0 in a Global Context: Strategies for Cooperating with International Partners (acatech Study)*, Munich: Herbert Utz Verlag.

Marx, K. (2009). *Kapital*. Alaattin Bilgi (int). Ankara: Sol Yayınları.

OECD (2017). Enhancing the Role of Insurance in Cyber Risk Management. *OECD Publishing*. <http://dx.doi.org/10.1787/9789264282148-en> (accessed on 19.05.2019).

Prinz C., Morlock, F., Freith, S., Kreggenfeld, N., Kreimeier, D. and Kuhlenkötter, B. (2016). Learning Factory Modules for Smart Factories in Industrie 4.0. *Procedia CIRP*, (54), 113 – 118. <https://www.sciencedirect.com/science/article/pii/S2212827116308812> (accessed on 21.05.2019).

SIMIO (2019). Industry 4.0. *Simio Forward Thinking Web Site*. <https://www.simio.com/applications/industry-40/index.php> (accessed on 08.04.2019).

Salvo, D. P. (2017). "Coder," "Activist," "Hacker": Aaron Swartz in the Italian, UK, U.S. and Technology Press. *International Journal of Communication* (11). 1149-1168. <https://ijoc.org/index.php/ijoc/article/view/5764> (accessed on 25.05.2019).

Techopedia (2019). What Does Hacker Mean? *Techopedia Web Site*. <https://www.techopedia.com/definition/3805/hacker> (accessed on 01.06.2019).

WEF (2019). The Global Risks Report 2019. 14th Edition. <http://wef.ch/risks2019> (accessed on 15.05.2019).

ESRA ULUKOK<sup>1</sup>, MAHMUT SAYLIKAY<sup>2</sup>, HACI BAYRAM ISIK<sup>3</sup> AND ADNAN AKIN<sup>4</sup>

## THE FURNITURE SECTOR CORPORATE CAPACITY RESEARCH: A SAMPLE OF KIRIKKALE

### Abstract

The furniture sector in Turkey has gradually developed in recent years. Some of the prominent firms in the sector are located in Kirikkale. Companies producing furniture in the city started to have significant sales volume by adopting technological innovations and producing high quality products. This study aims to determine the state/situation of the most prominent furniture producing firms in Kirikkale and to explore the needs of them in terms of technical, financial, human resource structures and so on. For this end, survey studies conducted with executives of the firms registered in Kirikkale Chamber of Commerce and Industry. Detailed information about the enterprises obtained through questionnaires. In order to determine the future needs of furniture producing enterprises, the questions asked were to do with production structure, the existence of any certificate or patent, capacity utilization rates, export situations, problems encountered in sales and marketing, how and where the necessary resources were obtained in investing. This study may contribute to the future vision of furniture manufacturing firms by determining their capacity status, and their weaknesses and strengths.

**Keywords:** Furniture industry, situation analysis, needs assessment, Kirikkale

**JEL Codes:** M10, M20, M21

### 1. Introduction

The furniture sector is one of the major economic sectors in the world. The urban transformation, population growth, improvements in individual living standards and turning office spaces into a living space have accelerated the furniture sector. On the other hand, improvements in relations with neighbor countries, Russia, the Middle East and North Africa regions directly affected the Turkish furniture sector (TOBB, 2017). Turkish furniture sector has had an increasing trend in foreign trade since 2001, and more than half of the exports were made to the European Union countries (Altay and Gürpınar, 2008). The most intense furniture industry regions in terms of the number of enterprises and employment are Istanbul, Bursa, Kayseri and Ankara (TOBB, 2017).

Most of the production is done by traditional workshop type and small scale enterprises. However, in the last 20 years, the importance of information and capital-based production has been clearly understood with the entry of medium/large enterprises into the market. Moreover, many associations operate in the furniture industry, and furniture federation of Turkey, founded in 2014, has been added to the sector's service network (TOBB, 2017). Although the furniture sector has increased its production and export volume in recent years, it has a slight downward trend in the last two years. Turkey exported 2.234 billion dollars worth of furniture (- 1%) to 225 countries and imported 605 million dollars worth of furniture from 130 countries (- 28.8%) in 2016. Turkey not granting foreign trade deficit since 2001 has been one of the few industries in the world furniture market (Ministry of Commerce, 2017).

Turkey expects \$25 billion worth of production and \$10 billion worth of export until 2023, and aims to be in the first 10 in the world furniture exports and among Europe's top 5 largest furniture exporter.

---

<sup>1</sup> Kirikkale University, Turkey.

<sup>2</sup> Kirikkale University, Turkey.

<sup>3</sup> Kirikkale University, Turkey, hbayram@kku.edu.tr.

<sup>4</sup> Kirikkale University, Turkey.

Turkish furniture sector has had surpluses in foreign trade since 2001. When the domestic demand decreased due to the crises in the past, the companies turned to export. This process showed that this situation was not a temporary orientation but has become the choice of companies. Export is no longer a second option but has become the most important force behind development (Ministry of Commerce, 2017). One third of the sector's exports are to the EU and more than half of imports are from the EU. This regional concentration in the sector is positive, considering the characteristics of the EU market and its consumers, but it also reveals the need for market diversification (such as the US) in terms of the long-term goals of the sector.

It is expected that the positive process in exports since 2001 will go on, and the sector will continue its foreign trade surplus and its contribution to the national economy. With better macroeconomic conditions and foreign market experience, Turkish furniture industry has the dynamism and potential to grow faster (TOBB, 2017).

The furniture sector in Kirikkale, which continues to develop in small workshops with handmade products, has made significant progress in recent years and has undergone a change process (KTSO, 2018). The complex and dispersed structure in the past has become a more organized, integrated and institutional structure while preserving the experience and flexibility gained. Today, the sector has turned into a wide range of aesthetics and complex products beyond the production of tables, chairs, beds and cupboards and has become a marketplace with high quality.

In this context, this study aims to determine the state/situation of the most prominent furniture producing firms in Kirikkale, and to explore the needs of them in terms of technical, financial, human resource structures and so on.

## **2. Furniture sector in the world**

The furniture sector is one of the major economic sectors in the world that can produce an average annual value of 437 billion dollars with its main and subsidiary elements in 2013. It was worth approximately 220 billion dollars in 2004. While 150 billion dollars of the world's furniture production is offered to the consumers in the producer countries, more than 70 billion dollars is the subject of international trade.

In 2015, world furniture production was approximately 473 billion dollars and its consumption was 466 billion dollars. Of 443 billion dollars foreign trades, \$172 billion was export and \$171 billion was import. This values were 173 billion dollars in exports and 174 billion dollars in imports in 2016. In the last 12 years, a total of 4.5 trillion dollars of production and consumption has occurred. In 2050, the furniture market is estimated to exceed \$ 1 trillion. 70 countries have an active role in this market with approximately 200 companies. 25 countries, however, predominate in the world furniture trade, and 12 countries are important producers and consumers of the markets. While Europe used to be the center of world furniture production, furniture production has shifted to the east, especially China, in the last 18-20 years. However, countries such as Germany, Italy and Poland are still important for the furniture sector. China is by far the leader in furniture production, and the USA, Italy and Germany manufacture more than half of the world's furniture production (Ministry of Commerce, 2017).

With a volume of 164 billion dollars, China alone produces one quarter of the world's furniture production and 114 billion dollars is consumed in its domestic market. The second largest producer is the US with a production volume of \$ 50.75 billion. However, US production does not meet its consumption and it produced a deficit of 27 billion dollars. Japan, France, Britain, India, Canada and Germany are among the countries that do not meet their consumption (Ministry of Commerce, 2017).

### 3. Furniture sector in Turkey

Gürpınar and Barca (2007), in the research that tried to determine the international competitiveness of the Turkish furniture sector, determined that the Turkish furniture sector has become a more competitive sector since 2001, although the competitiveness of the Turkish furniture sector was weak between 2001 and 2004. The most intense furniture industry regions in terms of the number of enterprises and employment are Istanbul, Bursa, Kayseri and Ankara. Furniture production figures of Turkey are presented annually in the following table.

**Table 1. Annual furniture production value of Turkey (million TL)**

Products	2007	2008	2009	2010
Furniture with metal parts for seating	169	221	216	271
Furniture with wood parts for seating	1.306	1.297	1.493	1.806
Other furniture for seating	26	45	49	60
Parts of furniture for seating	98	112	112	148
Parts of furniture (except seats) used at home, office or shop	291	435	358	574
Metal furniture used at offices	407	468	427	511
Wooden furniture used at offices	211	266	280	307
Wooden furniture used at shops	31	17	36	42
Kitchen furniture	170	224	252	344
Bearing supports	100	134	268	315
Bearings (excluding bearing supports)	366	363	356	443
Metal furniture classified at other categories	133	168	1364	176
Wooden furniture used in bed, dining and living room	608	702	767	1.004
Wooden furniture classified at other categories	208	269	250	392
Furniture of plastics or other materials (eg reed, basket willow or bamboo)	62	59	56	94
Furniture used in medicine, surgery, dentistry and veterinary medicine; barber chairs and similar seats and their parts	71	84	86	94
<b>TOTAL</b>	<b>4.257</b>	<b>4.864</b>	<b>5.140</b>	<b>6.617</b>

Source: Turkish Statistical Institute, www.tuik.gov.tr.

Furniture production in Turkey is worth \$5.8 billion accounted for about 1.2% of world furniture production in 2013. Volatility in the currency over the past few years has reduced the production volume and export value of furniture in Turkey. In the furniture sector report of the Tenth Five-Year Development Plan, the goal for 2023 was to achieve a production volume of 25 billion dollars. In order to maintain this prediction, harsh exchange rate movements should be prevented (TOBB, 2017).

### 4. Furniture sector in Kirikkale

With the rapid growth of the national economy, the domestic market of the furniture sector is also developing rapidly. To meet this demand, many large-scale companies use mass production techniques and maintain their flexible structure for export markets.

Under the 5th occupation group (carpet, furniture, appliances and electronics sectors), there are 90 active companies registered in Kirikkale Chamber of Commerce and Industry. Among the 90 active members, there are 56 limited companies, 9 joint stock companies, 24 individual proprietorship and 1 collective company (KTSO, 2018). Kirikkale's export and import volumes in the furniture sector have been

increasing over the years. According to TURKSTAT data, the export amount of Kırıkkale in the furniture sector reached 572,439 TL in 2018. While the import figures in 2016 were 1,224,348 TL, this amount reached to 1,591,320 TL in 2018.

#### 4.1. Issues in the sector

The main problems faced in the sector are the problems to do with domestic and foreign markets, customs, trade with neighbors, shipping and handling.

According to the 2018 report of Kırıkkale Chamber of Commerce and Industry, the leading companies in the furniture sector in Kırıkkale are as follows:

**Modalife:** Modalife, established in 1989, has all the processes from design and production to delivery to the end user and after sales services. Modalife serves with 160 shops across Turkey.

**Decodoor:** The company started its commercial life in 1992 and continues to produce in the membrane cover sector with its registered trademark. The company operates on an area of 10,000 m<sup>2</sup> and offers various colors and models with its machine park.

**Mispa Furniture:** Mispa Furniture, which has been serving in Kırıkkale since its establishment in 1992, has been exporting to Middle East countries, especially Iran, for about 5 years.

**A.K.S. Furniture:** Established in 1997, the company closely follows innovative technologies to increase its domestic and international market share and continuously develops its capacity.

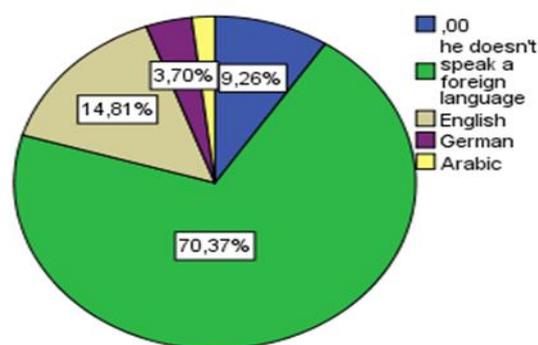
#### Method

Online survey studies conducted with executives of the firms registered in Kırıkkale Chamber of Commerce and Industry in order to determine the needs of businesses and to determine their current situation/state. The questionnaire was mainly on the scale of capacity of the firms. 55 of 78 firms answered the survey questions, the data gathered from those firms were analyzed in this study.

To analyze the furniture sector data of Turkey and Kirikkale province, document analysis method is used and general data are examined. Frequency analysis of the variables within the scope of the research is evaluated in the following figures and tables.

#### Results and findings

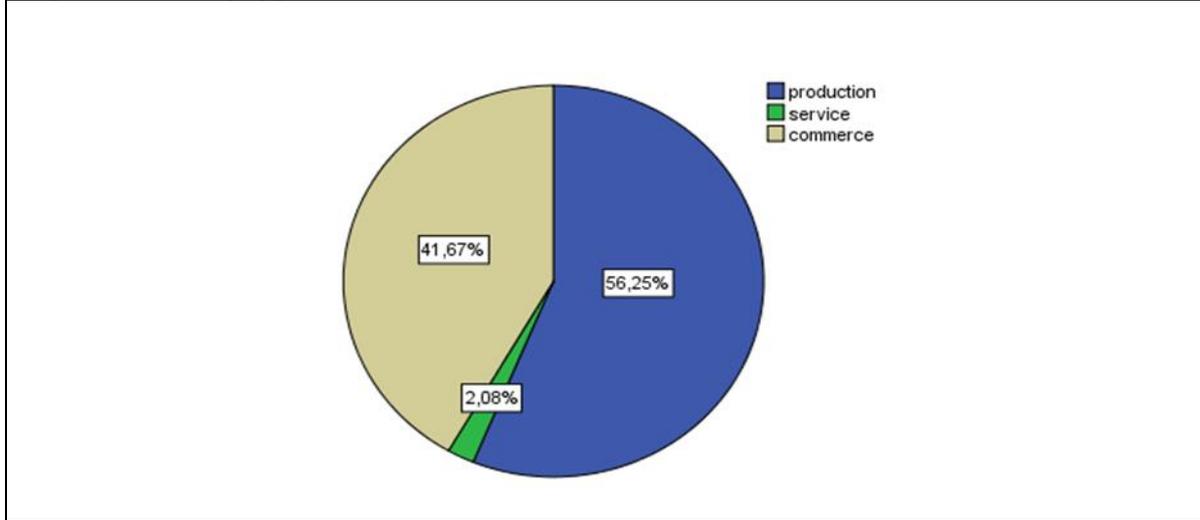
Figure 1. Foreign language capabilities



Source: Authors.

The first question was about the level of foreign language capabilities of executive managers. 70.37% of the company managers do not speak a foreign language. 14.81% of the managers speak English; and 3.7% speak German.

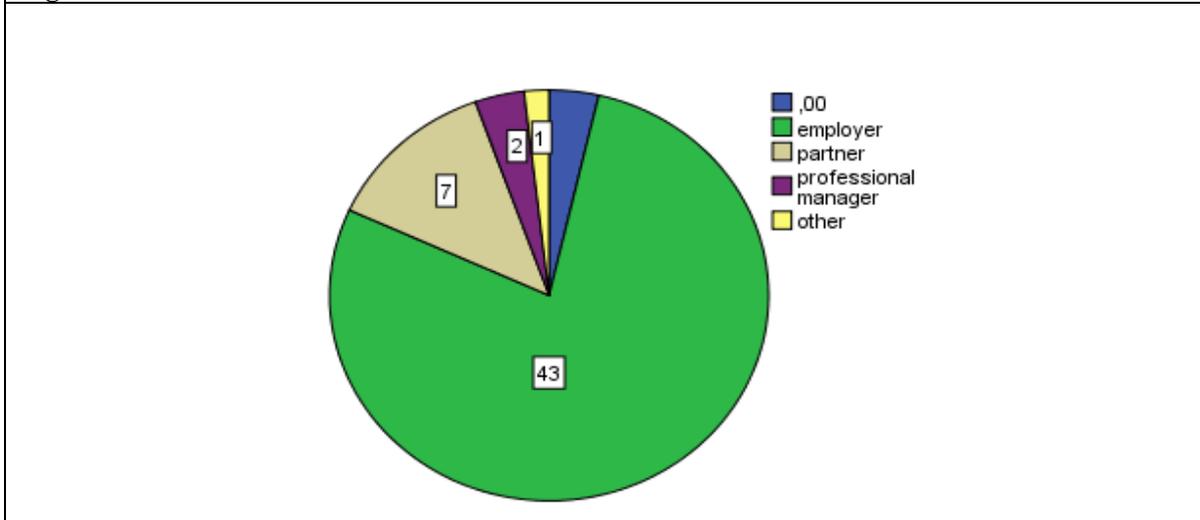
**Figure 2. Activity type in the market**



Source: Authors.

While more than half of the furniture companies were manufacturers; 41,6% of them were trading companies. 2.08% were engaged in service activities.

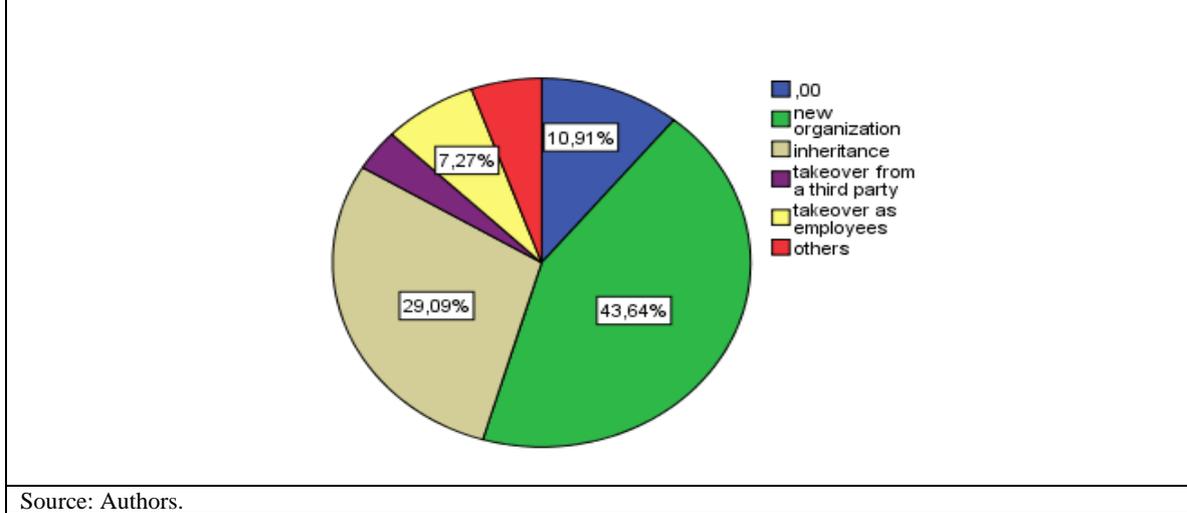
**Figure 3. Position of the Executive**



Source: Authors.

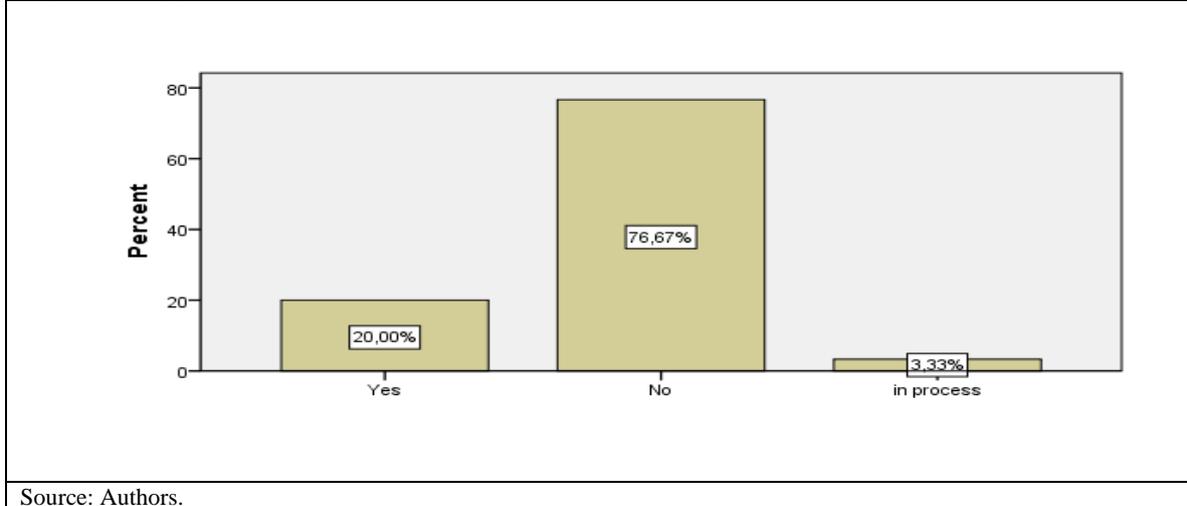
Of business managers, 43 were business owners; 7 were partners; 2 were professional managers.

**Figure 4. Type of Establishment**



About half of the companies were new organizations in the furniture sector. 29% took over the business from the family. 7.27% of them were former employees of the furniture company they worked for and bought the company.

**Figure 5. Type of Establishment**



In global markets, having own brands and patents is important for businesses to survive and to compete with their competitors in order to obtain a high profit share. When the situation of firms operating in the furniture sector in Kırıkkale is examined, it was observed that a very large portion of the enterprises (76.67%) did not have any trademarks or patents; only 20% had trademark and patent and 3.33% were in the process of having a trademark or patent.

**Table 2. Final goods for consumers or intermediate goods for other firms**

	N	%
Both Final and Intermediate Goods	15	27.3
Intermediate Goods	1	1.8
Final Goods	17	30.9
Other	5	9.1

Source: Authors.

Among the companies in the furniture sector, 15 enterprises produce their products both for the end consumer and as intermediate goods for other enterprises. Only one company produces intermediate goods for other companies; 17 enterprises produce for end consumers only.

**Table 3. Producing their own brand or some other firm's brand**

	N	%
No Brand	15	41.7
Producing for other brands	1	2.8
Producing for our own brand(s)	12	33.3
Producing for both our own brand and other brands	4	11.1
Other	4	11.1

Source: Authors.

The companies operating in the furniture sector were asked whether their production was made for their own brand (s) or for the brand of other companies. 41.7% of the owners stated that they did not have their own brands. While 33.3% produced for their own brand 2.8% produced for the brand of other companies. 11.1% of the firms expressed that they carried out production activities for subcontracting. These results illustrate that almost half of the firms in Kirikkale, one of Turkey's leading province in the furniture manufacturing city, did not have their own brands.

**Table 4. Export status of the firms**

	N	%
Null	24	43.6
Yes	3	5.5
No	28	50.9

Source: Authors.

Unfortunately, most of the respondents (43.6%) did not answer the question of whether their firms export or not. It was determined that more than half of the firms did not export, and only operate in local production and service. Only 5.5% of these companies export.

**Table 5. Causes of nonexporting**

	N	%
Satisfaction in domestic markets	2	16.7
Lack of knowledge on foreign trade	3	25
Lack of resources (capital, technology, material)	1	8.3
Lack of information on foreign trade and inability to offer products at an affordable price	1	8.3
Satisfaction in domestic markets and inability to offer products at an affordable price	1	8.3
Lack of resources, qualified personnel and information on foreign trade	3	25
Lack of knowledge about foreign trade and lack of recognition of foreign markets	1	8.3
<b>Total</b>	<b>12</b>	<b>100</b>

Source: Authors.

A clear identification of the reasons for non-export will be useful in eliminating export barriers and restrictions. Within this framework, among the reasons of non-exportation of firms, it was seen that insufficient information on foreign trade, insufficient resources including capital, materials and technology items, lack of qualified personnel and not recognizing foreign markets were among the top reasons.

**Table 6. Previous year consulting and training services from outside (%)**

	Consulting Service	Training Service	No Service
Marketing, Promotion	5.5	47.3	40
Sales, distribution	3.9	39.2	56.9
Management and organization		7.7	92.3
Human resources	1.9	3.8	94.2
Total quality management	1.9	5.8	92.3
Production plan and control	3.9	2	94.1
Foreign trade, export	2	2	96.1
Computer Systems	3.8	9.6	86.5
Scheduled maintenance	3.8	5.8	90.4
Financial management	3.9	3.9	92.2
Executive development training and basic skills training	3.8	5.7	90.6
Other	33.3	-	66.7

Source: Authors.

While analyzing the current situation and future needs of the companies, they were asked what external training and consultancy service they received last year. The training services activities they received the most were marketing and promotion, sales, distribution, computer systems, management and organization, total quality management, planned maintenance and manager development, and basic skills training. It is seen that they do not receive much training support in foreign trade and export.

The most consultancy services received were marketing and promotion, sales, distribution, financial management and executive development services while the least consultancy activities received were human resources and total quality management practices.

**Table 7. Changes in the last two years (%)**

	Positive Change	Negative Change	No Change
Production amount	5.5	89.1	5.5
Number of employees	7.5	81.8	10.9
Overseas sales	18.6	69.8	11.6
Domestic sales	7.8	86.3	5.9
Profitability	3.6	92.7	3.6
Workplace environment and working conditions	36.5	40.4	23.1
New investments	6.3	83.3	10.4
Product differentiation	70.8	16.7	12.5
Working capital	7.3	81.8	10.9
Total debt	3.7	85.2	11.2
Product returns	3.8	17.3	78.8
Competition power	5.8	76.9	17.3
Product prices	3.8	90.6	5.7
Producing costs	9.6	90.4	-
The capacity utilization rate	4	96	-

Source: Authors.

The enterprises were asked the question of which activities have changed in the last two years. According to the responses, the subjects with negative tendencies were the capacity utilization rate, profitability, product prices, production costs and the decrease in production amount, respectively.

The most positively changing activity was the increase in production diversity, and then, working conditions, foreign sales, product costs, domestic sales, number of employees, improvements in working capital, respectively.

**Table 8. Future needs of the firms (%)**

	Needed	No Needs	No Idea
Additional finance for investment	96.4	3.6	-
Additional working capital	83.3	16.7	-
Quality improvement	90.7	7.4	1.9
Openness to foreign markets	60	36.4	3.6
Growth in the domestic market	92.7	5.5	1.8
Branding	100	-	-
Entering a new field	70.9	27.3	1.8
Business restructuring	18.5	75.9	5.6
Qualified additional manager	52.7	47.3	-
Qualified specialist staff	38.9	61.1	-
New product development (innovation)	50.9	41.8	7.3
Cost reduction	56.4	43.6	-
Technology improvement	38.9	61.1	-
Domestic partnership	38.9	53.7	7.4
Overseas partnership	34.5	54.5	10.9
Create a new distribution channel	59.3	33.3	7.4
Transition to electronic commerce	47.2	43.4	9.4
Management consulting	44.4	55.6	-
On-the-job training of employees	47.3	50.9	1.8
Executive training	85.5	12.7	1.8
Sales and marketing	90.9	7.3	1.8
Advertisement and promotion	92.7	5.5	1.8

Source: Authors.

Determining the future expectations and needs of enterprises will enable us to reach more meaningful results. The most important issue that stands out in this context was that firms need additional financial support for the branding and investment in the future.

The most needed areas are; growth in the domestic market, advertising and promotion, sales and marketing, quality improvement, executive training, additional working capital, entering a new field, opening to the foreign market, creating a new distribution channel and the need for qualified additional managers.

### Conclusions and suggestions

Nearly half of the business managers are the owners of the business, and very few of them employ professional managers. This indicates that the structure of the sector in the region is far from institutionalization and the application of new financial techniques that and human resources is relatively sufficient. Only 20% of companies have trademarks and patents; 41.7% of the enterprises do not have a brand, 33.3% produce for their own brands; 11.1% produce for some other brands. It is reasonable to say that there was not enough infrastructure and tendency in innovation, and this had a negative effect on competitiveness.

More than half of the enterprises do not export; the reasons for this are insufficient information on foreign trade, insufficiency of resources including capital, materials and technology items, lack of

qualified personnel and not recognizing foreign markets. This situation leads to the weakness of regional enterprises in the global platform. As a result, this situation is also negative in terms of foreign currency inflow to the country. These results are consistent with the findings of Gürpınar and Barca (2007). They found that increasing demand, qualified workforce, use of advanced technology, export-oriented work and exportation strategies were effective as factors that enabled the Turkish furniture sector to have a competitive power in the international arena.

In order to eliminate the deficiency in the areas that enterprises cannot carry out with their own means; marketing and promotion, sales, distribution, computer systems, management and organization, total quality management, planned maintenance and manager development and basic skills training. Again, marketing and promotion, sales, distribution, financial management and executive development services also received external consultancy services.

As a matter of fact, in the study of Sarıkahya (2012), it is remarkable that furniture manufacturers in Ankara receive consultancy and training services on similar subjects. On the other hand, Malkoçoğlu et al. (2015) identified the most important problems of the furniture industry as lack of qualified personnel, high energy cost, lack of attention of workers, lack of financing and deficiencies in laws and regulations. When the activities of the company were examined in the last two years, it was found that they mostly tried to eliminate the weaknesses results from production diversity, working conditions, product costs, foreign sales and the number of employees. The areas where the companies need the most for the future are the additional financial need for branding and investment, growth in the domestic market, advertising and promotion, sales and marketing, quality improvement, executive training, additional working capital, entering a new field, opening to the foreign market, creating new distribution channels and the need for qualified additional managers.

In order to compete with the developed companies in Kayseri, Istanbul, Bursa and Ankara in Turkey, Kırıkkale furniture sector needs to start original designs, branding, state support and high quality R&D activities. It will be important steps for these companies if both Kırıkkale Chamber of Commerce and Industry and related public institutions organize training seminars on foreign trade and marketing techniques. Elimination of additional financing needs by providing incentives and grants, and reducing tax rates for these firms would positively affect the openness to international markets.

Instead of transferring ownership and management hierarchy of business executives from father to son, appointing competent professionals in the field of foreign trade and domestic markets as independent professional managers will help businesses meet their future needs and expectations. In addition to providing furniture vocational education both in vocational high schools and universities, increasing the university-sector cooperation is important for the sector. Furniture design and engineering departments should be opened in appropriate universities. In line with industry 4.0, furniture sector should strengthen the production network and foreign market power through new formations, smart furniture, electro-furniture, environmentally friendly furniture, human and environmentally sensitive approaches.

## References

- AHİKA (Ahiler Kalkınma Ajansı). "Kırıkkale Mobilya Sektörü". (Erişim tarihi: 28.09.2019).
- Altay, B., Gürpınar, K. (2008). Açıklanmış Karşılaştırmalı Üstünlükler ve Bazı Rekabet Gücü Endeksleri: Türk Mobilya Sektörü Üzerine Bir Uygulama. Afyon Kocatepe Üniversitesi, İİBF Dergisi, 10, 1, pp. 257-274.
- Çelik, N. (2012). Türkiye’de Mobilya Sektörü Gelişim Planı İçin Bir Karar Modeli Önerisi. Sosyal ve Beşeri Bilimler Dergisi, 4, 1, pp. 223-232.

Demirci, S. (2005). Türkiye Mobilya Endüstrisinin Sorunlar ve Çözüm Önerileri. Politeknik Dergisi, 8,4, pp. 369-379.

Gürpınar, K., Barca, M. (2007). Türk Mobilya Sektörünün Uluslararası Rekabet Gücü Düzeyi ve Nedenleri. Eskişehir Osmangazi Üniversitesi, İİBF Dergisi, 2, 2, pp. 41-61.

Malkoçoğlu, A., Ataseven, F., Yıldırım, İ., Yaylı, K. (2015). Türkiye Mobilya Endüstrisi Büyük Ölçekli İşletmelerinin Sorunları ve Çözüm Önerileri. Selçuk-Teknik Dergisi, 1, pp. 729-746.

Sarıkahya, M. (2012). Mobilya Endüstrisinde Kobi'lere Verilen Devlet Desteklerinin Firmalar Üzerindeki Etkileri (Ankara Örneği), Politeknik Dergisi, 15, 4, pp. 177-183.

KTSO (Kırıkkale Ticaret ve Sanayi Odası) (2018). Mobilya Sektör Raporu. [www.kirikkaletso.org.tr](http://www.kirikkaletso.org.tr) (Erişim tarihi: 28.09.2019).

T.C. Ticaret Bakanlığı (2018). Mobilya Sektör Raporu. (Erişim tarihi: 28.09.2019).

TOBB (Türkiye Odalar ve Borsalar Birliği) (2017). Türkiye Mobilya Ürünleri Meclisi Sektör Raporu. (Erişim tarihi: 28.09.2019).

TÜİK (Türkiye İstatistik Kurumu). [www.tuik.gov.tr](http://www.tuik.gov.tr) (Erişim tarihi: 28.09.2019).

SASO JOSIMOVSKI<sup>1</sup>, LIDIJA PULEVSKA<sup>2</sup> AND MARTIN KISELICKI<sup>3</sup>

## IMPLEMENTING THE FREEMIUM BUSINESS MODEL IN THE SOFTWARE INDUSTRY: KEY FINDINGS AND IMPLICATIONS

### Abstract

The freemium business model has been defined as giving away your service for free (whether ad-supported or not), acquiring customers quickly and efficiently, followed by offering premium priced value-added services to the customer base (Wagner et al, 2013). This model has been present in the economy since the 1980's, but has taken traction in recent years in the software industry with large corporations such as Google, Apple, Spotify and many others accepting it as a primary method of payment for their products and services. The model assumes that the customer potentially can pay more money through this method, rather than paying to own the product or service outright with all the included features. However, there is still uncertainty whether this business model works and generates profits, while different case studies and statistics question that this model and the implementation of a "pay wall" (use limited features of the product/service for free and pay a certain amount to access the "locked" features) can prove as a successful marketing tactic. Baden-Fuller and Haefliger (2013) argue that the freemium model brings a growing pool of users, which are a valuable strategic resource for the company in the long run.

The paper focuses on three different aspects of the freemium model. Empirical research is done to cover the basis of the freemium model and the main differences with other related models. Case study analysis focuses on the practical implementation of the freemium business model in the software industry in recent years. Emphasis is put on analyzing the possible benefits and drawbacks of the business model implementation, both on the short-term and long-term, along with the reputation risk it carries.

**Keywords:** Revenue models, marketing models, freemium, growth strategy

**JEL Codes:** M30, M50

### 1. Landscape for the Freemium Model

The rise of digital technologies has brought significant changes in every aspect of the business world. One of the areas that has been the focus of transformation in recent years have been the pricing and promotional strategies which have been completely revamped to satisfy Web 2.0 users. In order to attract more users, companies have been trying to innovate and position their products and services in a new way, as part of their digital marketing strategy (Bonnaccorsi A. et al, 2006). Traditional pricing models for digital products include either full payment upfront to own the product/service or a subscription-based model (more prominent for services) where the user is charged on a monthly level as long as he is active. The initial efforts to innovate with a new pricing model came in the late 80s, where companies started to promote their software as "shareware". Shareware is freely provided for a limited period of time in order to offer potential customers the opportunity to use the program thus determining its usefulness and potential advantages over competitors before taking a decision about buying a license (Iglesias, 2013). Shareware can be labeled as a "trial version" to stress that meaning. In other cases, the software is offered with some limitations on functionality, such as import/export or save options and the like. Shareware software was often viewed in negative light, which can be attributed to the simple wording of the offer that was given to consumers. Using the words "limited" or a "trial version" is

<sup>1</sup> Ss. Cyril and Methodius University in Skopje, Macedonia, saso.josimovski@eccf.ukim.edu.mk.

<sup>2</sup> Ss. Cyril and Methodius University in Skopje, Macedonia, lidijap@eccf.ukim.edu.mk.

<sup>3</sup> Integrated Business Faculty, Skopje, Macedonia, martin.kiselicki@fbe.edu.mk.

unattractive for consumers, who get the sense that they have to pay for the full version to use the software properly. The term slowly disappeared in the beginning of the 90s, failing to capture the consumer attention<sup>4</sup>.

Moving forward, in the early 2000s we can see the rise of the first Freemium models for payment. For example, Yahoo offered their e-mail service as free, with advertisements being shown across the platform. For a certain fee, paying users would get rid of advertisements, as well as get almost unlimited storage space as another benefit (Dörr et al, 2012). This is one of the earliest freemium models, although it has not been billed as such. The freemium business model has been defined as giving away your service for free (whether ad-supported or not), acquiring customers quickly and efficiently, followed by offering premium priced value-added services to the customer base (Wagner et al, 2013). For software companies, there are huge potential benefits as a growing user base indicates success of the application, while for the users there is the option of using an application with basic features, which can be completely sufficient for them. Since 2010, the landscape of software has been shifting, in part because of the popularity of smartphones and the widespread of Internet technologies (Tece, 2010).

**Figure 1. Digital in 2019**

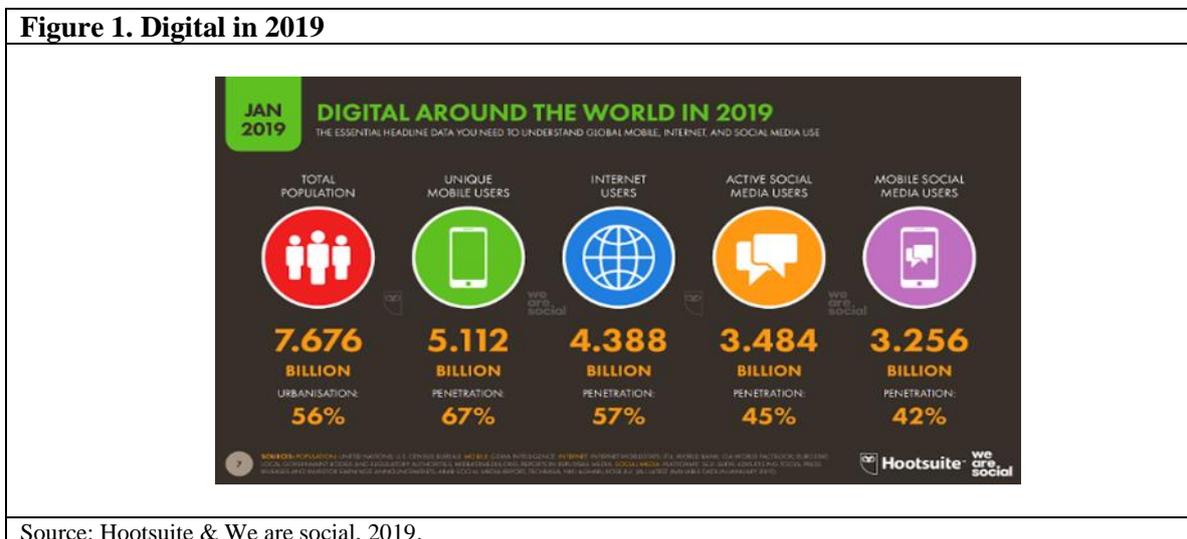
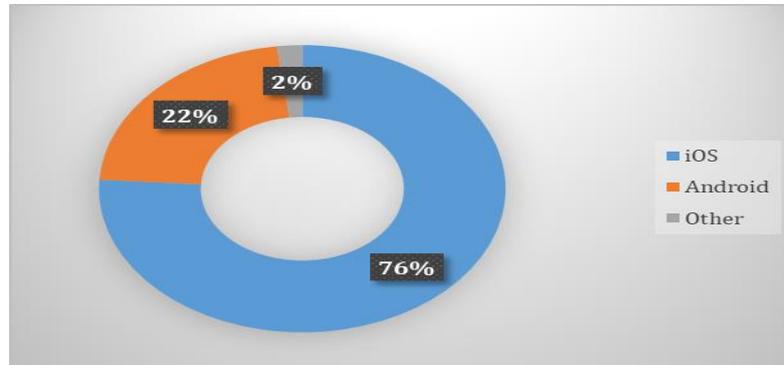


Figure 1 shows that 57% of the world population has internet access, while 67% (5,1 billion) are mobile phone users. These numbers are growing every year, making it very lucrative for companies to tap into this market with their applications. By the start of 2018, users have downloaded more that 178 billion applications to their smartphones, with 48% of the website traffic worldwide has come from mobile devices (Statista, 2019). In the current business landscape, there are two major mobile operating systems, iOS (produced and managed by Apple<sup>5</sup>) and Android (produced and managed by Google

<sup>4</sup> PC Mag, Nov 24, 1993.

<sup>5</sup> <https://www.apple.com/ios/ios-13/>.

**Figure 2. Android vs iOS market share**



Source: Statcounter, 2019.

Both operating systems enjoy their fair share of users, with Android being dominant with 76% of the marketplace, while iOS captures 22% of the smartphone users. Google distributes applications through the Google Play Store, launched in March 2012. iOS distributes applications through its App Store, launched in 2009. These are core applications and system services, installed in every phone with its respective operating system. Companies must distribute applications through these platforms, generally choosing one of four payment models:

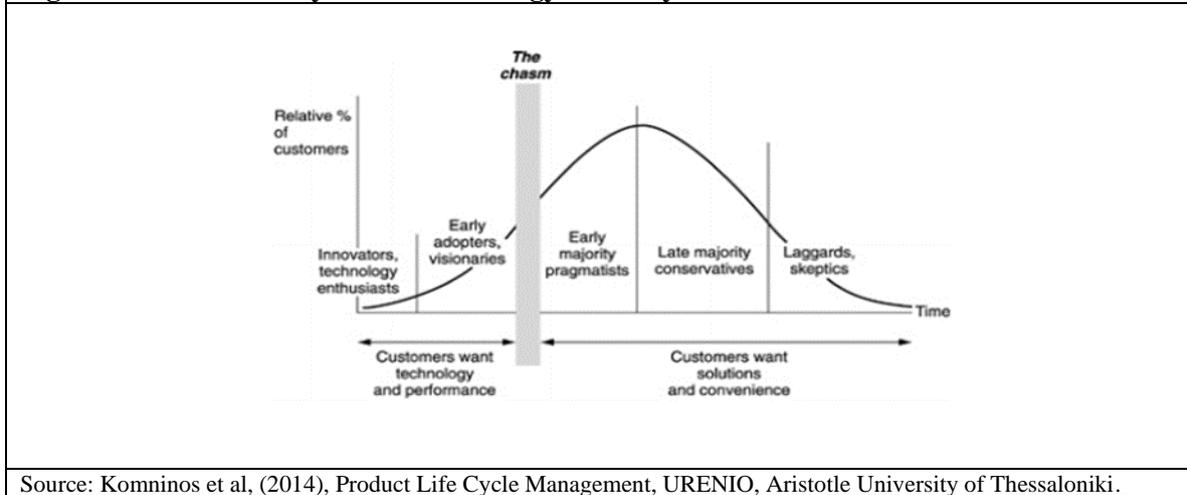
- **Free app** – users can download and use the application for free. There are no additional purchases, while the revenue generating model is focused on showing advertisements while using the application
- **Paid app** – users are able to download and use the application only after paying full price for it. When downloaded, they have access to all of its features to utilize however they see fit
- **Subscription based app** – users can download the app for free, but to use its features they have to pay a certain amount on a monthly/yearly level.
- **Freemium app** – users can download and use the application for free, while certain “advanced” functions are locked away and only accessible after payment of a certain amount.

Latest data shows that 96% of Android apps are listed as free (falling under the free, subscription of freemium app), while only 4% are listed as paid apps. Mobile apps are expected to generate \$462 billion in revenue in 2019. The Apple App Store has listed over 2.2 million apps available for download. There are over 2.8 million apps available for download on the Google Play Store (Statista, 2019).

## 2. Structure of the Freemium Model in mobile applications

Expanding the research on the freemium pricing model, we have to analyze the product life cycle of a mobile application. The product's life cycle - period usually consists of five major steps or phases: Product development, introduction, growth, maturity and decline (William & McCarthy, 1997).

**Figure 3. Product life-cycle and technology maturity**



Freemium pricing models look to push through the chasm in the product life-cycle model, where there is skepticism towards new products/services on the market, by making them free to use with certain limitations. This is similar to shareware, however from a marketing standpoint there are some clear differences:

- The phrasing “limited use” and “limited features” have been completely omitted. This simple change has enabled freemium applications to differentiate themselves as full applications with all the basic features the user would need
- There is no sense of urgency created to buy the “premium” version of the application, as opposed to shareware, with exception of time-limited model
- Premium features are billed as extras, gradually enticing users to either test them out or show them what they are doing and how they would be beneficial for the user

Freemium pricing structure includes different aspects, mostly differentiating between features for application and mobile phone games. Applications usually lock premium features such as customizations, filters or other type of uses behind a premium fee, while games could include purchase of special items, avatars or even resources to continue playing in an expanded way.

Freemium models can be divided in two general categories (Anderson, 2009):

- **FLF (Feature limited freemiums)** – involve a basic version of the application with certain functionality, while additional functionalities are charged extra (either as a group or individually)
- **TLF (Time-limited freemiums)** – offer free access to the full versions of the application, but for a limited amount of time. After the period expires, the user has to buy it for full functionality. TLF is very rare in the mobile app market, as it has proven to be less successful.

### 3. Benefits and drawbacks of utilizing the Freemium Model

Different companies entail different approaches to freemium, with FLF, TLF and hybrid solutions being present. The economic logic is sound and relates to the chicken and egg problem (Caillaud & Jullien, 2003), meaning that a platform/application has to reach a certain critical amount of users, which require a certain amount of content, which to be provided needs a certain amount of users...ongoing in a spiral to develop and sustain the business model. For example, Instagram for Windows Phone was released 3

years after the initial version on iOS and Android, with the main problem being cited that there are not enough users to sustain the development costs<sup>6</sup>. On the other hand, users often cited that the lack of applications on Windows phone makes it less appealing to switch to the platform.

The freemium model can be seen as a fast and efficient way to gain a critical mass of users to be able to create content and fast-track through the adoption phase. Music streaming platforms are a prime example of different freemium models being implemented:

- Spotify and Deezer implement FLF, focusing on free music streaming in the basic version, with ads being featured between songs. The premium version offers no ads at all, if the user is willing to pay
- Google Play Music and Apple Music implement TLF, with a free trial available for a limited time (ad-free), making the user pay for the service in full after it expires

**Table 1. Benefits and drawbacks of Freemium Models**

FREEMIUM MODEL	
BENEFITS	DRAWBACKS
Attract a large number of users quickly	Difficulty in conversion
Give users time to learn the application	Perceived pay wall
Experiment with revenue models (subscription, ad revenue)	Expensive infrastructure and support systems
Testing of applications	

Source: Author's own research.

Proper freemium implementation can be difficult to carry out. As shown in table 1, there are numerous advantages offered by the freemium model:

- **The ability to attract a large customer base** – when offering the application for free (whether FLF or TLF), users are keener to try it out if it piques their interest (Baeden-Fuller & Haefliger, 2013). Compared to paid applications, where even a small investment is seen as a potential barrier.
- **Educating consumers** – Advertising is a difficult and expensive process, especially for mobile applications. For users to understand the concept of a mobile phone application and its benefits, it can be drastically better for them just to use it for themselves, instead of reading about it, viewing screenshots or watching reviews<sup>7</sup>.
- **Flexibility in revenue models** – freemium enables the company to choose how to monetize the user base. In certain cases, it can be better to utilize ad-revenue models, as the user base is not

<sup>6</sup> <https://www.digitalcitizen.life/best-instagram-clients-windows-phone>.

<sup>7</sup> <https://blog.bmtmicro.com/pros-cons-freemium-business-model>.

willing to pay for the application, while in other cases it can be a subscription model or some other hybrid version.

- **Free beta testing<sup>8</sup>** – As mobile application development can be a long process requiring a lot of testing, freemium models offer the ability to include future consumers early and have them use the application on an everyday basis, helping in ironing out the bugs and other potential problems. Since the user is not paying, the product doesn't have to be offered as a final and fully functional version.

Despite the obvious advantages, there are certain drawbacks to the freemium model which companies should take into account:

- **Difficult conversion of users** – FLF models rely on user conversion to pay for the premium features. This can be rather difficult, as users could be happy with the basic offering and never convert to the premium version of the application (Benlian & Hess, 2014). To reduce the risk of free riders, companies should consider converting to a TLF model.
- **Perceived pay wall** – more prominent in mobile games, where certain functionalities and even the core usage of the application can be locked behind payments. This creates an uneven experience for the users, where they feel extorted to pay a certain amount to continue using the application, creating a negative perception for the application, company and brand.
- **Expensive support systems** – Since freemium apps rely on giving the application for free, this means that the company amasses a large number of users who are not paying customers. Regardless, the application has to be built on a certain infrastructure and offer some support mechanisms to all users. These fixed costs are usually calculated in the price of a full-version application, but have to be waived for free in freemium models for all users.

#### 4. Conclusions

Freemium models are a promising solution for pushing out applications on a saturated marketplace and connecting with the core user demographic. There are large implications both on the marketing and revenue generating models. Marketing and advertising gain more flexibility in promoting the application, with the option to enable the user to either try before they buy (TLF models) or use a basic version of the application (FLF) for free and have premium features available as well. This enables the company to generate the critical mass of users needed to implement the selected business model and at the same time enabling users to check out products and services risk-free and in a non-intrusive or pressured way, as previously with shareware applications.

From a revenue point of view, companies also gain flexibility in selecting a certain model or creating customized hybrids. Revenue can be generated through ads and paying for features in FLF models, paying for the full version in TLF models, subscriptions both in FLF or TLF models and any combination between them in a customized model. Companies can decide when to capitalize on the user base and which model to utilize based on individual scenarios.

Freemium models are transforming the product life-cycle, giving the company opportunity to push through certain stages with relative ease and compete on the market. There are numerous benefits that are offered via the freemium model, the most prominent being the acquisition of a large user base and capitalizing quickly. However, if not implemented properly, there can be significant disadvantages both on the short-term and long-term, such as difficulty in conversion and damaging the company reputation. Each application is unique with a specific user base, so models should be chosen accordingly. This research can be expanded by analyzing case studies of successful and unsuccessful implementations,

---

<sup>8</sup> <https://www.conversion.com.br/en/-blog/freemium>.

researching other industries beside mobile applications and constructing a framework for implementing freemium models in the marketing and revenue generating strategies of the company.

## References

Anderson, C., (2009) *Free: the future of a radical price*, Hyperion; First Edition.

Baden Fuller C., Haefliger S., (2013), *Business Models and Technological Innovation*, 46(6):419–426.

Benlian A., Hess T., (2014), *Converting freemium customers from free to premium—the role of the perceived premium fit in the case of music as a service*, *Electronic Markets* 24(4):259-268.

Bonaccorsi, A., Giannangeli, S., Rossi, C., (2006), *Entry strategies under competing standards: hybrid business models in the open source software industry*. *Management Science* 52 (7), 1085–1098.

Caillaud, B. and Jullien, B. (2003), *Chicken & egg: Competition among intermediation service providers*. *RAND Journal of Economics*, 34(2):309{28.

Dörr, J., Benlian, A., Vetter, J. and Hess, T. (2010) *Pricing of Content Services - An Empirical Investigation of Music as a Service*, in *Proceedings of the sixteenth Americas Conference on Information Systems*, August 12-15, Lima, Peru, ACM Press, 1-9.

Iglesias A., (2012), *Freeware, Shareware, and Open-Source Mathematical Software Tools: a Feasible Alternative to Commercial Symbolic Packages for Mathematics Education*, RIMS workshop, Kyoto University.

Teece D., (2010), *Business Models, Business Strategy and Innovation*, *Long Range Planning*, Volume 43, Issues 2–3, April–June 2010, Pages 172-194.

Wagner, T. M., Benlian, A. and Hess, T. (2013) *The Advertising Effect of Free – Do Free Basic Versions Promote Premium Versions within the Freemium Business Model of Music Services?*, in *Proceedings of the forty sixth Hawaii International Conference on System Sciences*, Hawaii, USA, 1-10.

William D. & McCarthy J. E, (1997), *Product Life Cycle: “Essentials of Marketing”*, Richard D Irwin Company.

## Internet sources

Hootsuite & We are social, (2019), *Digital in 2019*, available at <https://wearesocial.com/global-digital-report-2019> (accessed on 15.09.2019).

Statcounter, (2019), *Global Stats, Mobile Operating system market share worldwide*, available at <https://gs.statcounter.com/os-market-share/mobile/worldwide> (accessed on 15.09.2019).

Statista (2019), *Mobile phone penetration*, available at <https://www.statista.com/statistics/284202/mobile-phone-internet-user-penetration-worldwide/> (accessed on 10.09.2019).

Statista (2019), *Distribution of free and paid Android apps in the Google Play Store as of August 2019*, available at <https://www.statista.com/statistics/266211/distribution-of-free-and-paid-android-apps/> (accessed on 10.09.2019).

Statista (2019), Mobile app usage - Statistics & Facts, available at <https://www.statista.com/topics/1002/mobile-app-usage/> (accessed on 20.09.2019).

<https://www.apple.com/ios/ios-13/> (accessed 17.09.2019).

<https://www.android.com/> (accessed (17.09.2019).

<https://blog.bmtmicro.com/pros-cons-freemium-business-model/> (accessed 05.09.2019).

<https://www.conversion.com.br/en/-blog/freemium/> (accessed 05.09.2019).

FATIMA ZAHRA<sup>1</sup> AND SEYEDEHSAMANEH FATEMI<sup>2</sup>

ORIGION TOWARDS DEVELOPMENT: INDO-PERSIAN AESTHETIC  
CHARACTERISTICS OF PAISLEY ORNAMENT

### Abstract

Focus of the paper is on the intrinsic nature and development of the Indo-Persian ornament “Paisley” and the application of this floral linear pattern on textiles i.e. shawls, table wraps, carpets. As Paisley has evolved into different phases in terms of its development i.e. Iranian art phase and Indo-subcontinent phase (Mughal era). Intrinsic nature of the ornament is illustrated under the shelter of comparative study method that spell out the Indo-Persian motif characteristics. This article briefly examined the characteristics of paisley motif practised in Iran and Kashmir and explored its main decorative features which are floral and geometrical in nature. At the end, this paper likewise covers that due to developing and flourishing nature of Paisley, this ornament is consequently frequently a very prominent ornament in the most significant work of enrichment and plays an accentuation part in the embellishment of textile surfaces. Paisley, a masterpiece is particularly associated with methods for transmitting the aesthetic beauty of the motif utilized as a part of different societies.

**Keywords:** Paisley pattern, Iranian art, Indo-Iranian motif, Kashmiri shawls

**JEL Codes:** Z00, Z11

### Introduction

Paisley ornament were in trend for about 100 years, from around 1780 until the 1870's. Additionally, paisley ornament is one of the well-known motifs that is fundamentally conceived in Iran and spread to different nations. During this time millions of motifs were woven, weaved and embroidered in Kashmir, Persia, India, Russia, Europe, in France at Paris and Paisley itself. After its popularity in Iran, it was highly practised on woven Kashmir shawls which initially gotten ladies' attention. As shawls have been woven in Kashmir since about the 11<sup>th</sup> century, however the industry delivering what allude to as a Kashmir shawl is thought to have started during the 15<sup>th</sup> and 16<sup>th</sup> century.

During the fifteenth century Persian supplanted Sanskrit as the official language and the world 'shawl' gets from the Persian "shal", indicating a surface creation with woven texture as opposed to ordinary fabric.

### Historical significance

#### Paisley in Iranian Retrospect

Paisley which Persian called “bute-jegheh” means crown or anything like the crown that settle highest point of the cap. Historically, Iranian lords utilized plume on their crown that was the indication of their capacity, genuinely and lowliness. (Figure 1,2)

<sup>1</sup> Universiti Sains Malaysia, Malaysia, zahrasiddiqi13@gmail.com.

<sup>2</sup> Universiti Sains Malaysia, Malaysia, sam.ffaa@yahoo.com.

<p><b>Figure 1. Ahmadshah, Lord of Iran, 1990-1925</b></p>	<p><b>Figure 2. Sample of crown, Pahlavi period</b></p>
	
<p>Source: www.argo-co.com.</p>	<p>Source: www. en.wikipedia.org.</p>

There are various ideas regarding the wellspring of Paisley design. Some scholars believe that paisley is the sign of cypress which is the symbol of manhood and flourish. Additionally, there are lots of narratives about cypress which all their roots are in history. However, none of them has been proven. As Jule (2002) mentioned, the indication of the essential type of Paisley originates from cypress which is one of the symbols of Zoroaster<sup>3</sup>. Other scholars had known an animal shape for the wellspring of Paisley. They believe that Paisley originates from the shape of feather bird. meantime, some scholar such as Estahbanati (2011) believes that Paisley extract from the sketch that is in the body of silkworm. Zoyavar, Vahdati, & Makinejad (2015), in the research “Symbolic Meanings of Persian Paisley (Bote Jeghe)” introduce Paisley as a motif which is not just a decorative one but also contain higher meanings and has botanical based in traditional Iranian arts. The research tries to explain the different meanings of Paisley. However, Vassel (2008) studied about the history of paisley and she believes that the origin form of Paisley come from simurgh that is one of the symbols of ancient Iran. The research “The History of Botte Jequeh (an Iranian Traditional Motif Resembling a Cypress Tree Bent in the Wind) in the Art and Culture of Iran(case study:To Collect and Renovation of Some the Iranian Traditional and Historical Botte Jeque(Nowaday Graphic Usage))” surveys about the various kind of Paisley and different uses of them. Estahbanati (2011) has a different idea about the original of Paisley. In the research “The development of aigrette motif in Iran the until end of Safavid period” he argued that Paisley come from the pattern which is in the body of silkworm. Research also study about the history of development of Paisley from past to Safavid period.

### Paisley in Kashmiri Retrospect

During seventeenth century the immortal theme of the Paisley started to come to fruition. Its development on the surface of Kashmir shawls began as a sketch of thin blossoming plant with roots, and the first name given to the theme in Kashmir was 'buta' or 'boteh' (a western adjustment of the word buta). There's some question among historians over the birthplaces of this early plant structure yet the general accord is that it had Persian orion. This Persian orion motif was intertwined with the aesthetic floral themes of Mughal art and by the eighteenth century as the floral theme were more extravagant improving and elaborate structure. More blossoms were added to the motif's surroundings and the Persian impact turned out to be considerably increasingly articulated with the supplanting of the roots with the outstanding Indo-Persian enlivening theme, the vase of blooms.

<sup>3</sup> Zoroaster is an ancient Iranian spiritual leader.

The fantastic Paisley motif we see today developed as a piece of design inspiration of shawl producers in the seventeenth century. During the time of the Mughal Emperor Akbar (r. 1556–1606), shawl making experienced a gigantic development spurt.

Akbar vanquished Kashmir in 1568 and took extraordinary intrigue both in the plan and creation of Kashmiri shawls as an image of adoration and royal status. He charged the development of workshops devoted to the production of Kashmiri shawls and went the extent that guiding his helpers to make explicit contributions to the manner in which shawls were woven and dyed. The configuration advanced in mid eighteenth century to increasingly formal theme as the quantity of blossoms expanded.

The advancement proceeded with well into the nineteenth century where the shape solidified into the now notable Paisley pine cone however its prevalence in Europe and the remainder of the world was expected in huge part to the blasting shawl exchange.

Figure 3. Kordestani	Figure 4. Sarband	Figure 5. Afshar
		
Source: Vassel (2008).	Source: Vassel (2008).	Source: Vassel (2008).

Vassel (2008) researched about various kind of Paisley and classified them according as per the urban areas.

Paisley as a traditional element utilizes for decorating varied things such as: carpet, tablecloth, textiles, tiling. But the most popular utilizing of paisley is in carpet.

Figure 6. Rug, Paisley mother and child, contemporary

Source: Vassel (2008).

The form of Paisley in figure 6 is changed and it is progressively geometric. In any case, the essential type of the Paisley is noticeable. There is one major Paisley which holds three litter on the inside in light of this they called it "Mother and Child". One of the inward Paisley is greater and it appears that it is left the essential shape. Other motifs in the rug belong to Persian motif which they utilized in rugs.

Paisley in this rug (figure 6) placed near each other and in the geometric composition. Free space is filled by other mainstream Iranian motifs. As regular the edge of the Iranian carpet is filled by a rectangular frame and the scheme placed in the middle. Symmetry is another feature for Persian carpet which is noteworthy in this scheme.

The predominant color in this scheme is warm while dim and light blue makes a reasonable balance on the eyes. The basic color for the big Paisleys is red and white that the motifs on them are with opponent colors. The warm colors in contrast with geometric shapes make a sense of vitality and happiness.

Artistic composition of warm colors and geometric shapes comprehend move and trill. The reasonable proportion of the shapes create the swirl eyes.

**Figure 7. Termeh, tablecloth, contemporary**



Source: www. bazaremina.ir.

Termeh is one type of costly Persian handwoven cloth which the fundamental pattern is Paisley. Popular color utilized in Termeh is red, green, orange and black. Figure 7 is an example of Termeh in the contemporary era. Paisley settled in a diagonal and regular way. There are lots of curved lined pattern that traverse over the Paisleys that there is no vacant space. Paisley is settled like trees in this figure and is decorated by the herbal patterns. Curvy Paisley and lines create the movement among the scheme.

As a standard thing, Persian utilized margin in their textile and carpet, there is a margin in Termeh and fundamental pattern is in the center. All Paisleys placed regularly and symmetrically.

As referenced before the predominant color of Termeh is red, green orange and black. The background in figure 7 is black and Paisleys are dim and light red. Patterns in Paisleys are blue and out of Paisleys are green to make a contrast with background and be visible. Circulation of colors is such that we can see all colors in one part.

Generally, there is a mobile composition in this figure, with colors which have the sense of warm and kindness. Although patterns repeated, there is no the sense of monotonous.

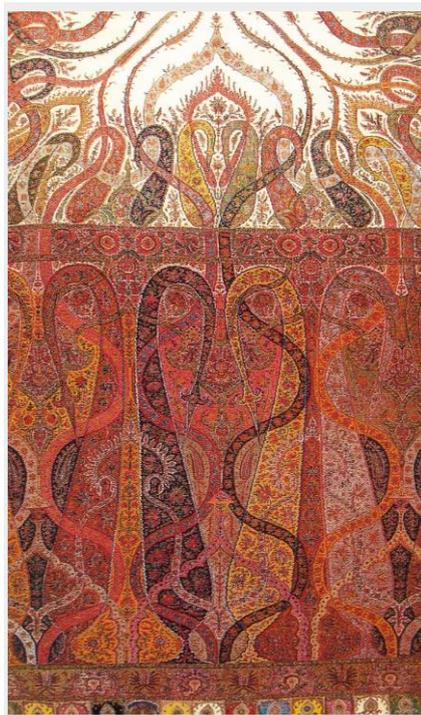
### Characteristics of Kasmiri Paisley

The earliest design on Kashmir seventeenth and eighteenth century shawls was a solitary blossoming plant along with roots, propelled by English herbals (books with plant outlines) which achieved the Mughal court during the seventeenth century. This motif gradually formed into an upstanding shower of blossoms, and by around 1800 turned into the stylised cone-molded motif known as the boteh, which we currently will in general call the Paisley pine. The state of the motif changed throughout the decades, from a little squat cone to an extremely elongated bend.

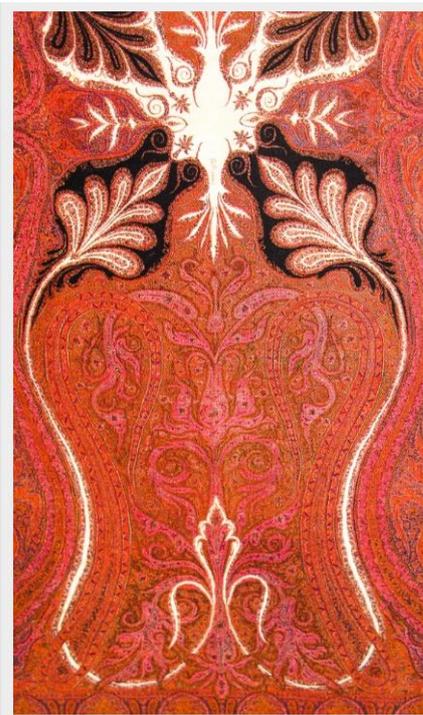
There are numerous hypotheses about the boteh or pine motif. The example can be followed back to old Babylon, where a tear-drop shape was utilized as an image to speak to the developing shoot of a date palm. The palm gave nourishment, drink, apparel (woven strands) and cover, thus progressed toward becoming viewed as the 'Tree of Life', with its developing shoot being step by step perceived as a ripeness visual.

Kashmiri shawls have been at the core of high style and trend for a long time. Its impact is ascribed to the ageless conceptualization of trend as well as the motifs and designs that has come to enhance a significant part of the design frill that graced the closets of design symbols consistently.

**Figure 8. Paisley Buta 19th Century, Complexity of the Buta design with Mughals Inspiration**



*Kashmir Paisley Shawl – Shoulder Mantel. Sikh – Dogra  
Period. ca 1845.*



*Kashmir Paisley Shawl – Shoulder Mantel. Sikh – Dogra  
Period. 19th Century.*

Source: Kashif (2013) "Kashmir Paisley Shawl and its Enduring Contribution to the Paisley Motif", [kashmircompany.com](http://kashmircompany.com).

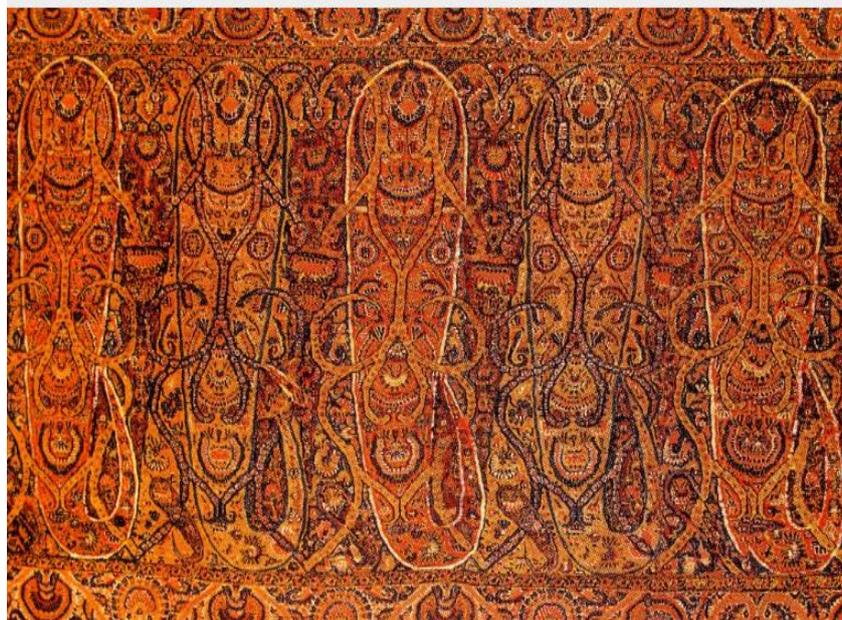
### Paisley pattern on Kashmiri Shawl

Iranian ornament is highly developed and fused with the Mughals Art style in Indo- Pak Subcontinent. A journey from tear drop iranian motif to highly stylized floral motif that is highly practised in Kashmir region in term of weaving and embroidery. Following is the example of Kashmiri shawls in 19<sup>th</sup> century, a peak era of paisley development.

A woolen Kashmiri shawls mostly follow two different style; one is boarder style, in which the motifs are composed on the boarder of shawls with other supporting design elements, Second is to compose the design irregularly, without the boarder design. Following visual is an example of boarded composition that adds aesthetic elegance to the shawl. The stylised elongated paisley is composed with the curvy lines and filled with the small floral design elements that are the speaciality of Mughal era. The boarder section is made with the dark shade to give them a highly expensive and enriched look while, the middle section of the shawls are highlighted with off white background, that makes the paisley pattern more dominant.

Kashmir is the region which is enriched with the use of colors. Tints, tones and shades of primary and secondary colors are highly in practised. Similarly, the yarns of kashmiri shawls are dyed in these color for the manufacturing of the shawls. Both looms and hand woven technique are used to make Kashmiri shawls.

**Figure 9. Paisley pattern on carpet**



Source: Kashif (2013) "Kashmir Paisley Shawl and its Enduring Contribution to the Paisley Motif", [kashmircompany.com](http://kashmircompany.com).

## Paisley Pattern on Kashmiri Carpet

Likewise shawls, carpets are also practised in Kashmir region. The speciality of these paisley pattern carpets is that they are fully weave by paisley pattern and other ornamental designs. Mostly two type of techniques are used in carpet design composition; Repeat designs, in which design is composed by the repetition of specific section, Mirror design, in which the specific section of the design is repeated inversely to each other. No small section of the carpet can be seen without any design element. Mostly the background of the carpet is placed in darker shade i.e. maroon, black, blue, green while the motifs and patterns are created in tints of those shades.

Elongated stylised paisley pattern is highly in practise. The rationale to elongated composition is the size of surface upon which it is to be composed. As the carpets are mostly in rectangular shape, that's that along with the length, elongated paisley patterns are used that adds aesthetic elegance to the visual.

## Conclusions

A plant design derived from Persian floral ornament with the naturalism of Mughal art and its development of a profoundly set piece of Kashmir shawls can be followed as far back as the 1500s. The development and commitment of this developed motif will be investigated with the goal that an increasingly complete comprehension of the Paisley theme can be had.

The boteh created in Kashmir under the attentive gaze of the Mughals and their assistants however its spread and inevitable transforming into the notable Paisley design was down completely the trade of shawls and interest for these bits of immortal Kashmiri style. From Delhi to Istanbul the Kashmir shawl turned into an image of affection and high style and request developed exponentially from the mid 1500s to the late 1800s. Dealers made a trip to Kashmir to procure these ageless pieces and accepting them to the extent Iran where they were worn by the affluent ladies; in Russia and spots like Turkestan, the Kashmir shawl was viewed as the must-have style embellishment and this fuelled prevalence which in the end cleared crosswise over Europe and the remainder of the world.

## References

Clabburn, Pamela *Shawls*, Shire Books, re-published 2005. (www.shirebooks.co.uk).

Clabburn, Pamela. *The Norwich Shawl*. HMSO, U.K. 1996. ISBN 0117015849.

Frank Ames *The Kashmir Shawl*. Antique Collectors Club, UK 1986 but recently reprinted. ISBN 0907462626. <https://ganj.irandoc.ac.ir/viewer/14071f933e626c318dfc2a536d9e0e05?sample=1>.

Irwin, John *The Kashmir Shawl*. Victoria and Albert Museum, 1973. ISBN 0112901646.

Jule, T. (2002). *Research in Iran Carpet*. Tehran, Iran: Yasavoli.

Levi-Strauss, Monique *The French Shawls*. 1987 Dryad Press Ltd 1987. ISBN 0852197594.

Nazari, A.(2011). *The development of aigrette motif in Iran until the end of Safavid period* (Master dissertation).

Reilly, Valerie *The Paisley Pattern The Official Illustrated History*. 1987. Richard Drew, Glasgow ISBN 086267.

The Geffrye Museum, Kingsland Road, London E2  
[www.geffryemuseum.org.uk](http://www.geffryemuseum.org.uk).

Vessal, Z.(2008). *The History of Botte Jequeh (an Iranian Traditional Motif Resembling a Cypress Tree Bent in the Wind) in the Art and Culture of Iran(case study:To Collect and Renovation of Some the Iranian Traditional and Historical Botte Jeque(Nowaday Graphic Usage))* (Master dissertation).  
<https://ganj.irandoc.ac.ir/viewer/316e1c0121969bfec22c205a74a988e0>.

Zoyavar, H., Vahdati, M., & Makinejad, M. (2015). Symbolic Meanings of Persian Paisley (Bote Jeghe). *Kimiya-ye-Honar*, 4(15), 99-113.

PATHE SEINY<sup>1</sup>

## HUMAN RIGHTS AS A FACTOR OF ECONOMIC INCLUSION IN SOCIAL CLASSES

### Abstract

Human rights have a positive effect on economic growth. Investing in freedom and participation rights might have positive impacts on economic growth. By investing in human rights, the economic growth rate of a country is likely to increase. Economic inclusion refers to equality of opportunity for all members of society to participate in the economic life of their country as employers, entrepreneurs, consumers, and citizens. Social inclusion is an approach that promotes equality of opportunity, to know the possibility for everyone, regardless of their origin, to achieve their full potential in life. This is a multidimensional process that aims to create the conditions for full and active participation of every member of society in all areas of life, including civic, social, economic and political, as well as the decision-making process for social classes.

The Guiding Principles are based on the premise that eradicating extreme poverty is not only a moral duty, but also a legal obligation within the framework of current international human rights regulations. Consequently, rules and human rights principles must be taken into account in the fight against poverty and in the orientation of all public policies that affect people living in poverty, because poverty is itself an urgent human rights problem. At the same time cause and consequence of human rights violations, it is a condition that leads to other violations. Extreme poverty is characterized by multiple and interconnected violations of civil, political, economic, social and cultural rights, and people living in poverty are regularly exposed to the denial of their dignity and equality.

**Keywords:** Human rights, economic inclusion, social classes

**JEL Codes:** I31, I38, K38, O10

### 1. Introduction

The Social and Democratic State of Law or Social Constitutionalism structures a different overlap between general principles of the constitutional organization of the State and guarantees of fundamental rights. The economic, social and rights that do not exist in the Liberal State complement the individual and political rights, enriching the dignity and development of the human person and qualifying the form of State. In the State of social constitutionalism, economic, social and cultural rights constitute subjective positions of people who affirm a principle of equal dignity and basic substantive equality of all human beings. Economic, social and cultural rights participate in the conditions of true rights insofar as they have a recognized essential content, in addition to being constitutional provisions of principle, all of which are intended to give a better quality of life to people. This necessarily implies the existence of an active State that promotes the common good and regulates the social economic process, a process previously delivered to the forces of the free market and to the single private initiative. In the new perspective of the Social State, it is assumed the need to provide the population with a basic minimum of well-being that is committed to delivering the State through positive benefits to be made regarding people in health, education, working conditions, social security, syndication, among other matters.

---

<sup>1</sup> Higher University of San Andres, Republic of Chad, thepa\_07\_12@hotmail.com.

The new perspectives of social constitutionalism must take into account the crisis of the traditional social state of the twentieth century, where social policies have the character of concessions planned centrally by the administration, with strong levels of opacity, privileges, discrimination and corruption phenomena, such as also, with distorted partitocratic forms and the performance of invisible and immune powers to the systems of adequate control, all of which leads to raising costs and reducing the efficiency and effectiveness of interventions aimed at enhancing and maximizing social rights. Likewise, the economic crises of the last decades, the productive and technological transformations, the globalization of the economic system, the deregulations and privatizations introduced in the neoliberal perspective of the last decades, the creation of opaque economic macro powers, as well as the relocation must be considered. n and destemporalización of labor relations.

The conception of the Social State of Law at present is not only that in which the Constitution expressly and solemnly determines in one of its provisions the proclamation of a Social and Democratic State of Law, as is the case with Germany, Spain or Colombia. The transcendent thing is that the legal system ensures social rights and their administrative and jurisdictional guaranteeing institutions, as binding legal norms and of direct effect at least in their essential content, in addition to the minimum content of such rights ensured by international law; jurisdictional actions are developed for the protection of such rights; limits are established on the autonomy of the will and contractual autonomy based on respect for fundamental rights; the role of the State as promoter of such rights and as regulator of the private sector is institutionalized.

This forces to strengthen the democratic Constitutional State as a new approach that strengthens rights and their guarantees and consolidates the principles of constitutional supremacy and rule of law, the publicity of the actions of public power and the control of power.

The need for a process of inter-disciplinary dialogue and consensus-building aimed at establishing the 'common ground' between rights and economics discourses has been highlighted by Mary Robinson, former UN High Commissioner on Human Rights. At the same time, there remains a wide perception of a conflict between realising rights on the one hand and economics concerns on the other, with fundamental freedoms and human rights often viewed as being in tension with development, growth and the optimal allocation of resources. This paper considers this issue specifically in relation to achieving economic growth.

Re-igniting growth, particularly in regions of the world that have experienced little or negative growth (as in much of sub-Saharan Africa), has again become an important focus in international development discussions. This is recognised as a key priority for achieving the Millennium Development Goals (not just in relation to income poverty), as stressed in the 2003 Human Development Report (on the MDGs) and by the UN Millennium Project. Indeed, the main motivation for the proposed scale-up in aid flows is to enable countries to reach self-sustaining growth paths and reduce long-term aid dependence.

However, this growth focus raises concerns, partly based on some past experiences, about whether seeking to achieve and accelerate growth will conflict with the realisation of key rights. This emphasises the now widely recognised fact that the nature of growth matters, in particular its distributional pattern and its sustainability (coupled with the ability to manage downturns). This focus on how to attain broad-based growth is evident in, for example, the recent multi-donor project on Operationalising Pro-Poor Growth (OPPG).

We argue here that there is much less conflict between the realisation of rights and economic concerns than is often assumed. Much of this perception of conflict is a matter of different language and approach, and there is considerable space for dialogue. Rights-based approaches and frameworks of analysis of economic growth are much more compatible than is sometimes supposed by detractors, and they often address very similar issues. This is not to deny that there are still real issues and choices to face, but these arise just as much within a rights approach or within an economic perspective as between the two.

## 2. A gigantic challenge for the economic as a factor for inclusion

According to the Organization for Economic Co-operation and Development (OECD), over the past three decades income inequality has increased in most of its member countries. If the accelerated growth has made the happiness of a global elite and its local relays which took advantage of it to multiply their assets and strengthen their social ancestry, this has been far from being beneficial for the poor and the excluded. On the contrary, it has to be said that economic progress has failed to reduce glaring inequalities and disparities. In several developing countries that have experienced episodes of vigorous growth, the impact of these economic successes has often been painful and distressing for the poor.

The situation has changed dramatically in recent years. Between and within countries, income inequality has widened. The incomes of the wealthiest in society have increased at breakneck speed and those of the poorest have stagnated or declined. A new normal has therefore settled in power relations for economic and social control. The result is that a large majority of the world's population now lives in societies that are more unequal today than it was twenty years ago. A wave of cynicism and indifference swept away whole sections of the social fabric. We are no longer moved by the abysmal gap of wealth and privileges existing between various segments and fragments of society. Henceforth such deviations are part of a normal process of distribution of rewards, sacred and consecrated by the laws of the market.

\*The notion of a safety net is commonly used in the fields of the fight against poverty (...)

\*In the vocabulary of experts, social protection means any set of measures taken to (...)

I believe that any growth, and any development that accompanies it, generates significant social challenges and risks. Often these result from bankruptcies and market imperfections. As unbalanced growth is a recurrent manifestation of the mode of production and appropriation of resources existing in market economies, is this the reason why, from time immemorial, societies have sought to develop and implement instruments of balancing intended to absorb such imperfections. In advanced capitalist societies, mechanisms have been gradually put in place to deal with these structural challenges. Through established contracts, states and social partners have agreed to erect a social protection infrastructure, including social safety nets, in order to correct certain externalities and thus maintain the cohesion of society. However, the general view is that social protection, as it is known in OECD countries, would represent an irrational luxury for developing countries, and that it could even prove counterproductive for these countries.

In most consumer societies, the widening of the production structures of inequalities undermines both economic growth gains and efforts to reduce poverty. The main question for the years to come remains that of knowing to what extent the political economy can meet the challenge of preventing the uncontrolled increase in inequality, or even helping to limit its destructive effects. To paraphrase Nobel Prize winner Angus Deaton economy in 2015, and author of *The Great Escape - Health, Wealth and Origin of Inequalities* (2016), the increase in inequality is not an economic problem, but a political problem. It is therefore necessary to introduce into the equation a whole set of questions which are linked to the political choices of societies in the search for both the foundations and the explanatory elements of the phenomenon. Clearly, market economies face narrow choices of public policy. Smart and innovative social policies, supported by redistribution policies and renewed social norms, can serve as

remedial tools for fundamentally inequitable growth regimes and thus foster inclusive development. It is hoped that the results of these long-awaited policies will provide a concrete response both to the problems linked to social appeasement, that is to say, the inclusion of people left behind, and to the maintenance of the creation of wealth, the keystone of an integral and abundant society.

### **3. Damage to the environment as an international crime**

Environmental destruction must be judged as an international crime. The local destruction of the environment has serious consequences for the balance of the global ecosystem, which we propose to refund international environmental law on the model of international criminal law.

Taking into account environmental degradation is also one of the major dimensions of sustainable development. Human activity, for example industrial production, productivist agriculture in developed and emerging countries or urbanization, gives rise to releases into the environment which pollute the air, soils, rivers, maritime areas. Thus, chemical discharges, acid rain, urban dust, industrial smoke subject "natural capital" to constraints which often exceed the threshold of tolerance and regeneration of these spaces.

In addition, standardized production methods using biotechnology resources constitute a threat to biodiversity in the animal and plant kingdom. Hundreds of animal and plant species are threatened with extinction and the loss of this biological wealth represents, for future generations, an ecological, health and cultural damage.

Finally, the issue of global warming has become, for the majority of scientists and for public opinion, one of the major challenges of our future. Emissions of greenhouse gases, in particular CO<sub>2</sub>, are beginning to have perceptible effects which are likely to take on a catastrophic scale: desertification of certain areas, melting of terrestrial glaciers, rising sea levels and flooding of coastal strips. The process already seems partly irreversible and is expected to upset ecological and human balances in many parts of the world, leading millions of people to migrate from threatened areas to host lands. One can easily imagine the political upheavals that such population movements are likely to cause.

The assessment which has just been drawn is clear: the mode of growth that the world has adopted has become "unsustainable" in the long term, especially since, for the moment, only a minority part of humanity has advantage.

In July 2010, the International Criminal Court (ICC) issued an arrest warrant against Omar el-Béahir, President of the Sudan, for three charges of genocide, including "by intentional submission (...) to living conditions before lead to (physical) destruction ", including poisoning of city and village springs and water pumps. For several years during the 2000s, members of the Four, Masalit and Zaghawa ethnic groups died or had to flee their homes because, in addition to other violence, their environment was destroyed.

What happens if the living conditions that lead to destruction and forced displacement are inflicted deliberately, but with no intention of killing? So far, international criminal justice has remained silent. The famous environmental activist Ken Saro Wiwa (1941-1995) formulated it 25 years ago in his essay *Genocide in Nigeria: the Ogoni Tragedy*. Even if there was no intention on the part of the oil companies and the Nigerian government to destroy the small Ogoni minority living in the Niger Delta, the intensive exploitation of oil since 1958 had been there since the 1980s. , triggered the death of thousands of people from cancer or other diseases, but also the forced displacement of tens of thousands of people due in particular to the systematic dispossession of their land. The land had been made unsuitable for food, and widespread environmental poisoning had made decent human life almost impossible in the region. In

1995 Ken Saro Wiwa was sentenced to death and executed by the Nigerian junta for exposing this tragedy. And, despite some civil trials that have forced Shell to offer financial compensation to some victims, no criminal justice, national or international, has made a decision on this dramatic situation.

Today, around the world, some industrial mining, deforestation or intensive greenhouse gas emissions have enormous humanitarian consequences for people living in the surrounding area ... and beyond. Recent research on climate change, but also on "planetary boundaries" shows that significant local environmental destruction can have serious consequences for humans and other species at other places on the planet. In addition to its humanitarian consequences, severe destruction of the environment at the local level should be considered highly criminal, as it jeopardizes the conditions of all life on a global scale. Like serious human rights violations that affect human dignity, it should be considered an international crime.

This court should have supremacy over national courts, this is why at the last Congress of the Green Parties, which took place in Liverpool at the end of March, we drafted, discussed and finally voted on a resolution aiming to legally fight against the destruction of the environment. In our view, it is high time to close the huge loopholes in international criminal law that allow people or even entire animal species to die because of over-intensive exploitation of nature. To do this, we suggest that international environmental law and its more than 3,000 fragmented treaties (on oceans, coasts, forests, etc.) be unified in a binding code of principles, like all international treaties relating to humanitarian law. unified in 1998 in the Rome Statute establishing the International Criminal Court. At the top of the offenses concerned by this binding code of principles would be the destruction of the environment internationally qualified as an "ecocide crime", a concept which remains to be defined precisely on the basis of several recent theoretical advances (planetary boundaries, rights of nature, rights of future generations, common heritage of humanity...).

In this perspective, we of course warmly welcome the intention of the ICC prosecutor to investigate the crimes of the Rome Statute "which are committed by means of, or which result in the destruction of the environment, the illegal exploitation of resources or the illegal dispossession of land". However, due to certain drawbacks of the ICC, such as its complementary approach, which unfortunately allows various States not to cooperate, we encourage the international community to get involved in the creation of an international environmental court under the authority United Nations.

Like the ad hoc international criminal tribunals created in the 1990s for the former Yugoslavia and Rwanda, this court should have supremacy over national courts. It would be designed to prevent and try the most serious environmental crimes and to be the core of a binding architecture of international environmental law.

#### **4. The instrumental role of rights recognitions in achieving effective economic growth**

Developing rigorous monitoring tools has long been a challenge for human rights NGOs working on economic and social rights. Article 2 of the International Covenant on Economic, Social and Cultural Rights obliges each State party to take steps to "progressively achieve the full realization of rights" to the "extent of available resources".

At the same time, governments also have various immediate obligations. General Comments of the Committee on Economic, Social and Cultural Rights state that at the very least the satisfaction of "minimum basic levels" of access to basic foodstuffs, basic health care, primary education and other needs. This also implies the obligation to guarantee the exercise of rights without discrimination and to take thoughtful, concrete and targeted measures to protect the most vulnerable members of society.

Consequently, any appropriate monitoring of economic and social rights must take into account the availability of resources and the concept of "progressive realization" of these rights, while providing an assessment of compliance with the immediate minimum obligations. This requires quantitative tools and analytical capacities which are not usually part of the arsenal of organizations specializing in human rights (we note, among some remarkable exceptions, the work of several NGOs that assess economic rights and social through the analysis of budgets, such as Fundar in Mexico, the Children's Budget Project of the Institute for Democracy in South Africa, ICEFI in Guatemala and DISHA in India, as well as the use of epidemiology in research conducted by Physicians for Human Rights).

The two previous sections have highlighted the importance of growth for achieving the key freedoms that constitute intrinsic development objectives, but also the instrumental importance of freedoms for growth itself. Growth is clearly important in this framework; equally clearly, it is not just the rate of growth that matters, but also its distributional pattern and its sustainability (seeking to avoid downturns). To what extent can a rights perspective help in achieving these key freedoms which help attain such growth?

There is, in fact, surprisingly little social science based evidence on the impact of rightsbased approaches (as opposed to other factors) in realising the key outcomes they seek to achieve. Much evidence is largely suggestive. We focus on a few cases related to key outcomes that are important for the level, distributional pattern or sustainability of growth.

Primary education : As noted earlier, there is very strong evidence from cross-country growth studies of the important role played by education; primary education is of particular relevance for the poor. There is a growing body of empirical evidence establishing the ways in which the recognition of human rights can be instrumentally important for the achievement of policy goals such as universal education and public health, particularly in situations of female disadvantage and/or entrenched inequality between different population groups. As well as strengthening equity, the instrumental role of rights in promoting education provides an example of the 'opportunity effects' of rights above, that is, the ways in which rights recognitions can change the institutional environment in which markets function by broadening social opportunity and market access.

The Ugandan experience illustrates the ways in which rights recognitions can be instrumentally important for the achievement of the policy goal of universal primary education. The right to education was recognised in the Ugandan Constitution (1995) and, following an election pledge by Museveni, the policy of Universal Primary Education (UPE) was introduced in January 1997, aiming to provide equitable, high-quality universal primary education, with primary school tuitions fees waived for all children from 2003. Whilst important concerns about quality and outcomes remain, UPE is widely recognised as resulting in increased educational allocations and achieving considerable success in increasing overall access, and reducing inequalities in access between gender and income groups. The general importance of elections as an explanatory variable in determining educational expenditure is the subject of a growing body of literature (for a summary, see World Bank 2005: Box 3.9). Whilst in the past the focus of debate has often been on the 8 possible negative implications of higher levels of public expenditure for economic growth (especially in advanced democracies), there is now increased emphasis on the critical role that democratic institutions can have in strengthening public service provision. In the Ugandan context, Stasavage (2005) finds evidence that UPE has been linked to democratic politics, and

that this outcome has depended on the salience of education as an issue, as well as on the public's access to information about UPE (especially through the media).

### **5. Use of indicators for monitoring economic and social rights**

In recent years, the contribution of indicators for monitoring human rights has been increasingly recognized. The use of indicators was on the agenda of many international university conferences and a multitude of articles were dedicated to it. In the meantime, United Nations human rights bodies and bodies continue to encourage the production and use of indicators, and several initiatives have emerged to put these indicators into practice for measuring human rights. (see the literature review by Fasel and Malhotra, 2005).

Today, the integration of indicators in the field of human rights manifests itself in several ways, reflecting both conceptual and methodological differences and, more importantly, the diversity of objectives targeted by each initiative. In the field of economic and social rights, as in others, indicators and data are often used with several objectives and by several users, organizations or individuals. In short, there is not a single good method for using human rights monitoring indicators, since each user, according to his motivations, can use the tools at his disposal in different ways.

For example, the quantitative tools chosen by a human rights treaty body to examine compliance with an international convention would no doubt be very different from those preferred by an international development agency seeking to assess the progress of human rights. in different countries to determine priority aid sectors. Furthermore, the use of quantitative tools by a government seeking to incorporate human rights principles into its public policies would be very different from that which would be used by a human rights NGO which attempts to denounce, and even cast a stigma on a government that refuses to adopt policies that comply with its human rights obligations.

The CESR, as an organization for the promotion of rights, is mainly interested in development tools enabling several actors (UN bodies, development agencies and NGOs) to compel governments, in particular the most recalcitrant, to take responsibility for violations of economic and social rights. Even if the collection and analysis of data can take a lot of time and if the process may seem too academic and far removed from the immediate concerns of the action, indicators can prove to be very effective promotional tools for dealing with government-wide non-compliance (UNDP, 2000). In addition, the quantitative tools currently developed by CESR are mainly designed to strengthen monitoring, which could increase the effectiveness of promotion initiatives. However, we hope that these tools will be useful to other users and serve other purposes.

Quantitative indicators are not sufficient to describe the enjoyment of a right. Human rights have many non-quantifiable dimensions, which do not depend exclusively on better access to housing or the number of clinics and teachers, but on the way in which these goods and services are provided, targets what they achieve, their implications and the possible participation in the decision-making process by those directly affected (Rubenstein 2004). Thus, to set up a rigorous monitoring mechanism, it is necessary to combine quantitative tools and qualitative research based on methodologies developed by human rights experts

## **6. Dimensions of the obligations of States with regard to economic and social rights**

The CESR therefore decided to take this step and go beyond collecting indicators, in order to develop a set of analytical and methodological tools constituting a framework (or recipe, to stay in the gastronomic metaphor) which helps us understand how indicators measure government initiatives to realize economic, social and cultural rights. This project does not require designing new methodological tools, but adopting (if necessary, adapting) human rights monitoring tools used by experts and the development community.

The CESR firstly focuses on the dimensions of government bonds that can be identified and critically assessed using socioeconomic tools and quantitative methods. These are the following areas: the obligation of respect and its constituent elements; the obligation to meet minimum levels of rights; the duty to tend gradually but rapidly towards the perfect realization of rights, to the extent of the resources available; and the obligation to ensure that there is no discrimination in the enjoyment of rights (in particular, to ensure that resource allocations are not discriminatory).

In practice, these dimensions are often intertwined. A significant part of a country's population may be denied health care or education because of their gender, race or ethnicity. However, despite a growth in available resources, a State may not meet its essential obligations. However, since each dimension requires different monitoring methods, they must be treated independently.

This work also seeks to give a little more substance to these concepts, so that they can be more easily translated into concrete political prescriptions. The objective is to facilitate the implementation of the normative frameworks developed by the monitoring bodies of the United Nations human rights treaties to assess compliance with the right to health, education, housing and the 'food. It also aims to measure the essential elements in terms of rights to health and education defined by General Comments 13 and 14 of the United Nations Committee on Economic, Social and Cultural Rights - including the availability, accessibility, acceptability and adaptability or quality.

## **7. Measuring "progressive realization" using available resources**

The International Covenant on Economic, Social and Cultural Rights obliges States to take progressive measures with a view to the full realization of economic, social and cultural rights, within the limits of the resources available. Thus, the treaty implicitly recognizes that the obligations of States are neither uniform nor universal, but that they depend on the level of development and the resources available (Chapman and Russell, 2001). When determining the degree of obligations to be met, account should be taken of the performance of the country's economy.

Neither the Covenant nor the United Nations Committee Reviewing State Compliance Provide Specific Recommendations or Benchmarks for Judging Whether the Amount of Resources Available Enables Rights, Complicating the Assessment of Government Action .

The simplest method of measuring "progressive achievement in relation to available resources" in a country is to compare its GDP per capita (to get an idea of available resources) over time with a social outcome indicator, such as rates completion of the primary cycle or malnutrition in children (to get an idea of the enjoyment of certain aspects of a specific right). This very simple method can be useful when a country regresses some of these outcome indicators during a period when it has enjoyed significant economic growth. Such a regression in the result indicators concomitant with an increase in overall resources may indicate, at first glance, that a State is not fulfilling its obligations in terms of the realization of essential rights in proportion to the resources available.

However, the application of this tool is very limited. Indeed, in most cases, the various outcome indicators show a certain improvement in the situation in the countries, even if progress is often very slow. Consequently, it must be possible to rely on a methodology capable of determining whether progress is in line with the development of resources or behind. To measure this, one can make an international comparison of GDP per capita as well as health or education indicators, which will provide an objective benchmark against which to measure performance.

Based on this simple method, some authors have argued that it was not appropriate to use outcome indicators to measure the quality of life in a state, on the grounds that in many countries, there is no correlation between GNP (or GDP) per capita and achievements in the education or health sector (see Sen, 1999). Others have used cross-regressions of GNP per capita and health and education outcome indicators such as life expectancy to identify bad students in terms of basic needs (Stewart, 1985, ch. 4 ) or to “measure the relative effectiveness of national political economies in transforming national material resources into human development” (Moore et al., 2003).

Measuring similarly the progressive realization of economic and social rights could be a first step towards identifying outliers - namely countries that seem to be making no progress in terms of health or education in line with their available resources. It can also be interesting to compare, for each country, its ranking on the basis of the Human Development Indicator (HDI) with its ranking in terms of GNP per capita. "For 26 countries, the HDI ranking is 20 or more than 20 places lower than the ranking in terms of GNP per capita, which suggests that the potential for improving the level of human development is considerable and that they could spend their national income smarter”(UNDP, 1991).

The second step would be to monitor the evolution of these outliers over time, looking at both GNP per capita and relevant indicators in health and education. This would identify, for example, countries where there has been a decline in the rate of children enrolled in primary school over a given period, despite economic growth.

## **8. Measuring discrimination in public policy**

The concept of non-discrimination, like that of equality, is a founding principle of international human rights law. It is mentioned in articles 2, 3 and 26 of the International Covenant on Civil and Political Rights, as well as in Articles 2 and of the International Covenant on Economic, Social and Cultural Rights. Non-discrimination constitutes an immediate obligation which does not fall under progressive realization and does not depend on the resources available.

A relatively precise concept, non-discrimination does not allow invoking the indeterminacy of economic, social and cultural rights to temper the obligations of States. However, despite the precision of its definition, discrimination is difficult to measure by indicators and quantitative data.

The most obvious approach remains the analysis of the distribution of public spending in relation to the prohibited criteria of discrimination (for example, between ethnic groups or between men and women). We can, for example, seek to identify what proportion of the volume of resources allocated to an education or health service is allocated to one group compared to another. This data provides us with a first indication of the identity of the groups that are actively discriminated against by the government through its spending.

However, quantitative tools for examining discriminatory public policies in the fields of education and health cannot be based solely on state spending. Indeed, if certain policies prove to be discriminatory, it is sometimes because the government has not allocated health or education programs the resources corresponding to the needs of certain specific groups that other groups do not. have not. This kind of dysfunction cannot be highlighted by an analysis focused exclusively on the distribution of public spending.

For example, governments are guilty of gender discrimination not only when they allocate more public resources to men than to women for the same good (by injecting more funds for boys than for girls in schools, for example ), but also when they do not allocate sufficient funds to services inherent in the recognition of women's rights (for example, reproductive health services). Similarly, in countries where HIV infection is associated with sexual behavior, the stigma of homosexuality can prevent governments from allocating the resources necessary to fight this health disaster.

However, discrimination in the allocation of resources is not the only form of public action that can widen disparities between groups in education and health. As O'Neil and Piron say, "Before we can tackle the discriminatory roots of inequality, we must examine the social, economic and political processes that generate and maintain inequalities in access to services, goods, income, power and opportunity "(O'Neil and Piron, 2003). Thus, attention should be paid to the effects of institutional reforms and economic policies aimed at promoting greater gender equality (King and Mason, 2001), as well as to the disproportionate consequences of austerity policies on minorities or marginal groups.

Persistent inequalities between groups in terms of access to health or education can also result from a policy of past discrimination, independent of the possible direct effects of current discrimination. Thus, the analysis should also allow the detection of indirect forms of discrimination, such as persistent socio-economic disadvantages or inequalities in the distribution of power, linked to the persistent effects of historical discrimination. According to O'Neil and Piron, "this type of indirect discrimination blurs the rules of the game and prevents the homogeneous enjoyment of civil, political, economic, social and cultural rights" (O'Neil and Piron, 2003). Consequently, if differences in salary may reflect a different level of education or different skills, which is not direct discrimination, these differences in baggage may well have their roots in a form of indirect discrimination (i.e. past discrimination that has resulted in disadvantages linked to factors such as unequal access to services).

It is also fundamental to analyze the systematic differences between the benefits of public spending received by different socially, economically and politically disadvantaged groups, on the basis of sex, ethnicity, caste, linguistic minority or another characteristic. In this case, for the evaluation of discrimination, the analysis must focus on the differences between these groups and not between households. That said, even if households are not the relevant unit for a discrimination analysis, it should be referred to since many available data sets, such as surveys, are based on the characteristics of households. This can pose a serious methodological problem when these data sets are not broken down by the groups covered by the analysis.

## 9. Economic, social and cultural rights for social classes inclusion

ESCR are human rights concerning the social and economic conditions essential to a dignified and free life, and which are linked to work, social security, health, education, food, water, housing, a healthy environment and culture.

Human rights constitute a common framework of universally recognized values and norms and establish the obligation of States to act in a certain way or to renounce certain acts. It is an important instrument to bring states, and increasingly non-state actors, to respond to rights violations as well as to mobilize collective efforts aimed at the development of communities and global structures favorable to justice. economic, social well-being, participation and equality. Human rights are universal, inalienable, interdependent and indivisible.

Where are ESCRs established?

In 1948, the United Nations General Assembly adopted the Universal Declaration of Human Rights (UDHR), which sets out the basic civil, cultural, economic, political and social rights that all human beings should enjoy. In 1966, ESCRs were recognized as legitimate rights in the International Covenant on Economic, Social and Cultural Rights (ICESCR) (which together with the UDHR and the International Covenant on Civil and Political Rights constitutes the International Bill of Rights) as well than other important human rights treaties and regional mechanisms. To date, more than 160 states have ratified the ICESCR. In addition, several States have expressed their commitment to ESCR in national constitutions and domestic law.

What are the main principles related to ESCR?

The ICESCR presents a number of important principles for the realization of ESCR, which are often found in other sources relating to ESCR. Under the ICESCR, a State must take measures "to the maximum of its available resources" to progressively ensure the realization of ESCR. In particular, a State (including its sub-national levels) is required to:

Respect ESCR (refrain from any violation of ESCR); protect ESCR (prevent third parties from violating ESCR); implement ESCR (take the necessary measures to ensure the realization of ESCR, in particular through legislative, administrative, budgetary and other processes); and request and provide the international assistance and cooperation necessary for the realization of ESCR.

States must guarantee ESCR without discrimination on the grounds defined in the ICESCR, including race, color, sex, language, religion, political or other opinion, national or social origin, fortune and birth. In the framework of its work, the Committee on Economic, Social and Cultural Rights (CESCR) has defined other illegal grounds of discrimination, in particular disability, age, nationality, marital and family status, sexual orientation and gender identity, health status, domicile and economic and social situation. The elimination of discrimination, and certain basic minimum obligations defined by the CESCR in some of its general comments, are not of progressive application, but of immediate application.

The preamble to the UDHR confirms that "all individuals and all organs of society" must strive to promote respect for human rights and ensure "universal and effective recognition and application". This obligation extends to businesses, international and multilateral organizations and other non-state actors.

Why ESC rights are important?

The enunciation of ESCR in international law is the result of long-standing demands for these basic rights by people around the world and reflects a concern for the life of each person, especially the most vulnerable, which manifests itself in several traditions. philosophical, religious and others.

In this era of growing economic globalization where inequalities within and between states are increasing, it is imperative that grassroots groups, NGOs, academics and other organizations and individuals come together to recognize the links between the local struggles that are going on and the practical realization of the fundamental rights of all people. To understand that cases and forms of poverty and deprivation are violations of ESCR - and not just a matter of bad luck, events beyond human control or the result of individual shortcomings - states and, increasingly , businesses and other non-state actors are required to prevent and remedy these situations.

Around the world, the ESCR framework is used to support actions for justice and anti-oppression and to promote new and progressive ways to strengthen the exercise of ESCR. Activists have taken action at United Nations treaty bodies, courts and other dispute resolution bodies to demand change, documented and made public repeated violations of rights, mobilized communities, developed laws , analyzed national budgets and international trade agreements to ensure respect for human rights and strengthened solidarity and networks between communities locally and around the world. ESCR unites women and men, migrants and indigenous people, young and old, of all races, religions, sexual orientations, and from all economic and social backgrounds, in a common realization of universal human freedom and dignity.

#### **10. The dignity of the person as the foundation of the state of the law and of the contemporary social democratic constitutionalism**

Only at the end of World War II all the peoples of the earth begin a new stage of peaceful coexistence, which has as its foundation the dignity of the human person, as declared by the States assembled at the San Francisco Conference of 1945 , approving the resolution of "reaffirming faith in the fundamental rights of man, in the dignity and value of the human person, in the Equality of rights of men and women, and of large and small nations".

Then the United Nations General Assembly of December 10, 1948, which constitutes the first universal text that recognizes the dignity of the person and the essential or fundamental rights that derive from it. Indeed, the Preamble of the Universal Declaration of Human Rights proclaims its faith "in the dignity and value of the human person" and determines that "all human beings are born free or equal in dignity and rights and, endowed as they are with reason and conscience, they must behave fraternally with each other. "

The dignity of the human person is the basic value that underpins all human rights, since their affirmation not only constitutes a guarantee, of a negative type that protects people against blasters and offenses of all kinds, but must also affirm positively through rights the full development of each human being and all human beings. It should be noted that human dignity and the right to a dignified life bases both civil and political rights as well as economic, social and cultural rights. All rights have such a positive and negative dimension in that perspective, since all of them require state benefits that have economic costs for their effective guarantee, such as the operation of an effective state court, a competent police, property records , among other aspects, as well as a negative dimension or abstention violation both by the State (such as legislation that infringes the rights or that affects its essential content or the prohibition of backtracking without justification), as by individuals, when they perform acts or omissions that affect rights or adopt legal acts that violate such rights.

This dignity of the person is given by "the intrinsic and distinctive quality recognized in each human being that makes him worthy of the same respect and consideration by the State and the community, implying, in this sense, a complex of fundamental rights and duties that assure the person both against all or any act of degrading and dehumanized character, that come to guarantee the minimum existential conditions for a healthy life, in addition to promoting and promoting their active and co-responsible participation in the destinies of their own existence and of life in communion with other human beings, through due respect to the other beings that make up the web of life ".

The dignity of the person is the supreme legal value being independent of age, intellectual capacity or state of consciousness. The dignity of the person is an element of the nature of the human being, corresponds to all equally, unlike the honor or prestige of the people or the dignity of the functions that the person develops, which are goods that can increase, decrease or even disappear, depending on each person and the specific circumstances.

The person can never be an instrument, but because of his dignity he demands a respect for always being subject and not object, for always being an end in himself, which calls for the recognition of his legal personality and everything he needs to live with dignity.

The person, by virtue of his dignity, becomes the end of the State: The State is at the service of the human person and its purpose is to promote the common good, for which it must contribute to creating the social conditions that allow each and every one One of the members of the national community, his greatest possible spiritual and material fulfillment, and also has the duty to promote the harmonious integration of all sectors of the Nation and ensure the right of people to participate with equal opportunities in life national.

In this way the dignity of the person constitutes a supra-constitutional ontological reality as well as the rights that are inherent to it, the State and the Constitution only recognize and guarantee it but do not create it, so the State and the legal system that regulates it it must exclude any instrumental approach of the person, any substantialist view of the State as an end in itself.

The dignity of the person has an integrating content of the gaps or gaps existing in the legal system and in the Constitution itself, of recognition of implicit rights.

Following Maihofer, the guarantee of the dignity of the person has a triple legal meaning, first of all, it constitutes an essential right, from which all other components of the system of essential rights or human rights can be deduced, in secondly, it constitutes a fundamental norm of the Fundamental Charter, in relation to which the validity of other norms that compose it can be settled; thirdly, it constitutes the material basis on which the organizational structure of the State is built.

We must point out that the human person is not an abstraction or an isolated individual, a person is a social being, lives with other people in society and acts in the complex world of social and political life. Likewise, the rights that are based on the dignity of the human person must be examined not in isolation but as part of the complex system of rights, which are interrelated and reciprocally limited, as well as harmonized with the rights of other people. within a social and political framework aimed at the common good.

All international human rights law such as Latin American constitutional law is based on the intrinsic dignity of the human person and the protection of the rights that derive from it.

This conception of human dignity requires that both national and international legal systems in matters of fundamental rights ensure, respect, promote and guarantee a certain level of material and social well-being, which constitutes fundamental social rights in indivisible and complementary rights of civil and Political Rights.

At the same time, at the planetary level, the International Covenant on Economic, Social and Cultural Rights was already approved in New York on December 19, 1966, with a foundation similar to the International Covenant on Civil and Political Rights, where the States Parties undertake to recognize and guarantee the rights that the pact ensures, which goes into effect on January 3, 1976.

In the American sphere, the American Declaration of Rights and Duties of Man that is dated May 2, 1948, given at the IX Inter-American Conference held in Bogotá, Colombia, and therefore, prior to the Universal Declaration in several months, will be complemented with the American Convention of Human Rights, approved in San José, Costa Rica, on November 22, 1969, whose article 11.1 establishes the essential principle that "Todapersona has the right to (...). recognition of their dignity" and with the Protocol of San Salvador, corresponding to the Convention on Economic, Social and Cultural Rights in the American sphere.

All this shows the process of realizing through successive approaches a greater humanization of society and a greater personalization of individuals, in a participatory democracy and a more just and peaceful coexistence within the framework of the democratic Constitutional State.

The law thus fulfills a promotional function as Norberto Bobbio points out, having to promote more humane conditions of life and removing obstacles to make effective the dignity of the person, freedom and equality, with a view to the fullness of the exercise of rights. Such promotional perspective of fundamental rights is expressly contained in the Chilean Constitution in article 5, paragraph 2, which determines: "It is the duty of the State organs to respect and promote such rights, guaranteed by this Constitution, as well as by treaties international ratified by Chile and that are in force".

The constitutional interpretative work requires a reconstruction of all the content that establishes the normative complex of the Constitution, the reading and interpretation of any precept of the Fundamental Charter must be done in context, taking into account the principles, values, purposes and reason of the constitutional system, constituting a duty of the State and its organs, as established in the final paragraph of article I of the Constitution "promote the harmonious integration of all sectors of the Nation and ensure the right of people to participate with equal opportunities in national life. " This perspective gives the Constitutional Judge a significant space of interpretive and integrated mobility that makes it an active and significant protagonist in the mediation between the Constitution and the specific situation, promoting integration and an effective equalization of opportunities in the political sphere, social, cultural and economic, which tends to strengthen the legitimacy of the constitutional democratic system.

### **11. The absence of basic structural differences of individual rights and social rights**

Economic, social and cultural rights are human or fundamental rights that imply not only positive state benefits, but also the absence of arbitrary interference by third parties, ensured by constitutional norms or international human rights law, as well as civil rights and politicians, all of whom enable a better realization of human dignity. Social rights constitute budgets and indivisible complements of the enjoyment of individual rights, as they constitute material conditions that enable a better and more effective exercise of all freedoms. Such social rights do not have qualitative or orthological differences that allow them to be differentiated from individual rights.

A classic perspective of economic, social and cultural rights states that they are relative, insofar as they are of a welfare nature and, therefore, depend on the economic resources of the State for their realization, so they are presented as programmatic norms or collective aspirations or The purposes embodied in the constitutional norm, depending on the specific situation of relative development and economic situation of each State<sup>17</sup>, therefore, have a relative character, since the financial economic capacity of the countries may vary. This sector of the doctrine considers that economic, social and cultural rights constitute part of the social policy that governments carry out depending on the financial economic processes of the State, and therefore lack effective guarantees.

This approach to economic, social and cultural rights is also among individual rights as the case of the right of access to judicial jurisdiction or protection and defense, which is ensured in the United Nations International Covenant on Civil and Political Rights in its article 14 and in the American Convention on Human Rights in its article 8, as well as in the judicial guarantees of article 25, just to point out some examples. Since these rights involve the State to structure and maintain a complete judicial system, provide state-funded defenders, when the person does not have the ability to pay a private defender. The same applies to the right to equality before the law, where various constitutional courts have eliminated discriminatory clauses that have forced the administration to finance benefits for arbitrarily discriminated sectors. In this sense, it can be argued that both individual or civil rights and social rights have a provision dimension that implies budgetary expenses that require payment of taxes by people.

It is not so effective that there is a basic structural difference of social rights as benefits that imply positive State action and expenses, as opposed to individual rights such as rights of freedom and gratuity, all rights require strong disbursements to the states, all Individual rights require for its assurance that the State develops a system of public order, of courts that administer justice, which is not free, since they constitute public goods financed by the State. The protection of physical and psychic integrity, of the right to honor and private life, implies a judicial, police infrastructure, which are financed with public resources. The same applies to property rights, which requires various public benefits, police protection, jurisdictional system to ensure and guarantee the right, the creation of property records, among other aspects, in addition to respect by third parties. All rights are complex and have individual and collective dimensions, negative and positive, abstention and provision. There is no valid argument to establish a

difference of natures in this matter between individual rights and social rights. Both individual and social rights imply public goods and public costs, notwithstanding any fees, tariffs that must be paid by those who benefit from these benefits. On the other hand, it is necessary to recognize that there are rights contained in the constitutional systems and in the International Covenants on Economic, Social and Cultural Rights that have the same civil rights structure and that require the same omission of the state power to affect or ignore them, as well as the same duty to guarantee civil or individual rights, such as the freedom to choose an educational establishment, the right to collective bargaining or the right to strike, the right to choose the health system, the right not to be discriminated against. at work.

Nor is it only predicable of social rights that they are relative and cannot be demanded of everyone, since in that perspective, political rights would no longer be human rights, since they are only enforceable with respect to the State in which the person is a citizen, I do not exercise the right to vote in respect of any State in which I am at a specific time. The fact that social rights are enforceable with respect to a specific State in specific situations is not a characteristic of social rights, but is shared with political rights and some individual rights such as the right to jurisdiction and due process, that the latter may require it only from the State in which I am residing, and not in respect of courts of other States, in respect of which I have no connection whatsoever.

Against those who argue that social rights are prima facie rights and not definitive rights, since they would not have a definitive configuration and guaranteed effectiveness and validity, it should be noted that this is also a reality in many individual rights, whose attributes are having a development progressive institutional, as occurs among others, with the rights to equality before the law, the right to due process, the right to life, among others, whose contents and limits evolve over time and according to various cultural realities. The same approach analyzed considers such rights insufficiently defined in the constitutional text, which only become specifically enforceable when they are developed by the legislator, in accordance with the resources available to the State, so that judges can do little to demand them without the respective legislative development, thus the constitutional statements on social rights are not justiciable. This perspective must be rejected since every fundamental right constitutionally secured has a minimum content and an essential content, of direct and immediate application, as well as said content it constitutes a limit to the legislator. In practice, the conformation and positive structuring of rights is not due to technical reasons, but to political and ideological decisions of the constituents.

Given the argumentation of the different protection of rights, their inadequacy or the different modality that such protection adopts, establishing a lower protection of social rights, this says nothing about the nature of a fundamental right. It should be explained that a right as important as the right to life has essentially preventive protection, since there is no protection of the right against the murderer, against the autocratic regime that murders with impunity, life cannot be recovered, it only depends on the respect that is provided by the legal system that ensures it, the effectiveness of the police and the culture of the members of that society. Both individual and social rights depend not only on their normative consecration but on their sociological validity and the effectiveness of their protective institutions. The different forms of protection of rights (preventive, reparative or compensatory protection) and the greater or lesser ease of realization of said protection or guarantee does not make a fundamental right more important than another or of greater hierarchy, they are all equally fundamental rights of humans and all have their foundation in human dignity. The modalities of protection constitute a political and institutional decision that says nothing about the nature and importance of the respective rights.

Social rights are not distinguished by being programmatic in relation to individual rights that would be of direct and immediate effectiveness, it only happens that the latter have already established their legislative configuration and their means of protection in civil, procedural and criminal legislation, while that in the case of the former, this is becoming more recent, to the extent that there is political will and awareness of the same character of fundamental rights as the former, as well as their indispensable assurance to enforce quality content of a dignified life for all people.

In addition, it is not possible to make a clear differentiation between civil and political rights and social and cultural economic rights, since the former also have elements of the latter, by virtue of their indivisibility and interrelation. This has also been sustained by the Inter-American Court of Human Rights, when analyzing article 19 regarding the rights of the child, contained in article 19 of the Convention, specifying:

**"In the analysis of the possible breach of the State of its obligations derived from Article 19 of the American Convention, it should be taken into consideration that the measures referred to in this provision exceed the strict field of civil and political rights. The actions that the State it must undertake, particularly in light of the norms of the Convention on the Rights of the Child, they cover economic, social and cultural aspects, which are mainly part of the right to life and the right to personal integrity of children."**

## **12. Economic, social and cultural rights as effective fundamental rights**

Faced with the perspective of those who consider social rights only as aspirations and not as subjective rights, delivered to the configurative free discretion of the legislator, together with Pérez Luño, we can affirm their character as authentic rights, which also constitute a guarantee for democracy and for the effective enjoyment of individual and political rights.

The existence of a fundamental right, as Alexy points out, implies that a person has a right to something regarding an obligated subject, without necessarily satisfying the content of the right is guaranteed by a judicial decision.

Fundamental or human rights constitute an indissoluble unity because they protect the same dignity of the human being. This makes such rights, intrinsically interrelated and indivisible, all contribute to the same projection and development of the human being, both civil and political rights as well as economic, social and cultural rights. Likewise, it is not possible to consider the active and equal participation of all people in society without ensuring and guaranteeing fundamental social rights and a basic level of material justice, which constitute essential conditions of a genuine Democratic Constitutional State. The affirmation of fundamental social rights, determines the perspective that constitutional judges must guarantee the social minimum specified by the constitutionally assured basic needs, which is part of the essential content of such rights, which frames the reasonable understanding of the public conception of justice and of a humanly dignified and healthy existence.

In this perspective, fundamental social rights are presented in legal systems such as Chile as hermeneutical principles, rules and parameters of the constitutional order, of the same legal level and with the same effectiveness as civil and political rights, being found in the same constitutional article, Article 19, strengthened by Article 5, second paragraph, of the Fundamental Charter, which determines them as limits of sovereignty, in addition to establishing the imperative duty on the part of the state organs to secure and promote them, both in their content constitutionally determined as in its attributes and guarantees of the rights ensured by international human rights treaties ratified by Chile and in force. To this must be added, Article 6 of our Constitution that grants normative force and direct applicability to constitutional normative statements, unless the constitutional text itself provides otherwise.

Fundamental rights constitute a system, a harmonious set, which has a double source, constitutional law and international law, forming part of a complex and interrelated scenario, which ensures, protects, promotes and guarantees rights as a whole indivisible of civil, political and social rights, which requires making them compatible, optimizing and interpreting them under the postulates of progressivity and personal favor, as well as prohibition of withdrawal without justification and of restrictive interpretation of their legally established limitations, which should always be necessary, adequate and proportionate, ensuring the integrity of the legal system, all in accordance with the maximum available resources.

Thus, it can be argued that it is an integral part of the essential content of the Social State of Law and contemporary democratic constitutionalism to ensure and guarantee decent and healthy living conditions for all people.

In the Latin American sphere, countries that are parties to the American Convention on Human Rights, know that Article 26 of said Convention allows the submission of individual petitions in relation to economic, social and cultural rights, on which the Inter-American Court of Human Rights in the case of "five pensioners v / s Peru" in its judgment of February 28, 2003, just to give an example.

Economic, social and cultural rights are authentic rights, as determined by both the United Nations International Covenant on Economic, Social and Cultural Rights and the Protocol on Economic, Social and Cultural Rights of the American Convention on Human Rights approved in San Salvador and in force in America. Both civil rights can have facets of benefit as economic, social and cultural rights have facets of abstention rights of the State and defense, although in social rights the dimension of state benefit has a more marked character.

### **13. Conclusion**

In a democratic constitutional State, all indivisible and complementary and inalienable human or fundamental rights must be secured and guaranteed as immediate and direct derivations of the dignity of the human person. All of them must have a constitutionally precise content unavailable to the organs and authorities of the State, an essential content unavailable to the legislator, without respect and guarantee there of, the rights cease to be such to become mere lyrical proclamations without effective legal effect, being unrecognizable and impracticable. These contents may vary from one to another right, since they are structured in a specific historical, cultural and social context, which varies over time, allowing the deepening and progressivity of said contents, it will always be the task of the constitutional judge to determine in the final term said content in accordance with the constitutional text. A democratic constitutional approach that assumes as a basic value the dignity of the human person in its integrality in a coherent manner cannot leave any fundamental right at the discretionary disposition of the legislator, since there is no fundamental right that has a superior hierarchy to another, the right to health and education is as important as the right to privacy, honor and freedom of conscience, for each and every human being.

Let us also point out that, anthologically and structurally, civil and political rights, as well as economic, social and cultural rights, may have constitutional guarantees in a broad sense and jurisdictional guarantees in a specific sense, their establishment is not a product of the structure of fundamental rights but of political will to establish the respective guarantees, which may be gradual.

The Constitution must also ensure substantive and instrumental guarantees that enable a fundamental and irreversible framework in terms of rights protection within which the different political and legal operators can move, some of which is already present in our constitutional order.

In turn, against the jurisdictional guarantees of rights, we cannot omit the criticism of the lack of legitimacy of the judges to guarantee through sentences the essential content of social rights, which is not a receipt, since it is the The Fundamental Charter itself, therefore, the constituent power, which gives the courts the jurisdiction and competence to resolve on the matter, especially in the case of vulnerable, marginalized or under-represented groups at parliamentary level. In addition, the judges reinforce the democratic constitutional principle when they enforce constitutional rights against arbitrary actions of the administration or individuals, when they guard the right to health benefits that are arbitrarily denied by the respective borrowed, when a student is deprived arbitrarily the right to education, when a person is compensated for a deficient or negligent social benefit, when an entrepreneur develops anti-union behavior, just to point out some examples. In all these cases, the courts enforce and protect the fundamental rights of the respective persons and thereby strengthen the constitutional democratic state. Democratic constitutional states are open in the field of political pluralism and contingent political decisions, but they are not neutral in the face of respect for the dignity of the human person and the essential content of their fundamental rights. No state body has the legitimacy to act against the dignity of the person and their fundamental rights, since they constitute the unavailable material basis of constitutional democracy. The courts have constitutional legitimacy to strengthen the material bases that give people a decent life, basic levels of personal autonomy and political participation in public affairs. The Committee on Economic, Social and Cultural Rights “is of the opinion that each State party has the minimum basic obligation to ensure, at least, the fulfillment of the essentials of each of the rights. Thus, a State Party in which, for example, many people lack the essentials, be it food, primary health care, housing or education, is a State that at first glance, neglects its obligations under the Covenant. The Pact would be largely devoid of its *raison d'être* if it were not to read this minimal fundamental obligation. (...) For a State party to be able to invoke a lack of resources when it does not even meet its minimum fundamental obligations, it must demonstrate that every effort has been made to use all the resources that are available. its availability to fulfill these minimum obligations as a matter of priority ”(General Comment 3, paragraph 10, see UN-HRI, 1990b).

The concept of minimum basic obligations is an important safeguard against the risk of complacent governments shirking their responsibilities by blaming extreme levels of deprivation on economic constraints while promising to do better when resources allow. But what is the real use of this term in practice, as a tool for guiding decision-making? Can it be refined and fleshed out in the light of the most recent reflections on human capabilities and the quest for a foundation of universal standards for health and education issues? (Buchanan, 1984; Acharya, 2004/2005). Or is the concept so ambiguous that it cannot in practice be made operational, in a global context characterized by shrinking public budgets and increasingly restrictive policy compromises? What tools do the social sciences offer us to quantify minimum fundamental obligations and verify that they have been fulfilled?

The United Nations Committee developed the concepts of minimum fundamental content of rights, and minimum fundamental obligations, for two related reasons: (1) the need to circumvent the difficulties inherent in the assessment of progressive realization; and (2) fears that the content of article 2.1 of the Covenant (in particular the concept of "progressive realization" and the subordination of obligations to the availability of resources) would constitute an escape for States showing deplorable results in terms of human rights, which would have imposed the definition of a new floor. This minimum fundamental obligation recognizes that elements of economic, social and cultural rights create an immediate duty on the side of the state and are not part of progressive realization.

The term "minimum fundamental obligations" refers to the actions that a state must take immediately to realize the essential elements of a right, which require priority treatment. A State may claim that it is unable to meet these minimum fundamental obligations, but in that case, the burden of proof rests with it.

The argument that judges cannot dispose of public spending since this corresponds to the public policies defined by the legislator, is not fully received and must be qualified, since public policy and public spending decisions have as floor the unavailability of the essential content of constitutionally insured rights, as we have been able to demonstrate and exemplify in this study, especially of the minimum living standards for the discriminated, vulnerable and marginalized, within reason and possible, which is empirically demonstrable. Let us make the precision, in any case, that the jurisdictional route should not be the only or the most important of the ways by which society met the standards of decent living for all its members, since each state body within the scope of its Powers should do their legislative or administrative task, not in vain this is a constitutional requirement in Chile according to article 5 paragraph 2 of the Constitution, respect and promotion of each and all fundamental rights.

The comparative law shows new options for guaranteeing all rights, through the consideration of absolute legislative omissions that affect the content of fundamental rights, enabling constitutionality checks for legislative omissions, for the persistent and unreasonable violation of rights for the refusal to dictate the rules of implementation of them, urging to legislate within reasonable time limits and reserving the control of reasonableness and proportionality of those legislative products, having as a control parameter the integral attributes of the essential or fundamental rights determined by the Constitution and international human rights law.

Finally, the democratic controls of civil society with respect to state bodies must be ensured and reinforced, enabling and reinforcing that public policies respond to the will of society as a whole.

## References

- Abramovich, Victor and Courtis, Christian. (2002). Social rights as enforceable rights. (Madrid. Trotta).
- Abramovich, Victor and Courtis, Christian. (2006). The threshold of citizenship. The meaning of social rights in the constitutional social state. (Buenos Aires, Editors of the Port).
- Alexy, Robert (1993). Theory of fundamental rights. (Madrid, Center for Constitutional Studies).
- Arango, Rodolfo. (2005). The concept of fundamental social rights. (Bogotá, Ed. Legis, National University of Colombia).
- Behrman, J.R., Gaviria, A., and Szekely, M., (2003) Social Exclusion in Latin America: Perception, Reality and Implications dans Behrman, J. R. et al. (dir.) *Who's In and Who's Out: Social Exclusion in Latin America*, Inter-American Development Bank, p 1-23
- Bourguignon François (1999) Absolute poverty, relative deprivation and social exclusion, Villa Borsig Workshop Series 1999 Inclusion, Justice, and Poverty Reduction, Paper prepared for the Workshop on the World Development Report organized by the DES, Berlin, Villa Borsig, Februray 2-3, 1999.
- Cancada Trindade, Antonio. International Protection of economic, social and cultural rights. In Basic Studies of Human Rights-, I, (San José, Costa Rica, Inter-American Institute of Human Rights).
- Carbonell, Miguel. (2001). The Constitution seriously. Multiculturalism, equality and social rights. (Mexico, Ed. Porrúa - National Autonomous University of Mexico).
- Carmona Cuenca, Encarnación. (1992). "The constitutional norms of social content: delimitation and problematic of its legal effectiveness". In Journal of Political Studies No. 76, Madrid.
- Casal, Jesus Maria. (2007). "The international and constitutional protection of social rights". Casal, Jesus Maria; Arismendi, Alfredo and Carrillo, Carlos Luis (coordinators). Current trends of constitutional law. Tribute to Jesús María Casal Montbrun. Volume II (Caracas, Ed. Central University of Venezuela - Andrés Bello Catholic University).
- Deaton, A. *La grande évasion – Santé, richesse et origine des inégalités*, PUF, 2016, 384p.
- From Qrro and Pardo, Ignacio. (1988). "The regulation of the exercise of rights and freedoms. The guarantee of the essential content in article 53.1 of the Constitution", in Martín Retortillo, Lorenzo and De Otto y Pardo, Ignacio. Fundamental Rights and Constitution. (Madrid, Cuadernos Civitas Constitutional Law).
- Ferrajoli, L. (2000). "Quali sonó i diritti fondamentali?", In Vitale, E. (Editor). Diritti Umani and Diritti delle Minoranze. (Turin, Ed. Rosenberg & Sellier).
- Imbert, Pierre-Henri. (1989). Droits des pauvres, pauvre droit (s)? Reflexions sur les droits économique, sociaux et culturéis, in Revue de Droit Public et de la Science Politique en France et a l'étranger, No. 1, 1989, Paris, France, Ed. LGDJ.
- José Antonio Ocampo (2004) Economic Development and Social Inclusion dans *Social Inclusion and Economic Development in Latin America*, chapitre 2, Banque interaméricaine de développement.

General policy document on the selection and prioritization of cases, ICC, Prosecutor's Office, September 2016.

García Pelayo, Manuel. (1980). The transformations of the contemporary state. (Madrid, Editorial Alliance).

Gavara De Cara, Juan Carlos. (1994). Fundamental Rights and Legislative Development. (Madrid, Ed. Constitutional Studies Center).

"Genocide in Nigeria, La Tragédie ogoni" (Unpublished in French) Saros International Publishers, London, 1992.

Hernández Valle, Rubén. (2002). "The benefit rights." In Human Rights and Constitution in Latin America. Palomino Manchego, José and Remotti Carbonell, José Carlos (Coordinators). (Lima, Ed. Universidad Mayor de San Marcos and Ibero-American Institute of Constitutional Law [Peruvian Section]).

Herrera Vergara, Hernando. (2000). Guardianship action and benefit rights. In Constitutional Jurisdiction in Colombia. (Santafé de Bogotá, Ed. Constitutional Court).

Hesse, Konrad. (1992). Writings of Constitutional Law. (Madrid, Ed. Center for Constitutional Studies).

Holmes, Stephan; Sumnstein, Cass. (1999). The cost of rights-Why liberty depends on taxes. W.W. (New York, Norton and Company).

José Antonio Ocampo (2004) Economic Development and Social Inclusion dans *Social Inclusion and Economic Development in Latin America*, chapitre 2, Banque interaméricaine de développement.

Martínez Estay, José Ignacio. (2003). "Courage and meaning two direct sociaux". In Human Directions, Theories and Practices, (Coimbra, Almedina).

Mayorga Lorca, Roberto. (1990). Legal Nature of Economic, Social and Cultural Rights, second edition, (Santiago, Legal Ed. Of Chile).

Mchelmann, Franck. (1979). "Welfare Rights in a Constitutional Democracy". In Washington University Law Quaterly Vol. 03.1979 (Washington, Washington University Press).

Nine "planetary limits," or nine thresholds, of basic environmental problems beyond which human existence would be threatened. The concept was introduced in 2009 by a group of international scientists led by Johan Rockström (Stockholm Resilience Center) and Will Steffen (Australian National University) and includes climate change, ocean acidification, ozone depletion, phosphorus and nitrogen cycles, loss of biodiversity, change in the Earth's system, loading of aerosols, consumption of fresh water and chemical pollution.

Wolf Torres, Ricardo. (2003). "The metamorphosis of social rights in Minimum Existential". In Sarlet, Ingo W. (organizer), Direitos Fundamentais Sociais: studies of constitutional, international and comparative direction. (Rio de Janeiro, Ed. Renew).

IRINA ANA DROBOT<sup>1</sup>

## TWIN NOVELS: POSSIBLE EXPLANATIONS

### Abstract

The purpose of this paper is to find explanations for the phenomenon of novels which are strikingly alike. The pairs of novels examined are *Woman at the Window* by A.J. Finn and *Saving April* by Sarah A. Denzil, *Last Orders* by Graham Swift and *The Unlikely Pilgrimage of Harold Fry*, and *Firefly Lane* by Kristin Hannah and *Best Friends* by Linda Trent. The similarities relate to both structure and characters, as well as their views on life. Plagiarism is excluded in this case. The paper will draw on the theories related to coincidences (especially the theory of seriality) and common experiences.

**Keywords:** Culture, coincidences, seriality

**JEL Codes:** Z00, Z11

### Introduction

What could be some explanations for the phenomenon of novels which are strikingly alike? The pairs of novels examined are *Woman in the Window* by A.J. Finn and *Saving April* by Sarah A. Denzil, *Last Orders* by Graham Swift and *The Unlikely Pilgrimage of Harold Fry* by Rachel Joyce, and *Firefly Lane* by Kristin Hannah and *Best Friends* by Linda Trent. It may be worth mentioning the years these pairs of novels were published: a) *Woman in the Window* - 2018; *Saving April* - 2016; b) *Last Orders* – 1997, 2001; *The Unlikely Pilgrimage of Harold Fry* - 2013; c) *Best Friends* - 1995; *Firefly Lane* - 2008. For the similarities between the pairs of novels, plagiarism is excluded, as well as intentional intertextuality and other references. I refer to the type of similarities between the pairs of novels as “twin novels” since they share so many features in common, from the way the action goes to the way the characters interact and evolve. They contain similar life experiences and stories. The first pair of novels was written by an American, and, respectively, a British author, the second pair by two British authors, and the last pair by two American authors. The books chosen for analysis belong, thus, to English-speaking cultures, which can account for similar mentality and perspective on the way a story should be told, and on the way characters should behave in certain circumstances in certain ages.

For the first pair, there are sources which mention the similarities between the two stories. For the other two pairs, I rely on my own reading experience and observations.

An online article by Alter (2019), published in *The New York Times*, deals with the striking similarity of *The Woman in the Window* and *Saving April*. “It is often said that ‘good writers borrow, great writers steal’”, states Dan Mallory, in an interview with *The Guardian* (2018). Indeed, the two novels could not be more similar, and this is an uncanny phenomenon, since it appears it was done unwillingly.

The parallels are numerous, and detailed. Both novels feature anxiety-ridden, middle-aged female narrators who are afraid to leave their homes, and they witness something suspicious while spying on neighbors. The stories have nearly identical plot twists in the final act. ‘It is the EXACT same plot like down to the main characters’ back story,’ one person wrote in an Amazon review comparing the two books. (Alter, 2019).

---

<sup>1</sup> Technical University of Civil Engineering Bucharest, Romania, anadrobot@yahoo.com.

They have the same plot, same solutions, same types of characters. It is only normal to start raising questions about the authenticity of either of them in this case. A similar case, though less strong resemblance, since the other details related to the characters' lives differ up to some points and soften the possibility of an exact juxtaposition, is represented by the other pair of novels chosen for analysis in this paper.

I noticed the same type of characters and plot in *Best Friends* and *Firefly Lane*: the two best girlfriends, that both admire each other and envy each other, the triangle they form with a male friend, and then the way they stick together through life, while the man marries the more insecure of the friends. The two girls and their male friend reflect on life choices and finally the male friend chooses the more secure and independent girl.

The novel *The Unlikely Pilgrimage of Harold Fry* reminds not just of one single novel by Swift. It is a combination of two novels in fact. Before the pilgrimage begins, it bears a great resemblance to *The Sweetshop Owner*, through the reflections of Fry on the relationship with his family, which had never been very close, like the one of Swift's character. Then it resembles *Last Orders* through the pilgrimage he embarks on to deliver a letter in person to a friend from his past who is in hospital, sick with cancer. The letter reminds of the inner monologues in both novels by Swift. Unlike the group of friends in *Last Orders*, Fry is alone, just like William Chapman in the *Sweetshop Owner*, willing to feel close to someone and understood.

### Materials and methods

The similarities between novels could be coincidences. Yet, what makes us group them together in a meaningful way? A coincidence in itself seems to be largely the creation of the person experiencing it: "A coincidence itself is in the eye of the beholder" (David Spiegelhalter in Hashmi, 2019). We tend to search for patterns to make sense of, to order and control the world and the reality around us. For Carl Jung, meaningful coincidences are explained by synchronicity. His theory of *unus mundus* (one world) claims that reality has an underlying order and structure, like a network that connects everything and everyone of us. This could form the basis for common life experiences and common perspectives on life, common values and common solutions which are dealt with in the three pairs of novels. Synchronicity could be an explanation for the appearance of twin novels. According to Werner Ehrhardt, an idea which is the result of similar research work around the world can appear, then they can dispute intellectual property.

In these novels similarity is due to a meme: an idea that is very specific of and frequent in a culture. As an example, we could talk about the following hypothetical situation: I have an idea that feels personal; however, it is just a reflection of ideas very frequently moving through my culture.

The memes are there due to common themes, experiences, characters, and plot structure. The memes could be represented by the woman in the window motif in paintings, the idea of friendship, friendship and mimetic rivalry, the need for sympathy, and the pilgrimage. In the novels *Woman in the Window* and *Saving April* we have a common character: the woman witnessing a crime. In *Last Orders* and *The Unlikely Pilgrimage of Harold Fry*, we have in common going on a journey for a friend, and memorising moments the friends had spent together in the past. In both novels we notice feelings of guilt and regret: Harold Fry hopes that by walking to his friend he can repair the mistakes he had done, and help his friend get better in the process. In *Last Orders*, at some point, the characters express their wish to have had a choice in various life situations, or that they could have made a better choice. In *Firefly Lane* and *Best Friends*, we deal with a situation mimetic rivalry, as two female characters are seen both admiring and envying their best friend.

## Results

In the three pairs of twin novels, the coincidental similarities are given by cultural memes. First, there are plenty of women in the window images in paintings throughout historical ages. One such example is the painting by Jacobus Vrel, *Woman at a Window, Waving at a Girl*, dating back from 1650. The woman in this painting is very much absorbed by the scene and tries to make a gesture in order to make a difference in what she sees outside, just like the main characters in the first pair of novels hope to do. There is also a Romantic painting, *Woman at a Window*, by Caspar David Friedrich, whose description resonates with the main characters' feelings in the novels, saying that she feels isolated and constricted in her home, but has access to freedom of the outside world through the window. We notice the same contrast inside-outside, meaning inner world – external world, which the window seems to both connect and keep at a distance. The window is not an obstacle but a way to help give a helping hand, to connect the woman back to the outside world through allowing her to become involved in what she sees outside. A paper on travelling and pilgrimage, about secular vs religious traditions, resonates as a view of today's society with the pilgrimage on which Harold Fry embarks: "Though we intuit this at one level, we lack, as yet, a tradition of approaching travel from a properly therapeutic perspective and so of analysing landscapes according to their benefits to our souls." (de Botton, 2012)

Fry goes on the journey in order to be able to confess to the reader, leave behind his troubled family, and make the decision to be with his old friend in her last moments. The pilgrimage will help him on his way to accept his loss, as by going there he hopes to control things and help her get better with his sacrifice of walking such a distance on foot towards her hospital. Through the pilgrimage, which could be pictures as a journey in a larger sense, Fry goes to find himself and also illustrates the metaphor of life as a journey, with all his memories, exactly like each member of the group of friends in *Last Orders*. The term *meme* comes from *mimeme*, which comes from imitated thing, in the sense that ideas and cultural phenomena are spreading based on evolutionary principles (Dawkins, 1990). Ideas and behaviours all spread from individual to individual that are part of the same culture. The meme acts in such a way so that it transmits cultural ideas, symbols, practices, through writing, speech, gestures, rituals. All these can be imitated.

The three pairs of novels reflect the values present in society at the time they were written. Ideas such as travelling being therapeutic, pilgrimage being not only for religious believers, friendships being valuable, that you need to be close to friends in their hard times, that it is your moral duty to intervene when you witness a crime, that it is not good to envy your best friend, that we want what we cannot have and others do, are all part of our cultural frame of mind, and constitute memes.

Cognitive memes (Aaron Lynch's term) are defined as ideas held in high esteem by most persons. These are spread in a passive way. They can be regarded as the equivalent for principles and values, which are noticed all throughout the novels, especially through guilt: guilt about relations with friends, and moral duty to intervene when witnessing a crime and punishing the wrongdoer. We could deal with cognitive memes at the level of the characters' values and ways of behaviour in the novels, as well as with the whole community's principles at the time the authors wrote their novels.

## Discussion

The novels' similarity can be regarded as a reflection of the way we see the world at a certain time, through cultural memes. Authors share the same cultural mindset and memes just as readers and other persons do.

These sets of novels are all part of the time when newspapers always claimed they had an interesting article, referring to it as a *story*. At the time the novels were written there was plenty of sensationalist

news around. News that you found striking, like in the novels: everywhere there is something that draws your attention. The story of the best friends, with the triangle wishing to live happily together sounds like a story about movie stars, the novels about the woman discovering the criminal brings thrill and excitement present in news (with reporters being involved in difficult cases, investigating information, observing things right where they happen). The pilgrimage has something a bit unusual in the honest way they deal with everything, in Swift's novel Jack's friends start confessing, Fry also does this, and eventually we feel like we go through their lives through their confessions and memories while they go on pilgrimage. Harold Fry thinks of an out of the ordinary way to save his friend, taking it all in his own hands, and Jack's friends fulfill his last wish by going to the seaside to scatter his ashes. Somehow the novels group around a common culture of mass-media and sensationalism, especially the thrillers are very easy to read, just like a news story. In a 2015 interview for *The Guardian*, Swift claimed: "As human beings we're all short-story enthusiasts".

## Conclusions

The coincidence of having such striking similarities between novels is only an effect of certain ideas, principles and recurring news items during the age. We react to them unconsciously, or at least without noticing, as readers and writers. Human lives and experiences may resemble to a great degree, due to the cultural memes which we share.

Writers created thriller plots for the readers wishing for action and excitement, as they no longer want experimental, self-referential novels. Women authors are often preoccupied by relationships, so the novels about the best friends and the love triangle to which we add mimetic rivalry may not be that surprising. When it comes to Harold Fry and Swift's characters, at some point in their lives they realize they could have made other choices, ended up differently in their relationships, a theme common to all times in old age.

The similarities are not coincidences or plagiarism; they are just the result of common cultural mindsets and common experiences that we all may go through in life.

## References

Adams, Tim. (2018, January 14). *Interview Dan Mallory: 'Without Gone Girl I'd never have written this book'*. The Guardian. Retrieved from <https://www.theguardian.com/books/2018/jan/14/crime-fiction-daniel-mallory-woman-in-the-window-debut-interview>.

Alter, A. (2019, February 14). *Similarities in 2 Novels Raise Questions About the Limits of Literary Influence*. The New York Times. Retrieved from <https://www.nytimes.com/2019/02/14/books/dan-mallory-woman-window-denzil.html>.

Dawkins, R. (1990). *The Selfish Gene*. UK: Oxford University Press.

De Botton, A. (2012, February 3). *Spiritual travel for atheists: Do pilgrimages have a place in modern society?* Retrieved from <https://www.independent.co.uk/travel/news-and-advice/spiritual-travel-for-atheists-do-pilgrimages-have-a-place-in-modern-society-6350955.html>.

Denzil, Sarah A. (2016). *Saving April*. United States: CreateSpace Independent Publishing Platform.

Finn, A.J. (2018). *Woman in the Window*. United States: Harper Luxe.

Hannah, Kristin. (2008). *Firefly Lane*. United States: St Martin's Press.

Hashmi, A. (2019, March 17). *Coincidences – Signals of the Universe or Simple Mathematics?* Retrieved from <https://www.indianfolk.com/science-behind-coincidences-signals-universe-simple-math-riya/>.

Joyce, R. (2013). *The Unlikely Pilgrimage of Harold Fry*. United States: Random House Trade Paperbacks.

Swift, G. (1997). *Last Orders*. New York: Vintage Books.

The Guardian. (2015). *Interview with Graham Swift*. Retrieved from: <https://www.theguardian.com/books/2015/jul/07/graham-swift-short-stories-paperback-writer>

Trent, Linda. (1995). *Best Friends*. Romania: EIS-POL.

MIRDEC-14th, International Academic Conference on  
Contemporary Trends and Multidisciplinary Issues in Social Sciences  
(Global Meeting of Social Science Community)  
08-10 October 2019, Kadir Has University, Istanbul, Turkey.  
Masters International Research & Development Center

[www.mirdec.com](http://www.mirdec.com)

**FULL PAPER SERIES - ISTANBUL 2019**

**ISBN: 978-605-80074-2-0**

# MASTERS INTERNATIONAL

## Research & Development Center

### MIRDEC-2019

### ISTANBUL 2019

Conference Proceedings: Full Paper Series

**ISBN: 978-605-80074-2-0**

We are very pleased to introduce the proceedings (**Full Paper Series**) of the **MIRDEC-14th, International Academic Conference on Contemporary Trends and Multidisciplinary Issues in Social Sciences (Global Meeting of Social Science Community), 08-10 October 2019**, Kadir Has University, Istanbul, Turkey.

MIRDEC thanks to all our participants and authors for their academic and social contributions.

**Mirdec-14th Istanbul 2019 Conference Proceedings, Full Paper Series**

Masters International Danismanlik Arastirma Yayincilik  
Masters International Consultancy Research and Publishing

**ISBN: 978-605-80074-2-0**

MIRDEC Publishing

**Editor:**

**Tamer Budak**

**Joaquim Ramos Silva**

**Antonio Focacci**

Copyright © 2019 Masters International Danismanlik Arastirma Yayincilik, editors and the authors. All rights reserved. No part of the material protected by this copyright may be reproduced or utilized in any form or by any means, without the prior written permission of the copyright owners, unless the use is a fair dealing for the purpose of private study, research or review. The authors and editors reserve the right that their material can be used for purely educational, scientific and research purposes.

**Publisher:** Masters International Danismanlik Arastirma Yayincilik

Masters International Consultancy Research and Publishing

**ISBN: 978-605-80074-2-0**

MIRDEC Publishing

**Publisher certificate no: 35822**

**Publication date: 31 December 2019**

Publisher address: Cinarlicesme sk. No: 21/13 PK: 34303 Kucukcekmece  
Istanbul Turkey

Tel: +90 532 525 23 95

**[www.mirdec.com](http://www.mirdec.com)**

**[info@mirdec.com](mailto:info@mirdec.com)**

**Published at:** Transkop Buro Makinalari San ve Tic Ltd Sti. Address: Bagdat cd. No: 287/291A Maltepe - Istanbul, Turkey. Sertifika No: 42007. (Certificate no: 42007).  
Tel: +90 (0216) 383 34 14.

Masters International  
Research & Development Center  
Istanbul 2019

