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Chapter 1

OUTSOURCING AS A COMPETITIVE STRATEGY

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Introduction

According to the strategic management approach that develops depending on the changes in production and the market, the continuation of the existence of the enterprises depends on having a sustainable competitive advantage. Competitive advantage requires practices to ensure and increase the efficiency and productivity of the business. Outsourcing is seen as an important element in providing competitive advantage. In the late 1970s, the division of labor between enterprises for the outsourcing of production initiated by only a few large enterprises in Western Europe and the USA, and with the outsourcing of other functions over time, new organizations that are connected by networks between enterprises in different geographies of the world emerged. took it out. The main logic of this organization, which is also called network organization, is that each business in the network transfers its basic skills to the next process as an outsource. After the second half of the 1990s, the number of enterprises that divided their functions according to their basic abilities increased and even hierarchical networks were formed as a result of the division of labor. At the same time, the current market phenomenon has emerged from limited areas and the whole world has begun to be perceived as a market. Thus, the competitive arena of enterprises has become global markets (Pankowska, 2019).

In order to provide competitive advantage and competitive advantage in global markets, businesses focus on their core competencies by using the developing transportation, communication and informatics opportunities and outsource other business functions. Outsourcing is when businesses focus on the business or businesses they do best and outsource their activities outside the business. Keeping their costs under control, improving service quality, reaching new and innovative technologies, increasing their capacity to develop new products/services, acting more flexible and faster in the market, with the use of outsourcing, enables businesses to focus on their core competencies and gain the advantage of providing sustainable competitive advantage (Kasemsap, 2020).

The fact that businesses compete in global markets has led them to resort to versatile alternatives and structures to increase their productivity and quality of their products. Instead of the customer-supplier relations that were previously established with suppliers that provided external resources, types of mutually beneficial relationships between businesses such as strategic partnerships, strategic collaborations and supply chains have begun to be preferred today. In this respect, outsourcing is a typical type of strategic cooperation for businesses. In cooperation with outsourcing, businesses mutually share risks and have strategic flexibility. This cooperation is also defined as strategic outsourcing (Pereira, Munjal & Ishizaka, 2019). In this context, the aim of the research is to examine the application

areas of outsourcing, the reasons for use and the stages of use processes by making use of the current literature. Since the study focuses on current studies in the literature, it is a guide for future studies in the related field.

Conceptual Framework

Core Capabilities and Outsourcing

Constant and rapid changes and harsh competition conditions with increasing globalization force many businesses to adapt to this process and develop new strategies. This new economic order and information age requires businesses to have business-specific resources and capabilities that are difficult to imitate and substitute, and in this way to ensure sustainable competition. The concept of core competence or core competence, which is included in the literature as “core competence”, defines the core business that businesses specialize in more than other fields of activity and enable them to achieve above-average success in the long run (Rintala et al. 2021).

In a more general definition, basic capability refers to the knowledge, skills and abilities that distinguish a business from other businesses, play a fundamental role in realizing the vision of the business, and cannot be easily imitated by competitors. Today, many businesses focus on their core competencies and outsource other business functions. Core competencies constitute the most important strategic point in deciding which activities to be procured from outside the company and which core competencies are specialized in outsourcing practices. For this reason, core competencies and outsourcing concepts and techniques complement each other and are often studied together. Outsourcing, on the other hand, means that businesses focus on the work or businesses they do best, and outsource their activities outside of these businesses. Outsourcing is a modern management technique that enables many businesses operating in almost every sector to focus on their core competencies in the age of competition that businesses are in. Thus, businesses that focus on core competencies could gain a sustainable competitive advantage over their competitors through outsourcing (Fontana, Aragão & Morais, 2019).

Outsourcing is not only a choice to reduce costs, but also a strategic management tool that can benefit the business in the long run. While the main reasons for choosing outsourcing today are seen as keeping costs under control, improving service quality, and focusing on core competencies, research show that in the future, reaching new and innovative technologies, increasing new product development capacities and innovation outsourcing will be among the top reasons for preference. To determine the basic capabilities and to use outsourcing effectively, the enterprise should create its own inventory, and therefore the enterprises should correctly determine their assets and capabilities (Pang, Zhang & Jiang, 2021).

Assets and Capabilities of Businesses

All the elements owned by the enterprises and used to produce goods and services in accordance with their purpose in business activities are defined as the assets of the enterprise (Edvardsson, Óskarsson & Durst, 2021). Business assets are also elements that will sustain the business and provide it with a competitive advantage. Business assets are classified as tangible and intangible assets. Tangible assets are visible and quantitatively identifiable physical assets of the business. The tangible assets are the land, buildings, machinery, raw materials and auxiliary materials, financial assets, human resources as workforce, management elements and the finished and semi-finished products produced by the enterprise. Assets represent the total resources of businesses. Tangible assets have determinable financial values and depreciation (Lee & Kim, 2022).

Intangible assets, on the other hand, are the elements that can be noticed, usually intangible and that can give difference and privilege to the business and its products and services. Elements such as brand, patent, technological secrets, image, reputation, reliability, and intellectual capital are considered as intangible assets of enterprises. While the tangible assets of the enterprises are subject to depreciation, the absence of depreciation of intangible assets makes these assets more valuable in the long run. Intangible assets are the elements that cannot be measured financially and that constitute the reputation of the employees in the business workforce and the customers in the supply chain in which the business is located. For this reason, the primary intangible assets of a business are people, communication, and customers (Elliott, 2020).

Talent is a very important concept for all businesses struggling to survive in an intense and ruthless competitive environment today. Determining which talents are needed to compete in a particular market or developing strategies and tactics suitable for the talents possessed constitute the infrastructure of the future success of the enterprises. According to knowledge-based theories, the most important element that emerges when considering business capabilities is the human resource that constitutes the workforce of businesses. The reason why the human element has such an important place in talent is that businesses can achieve all optimum results such as success, creativity, and continuity only with employees who are talented, creative and have skills in line with their business goals. For this reason, to reach their strategic goals, businesses have to create a structure where employees can develop their own talents as well as the capabilities of the business, increase their sense of belonging to the business they are in and where organizational learning can take place (Shafie & Hoseini, 2020).

Dimensions of Basic Abilities

Basic ability has four dimensions, consisting of knowledge and skills of employees, technical systems, management systems and values and norms of the enterprise. The first dimension is directly related to the employees who are the producers of the product or service and the unique techniques of the enterprise. The training policies and programs created by the enterprise to develop its human resources reveal the ability of that enterprise towards the knowledge and skills of its employees. Businesses with this ability feel responsible for the development and training of their employees and use their organizational resources accordingly. Businesses add a value to themselves in the sector with the knowledge they gain as a result of developing their employees' knowledge and skills (Yu & Xiao, 2021).

The technical dimension consists of all the retrospective databases, processes, and instructions of the enterprise. Technical capabilities such as product processing and R&D enable businesses to make a difference against their competitors and to gain competitive advantage in the sectors they serve. The technical knowledge and skills of the enterprises are very important in terms of the operation of the process in a shorter time and with the least problems, especially in strategic and organizational changes and possible problems that may occur in this change process (Asatiani et al. 2019).

The third dimension, management systems, covers formal and informal resources for knowledge production and the process of controlling knowledge. Ensuring the continuity of enterprises, determining their basic capabilities, and creating their strategic architecture, and the formation of strategic architecture depends on the management systems and capabilities of the enterprise. When the concept of core competency is examined holistically, it is necessary to manage the capabilities, related processes, resources, tasks, and roles correctly for the capabilities of a business to be core talent and to benefit the business. The managerial dimension of core competencies is usually based on knowledge, experience, evaluation, and decision support systems (Asatiani et al. 2019).

The fourth dimension, which consists of the values and norms of the business, is the business assets, which are included as inputs in all the other three dimensions and are briefly defined as corporate culture. Corporate culture includes organizational abilities such as communication ability, adaptability to changes, human relations, innovation and organizational learning. In enterprises with communication skills, there are two-way communication channels between employees and in subordinate-superior relations, and employees can freely express their opinions. The ability to

adapt to changes depends on criteria such as adaptation to the environment and conditions of the business, ability to think creatively and innovatively, implementation of organizational change plans, and recognition of change dynamics in advance. Bringing together talented employees in the enterprise, creating an efficient and innovative work environment with an effective human resource management are other important elements of corporate culture (Asatiani et al. 2019).

Businesses that want to have the innovation ability and make it a part of the corporate culture must first be open to innovative ideas that will create innovation and adopt the spirit of innovation. Organizational learning ability, which is another element of corporate culture, is a mental process in which organizations develop new models as a result of gains from their experiences. Learning organizations better recognize and develop their own internal dynamics by analyzing their experiences in the learning process. According to the resource-based approach, being a learning organization is seen as an important tool and capability that creates competitive advantage for businesses and ensures the sustainability of competition (Altin, 2021).

Definition of Outsourcing

Outsourcing is a modern management approach that allows businesses to focus on the activities that provide them with competitive advantage by transferring the activities outside their field of expertise to organizations specialized in their fields (Pankowska, 2019). More generally, it means that businesses transfer the products and services that they can produce to different companies and have them produce them. We can express outsourcing as the transfer of a work done by the enterprise to an external supplier with a long-term contract (Bui, Leo & Adalakun, 2019). Outsourcing explains how to reduce costs by working with organizations outside the business, to increase customer satisfaction by increasing productivity, to develop new relationships with new companies, to use business resources more beneficially, and to achieve maximum efficiency with minimum effort and cost as a result (Tanguy, Bahers & Athanassiadis, 2020).

One of the modern management practices seen in information age organizations is outsourcing. Due to today's harsh competitive conditions, many businesses must look for new ways in the management of their organizations. At this point, outsourcing, as a strategic management technique, enables businesses to focus on their core competencies and minimize the risk of failure.

Abu & Klischewski (2015) defined outsourcing as the preference of enterprises to specialize and focus on their core activities for competition, and to outsource their other activities to other enterprises. According to the definitions of Rueckel, Krumay & Schwarzgruber (2020) outsourcing

is the outsourcing of a value-creating activity, product or service that businesses cannot produce with their own assets and capabilities. The emphasis in the definition of Kumaresan & Liberona (2022) is the realization of the value creation activity that the enterprise cannot create with its own assets and capabilities, through outsourcing.

Outsourcing Application Areas

When the concept of outsourcing in enterprises is examined on a world scale, it is understood that the use of supplier companies can be preferred for all activities within the enterprise. Although outsourcing is defined as the areas of outsourcing, mostly the activities of the enterprises that are outside of their core skills, there are businesses that choose to outsource even their basic capabilities. In addition, the outsourcing strategy varies in line with the sector, the scale and location of the enterprise. In a sector-oriented and non-regional study, it is not easy to reach clear and acceptable information. Outsourcing, which is a frequently preferred policy in large-scale enterprises in our country, continues to develop rapidly and has started to be used in small-sized enterprises as well. In general, outsourcing is concentrated in the following areas (McIvor, 2016)

- Production
- Care
- Technical Development
- Financial Accounting
- Logistics
- Marketing
- Human Resources
- Information technologies
- Food
- Cleaning
- Security

Businesses procure the services they want to receive by outsourcing from companies that are experts in their fields, which provide better service than themselves or that they can have the same service outsourced at lower costs. Services supplied from different businesses in different fields combine under the roof of the main business and form an input to the basic product or basic service. In this context, businesses outsource many services in different fields, from business processes to meeting employee needs, from human resources to production processes, from accounting

and financial services to information technologies (Hanafizadeh & Zare-ravasan, 2020).

Strategic Reasons for Outsourcing

In order to be successful, businesses prefer to benefit from external resources to turn some functions within their structure into superiority. Moreover, it includes functions that create high added value to these functions. The circulation of services and products because of these services is facilitated. Technologies in management and electronic systems are becoming more complex and multifaceted than ever before. In many businesses, management preferences such as outsourcing are indispensable for success. Areas such as logistics, contract and system management are becoming more important than in the past. Businesses must change the routine internal resource management logic focused on a product that they have applied in the past. Contrary to this idea, they focus on core competencies and work with excellent suppliers around the world for requirements outside of core competencies (Skipworth, Delbufalo & Mena, 2020).

The dizzying pace of changes in design and technology in the manufacturing sector makes it necessary for businesses to benefit from outsourcing. Economic abundance is the force behind this change. Increasing welfare level causes the consumer to expect more detail, quality, and service support. With the increase in production, more specialization emerges. Niches that are formed as the market share increases is considered as an indicator of specialization in the market, technology and product. This technological and social impact has led to a decrease in many top-down sectors. Since the end of the 1960s, this has reduced the average operating capacity on the one hand, and on the other hand, increased the effort to meet customer needs more effectively by reducing the level of large enterprises and facilitating bureaucracy. The main reason for businesses to use outsourcing management strategy was the desire to reduce costs in resources. However, it should be stated that the cost factor is not the only and most important reason for outsourcing. Other reasons are (Ferruzzi et al. 2011);

- Concentration on basic skills,
- Concerns about cost,
- Performance improvement,
- Proximity to technological developments,
- Contraction,
- Maximizing the risk,

- Ensuring the re-presentation of resources,
- Re-update (Accelerating process renewal efforts),
- Reducing investment costs,
- Acquiring the ability to adapt.

Businesses give more importance to the decision of outsourcing due to the strategic feature of the method. Outsourcing decisions taken with a short-term perspective and with the aim of gaining cost in the short term, without being evaluated with its strategic dimension, can lead to inefficient results for businesses. Whereas outsourcing method is seen as a strategic tool that provides long-term growth and development instead of short-term gains when it is carried out in coordination with the internal strategies of the enterprises by using their own resources and skills. Businesses that focus on their core competencies with outsourcing can achieve their strategic goals more easily and continue their activities by preserving their current market shares in today's sectors where globalization is experienced rapidly (Fan, 2000).

The outsourcing method also includes strategic collaborations established between businesses in line with the strategic management perspective. With the strategic collaborations established, the competitiveness of the enterprises increases, and the method enables enterprises to keep up with the pace of change and maintain their existence, especially in sectors such as electronics and clothing that are geared towards fast consumption. Today, strategic collaborations based on outsourcing, beyond all these advantages, have also been included in the innovation processes of businesses and have become a method preferred by businesses that want to be innovative and/or want to increase their innovation level, especially for these purposes (González, Gascó & Llopis, 2016).

Stages of the Outsourcing Process

The process of outsourcing in enterprises starts with a preparatory phase, which includes making evaluations as a result of the emergence of the necessity, taking the decision to use outsourcing and determining the implementation road plan. The process continues with the preparation of the specification, the determination of the appropriate supplier and the execution of the contract. The last stage includes raising the cooperation to a good level by harmonizing both companies and making the necessary arrangements for controlling and managing the created structure (Perunović & Pedersen, 2007).

In the first phase, the critical decision about outsourcing to the business must emerge. Which business phase is determined by how and under

what conditions it is obtained by the outsourcing method. In the second phase, the content of the specifications in accordance with the prepared target is prepared and delivered to the suppliers who will request these works in the market. The proposals prepared by the suppliers are examined and the most ideal of the candidates is given the job. In the third phase, an outsourcing contract is prepared with the supplier company that takes the job. The duration, content, service level, critical success factors, penalty-reward measures of this contract should be determined. After the contract, the supplier company takes the job and starts working. In this transition period, an activation process is applied to minimize the existing operation and to prevent sudden fluctuations in service quality. During this process, both the supplier who will do the work and the work team of the company that makes the work create a close working environment. After the business content is successfully delivered to the supplier, service levels begin to be monitored (Solli & Gottschalk, 2015).

Making the Outsourcing Decision

Factors such as cost, strategy, reliability of the supplier, delivery time, continuity of quality level and continuity of the quality of the enterprise affect the decision of outsourcing. The influence of external factors on the decision can be classified as the speed of technological changes in core capabilities, instability in product demand, timing, internal dynamics of the enterprise, the development of the enterprise over time, the maturity of the market where the outsourced activity is located, the universality of the activity, and the quality of the supplier's offer. In addition to these effects, the factors that make businesses want to use outsourcing can be expressed as the speed of technological developments, the frequency of new products to the market, seasonal changes, unpredictable future forecasts, the firm's presence in the market and the differentiation of the workload over time (Lacity et al. 2009).

In a business;

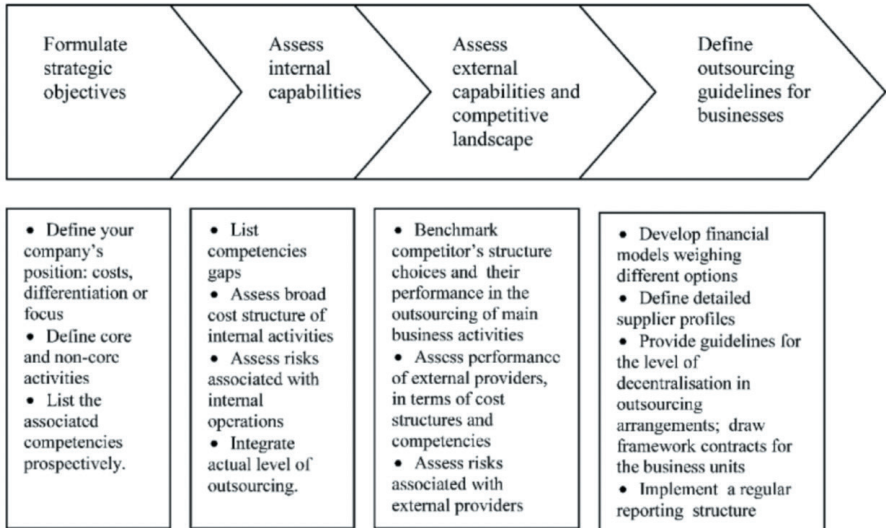
- If the customers do not consider the stages and focus only on the products,
- If the talents are in the market, close to the customer and accessible,
- If the technology required to perform the function is stable,
- If having world-class performance values is not an indispensable success factor for the enterprise,
- If the suppliers are more capable and skilled in their work than the business,
- If there is a significant capital or resource gap to close the perfor-

mance gap,

- If the organization has plans to close the job and withdraw from the job in the near future, it would be appropriate to turn to outsourcing under these conditions (Shishank & Dekkers, 2013).

The outsourcing decision of businesses should be taken as a result of a solid and organized study. The first stage of the model involves the formulation of strategic objectives. At this stage, core and non-core capabilities should be clearly identified. The company's position in the market, its dissimilarities with its competitors should be defined. In the light of what is known, the activities to be provided outside the business, that is, from the suppliers, should be determined. This analysis requires the employees in different positions in the business to make a lot of effort and spare time. In the second stage, the level of internal competencies should be determined, and external resources and existing capabilities should be compared. This stage can be quite troublesome because the employees will aim for the continuity of themselves and their departments. The cost structure of internal activities should be determined, and the differences of these activities with competitors and external suppliers should be specified. In addition, the possibility of damage to these activities should be determined and the possible consequences of outsourcing participation in these processes should be evaluated (Arora & Kumar, 2022).

Figure 1: Outsourcing Strategy Creation Steps



Source: *Quelin, Bertrand, François Duhamel. "Bringing Together Strategic Outsourcing and Corporate Strategy: Outsourcing Motives and Risks", European Management Journal, v. 21, (2003): 647-661.*

The third stage covers the analysis of market demands by researching the capabilities and competitive environment in the foreign market. At this stage, competitors' outsourcing preferences and practices are examined. The financial structure and competencies of the suppliers are evaluated. In addition, the risks that the supplier may cause are identified. At the last stage, the rules that the company will apply for outsourcing are clarified. Financial models compatible with different conditions are developed. Supplier properties are defined in detail. The content and draft of the contract are created. By presenting a reporting sample, it is determined how the process will be controlled (Kotabe, Mol & Ketkar, 2008).

As a result of these analysis, management will be able to make more reliable and accurate outsourcing choices. Preparations not made in this way carry serious risks and what will happen because of the decisions taken will only be revealed long after they become operational. Serious damages may be encountered as it cannot be restored (Kotabe, Mol & Ketkar, 2008).

Determination of Outsourcing Strategy

With the decision to use outsourcing, businesses should establish short and long-term goals before activating their goals. When the structurally different sectors and businesses are taken as an example, it is seen that outsourcing can be applied in three different types. The first and most general form of application is to use external resources for studies other than core competencies that provide competitive advantage. Although such applications are made intensively, another outsourcing practice may be to outsource some work to internal production only when the work is very busy. In fact, depending on the nature of the business, external resources can be used for all the works, including basic capabilities. The business should make its choice in this regard, considering its own structure, while making a choice (Honarvar & Rezaee, 2019).

Another important preference is related to the duration of the working partnership to be made. The duration of the contract with the supplier may affect the scale and efficiency of the relationship. Contracts can be long term (5 years or more), medium term (1-5 years) or even less than 1 year. It is essential to determine the purpose of the enterprise in terms of time in line with the objectives that the enterprise is trying to achieve with the use of outsourcing and its foresight on this subject (Lok et al., 2021).

The factors that should be considered when determining the objectives to be established after the decision of the business management to use outsourcing can be defined as follows (Gunasekaran et al., 2015);

- Outsourcing of the overall goals and objectives of the business
- How long the working partnership with the supplier companies will

be, its coinciding with its targets,

- Defining the basic abilities and functions other than the basic abilities clearly,
- What kind of environment should be created to harmonize with the company to be cooperated with,
- Understanding the reliability of supplier companies in not exceeding the targeted quality level and costs
- Businesses should be meticulous when determining their outsourcing purposes, with the idea of having all business studies done outside the business and coming to a focal point that only provides supervision and coordination.

Advantages and Disadvantages of Outsourcing

Outsourcing is a management strategy that focuses on the core competencies of the businesses that provide them with a competitive advantage and refers to the use of supplier businesses in activities other than their core competencies. The main reason for outsourcing applications is the desire to reduce costs. In this context, the most important advantage of a successful outsourcing method for businesses is that it is oriented towards the economic processes of the business and increases the competitive advantage of the business by reducing the costs. With the use of outsourcing, businesses gain flexibility and the ability to respond to customer needs at lower costs by converting unnecessary costs into large capital returns. Supplier companies that are experts in their fields carry out the activities they serve in a faster and higher quality with fewer human resources, thus saving not only costs but also labor (Somjai, 2017).

In the changing competitive conditions of the market, the success of the enterprises is not only measured by economic values, but also by the ratios such as service quality and responding to customer needs. With the outsourcing strategy, businesses focus more on their own fields of activity and ensure continuous development and improvement in product and service quality. Outsourcing also increases creativity and flexibility by reducing bureaucracy within the business. With the outsourcing of new technologies, businesses both save time spent on design, share risks based on technological developments with external resources, and have new products, new ideas and quality development opportunities that they cannot produce with their own creativity. By outsourcing the activities previously carried out within the enterprise, the time spent on the production and organization of these activities is also saved, thus providing flexibility in other business activities and management (Tayauova, 2012).

Outsourcing allows businesses to use their limited human resources and other material resources correctly. In enterprises with a growth vision, priority is given to modernization and capacity increase projects by concentrating on new and complex technologies, while standard production lines are transferred to external sources. In addition, as businesses grow, human resources also increase, and time and money are required for the training of increasing human resources. In this case, meeting the need for human resources and outsourcing trainings save resources and time. Partnership and network organization relations are developing in this type of businesses that tend to outsource, and while businesses grow, they shrink structurally and become more flexible and more mobile (Somjai, 2017).

Another advantage of outsourcing for businesses is the reduction of responsibilities and risks. In times of rapid changes in technology, businesses reduce uncertainty and risk by outsourcing new technologies and new technology products or large amounts of parts and components of complex systems. Outsourcing strategy, especially in small businesses, strengthens technological internal resources, thus providing great advantages in responding quickly to customer requests and developing innovative capabilities and activities. In summary, the outsourcing method provides advantages such as structural shrinkage, rapid growth, globalization, competitive advantage, and restructuring (Aswini, 2018).

In addition to the advantages described above, the outsourcing method also has some disadvantages. Choosing the supplier company that provides wrong and insufficient outsourcing service, which is one of these disadvantages, is the most serious problem that can be encountered in terms of operational efficiency. If some supplier companies providing outsourcing services do not have the necessary knowledge and skills in this field, wrong and inadequate supplier selection carries risks such as not delivering the service/products on time and deterioration in the quality of this service/product. These risks can cause significant, material, moral and long-term damages to the business (Zhu, 2016).

The fact that businesses always consider outsourcing as a ready-made solution is another disadvantage. The business should analyze how important these activities are to it before deciding to outsource. For example, finding potential candidates in the recruitment process of senior managers can be done through external sources, but the interview and recruitment processes must be carried out within the company itself. It is considered as a disadvantage to outsource activities that can be considered as a fundamental element in terms of the business, such as the employment of senior managers, wage and salary adjustment, and performance-based incentive wage payments. In addition, in businesses that are accustomed to receiving outsourcing assistance in every field, this situation is seen as a ready and

easy solution over time and pushes the business to a certain extent (Harland et al. 2005).

In some cases, businesses reduce the number of personnel by taking advantage of external resources. However, this situation carries the risk of causing the company to lose its expertise in many areas such as management, production, and marketing. Since the knowledge and skills of the enterprises are based on the experience gained at the end of many years, if problems occur after a certain period in the areas transferred to external resources, it becomes difficult for the enterprise to take control of the relevant function transferred to the suppliers and to provide the necessary knowledge and skill support. If outsourcing is used, expert human resources working in related fields may have left the company or their expertise may have become insufficient because they did not use their knowledge and skills. For this reason, businesses become dependent on supplier businesses in the activities they supply from external sources (Kremic, Icmeli & Rom, 2006).

It is also risky in terms of security that the long-term strategies of the enterprises benefiting from external resources are learned by the supplier enterprises due to the established cooperation. The most emphasized disadvantage of outsourcing is that the supplier companies are likely to become a rival of the company with the knowledge they have about the business they serve and the experience they have gained over time. Another disadvantage of outsourcing is that some of the employees become passive and therefore dismissed due to some activities that the enterprises outsource. Such situations both deprive the company of its qualified human resources and negatively affect the commitment and motivation of the employees in other units, causing them to resist the change in the company due to outsourcing (Leavy, 2004).

Conclusion and Recommendations

Until the 1990s, businesses were doing all the work necessary to continue their activities in-house and did not prefer outsourcing practices. Doing all the work in-house was seen as an expression of size and power for businesses. However, businesses have started to turn to outsourcing due to the increase in competition, the concern of reducing costs, and the problems arising from not being able to fully focus on every job. There are many reasons why outsourcing is preferred in logistics activities. In particular, the desire of companies to be competitive in the markets they trade in, the need for infrastructure information about foreign markets to be entered, and of course the desire to reduce costs by avoiding unnecessary investments led to the need for external support.

Businesses trying to keep up with the globalizing world market and

rapidly changing conditions use outsourcing strategy to keep up with tough competition conditions, to increase profitability by reducing costs and to ensure the continuity of business activities. When this management strategy is evaluated from the point of view of businesses and the studies in the literature are examined, it is seen that they provide savings in expense costs by focusing on their basic skills. With this savings, businesses have gained the ability to move more easily on the way to reach their other goals. When we look at the outsourcing management strategy from the point of view of employees, unfortunately it is not possible to talk about positive developments as much as the benefits it provides to businesses. The negative effects of outsourcing on employees have been the decrease in wages, regulations in working conditions to the detriment of the employee, the restriction or absence of certain material and social rights, and the restrictions on the right to organize.

The enterprise that receives service with the outsourcing will benefit from the speed, low cost and flexibility that are the prominent features of this method. The supplier company that will undertake the work will undertake the current operation in a short time without any problems, as it has the advantage of providing similar services to its similar customers, ready knowledge, ready infrastructure, trained expert personnel and appropriate legal permits. It will be able to respond quickly to the changes requested by the customer such as service level, quality, content, and service type. By using the common infrastructure, shared personnel and effective business processes, the supplier enterprise will be able to offer the existing business at much more affordable costs and at higher service and quality levels. Businesses that can achieve their goals more effectively and efficiently with outsourcing are acquiring more and more business content with this method. Businesses receiving service assign personnel who manage and plan outsourcing operations within their own organizations.

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Chapter 2

GLOBALIZATION AND FINANCIAL DEVELOPMENT

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1. INTRODUCTION

Globalization was a great contributor, to the development of our society defining each aspect of current life throughout 140 years, thanks to cultural, economic, information, traditional, industrial, political, and other relationship achievements between human and worldwide countries. Globalization affects the world around us and contributes to global changes in modern worlds which is vital for anyone engaging with international relations.

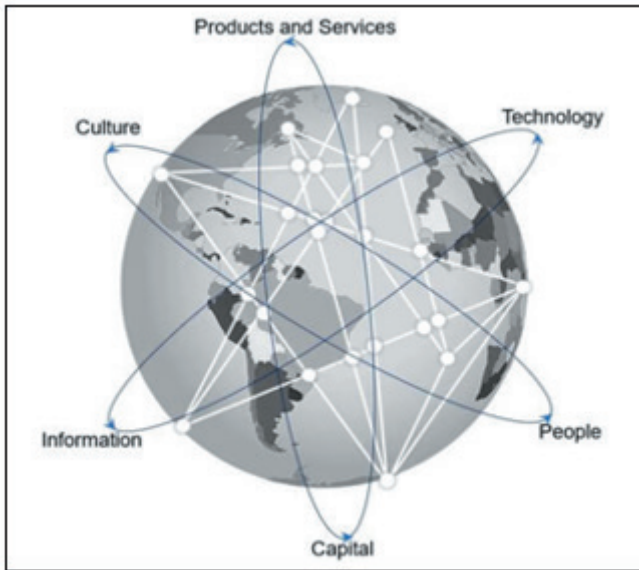


Figure 1. Sectors Involved in Globalisation Process. Source: (WSM, 2022)

Globalization is the integration of various national markets and international trade networks mainly social culture and an economical system. It conditioned the increase of the macro-economic relationship which allowed easy movement of financial funds, goods, and individual services beyond national borders while removing restrictions on global trading on an international level (Islam, 2019). The concept of globalization comprises the process of global internationalization and liberalization of the world economy (Ali et al., 2012), and it is assumed to widen geographical economic relations between countries (Ruzzier et al., 2006), which releases the restriction of free market turnover among nations. Due to global changes in politics, economics, and business extensions associated with progress in technology, transportation networks, and implementation of digital communication systems, globalization imposes a necessity for enterprises to change their business strategy to resist the competition to transfer their activity out of border domestic country (Katerina and Aneta, 2014).

This study aims to analyze the main aspects of the development of globalization processes, applying theoretical outcomes, and methodological implications and financial development. Moreover, this paper discusses the impact of globalization on financial development.

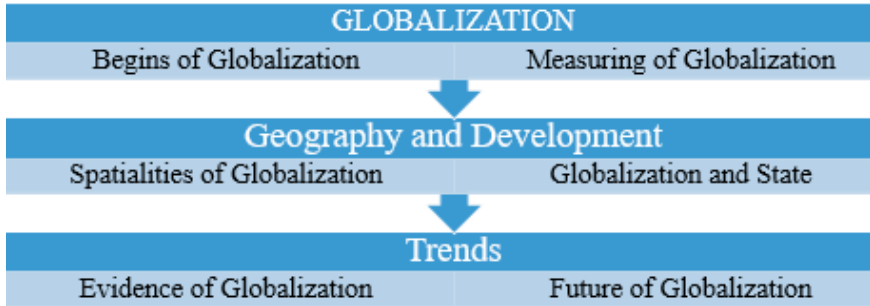


Figure 2. Globalisation Methodology Flowchart.

1.1 Globalisation

The ideas of globalization remain as elusive as they are widely spread (Scholte, 2008). Globalization portrays global market players attempting to spread international business, the integration of economies through the movements of goods, products, services, capital as well as labor and knowledge (brain) across international borders, which consists of a historical process and a result of innovation in technological achievements made by humans. Except, there are also extensive cultural, political, and environmental dimensions of globalization operated at the multinational level (IMF, 2008).

1.2 Begins of Globalisation

Adam Smith and other world historians argue that globalization started at the end of the 15th century in 1492 and 1498, which these two important events recorded in history, while other scientists insist that globalization goes back even earlier. However, there is no evidence of the trade expansion between booming demand and supply within the trading economies' environments, and there is also no evidence that confirms the fact that this decade had a trading impact on the global economy. Nevertheless, many scientific bases are supporting the view that a big globalization outbreak took place at the beginning of the 19th century (1820), associated with commodity price factors, production price policies, and integration of worldwide markets (O'Rourke and Williamson, 2002). The term "globalization" has come into interpretation most often at the beginning of

the year 1980, reflecting technological development and implementation, that reached to make it easier and quicker to conduct international transactions—both trading and financial flows (IMF, 2008).

1.3 Measuring Globalisation

In contemporary times, globalization has become far more effective, therefore the measurement of globalization is currently of key importance whether in science, business, politics, media, transport, and production. In business, globalization measurements and indexes can be used to obtain statistical information about the current-state developments in investment projects, economic growth trends in various international business environments, and appearances of new technologies and their effect on global changes (Dreher et al, 2008). Since the appearance of globalization, the worldwide economic system has become upwardly interdependent and continues to keep a growth rate. Development of international trade as a result of globalization processes in the last decades, because of various factors has been accelerated which is important, through progress in new technology, labor mobility, and increased capital.

1.4 Spatialities of Globalisation

Space (S), place (P), distance (D), proximity (P), maps (M), boundaries (B), territoriality (T), network (N), and spatiality (S) could be considered as mutually formative and relatively binds dimensions of socio-spatial relations, thus these keywords of geography distinguish the interest of the phenomenon of globalization because globalization itself widespread by geography (Amin, 2001; Jessop et al., 2008; Martinez, 2017).

1.5 Globalisation and State

Globalization represents the process of setting up global web system communications between multinational commercial subjects, via different channels of information. Involving people and ideas, including capital and goods encourages the implementation of social-economic and political objectives of globalization. Recent existence evidence of globalization is encompassed over 1970-2010, that is the standard index is necessary to evaluate their consequences (Potrafke, 2015). With the rapid growth of globalization perfections over the period of 40 years, the overall index has risen by about 56.6 points against 36.2, and economic indexation rose to 62.1(39.4) points, therefore, the social and the political globalization indexes constituted 49.3 (33.9) and 60.9 (34.6) points accordingly Figure 3.

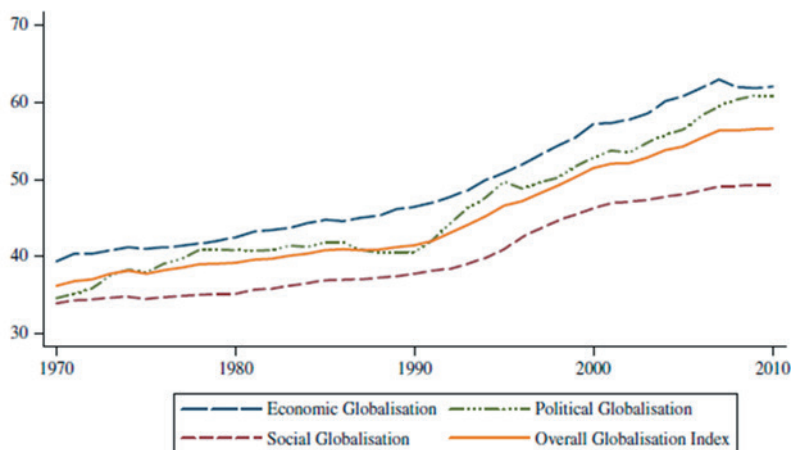


Figure 3. Aggregated Globalisation Indices. 1970–2010

1.6 Evidence of Globalisation

The tireless search for global markets, the conquest of the commerce advantages, and the passion to increase income facilitate rapid changes in technological production, space industry, digitalization, employment, and the local environment, rendering a profound impact on the organization of classes and countries. Precisely, thanks to this raging process of widening capitalism preserve themselves (Panitch, 1994).

1.7 Future of Globalisation

Cultural, economic, political, and ecological aspects of globalization study the influence of new technologies, economic deregulation, and mass migration of the world. In this context, are we currently seeing the beginning of an era of deglobalization or anti-globalization, and what we might expect from the future of globalization? (Steger, 2020). Meanwhile, globalization has been challenged with a novel problem concerning human behavior, which is out of control of any nation-state, thus for solving this problem we need to build up new concepts and a stronger approach based on the principles of ethical norms. Globalization will be considered to be most effective over time, upon generating overall peace and prosperity, as well as providing upright competition in the financial and economic, which will be supported by governmental infrastructures, and global commercial and financial sectors (Smith, 2019). Indeed, globalization will continue to affect and probably will proceed to amplify, which dictates global enterprises must be ready for expected reformation in the global economy.

1.8 Forms of Globalisation

The concept of globalization is interpreted in many different ways and its elements described from several viewpoints by academics and other researchers. Multiple analyses and many research outcomes of different authors allow for setting up the root principles and models of globalization. Looking at the study literature review indicates that, some scholars consider ecological and cultural globalization, which have a significant impact on processes associated with economic variations, while others argue on political, technological, economical, and social aspects of current globalization. McDonald (2017), has grouped globalization splitting into seven forms (types) which cover the whole concept of its thinking. The forms of globalization are presented in Table 1.

Table 1. Forms of Globalisation

Financial	The interconnection of the world's financial frameworks, stock markets.
Political	Formation of a global policy that has an impact on the sovereignty of another national states, transfer managements to government, and free trade agreements.
Economic	Enhance of the economic integration around the world, Multinational corporations, and movement of goods, services, technologies and capital.
Social	To accept socially-oriented model of development, admit that all people are global citizens and have the same rights to social standards of living.
Cultural	Integration of uniform the world's cultures, language, entertainment, cuisine food and some national traditions.
Ecology	The earth as a single ecosystem, to prevent the environmental degradation and handle the global problem, such as biodiversity, the ozone layer or climate change
Technology	The communication between countries throughout innovation, television, radio, phones, and internet are currently increasingly accessible to populations.

2. Financial Development in the Context of the Globalisation

Upon the collapse of the Bretton Woods system, followed by a world-wide liberalization in global trade and financial integration, which world economy met the next step of trade openness and capital flow arising from globalization (Crafts, 2000). The increase in international trade and the development of financial systems globally, induced deep interdependence in the world economy. Growth in international business relations, the intensity of financial development among countries, and the rise in intra-industry trade have had a positive influence on the cross-country economy (Huang, 2010). On an aspect of globalization, massive historical works and literature are identifying the main principles of positive changes on the matter of cross-border barriers, free capital flow, international financing and banking, and integration of global market trading. Mutually dealing with a local and international level all elements contribute to the development of financial

globalization. In the context of financial globalization, it can serve direct relationships by offering a capability or indirectly, with performances of the employing growth perspectives, to involve the interest of foreign investors (Rousseau and Sylla, 2003). Financial development, thanks to extension activities, favors significant growth in the economy and development rates of global trade due to its large impact on investment decisions and savings (Levine, 2005; Ang, 2008). Financial development includes the establishment of development of financial institutions, expansion and support of financial markets, investment and growth processes, and their instruments suggest funding of entrepreneurial activity and innovations. The diversification and innovation of financial instruments, and expansion of financial transactions, increase the efficiency of the financial system. It is reachable in producing information about feasible investment and distribution of capital, corporate governing and monitoring of the firms, risk management, pooling of savings, and simplification of the exchange of goods and services. Continuous improvement of these financial functions has a positive impact on economic growth (Eryilmaz et al., 2015; Yurtkur, 2019; Weili, 2021).

At a wide level, a reliable and effective financial system promotes growth by directing resources to the most productive uses and allocations. A stronger financial system can raise growth by boosting aggregate savings and investment rates, as well as accelerating the accumulation of available capital (Estrada et al, 2010). As argued by Demirguc-Kunt and Levine (2008), on a general scale, another function of the financial system is attempting to reduce information and financial transaction expenses that prevent economic activity. The economic growth of the country always has crucial advantages in planning the socioeconomic problems and priorities of policymakers. In this context financial development is considered the main driver of economic growth, which is mandatory modernization of the financial system for stabilizing macroeconomics and improving the quality of financial institutions (Nguyen, 2022). Financial development is in most cases measured by the results of the banking system, depending on the amount of deposit, money mass, and internal credit value (Abubakar et al. 2015; Nguyen 2021). Prediction of economic theory suggests that individual investment and financial mediatory development, in combination, have a significant contribution to sustainable upgrowth. Successful increase of investment involving individuals provides demand for external finance flows, which extend the opportunity for intermediation financiers and persuade them to transfer unused tangible assets to a bank deposit. Using those assets to enlarge the investment meanwhile raises the economic growth rate, thus stimulating contribution to financial development (Levine and Renelt, 1992; Greenwood and Smith, 1997). Banking sector development demonstrates a high level of GDP per capita (Jaffee and Levbeen,

2001), which is measured by bank assets and the saving rate. Stulz and Williamson (2003) provide evidence, furthermore, that culture, expressed by variety in religion and language, provides the protection and enforcement of investor rights, especially for creditor rights. Income level is an important indicator for financial development (Levin, 2005), however, the role of financial development in economic growth is also considered in developed countries (Nguyen, 2022), which has a stable financial structure.

A large number of researches are used to analyze the relationship between economic growth and financial development. Bist (2018) has analyzed the long-term relationship between financial development and national income for low-income countries and found that ensuring credit use to the private sector demonstrates an indicator of financial and economic growth. The research performed by Herwartz and Walle (2014) is dedicated to determining the difference in relations between finance and growth rates using performances of high and low-income countries and has found a strong influence on financial development on economic growth in high-income countries and vice versa with low-income countries. The same approach has been observed in the study Pradhan et al. (2017) investigated the ASEAN region by employing different financial development proxies considering four sectors, including banking, insurance, bond, and stock markets, hereafter the results found a joint relationship of those financial institutions has boosted to the national incomes in selected countries in the long-term. Similar studies concerning finance and growth have been conducted by Wen et al. (2021); Ekanayake and Thaver (2021); Marcelin et al. (2021), using over 120 different countries, including developing, low and middle economies.

3. Impact of Globalization on Financial Development

Globalization has led to reforms in developed countries, stimulating the opening of their markets that promoted a high pace of financial development and economic growth (Mishkin, 2009). Financial development in the context of globalization has several advantages through the distribution of investment resources, accumulation of saving and liquid assets, ensuring corporate control of management process, combined risk management, and simplification of procedures trade, and contracts (World Bank, 2016). Revealed by Demetriades and Law (2006) and García (2012) that globalization leads to financial globalization and globalization of the capital market which increases the growth of the financial sector, meanwhile boosting financial development via promoting foreign capital inflows to recipient countries. As a result, trade openness and foreign capital inflows are contributing factors to financial development. Shahbaz and Rahman (2012) argued that foreign direct investment and imports promote economic growth that leads to financial development. Globalization is a process that over four decades ensures various important benefits for the countries which are

integrated with the global market and financial system.

- promotes the growth of the financial sector.

- removes the barriers which facilitate the transfer of new technology at the global level.

- offers the lowest cost of capital for the local economy across capital mobility.

- provides sustainability of accumulated savings within the country.

- provides accessibility to the markets which require implemented specialization in production.

- allows improvements in macroeconomic policies ensuring high competitiveness pressures from global world players (Prasad et al., 2003; Schmukler and Abraham, 2017).

The sustainable financial system is formed by several organizations involving banks, the investment sector, the financial market, and an institutional framework responsible for monitoring financial regulations, rules, and laws. However, globalization is not free from the risks that can destabilize financial markets and eventually slow down economic growth. In some cases, a high degree of global integration may pose risks that are not directly originating from the domestic economy but are transmitted from other economies as it was in the case of the 2007 – 2009 global financial crises. Financial globalization considers risk diversification on a global scale, which is allowed to share of the risks between local and foreign financial markets. During the peak of the recession, the country can borrow foreign credit, which helps to reduce the effect of fluctuations of income level up and down, as well as to obtain investment to support the level of the internal economy. In addition, international risk diversification contributes to the world economy by transferring to a portfolio with a higher risk and income (Obstfeld, 2009). However, there is financial uncertainty with various characteristics in the current globalization process, which indicates that financial crises and overall system damage implications are basic warning signals against the development of financial globalization. While transitioning to market economies, some countries faced many problems in restructuring the financial system, however, the factors that must apply consist of improving the quality of institutions, and stabilizing the macro-economy. Implementation of quality measures is based on proper financial statements and information, liquidity, effectiveness, and high-level corporate management, as well as the institutional environment would make meaningful contributions. Mainly the legal system factor is one of the important leverage: maintaining financial development, respecting property rights, ensuring fair contract liability, deliverance of corrup-

tion and illegal capital flow, protecting the own capital, and regulation of the banking system. Consequently, the qualitative and reliable formed financial structure follows creating a chain of financial development-impact on financial globalization- has a positive impact on financial development. The positive impact of financial globalization on financial development is consistent across all countries. Globalization, thanks to the disciplining effect, improves the financial institutions that help financial development to further improve and thus contribute to economic growth (Ito and Kawai, 2018; Nguyen, 2022; Aluko and Opoku, 2022).

CONCLUSION

The trend in the globalization since 1980, has been highly successful for developed countries with large economies, which led to improvement of the social life of the population and delivered infrastructure developments that continued before Russia invaded Ukraine territories. The expanded character of globalization in international trading, the spread of foreign direct investment, and other approaches of cross-border scale contributed to growth in national economies. Economic variables of globalization used in international relations such as foreign direct investment, removing movement barriers between countries, the openness of trade, and free capital turnover, did not impact the jeopardisation of states and the welfare of the populations. Globalization is still making a significant contribution to the productivity of multinational corporations, as an implication of keeping high-level living standards. Indeed, it has been a key policy at present, particularly enabling the distribution of developed technologies across a global market. There are some expectations that the velocity of technological progress will implement the perfections of society in the long-term perspective. Financial development, thanks to extension activities, favors significant growth in the economy and development rates of global trade due to its large impact on investment decisions and savings (Levine, 2005; Ang, 2008).

Indeed, in recent decades, has been a huge argument about the role of globalization relating to financial development in different sectors of the national economy. Many scholars argued that financial development as the background of globalization processes is well-constructed and is an important global driver of economic growth, which most investigated determinants of financial development significantly influence economic growth. Overall, this study confirms Mishkin's (2009) hypothesis that globalization plays a key role in promoting institutional reforms that encourage financial development.

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Chapter 3

A LITERATURE REVIEW ON THE ROLE OF PSYCHOLOGICAL CAPITAL IN CAREER SUCCESS

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1. INTRODUCTION

In the business world, where fundamental changes are taking place today, individuals have to overcome difficult and complex situations such as rapidly changing working conditions, lack of lifelong employment guarantees, and the prominence of emotions rather than needs. In these volatile conditions, the expectations of both individuals and organizations regarding the work done began to vary a lot. This change has been reflected in the career field and individual well-being has become important day by day in career success.

The state of achieving the desired results about the job of the individual is expressed as career success. For individuals, careers have become seen as a tool for them to achieve their own goals and see their own limits, rather than working in a job. In this respect, the psychological capital of the individual distinguishes him from other individuals and allows him to be more successful, giving him a superior competitive advantage. The complex nature of the business world has changed the perspective of many individuals and has begun to add new components to their career success.

In this context, the relationship between the concepts of psychological capital and career success was examined in the study. Proceeding from this, the concepts of psychological capital and career success were explained first, and then a review of the article on this topic was included. Afterwards, the relationship between psychological capital and career success was examined and the study was completed with predictions for the future.

2. CONCEPTUAL FRAMEWORK

2.1. Psychological Capital

The foundations of psychological capital were laid as a result of positive trends in psychology (Luthans et al., 2007). The concept in question, which is also used as “PsyCap” in foreign literature (such as Luthans et al., 2004; Avolio et al., 2006; Luthans, 2007; Luthans et al., 2007), is contrary to the general acceptance in psychology, with the concept of psychological capital and the negative impact of the individual. focuses on the individual’s positive thoughts, achievements, and strengths, rather than dealing with their thoughts and weaknesses (Keser, 2018). Psychological capital; “self-reliance to make and undertake the necessary effort to succeed in challenging tasks (self-efficacy), the positive outlook that is being had to succeed now and in the future (optimism), persevering towards goals to achieve success and redirecting paths to goals where necessary (hope), resolutely moving on even in a situation surrounded by obstacles and problems, rebounding for success (endurance) “as comprehensively described by Luthans and Youssef (2007:334). Psychological capital is neither an

instantaneously changing nor constant behavior. In contrast, psychological capital is a positive development in the psychology of the individual (Gortzen ve Whitaker, 2015).

In order to understand and fully explain psychological capital, the necessity of understanding the qualities in positive psychology is often emphasized in the relevant field article. Expressed as the dimensions of psychological capital; hope, self-efficacy, optimism and psychological resilience constitute the core structure of psychological capital.

Hope prevents individuals from looking for alternative ways when they are at an impasse and falling into a vortex of learned helplessness at the point of achieving goals (Luthans, 2007). Hope is like an energy directed towards the goal and a road map determined to achieve the result (Snyder et al., 1991). There are many studies in the literature that show that hope increases an individual's performance and, accordingly, career success (e.g., Snyder, 1995; Adams et al., 2003; Youssef and Luthans, 2003; Luthans et al., 2005).

Self-efficacy, which is the second of the psychological capital dimensions, is defined as the belief that an individual can use his or her own abilities to achieve a certain job effectively (Maddux, 2009). Individuals with high self-efficacy gain more advantages than other individuals in choosing difficult tasks, looking positively at problems, motivating themselves, making efforts and overcoming obstacles (Luthans, et al., 2007). In the related literature, there are studies that support the existence of a positive relationship between self-sufficiency and performance (e.g. Stajkocic and Luthans, 1998; Chen et al., 2001; Quinn 2005).

In the scope of positive psychology, optimism is similarly explained as having a positive perception of the future and basing it on positive reasons in its events. It is also seen by the studies in the relevant literature that optimism allows for many positive outcomes individually (e.g. Peterson, 1999; Seligman, 2002; Luthans, et al., 2007).

Psychological resilience, the last of the dimensions of psychological capital, is defined as the individual's ability to cope with many negativity and succeed (Luthans, et al., 2006). people who are seen as resilient are said to have three common characteristics. These are the ones that are going to to have a desire to face and face the facts, to establish a meaningful connection between the difficulties it has experienced and its future achievements, and to be able to produce innovative and alternative solutions even with limited resources to solve problems (Coutu, 2002). In the related literature, it is available in studies that support the existence of a positive relationship between psychological resilience and performance (e.g. Luthans et al., 2005; 2007; Çetin and Basım, 2011).

2.2. Career Success

Career is a concept that refers to the progress and rise of the individual in the organization, has a career profession, gains experience while doing his profession and provides inner satisfaction, as well as the profession he has contributed to the development of the individual” (Hall, 2002:155). An individual’s career means not only his work, but also training him to realize his hopes, goals, feelings and desires about his role in the workplace, and thus progressing in the workplace with the knowledge, skills and abilities he has acquired (Bayraktaroğlu, 2003).

The concept of career success is expressed as the sum of the achievements and positive psychological outcomes of the individual as a result of his experiences (Seibert and Kraimer, 2001). Career success is about how the individual perceives his or her own success, as well as how his environment and the organization he works for perceive the success of the individual (Gunz et al., 2005). At this point, it is seen that there are two different aspects in the evaluation of the career success of the individual, objective and subjective.

Objective career success is expressed as a career that can be observed and perceived or measured by society or the surroundings, and subjective career success is expressed only as a career experienced and perceived by the individual himself (Hughes, 1937). When individuals talk about their own career achievements, it is seen that in addition to generally accepted objective criteria such as wages, promotions and status, they also touch on their own goals, expectations and satisfactions, i.e. subjective criteria (Sturges, 1999). In this case, it can also be seen that even individuals in the same position who perform the same job talk about their career achievements, while the situation that one individual perceives as success is not perceived in the same way for the other individual (Bekmezci et al., 2020).

3. THE RELATIONSHIP BETWEEN PSYCHOLOGICAL CAPITAL AND CAREER SUCCESS IN THE CONTEXT OF THE RELEVANT LITERATURE

In the recent past, the subject of psychological capital, which has been seen to have positive results such as job satisfaction, increased performance, organizational commitment and organizational citizenship in the individual, has started to attract a lot of attention and accordingly has been included in many studies on the subject. Especially in the 2000s, the number of studies on the subject gained momentum and many research articles on the relationship of psychological capital with individual outputs were added.

When we look at the studies examining the relationship between the positive psychological capital of the individual and career success, it is seen

that there is a meaningful and positive relationship between these variables. For example, in the study of Larson and Luthans (2006), they found a positive relationship between psychological capital and job saturation.

Again, Youssef and Luthans (2007) examined the relationship between psychological capital and career success at the level of psychological capital dimensions and found the relationship between variables to be positive and significant in their studies. Avey and his friends (2010) with high levels of hope and optimism, especially in the work of employees, but also due to the increase of positive emotions, positive we have determined that there is a positive relationship between capital and organizational citizenship, on the contrary, that there is a negative relationship between turnover intention and have found that threw cynicism.

Similarly, Chen and Lim (2012), Abbas and friends (2012), Harms and Luthans (2012) Boamah and Laschinger (2014) from their study, their findings supported the positive relationship between psychological capital and career success.

Another study that parallels other studies is the work of Hao and his friends (2013). In this study, the researchers found a positive relationship between psychological capital and career success.

Related studies show that there are strong and positive relationships between psychological capital and job satisfaction, organizational commitment, performance and positivity, and therefore on career success. Psychological capital is an issue related to the sum of the knowledge, skills and abilities of the individual, i.e. the awareness of the individual. In this awareness, it contributes to the performance of the individual and positive outcomes (Goldsmith et al., 1997).

4. CONCLUSION

It seems that the fact that psychological capital is necessary for individuals to succeed in their careers is becoming more important every day. The psychological capital, which deals with who the individual is and who he can be, allows individuals to look positively at events, allowing them to be hopeful, adequate, optimistic and psychologically resilient. Thus, more successful and superior competitive characteristics can be gained at the individual and organizational level. It is a fact that the unique, inimitable and unique abilities of the individual distinguish him from other individuals and give him an advantage by putting him in front thanks to the psychological capital that the individual has.

It is also clear in the relevant literature that the psychological capital of individuals has a significant and positive effect on their career success.

Therefore, it is obvious that psychological capital is one of the essentials of the individual's career success. Considering that today's business world is a stressful environment, it is clear that individuals have a positive outlook, can resist difficulties and have high belief that their goals will be realized, which will put them one step ahead in their career progression.

It is known that the individual's psychological capital level will increase his performance further by motivating himself. Having high psychological capital of the individual will enable him to use his resources (these resources can be intellectual, social, physical and spiritual) more efficiently in changing business conditions, thus he will be able to achieve success in his career. In this context, employees will contribute positively to their social networks, to be well-involved with their environment, to act in a supportive direction, such as being motivated and paying attention to their personal development. In future studies on this subject, the effect of psychological capital on two-way career success, both subjective and objective, can be investigated with empirical studies.

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Chapter 4

MUSEUM EDUCATION IN EARLY CHILDHOOD: NECESSITIES AND LIMITATIONS

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1. Introduction

Pre-school education is based on learning by doing, not on direct transfer of knowledge. This period; It is a period when the development is fast, the child has an intense sense of observation, discovery and curiosity, gains cognitive skills intensively, enjoys learning by doing and experiencing, enjoys cooperation and regular activities, and is also open to learning. Children need experiences that they touch, see, hear, smell and taste, that is, they perceive with their five senses and participate in one-on-one. In meeting these needs of children, it is important to use different teaching methods and techniques appropriately, to include materials that facilitate learning in educational environments, to benefit from different environments outside the school for educational purposes, and to support development areas with a holistic approach in terms of permanent learning (Gartenhaus, 2000; Karaca et al., 2018; Mercin, 2017; Senemoğlu, 2020; Yücel-Kurnaz, 2015). For this reason, stimulating social and physical environments that can support the development of the child in all its aspects contribute to the development and education of the child (Acer, 2010). Especially in out-of-school learning environments, the first place that comes to mind is museums (Doğan, 2017; Gögebakan, 2018; Karamustafaoğlu et al., 2018). In the Pre-School Education Program, it is encouraged that it is possible to go to places such as museums, workshops and parks within the scope of field trips, and teachers are encouraged to use museums for educational purposes (MEB, 2013). In many developed countries, activities are carried out for children to participate in the learning process by doing and living through museums, starting from the pre-school period (Özer & Yıldırım Polat, 2019; Turanlı, 2012). With museum visits, children are introduced to fields such as archeology, art history, culture, geography, history and science at a young age. Museums are seen as the application laboratories of these areas (Hein, 2002). These environments provide children with alternative learning ways that can reveal their talents and skills that they cannot show in the classroom environment, and the opportunity to learn by doing. It can be more motivating for children to learn outside the school environment they always go to, and they can combine what they learned in this external environment with what they learned at school with different perspectives by seeing the existence of different cultures (Abacı, 2005; Demirel, 2019; Erem, 2017; Gartenhaus, 2000; Mercin, 2017; Usbas, 2010). For this reason, necessary importance should be given to education with museums, starting from the pre-school period, in order for the museums to be used for educational purposes and for the society to gain awareness of museum and education.

Museum education is one of the child-centered education methods where alternative learning methods are discovered, cause-effect relation-

ships can be established, and fun time is spent (Karadeniz, 2010). Museums that provide meaningful experiences by combining thoughts and feelings motivate children towards learning (Hooper-Greenhill, 1999). In this respect, according to Atagök (1999), museums are educational institutions that aim to educate people, transmit culture, and where family members can learn while having fun and enjoy learning. Leftwich and Haywood (2016) defined museums as places that embody the feeling of discovery and wonder. All these definitions emphasize the educational function of museums and show that museums are educational institutions like schools. In addition, among the aims of museum education; It includes recognizing and protecting cultural assets in children, making them respect different cultures, developing their creativity by using their imagination, improving their questioning skills, gaining an aesthetic point of view, and establishing a link between the past, present and future (Bayraktaroğlu, 2012; Demirci, 2009; Ekmekci, 2015; Erdogan, 2014; Tan, 2009). The education given in museums also contributes to children's cognitive, sensory and linguistic skills such as developing their verbal expressions, increasing their observation skills, making sense and making connections, in addition to learning about the artifacts in the museum (Ampartzaki et al., 2013; Hackett, 2014; Karadeniz, 2010; Synodi, 2014; Unal, 2012).

2. The Effect of Museum Education on Children's Development

The activities carried out with preschool children through museums can help children develop language (Synodi, 2014), social and emotional development (Karaca et al., 2018), movement development (Hackett, 2014), cognitive development (Henderson & Atencio, 2007; Uludağ, 2017) has been found to have many positive effects. When the researches and trainings on museums are examined in the literature; Dilli and Bapoğlu-Dümenci (2015) found that as a result of the activities they carried out with preschool children in the museum, an abstract concept such as extinction was easier to understand by children and environmental awareness of children increased. Aktın (2017) stated in her study with preschool children that museum visits improve historical empathy skills and help them understand concepts such as change and continuity. In Uludağ's (2017) study, concluded that the use of museums, which is one of the out-of-school learning environments, in science education positively affects the scientific process skills of preschool children. In addition, in the study of Yücel-Kurnaz (2015) with preschool and classroom teachers, it was seen that teachers stated that museums improve children's creativity, empathy and social relations. It has been determined that the applied educational activities have a positive effect on children's problem solving skills, social skills and viewpoints on the museum, and the effect is permanent (Bozkurt, 2020). Karaca et al. (2018) found that, as a result of his work with children

and their mothers at the museum, children were happy and excited during the museum tour, they were able to establish the connection between the past and the future, and they learned effectively. Ünal (2012) also stated that when he observed the mother-child interaction in the museum, the child's ability to obey the rules improved by reminding his mother of the museum rules. Similarly, Nuzzaci (2006) states that museum visits create behavior and attitude changes in children, Henderson and Atencio (2007) enrich the child's learning process, McReiney and Russick (2010) state that children learn to recognize and protect historical heritage, Kalessopoulou (2011) children have fun at the museum. Kimble (2014) revealed that museum visits are very valuable in the preschool period to develop knowledge about the cultural background of the child. The positive effects of education in museums are not limited to children. In this respect, museum education; While it provides convenience for children to reach their learning goals, it also establishes an invisible and entertaining bridge between children and educators (Ampartzaki et al., 2013). For this, teachers (Özer & Yıldırım Polat, 2019) and teacher candidates (Çıldır & Karadeniz, 2017; Karadeniz & Okvuran, 2014; Tutkun & Acer, 2015) who know the importance of museum education in the preschool period and can benefit from museums for educational purposes are needed.

3. Limitations of Museum Education

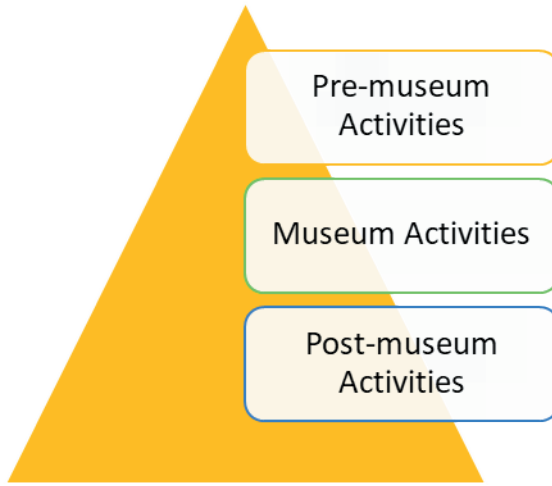
Among the important limitations of museum education is the low awareness of teachers about the impact of museum education on children's development and education. One of the most important results obtained from the researchers conducted with preschool teachers is that the teachers use the museum only for excursion purposes, they do not do any educational work for children in the museums, and the level of knowledge and awareness is low (Akman et al., 2015; Özer & Yıldırım Polat, 2019). Instead of doing activities in the museum, teachers tend to visit every part of the museum. As Bülbül (2017) stated, museum education should focus on one or a few objects selected from within, instead of visiting all the exhibitions in the museum. However, Aktekin (2008) stated in his study that teachers visited the entire museum within 10 minutes. Baykan (2007), on the other hand, stated in his study that the difference between museum visits and museum education is not known to some of the teachers. Teachers see museums only as a place to visit rather than an institution where events will be held. This indicates that they visit the museum rather than education with the museum. Demirci (2009) stated in his study that more than half of the classroom teachers are insufficient in museum education. In Dilli's (2017) study, concluded that although preschool teachers know the place and importance of museums in informal learning, they do not include them in education because they do not have enough knowledge and

experience about museum trips. In the study of Yücel-Kurnaz (2015) with classroom teachers and preschool teachers, private and public schools give very little place to museum visits in an academic year. In a meta-synthesis study conducted to compile the problems and solution proposals about museum visits, it was determined that the teachers did not know enough about the concept of museum education and were not aware of the practices, lack of knowledge and museum visits were made unplanned. In addition, it was determined that the most stated expressions in terms of teachers' suggestions were in-service training for teachers and training for all stakeholders on museums (Kan, 2022). In the study conducted by Dere and Çifçi (2022), teachers suggested that out-of-school learning environments should be more integrated into pre-school education.

Another important point regarding museum education is the popular use of museums abroad for educational purposes (Falk & Dierking, 2002). Especially in studies conducted abroad, it is seen that there are a large number of studies in which teachers make educational use of museums in the preschool period (Carr et al., 2012; Leftwich & Haywood, 2016; Pisticelli & Anderson, 2001; Tuuling, Öun & Ugaste, 2019; Wong & Pisticelli, 2019). When evaluated in terms of our country, it can be said that the studies on the use of museums as an educational environment in the preschool period are limited. It is seen that most of the studies on museum education are conducted with students at primary, secondary and high school level (Arıkan, 2001; Atalay, 2011; Aydal, 2009; Bulut and Atilla, 2017; Çerkez, 2011; Önder, Abacı, & Kamaraj, 2009; Özeskici, 2009; Sarıkan Tosun, 2009; Turanlı, 2012; Uslu, 2008; Utku, 2008). In this respect, it is thought that the low number of studies carried out to support preschool children in terms of their education in the museum in our country is an important limitation. Therefore, it is thought that the studies on increasing the awareness of preschool teachers and teacher candidates about the activities that will develop children by using museums for educational purposes are very important for our country.

4. Museum Education in Early Childhood

Museum education consists of three stages: pre-museum activities, museum activities and post-museum activities.



4.1. Pre-Museum Activities: Pre-museum activities are the processes of preparing people and conditions. The teacher who will have the study done determines the group and the relevant out-of-school learning environment, and visits the environment in which he/she will work in advance. If there is no opportunity to visit, it searches online. It takes the necessary permissions, the date and prepares a visit plan suitable for the age and developmental characteristics of the children. Informs children about the work to be done and provides the materials to be used. It informs the relevant people in the museum about the day and time of going to the museum and the characteristics of the children (Hooper-Greenhill, 2012; İlhan, Artar, Okvuran, & Karadeniz, 2011; İlhan et al., 2019).

The activities to be carried out with the children in the museum determine which development of the children will be supported and which gains and indicators will be discussed. Apart from these pairings, new pairings can be made considering the content of the activity and the skills that are thought to be gained through the museum tour. Activities can be organized to reinforce previously acquired gains and relate them to real life (İlhan et al., 2011; İlhan et al., 2019).

The teacher is recommended to create the following checklist before the museum training:

- The methods and techniques to be used in the event to be held in the museum are determined.
- School administrators are informed about the museum and the educational activity, and their opinions on education are taken.
- Preliminary examination and/or research is made about the place where the training will be held (museum, science center, art gallery, ruins,

excavation area, etc.).

- Communication is established with the officials in the museums. The purpose and content of the educational work is explained by meeting with the museum officials.

- Museum objects to be the subject of museum education are determined with the contribution of experts in the museum.

- Then the trip plan and working papers are prepared.

- Necessary permissions are obtained in order to organize museum education. Reservation is made for the museum to be visited. Within the prepared plan, this information is given to the museum officials at least 2-3 days in advance (İlhan et al. 2019).

4.2. Activities in the Museum: The works in the museum are educational, entertaining, creative and suitable for open thinking, which are planned in advance, but open to different alternatives according to the conditions, appealing to different perceptions and senses. It is not necessary to see the whole museum for the works in the museum. Museum education, which mostly focuses on an object, period, and thought, includes creative drama and workshops that support new acquisitions (İlhan et al., 2011; İlhan et al., 2019).

4.3. Post-Museum Activities: The results of the work done in the museum are evaluated in the museum or school. The products of the activity (painting, fabric, mask, sculpture, etc.) presented in the workshop can be presented as an exhibition. The intellectual results of the studies are presented with different activities and practices. In museum education studies; - works on manual dexterity, - literary studies, - creative drama studies, - studies on sound, smell, taste, - living history or oral history studies, etc., can be used as a method. It is one of the important links of the “education with the museum” activity, that the information about the trip is transferred to the classroom or school environment after the museum tour. Based on the activities carried out during the museum visit, in-class painting, art, drama, etc. You can organize events (İlhan et al., 2011).

Different types of activities can be used in museum education. Researching museum objects with search-find forms and games, placing them on a history strip or mute map, creating an excavation pool from imitation artifacts in the museum, making clay tablets or stamping seals, reviving an ancient settlement in the children’s unit in the museum or in the children’s museum, starting from the artifacts in the museum. Making animations in the museum is included in the methods and techniques. Museum education should not be thought of as an ordinary trip, each stage should be planned and evaluated. Worksheets for children should be prepared or if available,

worksheets prepared for this purpose by museums should be used. Possible materials (costume, musical instrument, accessories, etc.) that can be used in museum education applications should be prepared in advance and taken with them. During these trips, children should be able to reach relevant gains, as well as gain awareness of protecting the natural and historical environment, develop their artistic taste and aesthetic feelings (Flewitt, Bangpan, Manyukhina & Wyse, 2023; İlhan et al., 2011; İlhan et al., 2019).

It is very important for teachers to pay attention to the following points during museum education:

- The teacher should take part in the activities when necessary and make observations when necessary.
- The teacher should listen to the children's thoughts and suggestions on the subject.
- The teacher should convey his own thoughts as suggestions.
- It should not be biased.
- The teacher should ensure that the environment is fun and allow the pleasure of playing games.
- The teacher should ask the children whether the work is enjoyable and fun at different times, what stages they go through and what kind of activities they want.
- The teacher should not be worried about Right or Wrong, and should not forget that the process is important (Eilam, Yosfan, Lanir & Wecker, 2023; İlhan et al., 2011; İlhan et al., 2019).

According to İlhan et al. (2019) states that the education to be held in museums must have certain characteristics in order to be effective, efficient and interesting. These;

It should be child-centered: Instruction should be designed to meet children's interests and developmental needs rather than conveying various topics. In the workshops or in the activities held throughout the museum, the learning needs of children should be at the center and the activities should be differentiated according to age groups.

Promote active learning: In museums, learning experiences should encourage children to participate actively, both cognitively and physically. Thus, children/participants can have the opportunity to develop their learning capacities.

It should be activity based: Children should be encouraged to learn by doing and experiencing, and there should be both physical and mental activity. For this reason, learning experiences should be enriched with activ-

ities that will make students active in the trainings to be held in museums.

Encourage collaboration: Activities designed for different age groups in museums should be designed to require both individual and group work. In this process, children are encouraged to cooperate with activities that require working together.

Keep curiosity alive: Teaching activities in museums should be based on inquiry. The most important feature of learning experiences is that they are full of questions that feed children's curiosity. The exhibits, designs and technological infrastructure of the museum will also help keep the curiosity of the visitors alive.

Appealing to all senses: Teaching in museums should require visitors to use all their senses. Presenting learning experiences that appeal to all senses in museums where primary sources are exhibited is almost a necessity for effective, efficient and engaging teaching.

It should be sensitive to all areas of development: In museums, it is necessary to be sensitive not only to the cognitive development of children, but also to their physical, emotional and social developments. In order to achieve this goal, studies should be carried out to support all areas of development in the activities implemented.

It should support the development of high-level thinking skills: Activities held in museums should activate children's high-level thinking skills such as making inferences, creative and critical thinking, and problem solving, and should encourage them to question. Here, the role of the museum educator is very important. Questions from himself or the children should be sought together. Thus, high-level skills such as inference, interpretation, evaluation, creative thinking, critical thinking, problem solving, research and analysis will be employed.

It should be related to pre-learning: In the trainings held in museums; The activities to be held before the museum, in the museum and after the museum should be designed as a whole. Thus, it is aimed that children are ready for the activities to be held in the museum, integrate what they learned at school with what they will learn in the museum, and deepen what they have learned with post-museum activities. Learning is a meaning-making process and an ongoing process. For this reason, what will be learned in the museum should be associated with what has been learned before, and thus meaningful learning experiences should be offered to the visitors.

It should be interactive: Museums should make the visitor an active part of the learning process rather than being places where information is presented in a predetermined order or where collections are viewed in

order. In museums, which have a very rich environment, education should be freed from the didactic structure and designed to allow multiple interactions.

It should be flexible: The educational opportunities of museums should be rich and flexible to respond to people of different age groups and children with different expectations. This is, of course, related to the experience of the museum educator. However, if these differences are taken into account in the activities to be planned, the possibility of meeting the expectations of the children will increase.

Stimulate the imagination: Museums are unique learning centers that can stimulate the imagination of visitors with their real objects, technological infrastructure, and the physical and social environment they offer. For this reason, the education to be held in these centers should be composed of open-ended learning experiences that encourage visitors to think and dream (İlhan et al., 2019; Jagošová, 2020; Klopfer et al., 2005).

5. Conclusions

As a result, preschool education is not based on direct knowledge transfer, but on observation, discovery, learning by doing-experience and child-centered education. Rich stimulating social and physical environments that can support children's development holistically are important in this regard. Museums, which have an important place in out-of-school learning environments, are among the places that are used and recommended to be used for educational purposes, especially in the 21st century. The main factors that have brought the education in museums to the fore in recent times are the studies on the positive effects of the activities in these environments on children and teachers. For this reason, necessary importance should be given to education with museums, starting from the preschool period, in order for the museums to be used for educational purposes and for the society to gain awareness of museum and education.

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Chapter 5

A CLOSE LOOK AT MINIMALIST CONSUMPTION AND VOLUNTARY SIMPLICITY

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Introduction

Minimalism emphasizes having fewer possessions, cutting back on unnecessary expenditures, and raising living standards by abstaining from consumerism (Lee & Ahn, 2016). A few authors (e.g., Iyer & Muncy, 2009; Lee, Fernandez, & Hyman, 2009) have investigated minimalism from an anti-consumption perspective, which advocates a position in favor of blatantly abstaining from consuming (Pangarkar, Shukla, & Taylor, 2021). Another bunch of researchers (e.g., Alexander & Ussher, 2012; Bayat & Sezer, 2018) studied minimalism from the perspective of voluntary simplicity. They contended that this way of living entails shunning consumerism and pursuing a straightforward life filled with pursuits that bring one joy, pleasure, and satisfaction. Consumers who live a minimal lifestyle also want to get the most out of their purchases. Indeed, they accomplish this rather frequently by consuming less (Pangarkar et al., 2021).

Knowing the critical elements of minimalist consumption and voluntary simplicity is essential for research and practice since it might further our understanding of encouraging and supporting conscious consumer behavior (Rebouças & Soares, 2021). In recent years, Western popular culture has increased attention to minimalism and minimalist lives (Kang, Martinez, & Johnson, 2021; Meissner, 2019). Furthermore, a sizable portion of consumers has accepted the idea of minimalist consumption, which has attracted more attention in recent years. The benefits of minimalism are emphasized, including improved quality of life and subjective well-being (Pangarkar et al., 2021). As a result, more scientific research is being done on the connection between voluntarily simplifying one's life and having a low-consumption mindset. Sustainable consumerism is becoming increasingly fashionable, while excessive materialism's adverse effects are being more widely recognized (Peyer, Balderjahn, Seegebarth, & Klemm, 2017; Walther & Sandlin, 2013).

A lifestyle of willingly reducing consumption and intentionally living simply is known as voluntary simplicity (McDonald, Oates, Young, & Hwang, 2006). Voluntary simplicity encompasses moral standards, environmental sensitivity, and frequently decreased working hours (Alexander & Ussher, 2012). According to McDonald et al. (2006), there is a connection between these qualities; however, Rich et al. (2017) claimed that to simplify life, each of these ideas may be used individually. Besides, reducing consumption is crucial to a simple lifestyle but must go beyond an essential decrease to serve a purpose (Alexander & Ussher, 2012). Thus, several aspects of voluntary simplicity involve beliefs, behaviors, and interactions with the environment and other people. Even though these aspects are related and non-exclusive, they were discussed individually in research (Rebouças & Soares, 2021). To better understand the prevalence

and range of voluntary simplicity aspects, the definitions of voluntary simplicity were separated into themes by Rebouças and Soares (2021) for analytical reasons. In this context, six recurring themes were identified: less use of resources, pursuing fundamental values, wellness, and standard of living, ecological accountability, social awareness and a focus on connections, self-sufficiency, and reduced working hours (Rebouças & Soares, 2021). An early study by Elgin and Mitchell (1977) had similar findings and claimed that voluntary simplicity consists of five fundamental principles: material modesty, human scale, autonomy, environmental consciousness, and personal development (Elgin & Mitchell, 1977).

The term “simple life” is becoming used in academic studies, blogs, and publications as a response to environmental issues and overconsumption tendencies (Botta, 2016; Kraisornsuthasinee & Swierczek, 2018). This chapter aims to take a closer look at minimalist consumption and voluntary simplicity in this context. Recent academic studies on these concepts have been scanned and reviewed, and the aims, methodologies, and findings have been briefly explained. Thus, the holistic presentation of recent academic studies on these concepts will shed light on where the interest of researchers in these concepts is concentrated and in which directions they have evolved. In this way, there may be a chance to identify research topics on which future studies can focus and provide a deeper understanding of the concepts.

The chapter continues with the methodology of the study. Then, the aims, methods, and findings of the recent studies on minimalist consumption and voluntary simplicity are briefly explained. Afterward, the chapter is finalized with the discussion and conclusions section, which gives an idea about the gaps in the literature and offers suggestions for future studies.

Methodology

The analysis process of this study consists of four steps. In the first step, the studies included in this chapter’s literature section were tried to be determined. For this purpose, academic databases were scanned using keywords such as “minimalist consumption,” “voluntary simplicity,” “anti-consumption,” and “sustainable consumption.” Additionally, a time limit was applied as a filter to scan current studies and exclude older ones. Studies since 2012 were filtered to reveal relatively new studies in the last ten years. In the second step, the studies found were quickly reviewed to identify those related to minimalist consumption and voluntary simplicity. Studies not directly related to these concepts and repetitive studies were excluded from the data set. The remaining studies were examined in detail using the content analysis method in the third step to understand their

purposes, methods, and findings. In the final step, the studies were briefly discussed to identify gaps in the literature on minimalist consumption and voluntary simplicity, and some suggestions were made for future research. The analysis process of the study is explained visually in Figure 1.

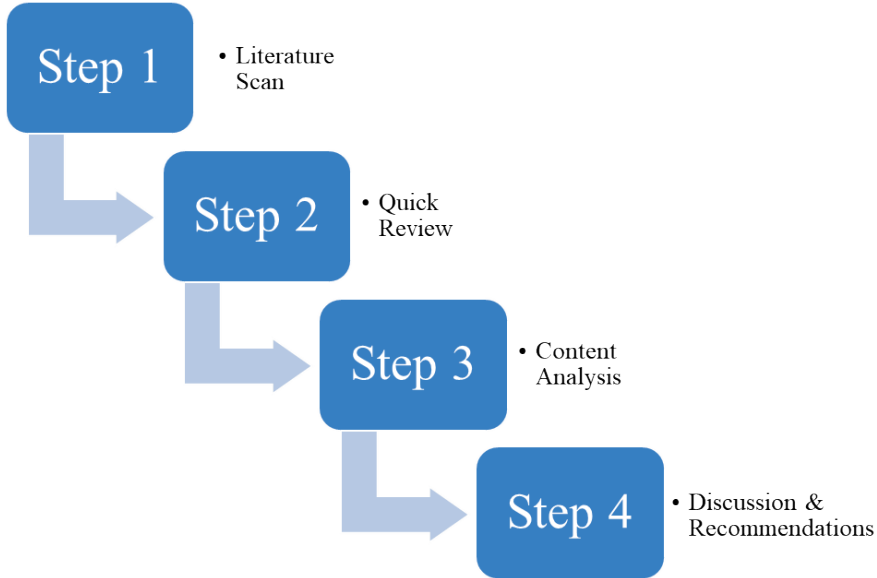


Figure 1. *Analysis Process of the Study*

Minimalist Consumption and Voluntary Simplicity

This section briefly explains the studies conducted between 2012-2023 on minimalist consumption and voluntary simplicity to present a holistic view of the recent literature. Their purposes, methodologies, and findings are attempted to be presented without any particular order. Each paragraph below explains only one study in the literature for better understandability and lesser confusion. Then, in the next section, the studies will be discussed to reveal the literature gaps and make recommendations for future research.

Alexander and Ussher (2012) researched voluntary simplicity using a questionnaire consisting of 50 questions. The survey form started with demographic questions and continued with questions about daily life, activities, beliefs, and motives. Additionally, the same form contained questions about happiness, income, and politics and even open-ended questions. Through these questions, the authors sought to learn about the beauty of living minimally, the most critical factors that make it difficult, and what

governments can do to promote a simple life. According to the findings, the participants changed their occupations or jobs, settled in smaller houses, moved from the city to the countryside, and sold their cars to simplify their lives. Half of the respondents claimed that minimal purchasing was a critical part of this simplification. Furthermore, the participants emphasized the importance of buying products that are important to one, focusing on the features rather than the quantity purchased, and buying second-hand or recycled products rather than new ones when possible. The results also showed that there are motivations behind simplifying life, such as saving money, living healthy, being self-sufficient, getting your life in order, strengthening your spirituality, and spending more time with yourself and your family (Alexander & Ussher, 2012).

Voluntary simplicity was also examined by Balderjahn et al. (2019). The authors duplicated the results of their first sample (n=450) with a follow-up second sample (n=640) to address the problem of external validity and generalizability. They employed the same questionnaire for both samples, and the same population was used to get the results. To test the hypotheses, only results that were verified in both samples were accepted. The study proved that those who limit their purchases do not feel they are making a personal sacrifice. One of the study's cases demonstrated how anti-consumption enhanced people's quality of life. After all, consumers' psychological well-being significantly increased when they strived to avoid debt. According to the authors, the term "psychosocial well-being" did not indicate "short-term pleasure or enjoyment" but instead referred to a person's meaningful and self-actualized lifelong development, which is connected to self-actualization, autonomy, and life mastery. Hence, people's long-term welfare was improved when they have their money under control. In conclusion, the findings offered empirical support for the hypothesis that forgoing spending was not seen as a sacrifice but, if people live debt-free, may result in an improvement in well-being (Balderjahn et al., 2019).

Bayat and Sezer's (2018) objective was to assess peoples' voluntarily simple lives and levels of happiness about the importance of tradition. A simple random sample of 203 individuals was used to conduct the poll. The results pointed out a positive and substantial correlation between traditional values, voluntary simplicity, and life happiness. Living alone, looking for joy more in spiritual than material matters, and selecting essential commodities were all habits that largely explain these correlations. According to the authors, people with voluntary simplicity who keep an eye on the caliber of goods and services were likelier to pick companies that place a high value on the development of the environment, society, and the person. The study concluded that people nowadays prioritize choosing to live

more straightforwardly. Companies would be successful if they included this trend in their proactive actions and modified their programs to adapt. Customers that voluntarily select simplicity in their lifestyles and retain their traditional values, considering the sensitivity of their religion and simple and green (environmental) items, can be presented with examples of prolonged sustainability (Bayat & Sezer, 2018).

Boujbel and d'Austos (2012) examined the connection between voluntarily simplifying one's lifestyle and finding happiness. It aimed to comprehend how relative income and consumer preferences fit within this connection. The authors hypothesized that voluntary simplicity positively affects the control of consumer desires, and controlling consumption desires positively contributes to the consumer's satisfaction with life. Moreover, the amount of available funds moderated those relationships well, which means the more funds available, the stronger the relationships. A poll was taken to test the hypotheses empirically among a sample of 344 simplifiers and 267 non-simplifiers in Canada. Voluntary simplicity adoption was found to have a significant positive link with life satisfaction. This research also showed that simplifiers attain greater life pleasure by controlling their consumption needs. It was discovered that only customers with little financial resources were affected by this (Boujbel & d'Austos, 2012).

Control and guilt were also found by Boujbel & d'Astous (2015) to be significant psychological factors that are linked to consumer demands. According to the qualitative study's findings, guilt may be a substantial barrier to satisfying one's need for consuming. When guilt is experienced with consumption or want, consumers may reflect on the market and the relevance of obtaining the desired item. The findings also showed that some consumers find it difficult to restrain their urges to consume and choose to give in to them, frequently with pleasure. On the other hand, some restrict themselves to avoid appearing weak and may even actively conceal their urges to consume things they believe they cannot have due to financial constraints or other factors. The survey results from the study, which showed that most hypothesized correlations with the notions of materialism, innovation, compulsive shopping, voluntary simplicity, and life happiness were supported, further demonstrated the role of guilt and control (Boujbel & d'Astous, 2015).

Chowdhury's (2018) study compared a sample of Australian consumers' voluntary simplicity and religious inclinations. The findings revealed that voluntary simplicity and intrinsic religiosity were positively correlated, but there was no correlation between voluntary simplicity and extrinsic religiosity. Also, this study investigated the mechanisms through which intrinsic religion influences voluntary simplicity. Environmental well-being,

communal/personal well-being, and intrinsic religiosity mediated the link between intrinsic religiosity and voluntary simplicity. The results showed that intrinsic religiosity is prosocial in inspiring voluntary simplicity. Still, they also suggested that secular endeavors promoting the well-being of one's community, self, and environment may also inspire voluntary simplicity (Chowdhury, 2018).

A purposeful paradigm change in consumer behavior based on the idea of sustainable living was presented by Kang et al. (2021) as minimalism. The authors aimed to operationalize it and offer proof of its impacts on emotional health. They investigated how minimalism is constructed by combining already-existing measurements of relevant components and other prospective indicators that might express the idea and constitute the operationalization of minimalism. They also created and tested a structural model showing how minimalism affects positive and negative moods. An extensive range of studies used highly reliable data from a sample of the nation's consumers. Consequently, the model of minimalism recognized and validated the form of minimalism, which comprises four separate yet connected behavioral representations: clearing out clutter, exercising caution while buying, living a long life, and being self-sufficient. The findings also showed that practicing minimalism lessens despair while promoting thriving. Also, the study offered a convincing case for why customers should adopt a minimalist lifestyle, which may inspire companies to look for more environmentally friendly ways to make goods that align with a minimalistic way of life (Kang et al., 2021).

The empirical study by Kuanr et al. (2020) investigated the connection between voluntary simplicity and materialism. This study examined how individualism, self-efficacy, and contentment with life interact with materialistic ideals to affect voluntary simplicity attitudes. The authors conducted experimental research followed by a survey of urban Indian consumers. In contrast to a control condition, the authors stimulated materialistic ambitions and assessed their consequences on voluntary simplicity. The participants self-rated their willingness to simplify their lives, self-efficacy, cultural orientation, and materialistic ideals. Contrary to what has been claimed in the literature, the study claimed that materialists advocate voluntary attitudes of simplicity when environmental deterioration directly affects their health, wealth, and well-being. Furthermore, contentment with life and self-efficacy sequentially moderated the link between materialism and voluntary simplicity, offering a welcome departure from negative conceptions of materialism (Kuanr et al., 2020).

To gain a more excellent knowledge of the advantages of minimalism for wellness, Llyod and Pennington's (2020) objective was to investigate what it's like to live a minimalist lifestyle. Ten self-described minimal-

ists participated in semi-structured interviews to talk about their experiences with simplicity and happiness. All participants acknowledged the benefits of simplicity on wellness. The five major themes that emerged from the research were autonomy, competence, mental room, awareness, and good feelings. The results provided fresh insights into the advantages of low-consumption lifestyles and were consistent with other studies on voluntary simplicity, pro-ecological behavior, and materialism. The participants described a wide range of benefits for well-being, delivering data to back up earlier studies on low-consumption lives and fresh insights into how this daily life may enhance well-being. For instance, the findings showed that participants saw minimalism as saving “mental energy,” with many of them citing the ability to spend less time selecting outfits as an example. Furthermore, findings suggested that the advantages of minimalism and other low-consumption lifestyles might not apply to those with fewer possessions by force, such as those in poverty or developing nations, but only if the lifestyle is chosen voluntarily and consciously (Lloyd & Pennington, 2020).

McGouran and Prothero (2016) investigated the effect of voluntary anti-consumption on consumer behavior. The authors examined what can be learned about voluntary simplicity from the meanings and experiences individuals derive from their activities. The study presented findings in four areas: participant consumption patterns returning to “normal” after the study was over, how deliberate abstinence from consumption affects pleasure, happiness, and personal gratification, participants’ motives, habits, and experiences, and categories of voluntary minimalism and purposeful anti-consumption as self-executed criteria. It was stated that the concept of voluntary simplicity that was previously presented should be changed to include both the acquisition of tangible items and consumption experiences. According to the authors, being a voluntary simplifier involves many different elements. Reducing one’s consumption is just one of them, and it is challenging when other facets of one’s life are stagnant. Moreover, broader social and institutional elements, as well as one’s values and views, as explored in the literature, directly influence one’s capacity to become a good simplifier (McGouran & Prothero, 2016).

With a sample of 571 individuals, Rich et al. (2017) sought to examine the role of psychological requirements in the link between voluntary simplicity and life satisfaction. The authors hypothesized a path from simplifying behaviors to life satisfaction via the fulfillment of the three stated psychological demands, and it was tested using self-report data. The study’s results provided more evidence that voluntarily simplifying one’s life may be linked to positive well-being by demonstrating a statistically significant correlation between the amount of such behavior and life sat-

isfaction. In line with what had been predicted, the findings demonstrated that meeting psychological needs mediated the higher life satisfaction felt by those practicing voluntary simplicity. Moreover, better pleasure in life was linked to increased fulfillment of these psychological requirements (Rich et al., 2017).

Seegebarth et al. (2016) proposed the term “sustainability-rooted anti-consumption (SRAC).” According to the concept, consumers engage in voluntary behaviors of minimalism and, to a lesser extent, cooperative consumerism and boycotting to promote sustainable economic growth. Three empirical investigations were used to support the validity of the SRAC measuring method. Findings from a representative sample showed that SRAC is primarily associated adversely with consumer overconsumption attitudes. Moreover, decreasing debt levels might be attained by voluntary simplicity and boycott aim. The study’s findings also revealed a good relationship between SRAC, overconsumption, and psychological health. Nevertheless, a more straightforward way of life and a higher propensity to boycott were not always linked to mental welfare (Seegebarth et al., 2016).

Martin-Woodhead (2022) conducted broader research on minimalism, exploring the motives and actions of minimalists. The author gathered data using semi-structured interviews with 15 participants who defined themselves as minimalists. The results demonstrated that the participants implemented a simple lifestyle as they perceived it to provide more tangible, temporal, and psychological space as a personal benefit. According to the research, ecological and moral problems of sustainability related to consumption were among the factors that pushed the participants to minimalism. Meanwhile, only a small group of interviewees focused on personal benefits compared to a larger group who considered sustainability. Furthermore, the results showed that every participant engaged in highly restricted, deliberate, and purposeful consumption to prevent accumulation and lower consumption (Martin-Woodhead, 2022).

Oliveira de Mendonça et al. (2021) explored how individuals become minimalists. The authors conducted qualitative research to explore the different senses and stages of becoming a minimalist. The participants exhibited small-scale deliberate adjustments in their everyday consumption habits, with political undertones to stories about the minimalist way of life. Another contribution of the authors was to explain how consumers form their identities through downsizing in consumption. The participants developed identity stories based on their projects as they transitioned to minimalism, employing coping systems and compensation mechanisms to improve their quality of life. In this study, minimalists claimed that their support system, fed by books, videos, events, etc., directs them on how to participate in consuming civilly and politically. According to the au-

thors, the participants under investigation had a strong sense of identity that supports and deepens cohabitation, maximizing its potential (Oliveira de Mendonça et al., 2021).

Druică et al. (2023) built a framework on the theory of planned behavior to explore the forces, such as psychological factors and inherent qualities, behind the intention to implement a minimalist way of life. The authors examined three different value orientations—altruistic, biological, and egoistic—and their consequences on attitudes toward a minimalist life. The impact of the attitudes, subjective norms and perceived behavioral control on the intention to adopt a minimalist life was also discussed. As a result, these three factors were found to be positively affecting the adoption intention of a minimalist way of life (Druică et al., 2023).

Gong et al. (2023) focused on the impact of social crowding, a typical environmental signal, on minimalist consuming behavior. The authors hypothesized and tested that social crowdedness encourages people to adopt minimalist consumption. The results of the two experiments revealed that, under conditions of social congestion, buyers prefer minimalist products and reduce the amount of goods they own. In a further experiment, the mediating role of the desire for order in the impacts of social crowding on minimalist consumption was validated, ruling out two competing hypotheses. Moreover, the authors investigated pertinent moderators, including group membership and self-construal, to demonstrate when and why the aforementioned effects were attenuated. The study's findings contributed to the literature in three aspects: First, the study added to the body of knowledge on minimalistic consumption by showing that a specific subliminal environmental cue, social crowding, might motivate minimalistic consumption. The study also illuminated the fundamental mechanism by which the urge for the order was a mediator for the adverse effects of social crowdedness on minimalist spending. Finally, the findings demonstrated the critical roles of group participation and self-construal through the discovered impact. Primarily, consumers are driven toward the need to order when they are in a crowd. It only causes them to become minimalist consumers when a gathering of people includes individuals unfamiliar with them (Gong et al., 2023).

Wilson and Bellezza (2022) attempted to define minimalism conceptually and developed a scale to measure consumer minimalism. The scale was designed to measure using three dimensions: quantity of belongings (indicating ownership of several properties), minimalistic design (indicating the inclination to simple designs), and consciously chosen consumption (meaning the considerate choice of belongings). The scale was validated by a bunch of studies through the analyses using data from 3,735 participants and comparing the measurements with correlated constructs such

as voluntary simplicity, thriftiness, green consumption, and materialism. Also, the authors presented an actual example of the measure's effectiveness by demonstrating how their scale predicts the chance of consumers preferring higher-quality but more expensive products over lower-quality but less-priced ones (Wilson & Bellezza, 2022).

Discussion and Conclusion

Several studies (e.g., Alexander & Ussher, 2012; Balderjahn et al., 2019) have attempted to reveal what consumers understand from voluntary simplicity and minimum consumption, in other words, how they perceive these concepts. Some studies (e.g., Bayat & Sezer, 2018; Boujbel & d'Astous, 2012), which try to understand the perceptions and feelings of individuals regarding these concepts more deeply, have been attempting to reveal the beautiful aspects of living a more straightforward and uncomplicated life and consuming minimally. Moreover, some researchers (e.g., Druică et al., 2023; Martin-Woodhead, 2022) have sought to explore the motivations that drive people to live a simple life and make the least consumption possible. Additionally, various studies (e.g., Alexander & Ussher, 2012; Oliveira de Mendonça et al., 2021) have also investigated what changes individuals make in their daily lives to live a simpler life and consume at a minimum level.

Others (e.g., Kuanr et al., 2020; Lloyd & Pennington, 2020) have searched for the relationships of these concepts with different variables. These studies investigated the association of variables such as traditional values, religiosity, materialism, mood, emotions, and self-efficacy with voluntariness, simplicity, and minimal consumption. Moreover, some factors that support voluntarily living a simpler life and consuming at a minimum have been tried to be revealed.

All these efforts have made vital contributions to understanding how voluntary simplicity and minimal consumption are viewed through the eyes of individuals. However, it can be said that the current studies are still quite inadequate in number, quality, and sample distribution. Perceptions of people in different parts of the world living in different socioeconomic and sociocultural environmental conditions and the value they attribute to these concepts can be very different from each other. In this context, conducting similar studies on larger human populations with larger samples may help the researcher and practitioners better understand the concepts of voluntary simplicity and minimal consumption.

Furthermore, it has been observed that most of the studies found in the literature are qualitative studies aimed at discovering and understanding these concepts, and very few studies included quantitative measurements. One of the reasons for this may be that the measurement tools developed

to measure the concepts are insufficient in terms of number or quality. Reliable and valid scales that can accurately measure variables such as voluntary simplicity, minimalism, and minimal consumption tendency may be needed to investigate these concepts quantitatively and to reveal their relationships with different variables. However, it is striking that there are very few studies on developing scales to measure the aforementioned variables. More scale development efforts are needed to measure these concepts validly and reliably.

Additionally, it is seen that the studies in the literature try to make sense of and explain voluntary simplicity and minimal consumption at the level of individuals. In other words, the studies focused on discovering individuals' perceptions of voluntarily living a simple life and minimal consumption, what they did to achieve it, and the factors that encourage individuals to live this way. However, the society they live in, and their cultural values also affect almost everything about individuals. In this respect, studies addressing voluntary simplicity and minimal consumption at the social level; by revealing the structure of societies inclined to live in this way, the cultural characteristics that positively contribute to voluntary simplicity and minimal consumption, and how individuals are affected by these tendencies, may contribute to a better understanding of the concepts. On the other hand, identifying the social and cultural characteristics of societies that tend to live a complex life and overconsumption can help them by shedding light on the issues of simplifying their lives and avoiding unnecessary consumption.

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Chapter 6

ON THE INTERACTION OF EPISTEMIC MODALITY AND INTERROGATIVES IN TURKISH

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1. Introduction

Modality and its grammaticalization in language have been a challenging and multidimensional topic of linguistics for decades and the issue has been studied through various approaches of syntax, (lexical) semantics, pragmatics, and typology (Jespersen, 1924; von Wright, 1951; Kratzer, 1977, 1981, 1991; Lyons, 1977; Lakoff, 1972; Coates, 1983; Palmer, 1986, 2001; Kiefer, 1987, 1997; Sweetser, 1998; Bybee, 1995; Bybee, Pagliuca and Perkins, 1994; de Haan, 1997, 1999; van der Auwera and Plungian, 1998; Papafragou, 2000; Nuyts, 2000; Portner, 2009; Nordström, 2010). The present study aims to investigate these topics in terms of the interaction between epistemic modality and interrogation, especially yes/no questions in Turkish. I will specifically focus on the interpretation of epistemic modal meaning in Turkish yes/no questions. The primary question of the study is as follows: *does the epistemic modal meaning change/disappear or remain the same in a sentence once it is transformed into a question?* To get a better insight into the research question, compare (1a-b) with (1c-d).

(1) a. Ayşe ofiste ol-abil-ir. *Epistemic - possibility*

‘It is possible that Ayşe is in the office.’

b. Ayşe ofiste ol-abil-ir mi? *Epistemic - possibility*

‘Is it possible that Ayşe is in the office?’

c. (Işıklar açık) Ayşe ofiste ol-malı. *Epistemic - assumptive*

(The light is on.) ‘It is possibly the case that Ayşe is in the office.’

d. Ayşe ofiste ol-malı mı? **Epistemic – assumptive / deontic - necessity*

‘Is it possibly the case that Ayşe is in the office?’

The epistemic possibility interpretation of (1a) has still been inferred from the interrogative form of the sentence (1b). However, the epistemic assumption/deduction meaning given in (1c) disappears in the question form of the sentence (1d): (1d) gets necessity deontic modality interpretation but not epistemic assumption. Thus, the modal interpretation of the sentence seems to shift from epistemic modality to deontic one.¹

¹ Note that (1a) and (1b) might also be interpreted as permission in the deontic sense. However, we will not address the deontic meaning of (1a), (1b) and (1c) in

In light of the aforementioned research question, the primary objective of the study is to determine whether Turkish suffixes and lexical items for epistemic modality retain their epistemic meaning when used in interrogative constructions. Specifically, we ask: (i) *does the existing meaning of epistemic modality remain the same (1a-b)*, or (ii) *does it change from epistemic to deontic (1c-d) when the sentence is converted into a yes/no question?*

The interaction between Turkish interrogatives and epistemic modality will be examined in light of Palmer's (2001) classification and Verstraete's (2001, 2004) subjectivity analysis. Past literature has centered around two views in terms of the interaction between epistemic modality and interrogation. According to the first view, interrogatives lack epistemic reading (Jackendoff, 1972; Hengeveld, 1988; Papafragou, 2000, 2006; Drubig, 2001; Palmer, 2001; Ghio, 2009 among the others) due to its subjective status whereas deontic interpretation is available due to its objective nature. According to the second view, on the other hand, interrogatives may have epistemic modality meaning as well (von Stechow and Iatridou, 2003; Matthews, 2003; Rocci, 2007; Verstraete, 2007; Narrog, 2012).

Given that the data analysis in the present study shows that epistemic modality may occur in Turkish interrogatives, I argue for the favor of the second view. In order to restrict the scope of the study, the analysis concentrates on the epistemic modality meaning provided by some specific suffixes (the epistemic speculative *-(y)AbIl*, deductive *-mAlI*, assumptive *-DIr*, and epistemic prediction *-Ir* and the lexical items *muhtemel* "probable," *olası* "potential," *mümkün* "possible," and *olanaklı* "feasible").

The study is organized as follows: In section 2, I give a brief discussion on the nature of the interaction between epistemic modality and interrogatives. Section 3 presents the data analysis with respect to the constraints affecting Turkish epistemic modalized sentences when they become interrogatives. Conclusion section summarizes the study.

2. Epistemic modality and its interaction with interrogatives

2.1. Epistemic modality

As stated before, I will investigate the interaction between Turkish interrogatives and epistemic modality in the light of Palmer's (2001) classification. Hence, we will first get a general idea of Palmer's modality approach and classification.

Palmer (1979, 1986) examines the formal features of the modality in

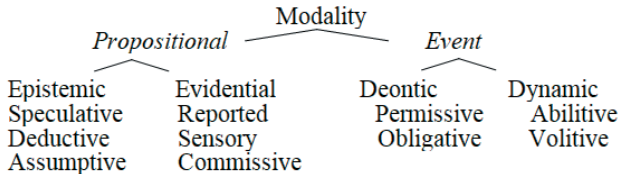
detail because the focus of our discussion is on whether or not interrogatives can have epistemic modality interpretation.

different languages. His approach to mood and modality focuses on how different modal meanings are represented in different languages with different grammatical markers. Palmer draws attention to the fact that modality, as a conceptual category, is related to tense and aspect, and he states that all three are dependent on the event. In (2), definitions of event-related categories according to Palmer (2001) are given.

- (2) Time of event is TENSE,
 Nature of the event is ASPECT,
 The position of the proposition describing the event is MODALITY.

Modality is associated with both tense and aspect but it differs from those two in that it does not refer directly to any characteristics of the event, but simply to the status of the proposition (Palmer, 2001:1). Palmer (2001) classifies modality into two general categories: *propositional* and *event modality* (3).²

(3)



In Palmer (2001), propositional modality is concerned with the speaker's attitude to the truth value of the factual system while event modality is about the event which is not actualized but has potential. According to Palmer (2001), *epistemic modality is about judgments on factual status of the proposition* while evidential modality is concerned with the evidence for this factual status. Deontic modality indicates obligation, permission etc. but dynamic modality, on the other hand, is about the ability and willingness.

Turkish modal markers have also been discussed within the system proposed in Palmer (2001) (Erguvanlı-Taylan, 1996, 1997, 2018; Cinque, 2001; Corcu, 2003 and Güven, 2001 among many others). For instance,

² For the alternative classifications of modality in language see von Wright (1951), Givón (1995), Bybee and Fleischman (1995), Papafragou (2000), Nuyts (2006), Portner (2009) among the others.

Corcu (2003:20) points out that Turkish is one of the languages which widely use the same markers in the expression of tense, aspect and modality (TAM) although they have a variety of functions and pragmatically work differently from each other. Corcu (2003:66) presents some Turkish TAM markers and their functions as in (4).

(4) *The TAM suffixes and their functions in Turkish*

-DI	Past tense / Relative tense / Present perfect / Perfective / Semelfactive / Punctual / Telic
-mİş	Past perfect (-mİştI) / Future perfect (-mİş olacak) / Evidential
-(I)yor	Present tense / Continuous / Progressive / Ingressive / Iterative
-(y)EcEk	Future tense / Relative tense (-mİş/-(I)yor olacak)
-(I)r	Aorist / Habitual

Regarding epistemic modality in Turkish, Corcu (2003:75) notes that it is mostly realized by means of some suffixes (e.g. assertive *-DIr*, inferential or evidential *-mİş*) and modal adverbs referring to the different degrees of certainty (e.g. *mutlaka*, *kesinlikle*, *kesin*, *sanırım*, *bence*)³ given in (5a-c).

(5) a. Böyle şeyleri asla kaçırmaz, mutlaka gelir/gelecektir.

‘He would not miss that, he certainly will come.’

b. Bu kadar lezzetli bir yemeği kesinlikle beğenir/miştir/ecektir.

‘S/he would certainly like such a delicious meal.’

c. Sanırım, annesini yolcu etmeye gider/gidecektir.

‘I think s/he would come to see her/his mother off.’

Corcu (2003:75) Examples (69-71)

Furthermore, Corcu (2003) states that *-mAlI* may convey epistemic meaning when used after the construction [verb-*mİş ol-*]. Consider the examples in (6a-b) below

³ See Ruhi et al. (1992) for the details of the Turkish modal adverbs *mutlaka*, *herhalde*, *belki*, *kesinlikle*, *galiba*, which indicate various degrees of certainty.

(6) a. Öncelikle fotoğrafın bir yüzü olması gerekir. Yani, bir birikim sonucu ortaya çıkmış olmalı.

(epistemic)

‘First of all, a photo should to have a face. That is, it has to be a result of some experience.’

b. Jimnastiğin yapıldığı havuzdaki su ısıtılmış olmalı. (epistemic)

‘The water in the pool where exercises are made should be warm.’

Corcu (2003:87) Examples (100-101)

In a language like Turkish, the topics of modality becomes even more challenging when taken together with interrogatives. For instance, the modal interpretation may disappear and/or change when the statement is interrogated. It is also possible that interrogatives make no effect on the modal interpretation. In the present study, I aim to investigate the interaction between epistemic modality and yes/no questions in Turkish in order to understand if epistemic modality is available in interrogatives. This is crucial given that the general assumption in the literature is that epistemic modality is not present in questions, which is also related to the issue of subjectivity. Let us discuss the notion of subjectivity in section 2.2. below.

2.2. Epistemic modality, subjectivity and interrogation

As we stated above, it is a frequent view in the literature that objectively modalized predications can be questioned while subjectively modalized predications cannot be since the speaker’s subjective assessment of the statement cannot be refuted (Jackendoff, 1972; Lyons, 1977; Hengeveld, 1988; Papafragou, 2000, 2006; Drubig, 2001; Palmer, 2001; Ghio, 2009). Epistemic modality is widely assumed as subjective in the literature. Therefore, it is argued that the epistemic modality meaning disappears in the question form of the declaratives. For instance, Narrog (2009:146) claims that *daroo*, the epistemic speculative marker in Japanese, expresses request for information under interrogation. Similarly, the interpretation of modality may also change in English when the sentence is questioned. For instance, while *John may still be reading* is interpreted in the epistemic possibility meaning, its interrogative form *May John be reading?* is regarded as the deontic permission. Papafragou (2000, 2006) also argues that the epistemic interpretation of modal expressions cannot occur sentence initially in yes/no questions except a few cases, a fact which is also observed by Jackendoff (1972), Drubig (2001), Palmer (2001) and Ghio (2009).

Another study with similar claims is Ghio (2009), which argues that the epistemic *might* can occur in interrogatives due to a hypothetical context created by the speaker. When the epistemic *might* occurs in interrogatives, there are conjunctions such as *but*, *yet*, *however*, which are pre-constructed by the speaker. These pre-constructs indicate the two opposite values of the predicate (x vs. non-x) and the speaker isolates one of them to question. Ghio (2009:147) points out that the pre-construct indicates the opposite value of what is introduced by *might* in (7) below.

(7) ***But***, for the time being, it gives Japanese firms a small advantage. ***Might*** their biggest advantage, ***however***, lie in (...) the Tokyo stock-market?

Ghio (2009:147) Example (1)

Thus, the pre-constructs, *but* and *however* in (7) are the marks of adversative context according to Ghio (2009). They signal that the speaker starts from the opposite value (negative value) of the predicate: <Their biggest advantage – not lie in the Tokyo stock-market>. Thus, the speaker starts with the negative value of *might*, ‘not lie in the Japanese stock-market.’ With *might* then, the speaker questions the opposite value, i.e. positive value without excluding the negative value.

Note that Ghio’s (2009) explanation has the same spirit with Papafragou’s (2006) deliberative use of epistemic modals. The speaker seems to be talking to him/herself. However, pre-construct analysis falls short when we consider the instances of epistemic modality in interrogatives which really express uncertainty. Questioning one of the values, positive or negative, excludes uncertainty in epistemic modality contexts, which have already existed in Turkish as will be discussed in section 3.

Different from the studies mentioned above, there are also some studies which argue that epistemic modality may be available in interrogatives (Matthews, 2003; Rocci, 2007; Verstraete, 2007; Narrog, 2012). For instance, Matthews (2003:62) notes that the epistemic *must* may appear in interrogatives if the proposition being questioned is not the speaker’s, which is also consistent with Narrog (2012:35), who argues that the potential of the epistemic *must* appearing in interrogatives may be attributable to some objective possibility. In a similar way, Rocci (2007) focuses on the epistemic *dovere* ‘must’ and epistemic future in the interrogative contexts of Italian. Rocci (2007:131) notes that it is the special construction *che*+subjunctive which gives rise to epistemic modality and inferential ev-

identity in questions.⁴ The epistemic reading of *dovere* can occur in interrogative sentences that are realized as certain sub-types of the question acts, which can only be analyzed via a pragmatic level of meaning rather than lexical semantics.

Verstraete (2004), on the other hand, argues that the contrast between declarative and interrogative is crucial to the distinction between subjective and objective modality. He claims that both subjective and objective modals can be found in interrogatives. However, under the influence of interrogation, the subjective modals are directed towards the interlocutor, whereas objective modals remain unaffected. See (8a-b).

(8) a. Thompson: If the trials are successful, *might* this be used as the first line of treatment of cancer? Thorpe: Well that's exactly where we are going. We are hoping that this will replace conventional chemotherapy.

b. I mean maybe we've got no choice if we want to do it but I mean erm do you think it's possible to do anything worthwhile in history lessons or *can* this work really only take place in somewhere like civics social studies sociology politics?

Adapted from Verstraete (2004:252) Examples (9-10)

Verstraete (2004) claims that the responsibility encoded by subjective modals like epistemic *might* and *can* is not taken by the speaker, but is given to the interlocutor in the next turn: "are you committed to this position?" rather than "I am committed to this position". Therefore, the epistemic meaning is kept in both interrogative sentences in (8a-b).⁵

Following Verstraete (2004), for Turkish I argue that epistemic modality interpretation is possible in interrogatives if subjectivity is transferred to the interlocutor. If not, epistemic modality interpretation is not possible: modality shift appears as will be discussed in section 3.

3. Data and discussion

The studies on modality in Turkish have primarily focused on the grammaticalization of modality in the language. The lack of one-to-one

⁴ See also Pietrandrea (2005:130) for Italian epistemic forms in interrogative contexts.

⁵ See Verstraete (2001, 2004) for a discussion on the interpretation of the non-subjective modals regarding assignment of responsibility.

relationship between the form and function and the fact that one form may correspond to more than one modal meaning have been noticed for Turkish in the literature (Sansa-Tura, 1986; Aksu-Koç, 1988; Kerslake, 1990; Kocaman, 1988; Ozil, 1994; Erguvanlı-Taylan, 1996; Güven, 2001; van Schaaik, 2001). There is also a close relation among tense, aspect and modality in Turkish: It is difficult to distinguish all these three forms from one another. Therefore, the markers which denote tense, aspect and modality are called TAM (Tense, Aspect, Modality) markers in Turkish (Erguvanlı-Taylan, 1996, 1997, 2018; Cinque, 2001; Corcu, 2003 among others).⁶

In the present study, I am concerned with the interaction between epistemic modality and interrogatives in Turkish. With this aim, I present my sample data from Turkish according to Palmer's (2001) classification of epistemic modality and I look for an answer for my research questions (i) if the epistemic modal meaning in declaratives extends to interrogatives; (ii) if the modality type changes in the interrogatives (i.e. from epistemic to deontic); and (iii) what could be the reason for the changed and unchanged cases.

Let me begin my analysis with my first set of data: the suffixes which mark epistemic modality in yes/no questions in Turkish.

3.1. Epistemic Modality in Yes/No Questions in Turkish: Suffixes

As mentioned in 2.2, it is generally argued in the literature that epistemic modality is not expected in interrogatives (Jackendoff, 1972; Lyons, 1977; Hengeveld, 1988; Papafragou, 2000, 2006; Drubig, 2001; Palmer, 2001; Ghio, 2009) since predications that have been objectively modalized can be questioned, but those that have been subjectively modalized (speaker-related) cannot (Lyons, 1977; Hengeveld, 1988). Epistemic modality is widely assumed as subjective (related to the speaker's assumption, estimation, judgement etc.) in the literature: the general view is that the speaker cannot question his/her own subjective judgements, as a result of which epistemic modality is not possible in interrogatives. Let us see how this works in Turkish. Consider the epistemic deductive *-mAll'* given in (9a-d).

6 There are also studies that argue against the idea that a single morphosyntactic unit conveys the meanings of tense, aspect and modality in Turkish. Consider Uzun (1998) for such a view.

7 For the deductive meaning of *-mAll'*, see Corcu (2003), Aslan Demir (2007), İmer et al. (2011), Hirik (2014) among the others.

- (9) a. (Işıklar açık) Ayşe ofiste ol-malı/ofise git-miş olmalı. *Epistemic-deductive*
(The light is on.) ‘It is possibly the case that Ayşe is in the office/Ayşe went to the office.’
- b. *Ayşe ofiste ol-malı mı/ofise git-miş olmalı mı? *Epistemic-deductive*
‘Is it possibly the case that Ayşe is in the office/Ayşe went to the office?’
- c. (Akşam otobüse binmişti.) Ayşe şimdi buraya geli-yor olmalı. *Epistemic-deductive*
(She took the bus in the evening) ‘It is possibly the case that Ayşe is coming here now.’
- d. *Ayşe şimdi buraya gel-iyor olmalı mı? *Epistemic-deductive*
‘Is it possibly the case that Ayşe is coming here now?’

As opposed to the declarative one (9a), the interrogative sentence given in (9b) is not interpreted as epistemic deductive but interpreted as deontic necessity. Thus, the sentence means *does Ayşe have to be in the office?* Epistemic modality turns into deontic modality under interrogation. Likewise, in (9c) the declarative sentence can be interpreted as having epistemic deductive while the interrogative one in (9d) cannot be. (9d) is interpreted only as deontic necessity if it is not ungrammatical at all.⁸

After discussing the epistemic deductive modality expressed by *-mAll* in Turkish, now let us turn our attention into other epistemic possibility markers in Turkish. The relevant question at this point is: *Is it always the case in Turkish that epistemic modality transforms into deontic modality in interrogative constructions?* Consider the epistemic speculative *-(y)Abll*, prediction *-Ir* and assumptive *-Dir*; which seem to keep their epistemic interpretation in interrogatives.

⁸ There is one point which needs to be discussed here. We observed that the epistemic interpretation is not available in the interrogation of epistemic deductive *-mAll*. However, if the scope of the question particle is changed, some level of epistemic interpretation becomes available. Consider (i) below where the question particle takes a locative expression into its scope instead of the whole utterance.

i) Şimdi Ayşe ofiste mi ol-malı?

‘Is it possibly the case that Ayşe is in the OFFICE now?’

The question particle *-mI* in (i) questions only the locative expression *ofiste* ‘in the office’ in the sentence rather than the whole proposition. Note that the epistemic modality interpretation of the sentence is available alongside the deontic one. The sentence denotes uncertainty about where the subject Ayşe of the verb *ol-* ‘be’ is right now. This is more evident in the following example where the speaker provides alternatives for the actual place of the subject Ayşe. Consider (ii).

ii) Şimdi Ayşe ofiste mi ol-malı, evde mi?

‘Is it possibly the case that Ayşe is in the OFFICE or HOME now?’

The interrogative sentence in (ii) provides an extra option for the place of the subject Ayşe: home. If the speaker feels epistemically confused about the daily routine of Ayşe, s/he will produce this kind of question with the same epistemic interpretation of the declarative sentence.

(10)a. Ayşe ofiste ol-abil-ir. *Epistemic - speculative*

‘It is possible that Ayşe is in the office.’

b. Ayşe ofiste ol-abil-ir mi? *Epistemic – speculative*

‘Is it possible that Ayşe is in the office?’

(11)a. Ayşe ofise gid-ebil-ir. *Epistemic - speculative*

‘It is possible that Ayşe will go to the office.’

b. Ayşe ofise gid-ebil-ir mi? *Epistemic – speculative*

‘Is it possible that Ayşe will go to the office?’

(10a) exemplifies a sentence where an auxiliary verb *ol-* ‘be’ is inflected by the epistemic modality marker $-(y)Abil + -Ir$. The sentence expresses speaker’s subjective speculation about the truth condition of the proposition. When it becomes interrogative in (10b), it still preserves its epistemic interpretation: the uncertainty/probability meaning in (10a) is still available in (10b).⁹ (11a), on the other hand, exemplifies a situation where a verbal predicate *git-* ‘go’ is inflected by the same epistemic modality suffixes. Note that similar to the (10b) case, (11b) still preserves its epistemic interpretation, which means that the uncertainty meaning is still available.

We have seen that $-(y)Abil + -Ir$ suffixes preserve their epistemic interpretation under interrogation. Consider now *-Ir*; the epistemic modality marker attached to the verbal roots without $-(y)Abil$. See the declarative and its interrogative form in (12a-b) respectively.

(12) a. Ayşe bugün gel-ir. *Epistemic-prediction*

‘Ayşe will (probably) come today.’

b. Ayşe bugün gel-ir mi? *Epistemic-prediction*

‘Will Ayşe (probably) come today?’

⁹ For the possibility/probability meaning of $-(y)Abil$, see Lewis (1976), Aksu-Koç (1988) Underhill (1997), Gencan (2001), Korkmaz (2003), Özsoy (1999), Kornfilt (2001) among others.

In terms of modality, the aorist suffix *-Ir* in Turkish has been considered as indicating epistemic prediction interpretation (Yavaş, 1982; Kornfilt, 2001; Corcu, 2003; Nakipoğlu-Demiralp, 2002 among others). (12a) has the subjective speculation interpretation considered as epistemic modality. In (12b), this subjective speculation about the truth condition of the proposition is still preserved. Thus, there is no change in the epistemic modality interpretation despite interrogation (12b).

Now, let us have a look at another suffix – *DIR*, which is considered as an epistemic assumptive marker in Turkish (Sansa-Tura, 1986; Aydın, 1996; Sebzecioğlu, 2004).¹⁰ Consider (13a-b).

(13) a. (Ayşe her akşam ofise uğrar.) Ayşe şimdi ofiste-dir. *Epistemic - assumptive*

(Ayşe goes to the office every evening). ‘It is reasonable to assume that Ayşe is now in the office.’

b. Ayşe ofiste mi-dir? *Epistemic - assumptive*

‘Is it reasonable to assume that Ayşe is now in the office?’

In (13a) the nominal predicate *ofiste* (in the office) is inflected by the epistemic modality marker *-DIR*. Note that the sentence is interpreted as having epistemic assumptive reading. The interrogative sentence in (13b) keeps its epistemic interpretation similar to the one in (12b). The speaker assumes that *Ayşe is in the office* (13a) and questions this assumption in (13b).

So far, we have checked epistemic deductive, epistemic speculative prediction and assumptive markers and shown how they behave in interrogative contexts. When we take the examples given in (10b), (11b), (12b) and (13b) into the consideration, some questions raise: If subjectivity cannot be questioned and if epistemic modality is subjective, how are (10b), (11b), (12b) and (13b) possible in Turkish? Why are the epistemic speculative *-(y)Abil*, assumptive *-Dir* and epistemic prediction *-Ir* compatible with interrogation on the one hand, but not epistemic deductive *-mAll*, on the other hand, if subjectivity is an obstacle to the epistemic reading in interrogatives?

Following Verstraete (2004), I propose that the epistemic deductive *-mAll* (9a) and (9c) does not allow the transfer of the epistemic commit-

¹⁰ See also Sansa-Tura (1986), Ergin (1993), Aydın (1996), Ruhi et al. (1997), Kornfilt (2001), Bildircin (2002), Korkmaz (2003), Sebzecioğlu (2004) among the others for a detailed discussion on the uncertainty meaning of *-Dir*.

ment to the interlocutor in interrogatives as given in (9b) and (9d), respectively, due to *deduction* which is present in the context as opposed to the epistemic speculative *-(y)Abil*, (10b and 11b) epistemic prediction *-Ir* (12b) and assumptive *-Dir* (13b). In (9b), the speaker has already had an answer coming from deduction regarding the truth value of the proposition. Thus, s/he cannot question his/her judgment and transfer the epistemic (modal) responsibility to the interlocutor. It is also crucial to note that deduction, unlike speculation or assumption, increases speaker's involvement in the modal position. That seems to be the reason why the speaker does not transfer his/her responsibility to the interlocutor in the case of the epistemic deductive *-mAlI* as opposed to the epistemic speculative *-(y)Abil*, assumptive *-Dir* and epistemic prediction *-Ir*.

There is one more point which needs to be mentioned related to the discussion here. We argued that the epistemic modality interpretation is preserved under interrogation due to the fact that the speaker transfers his/her epistemic responsibility to the interlocutor. Thus, it is the transfer of this commitment that makes the epistemic interpretation available in question contexts. However, the question arises as to what happens when the subject of the sentence is the second person to which the speaker directs his/her question. This leads to a contradiction: the speaker transfers his/her epistemic commitment of the truth value of the proposition to the interlocutor but the interlocutor is the actual doer of the action modalized in the original sentence. Consider (14a-b).

(14)a. (Her akşam ofise uğrarsın.) Şimdi ofiste-sin-dir. *Epistemic – assumptive*

(You go to the office every evening). 'It is reasonable to assume that you are now in the office.'

b. Şimdi ofiste mi-sin-dir? *Epistemic - assumptive*

'Is it reasonable to assume that you are now in the office?'

In (14a) the nominal predicate *ofiste* 'in the office' is attached by the epistemic assumptive suffix *-Dir* similar to (13a-b). Different from (13a-b), this time the speaker makes assumption about the action done by the interlocutor, not a third-party subject. When we put this declarative sentence in the interrogative context (14b), the interlocutor will be assigned as the one who makes an assumption about the truth condition of a proposition which includes the action carried out by himself/herself. This gives rise a logical contradiction: the interlocutor cannot make an assumption about the action carried out by himself/herself. Thus, the epistemic interpretation of this sentence should be impossible. The sentence is expected to be

ungrammatical under epistemic modality reading. However, the facts are contrary to what is expected. (14b) can be interpreted as having epistemic modality interpretation.

I propose that the availability of the epistemic interpretation in (14b) comes with the hypothetical context where the speaker has assumptions with respect to the truth value of the proposition. The speaker creates a hypothetical construct where s/he makes assumption about both negative and positive values of the proposition that is questioned simultaneously in the sense of Ghio (2009). In other words, the speaker makes a deliberative use of the epistemic modals and seems to be talking to him/herself, making the propositional value of the utterance questionable. In this sense (14b) does not seem to be a true question but an echo one. The speaker produces this question as if s/he is talking to him/herself.

To sum up, our analysis shows that the epistemic interpretation is possible in interrogatives if the speaker transfers his/her responsibility to the interlocutor. If not, the epistemic reading is not possible. It is also the case that the epistemic interpretation of the modal suffixes in Turkish interrogatives is due to the deliberative use of the forms.

Up to this point, I have questioned if the suffixes which marks epistemic modality in Turkish keep their epistemic interpretation in the case of yes/no questions. I have shown that it is possible to have epistemic reading in Turkish yes/no interrogatives when the subjectivity is transferred from the speaker to the interlocutor. Now, I will analyze some lexical markers which mean probability (epistemic reading) in order to question if the epistemic modality interpretation is possible when the meaning is transmitted only via the above-mentioned suffixes. Is it also possible when a lexical item marks epistemic modality? With this aim, in section 3.2, I will focus on some lexical items such as *muhtemel* ‘probable’, *olası* ‘potential’, *mümkün* ‘possible’ and *olanaklı* ‘feasible’, which can be considered as modal predicates since they indicate probability (Ruhi et al., 1992; Corcu, 2003; Kerimoğlu, 2010).

3.2 Epistemic Modality in Yes/No Questions in Turkish: Lexical markers

It has been noted in the literature that modality can be expressed by modal predicates as well as modal suffixes. For Turkish, it has been observed that lexical items such as *lazım* ‘necessary’, *gerek* ‘necessary’, *zorunda* ‘obliged’, *muhtemel* ‘probable’, *kesin* ‘for sure’, *mümkün* ‘possible’, *şüpheli* ‘doubted’ denote modal notions when they are used in the sentence (Ruhi et al., 1992; Corcu, 2003; Kerimoğlu, 2010). Kerimoğlu (2010:455-456) notes that *muhtemel* is a modal predicate that marks epistemic mo-

dality, probability (15a); *olası* is similar to *muhtemel* despite not marking the degree of possibility (15b); *mümkün* is a modal predicate that shows uncertainty (15c); and *olanaklı* also denotes epistemic modality (15d) as well as deontic one. Consider (15a-d).

(15)a. Ali'nin yarın gelmesi muhtemel. *Epistemic-probability*

'It is a probability that Ali will come tomorrow.'

b. Ali'nin yarın gelmesi olası. *Epistemic-probability*

'It is a probability that Ali will come tomorrow.'

c. Ali'nin yarın gelmesi mümkün. *Epistemic-probability*

'It is possible that Ali will come tomorrow.'

d. Ali'nin yarın gelmesi olanaklı. *Epistemic-probability*

'It is possible that Ali will come tomorrow.'

Adapted from Kerimoğlu (2010:455-456) examples (24a-25a-26a-27a)

In (15a-d), lexical items *muhtemel*, *olası*, *mümkün*, *olanaklı* are used to express epistemic modality. For instance, *muhtemel* 'probable' in (15a) expresses speaker's belief about the actualization of the event. It denotes epistemic modality in the sense that the event will or will not be actualized.

Regarding to these examples, my question is whether the epistemic reading is still possible if the declarative sentences are converted into the interrogative ones. See (16a-d) respectively for the question forms of the sentences given in (15a-d).

(16) a. Ali'nin yarın gelmesi muhtemel mi? (Epistemic-probability)

'Is it a probability that Ali will come tomorrow?'

b. Ali'nin yarın gelmesi olası mı? (Epistemic-probability)

'Is it a probability that Ali will come tomorrow?'

c. Ali'nin yarın gelmesi mümkün mü? (Epistemic-probability)

'Is it possible that Ali will come tomorrow?'

d. Ali'nin yarın gelmesi olanaklı mı? (Epistemic-probability)

'Is it possible that Ali will come tomorrow?'

It is observed in (16a-d) that the lexical markers *muhtemel*, *olası*, *mümkün* and *olanaklı* keep their probability meaning in yes/no question formations. It means that epistemic interpretation is still possible in the interrogatives in the existence of the lexical items which mark epistemic modality. For these cases, I argue that the epistemic commitment of the speaker is again transferred into the interlocutor: the responsibility of the modal position is no longer taken by the speaker in modal interpretation of *muhtemel*, *olası*, *mümkün* and *olanaklı*. Thus, for instance (16a) is interpreted as “do you think it is a probability that Ali will come tomorrow?” instead of “Is my prediction (Ali will come tomorrow) probable?”. As Verstraete (2007:27) argues, the interrogative construction induces a reorientation of the position expressed by the modal expression. This reorientation occurs towards the interlocutor in all of the cases given above.

4. Conclusion

The present study has provided a discussion on the interaction between epistemic modality and interrogation in Turkish. With this aim, I have focused on some suffixes based on Palmer's classification of epistemic modality: the epistemic deductive *-mAll*, epistemic speculative *-(y)AbIl*, assumptive *-Dir* and epistemic prediction *-Ir*; and a number of lexical items such as *muhtemel*, *olası*, *mümkün* and *olanaklı*, which are argued to mark epistemic modality in Turkish.

I have observed two main points: (i) the epistemic modal interpretation is retained under interrogation (as in the case of the epistemic speculative *-(y)AbIl*, assumptive *-Dir*, epistemic prediction *-Ir* markers and the lexical items (*muhtemel*, *olası*, *mümkün* and *olanaklı*)) or (ii) it changes under interrogation (as in the epistemic deductive *-mAll*).

Following Verstraete (2007), I have argued that it is the nature of the illocutionary force associated with the yes/no questions which regulates the modality interpretation in interrogatives. Interrogatives are interpersonal structures where modality can be reoriented towards the interlocutor, a process by which the speaker transfers the responsibility for the modal position to the interlocutor. As a result, I claim that the epistemic interpretation is possible in yes/no questions in Turkish if the subjectivity is transferred to the interlocutor.

In the present study, I have only focused on the behavior of some epistemic modality markers. However, the data analysis may be extended into the use of certainty adverbs such as *mutlaka* 'absolutely', *kesinlikle* 'definitely', *herhalde* 'presumably' in the above given constructions. Also, some particles such as *gibi* 'like, similar to' may be investigated in terms of the interaction between epistemic modality and interrogation (*Ayşe okula gelecek gibi*. 'It seems that Ayşe will come to school'. *Ayşe okula gelecek gibi mi?* 'Does it seem that Ayşe will come to school?').

Furthermore, Verstraete (2004) argues that deontic modality may be subjective as epistemic one: the responsibility encoded by the modal may be transferred to the interlocutor in an interrogative context. Deontic modality, subjectivity and interrogation relation may be questioned in Turkish. Also, event modality may be investigated in terms of the change of modality type under interrogation.

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Chapter 7

PARADOXES IN INTERNATIONAL TRADE: AN EVALUATION ON MANUFACTURING SECTOR FOR SELECTED COUNTRIES

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1. Introduction

There are many paradoxes in international trade theory. Blinder (2019) states that a free trade itself is a paradox by saying “The economic calculus virtually always favors freer trade, but the political calculus often does not” (Blinder, 2019: 124). It is a well-known fact that many of today’s developed countries have made significant protectionism in the past. One of the most well-known paradoxes is undoubtedly the Leontief paradox. Leontief (1953) found that United States (US) exports relatively labor intensive goods compared to imports. This finding clearly contradicted the view that the United States is a capital-intensive country and should export capital-intensive goods according to the Heckscher-Ohlin theory. This contradiction has caused the subject to attract great attention in the theoretical and empirical literature. Some explanations of this contradiction as follows (Leamer, 2018: 7779): US workers’ high productivity, high level of consumption of capital intensive goods, reversal of factor intensity, using of trade policy instruments like tariffs, abundance of human capital and/or natural sources, and differences in technology level. Additionally, Skilled Labor Theory introduced by Keesing and Kennen and claimed that skilled labor intensive goods are similar with capital intensive goods could be mentioned as an explanation of Leontief paradox (Ekizceleroğlu, 2011: 217). Minabe (1966) proved when two countries have identical taste patterns, Leontief paradox may occur. Hirsh (1977) developed a multi country setting in exploring the Leontief paradox. Accordingly, poor countries export low capital-intensive goods and import high capital-intensive goods while rich countries do the opposite¹. An another study conducted by Leamer (1980) shows that there is no paradox if the conceptually correct calculations has been made. Before Leamer (1980), Winston (1979) said that had factor proportions been properly measured there would never have been a paradox. On the other hand, Heravi (1986) stated that Leamer (1980) also made some mistakes in computing commodity prices. Although Brecher and Choudhri (1982) found inconsistent evidence with Leamer (1980) and concluded that Leontief paradox is still valid in some cases, Casas and Choi (1985) put forward that inconsistency can not be regarded as a modified version of Leontief paradox. Aw (1983) extended Leamer’s model by taking third factor and trade imbalance into consideration. Lee, Wills and Schluter (1988) examined the Leontief paradox in US agricultural trade for 1982 and presented evidence not supporting the paradox. In other words, this study underlines that factor abundance is of great importance in US’ agricultural trade. Gaisford (1995) developed the model by considering factor mobility. Thus, US exports of goods would be intensive in its relatively abundant internationally immobile factors, because her exports capital services directly. Dietzenbacher and Mukhopadhyay (2007)

¹ For detailed information Fishelson (1979) and Hirsch (1979).

united Leontief paradox and pollution haven hypothesis by expecting India to export relatively pollution intensive goods. Contrary to expectations, they found that India was moving away from being a pollution haven. Delis and Mamuneas (2013) made an empirical search on US manufacturing sector for the period 1965-1991 and could not find any evidence for Leontief paradox. According to Tsao (1980), if two-sided technologies are used, the Leontief paradox may not emerge. Similarly, Kiyota (2021) shows that the paradox can be resolved when trade imbalance and technology differences across countries are taken into consideration. In sum, because Leontief paradox can not be confirmed systematically, Heckscher-Ohlin theorem is still in international economics books (Negishi, 2014: 91).

The Stolper-Samuelson theorem, which was developed from the traditional Heckscher-Ohlin trade model, becomes reference to the inferences related to the application of tariffs. Stolper and Samuelson (1969) show that when the Heckscher-Ohlin type of foreign trade starts, the income of the abundant factor in the country will increase, meaning that free trade equalizes the factor prices. Accordingly, increases in the imports of labor-intensive goods in countries where labor is relatively scarce will lead to lower wages. To prevent this, it has been recommended to impose tariffs on the import of labor-intensive goods.

Another paradox dealt with many researchers is Metzler paradox. Although Metzler (1949) generally reached findings which is consistent with Heckscher and Ohlin, tariff reduction relative to international demand can increase the demand for a country's scarce factors and reduce the demand for its abundant factors depending on the price elasticity of exports. Additionally, another point made the difference is that Heckscher and Ohlin compared free trade or limited trade with the situation there is no trade. After Metzler's pioneering study, Metzler paradox has been examined by different researchers under different conditions. Contrary to Komiya (1967), Batra (1984) showed that Metzler paradox still stands when non-tradables are concerned. On the other hand, McDougall (1962) presented some evidence not supporting Metzler paradox for Australian economy. Minabe (1974) stated that occurrence of Metzler paradox depends on the height of tariff rate. If it is high enough, Metzler paradox does not occur. Collie (2012) searched Metzler paradox and immiserizing growth² in the Ricardian model. To the findings, inelastic foreign offer curve is a necessary (not sufficient) condition for both paradoxes. Also, there are some studies on Metzler paradox taking quotas into account like Falvey (1975) and Haan and Visser (1979). Haan and Visser reached findings supporting Falvey

2 Immiserizing growth is firstly introduced by J. Bhagwati (1958) meaning that growing country could suffer from deterioration of terms of trade. Both Metzler paradox and immiserizing growth occur when the tariff is imposed by a large country.

that Metzler paradox can not occur when import quotas are imposed. Moreover, their findings were sound whatever terms off trade is. While these are all real trade models, Palivos, Yip and Chong (1998) examined Metzler paradox in a monetary economy. They concluded that Metzler condition is not necessary nor sufficient for Metzler paradox in a monetary model.

The Lerner paradox is one of the most well-known paradoxes of international trade, along with the Leontief and Metzler paradoxes. The Metzler paradox refers the possibility that a tariff on an import good might reduce a country's import price while the Lerner paradox refers the possibility that a tariff on an import good might worsen a country's terms of trade. A.P. Lerner (1936) put forward his ideas on Edgeworth (1894), Bastable (1897), Marshall (1923) and Pigou (1928)'s studies. The main assumptions of Lerner (1936)'s analysis are: two countries and two goods; perfect competition; there are no transportation costs, tariffs and capital movements. Then, Lerner (1936) analyzed the effect of a tax imposed on export or import on this model. Thus in the latter model, Lerner (1936) shows that whether a tax collected in any goods makes no difference. It should be noted that in the Lerner model barter terms of trade are considered. On the other hand, Lerner (1936: 311) states that the result will not change in case of monetary taxation. Jones (1985) put out that the terms of trade may change when a tariff is imposed, but in the absence of net income affects the Lerner and Metzler paradoxes could not prevail. Also, The Metzler and Lerner paradoxes are examined by considering one kind of sector-specific capital is internationally mobile in Jones (1987) which is referred by Neary (1995). Endoh and Hamada (2006) discussed under which conditions the paradoxes could happen. To this study, both Lerner paradox and Metzler paradox can occur if an asymmetry in excess demand structures and strong income effects exists between countries. So, if the excess demand structure is invertible and similar each other, then these paradoxes are harder to happen. Hayakawa, Ito and Mukunoki (2022) measured the impact of tariff reductions on trade prices and showed that a 1% reduction in tariffs decreases trade prices by approximately 0.1% referring the Lerner paradox.

After presenting a general evaluation of the literature in this section, the following sections will evaluate the effects of the Lerner paradox and tariff rates on the manufacturing sector for selected economies, respectively. In the fourth section, it is searched whether tariff rates to enable the manufacturing sector to gain comparative advantageous.

2. An Evaluation On Lerner Paradox for Selected Countries' Manufacturing Sector

The Lerner paradox refers to the possibility that an import tariff might worsen the terms of trade. Based on this, the terms of trade and customs

taxes for the manufacturing sector of the countries whose data can be accessed from UNCTAD (United Nations Conference on Trade and Development) will be evaluated in this section. First of all, the share of the manufacturing sector in total exports and the main trade partners of the countries to be discussed here are summarized in Table 1.

Table 1. Share of manufacturing sector in selected countries and their main trade partners

	Manufactured goods (as % of total exports)	Top 5 trade partners (exports, millions of US dollar)
Bangladesh	94	USA, Germany, UK, Spain, Poland
China	95	USA, China Hong Kong SAR, Japan, Republic of Korea, Viet Nam
India	61	USA, United Arab Emirates, China, Bangladesh, China Hong Kong SAR
Malaysia	70	China, Singapore, USA, China Hong Kong SAR, Japan
Mexico	82	USA, Canada, China, China Taiwan Province of, Japan
Morocco	70	Spain, France, India, Brazil, Italy
Pakistan	76	USA, China, UK, Germany, Netherlands
Philippines	80	USA, China, Japan, China Hong Kong SAR, Singapore
Türkiye	78	Germany, USA, UK, Italy, Iraq
Vietnam	85	USA, China, Republic of Korea, Japan, China Hong Kong SAR

Source: UNCTADSTAT, <https://unctadstat.unctad.org/CountryProfile/General-Profile/en-GB/050/index.html>, (07.03.2023).

The share of the manufacturing sector in the exports of the countries discussed here is quite high. Again, when the main trade partners of these countries are examined, the determining role of geographical proximity in terms of foreign trade is clearly seen.

As can be seen from the literature, the validity of the Lerner paradox depends on many restrictive assumptions. It is therefore coincidental that it is supported by revealed data. The evaluations here can only be a starting point for more comprehensive quantitative studies. Nevertheless, the relationships between the variables pointed out by the paradox have been traced here.

For some missing data, the arithmetic average of the previous period data and the following period data has been taken. In the figures below, the left outer axis belongs to the tariff rates, and the right outer axis refers to the

terms of trade. Tariff rate implies that effectively applied weighted tariff rate while the terms of trade implies the ratio of export unit value index to import unit value index. Both are for manufacturing sector. According to the definition, a decrease in the terms of trade means a worsening of the terms of trade.

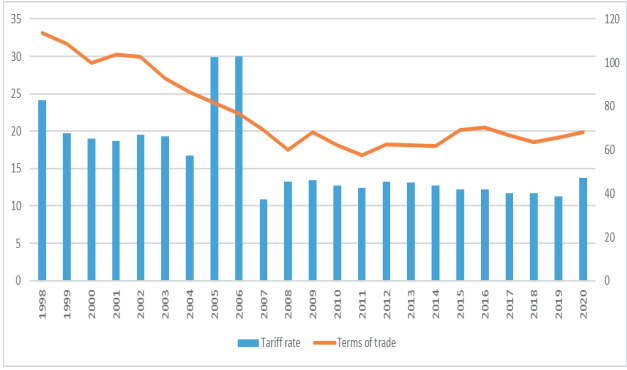


Figure 1. Bangladesh (1998-2020)

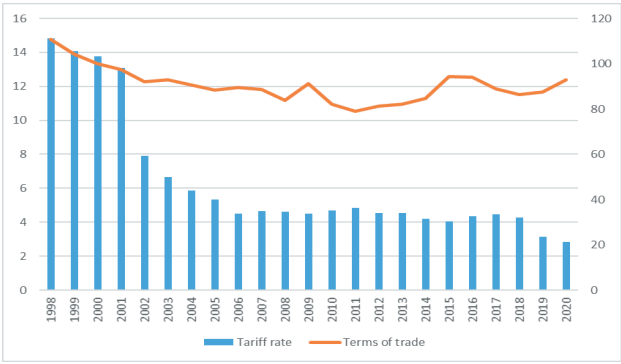


Figure 2. China (1998-2020)

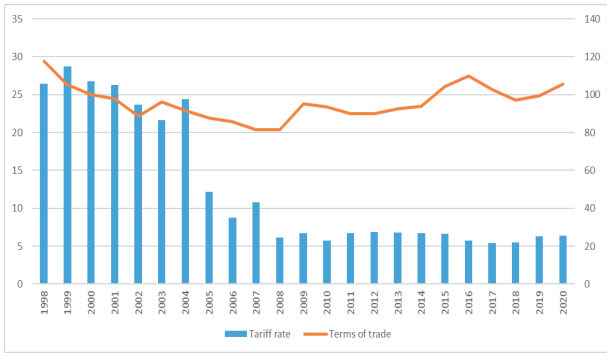


Figure 3. India (1998-2020)

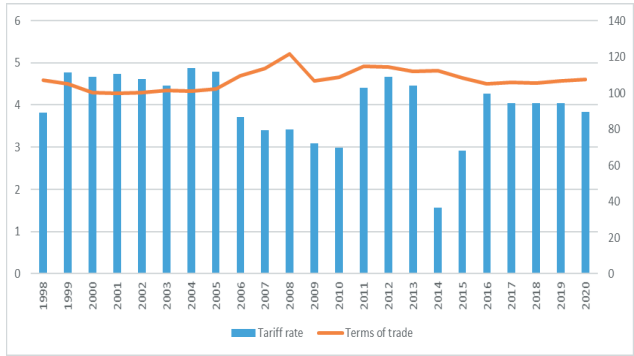


Figure 4. Malaysia (1998-2020)

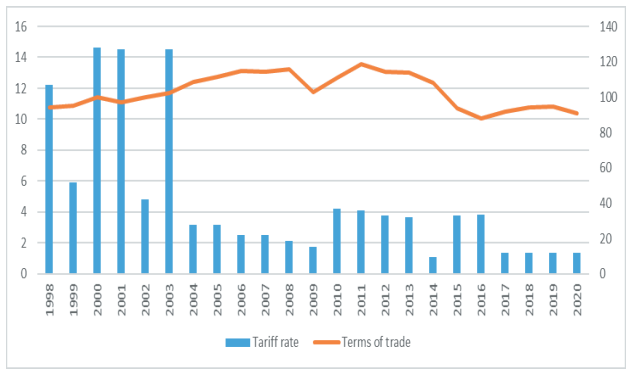


Figure 5. Mexico (1998-2020)

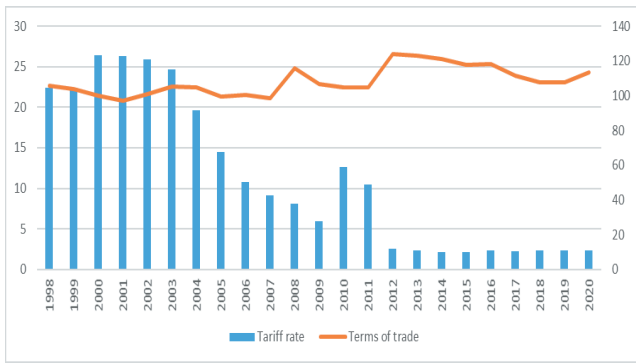


Figure 6. Morocco (1998-2020)

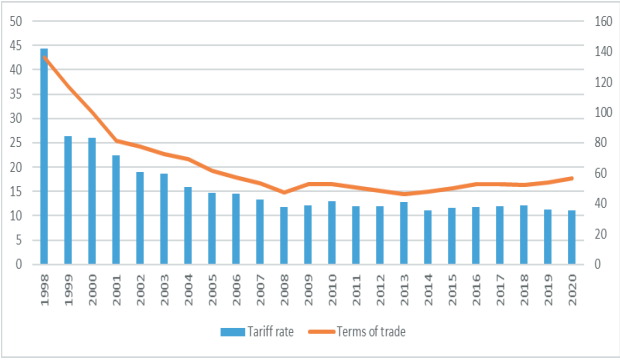


Figure 7. Pakistan (1998-2020)

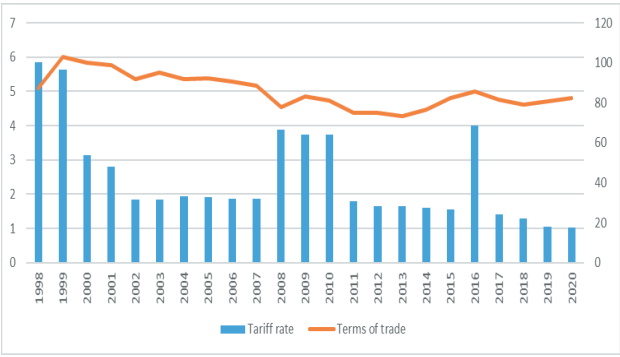


Figure 8. Philippines (1998-2020)

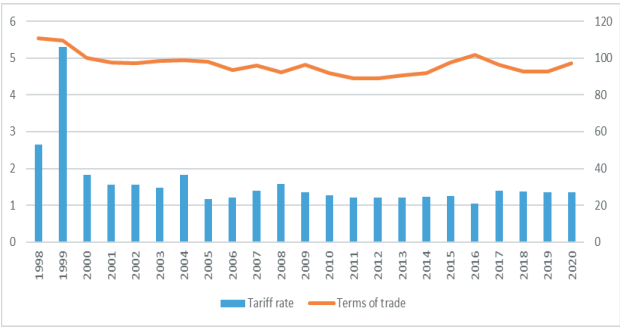


Figure 9. Türkiye (1998-2020)

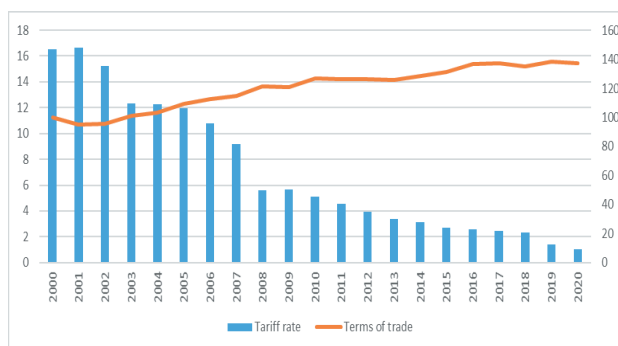


Figure 10. Vietnam (2000-2020)

Source: Created by the author with data from UNCTAD.

While evaluating the figures above, it should be noted that while all other countries became members of the World Trade Organization (WTO) in 1995, China became a member of the WTO in 2001 and Vietnam in 2007. The decrease in tariff rates after the membership in China and Vietnam is remarkable.

The trend observed for Bangladesh is that the terms of trade worsened as the tariff rates decrease. When the tariffs settle at a certain level, the terms of trade are also placed in a certain band. Also in Pakistan, tariff rates and terms of trade have been acted in the same way. On the contrary, an improvement trend is observed in the terms of trade for the Indian economy after the tariff rates decreased to a certain level. Similarly, while tariff rates were low in Malaysia, especially in the 2006-2008 period, the terms of trade seem to have improved. In this context, the relationship between tariff rates and terms of trade is most evident in Vietnam. Terms of trade appear to be on a stable line independent of tariff rates in China, Mexico, Morocco and Türkiye.

3. Developments in Manufacturing Sector for the Selected Countries

In the previous section, the relations between tariff rates and terms of trade were examined for the manufacturing industries of selected economies. On the other hand, one of the main reasons of imposing an import tariff is protecting domestic producers and promote domestic production. For this reason, it is of great importance for the countries imposing import tariff to be evaluated to what extent manufacturing sector develop.

In the figures below, when there are two axes, the left outer axis refers to the manufacturing production as a percentage of Gross Domestic Product (GDP) while the right outer axis refers to the manufacturing sector's

annual growth rate. The growth rate data of the Chinese manufacturing sector was obtained by the author based on the data of China’s GDP and the share of the manufacturing sector in GDP.

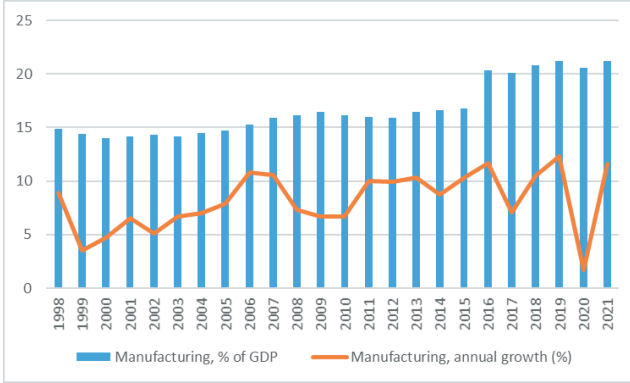


Figure 11. Bangladesh (1998-2021)

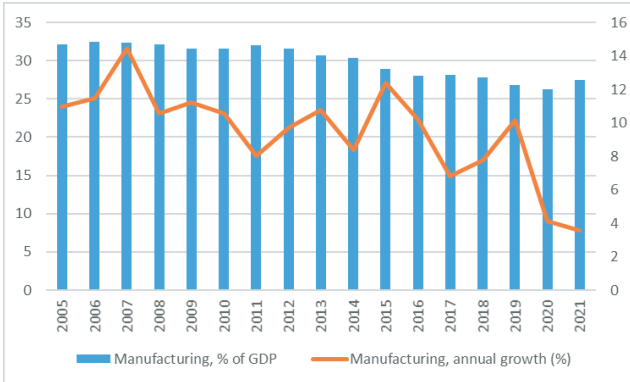


Figure 12. China (2005-2021)

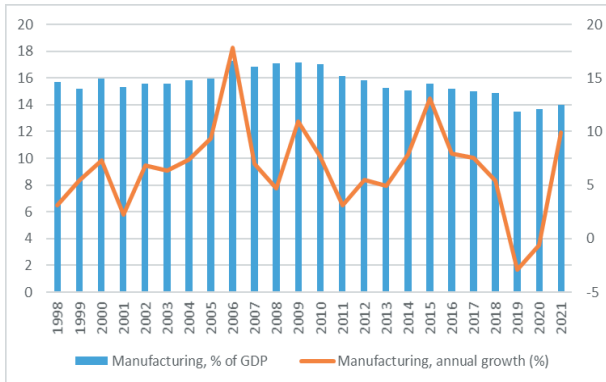


Figure 13. India (1998-2021)

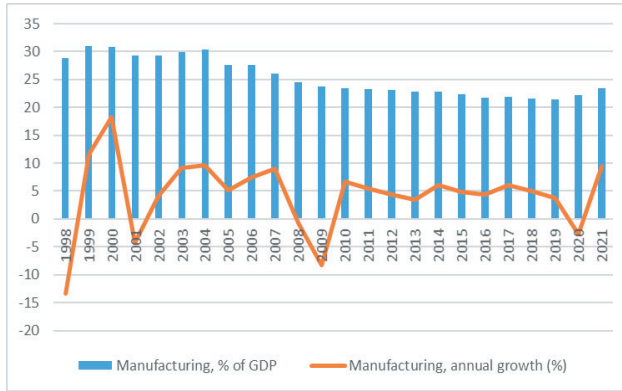


Figure 14. Malaysia (1998-2021)

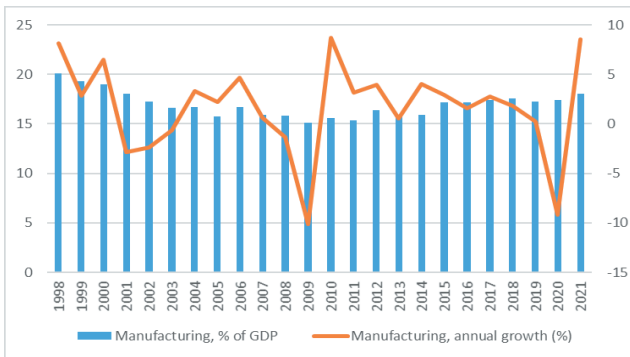


Figure 15. Mexico (1998-2021)

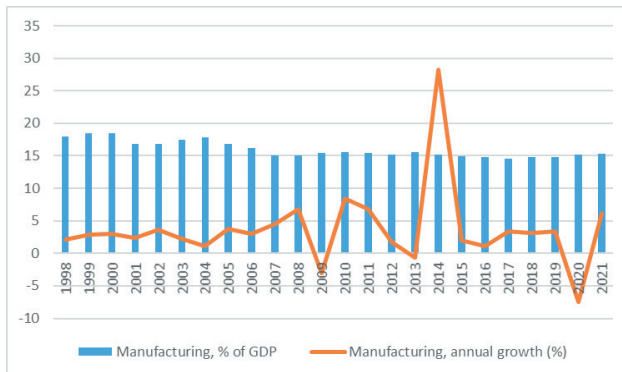


Figure 16. Morocco (1998-2021)

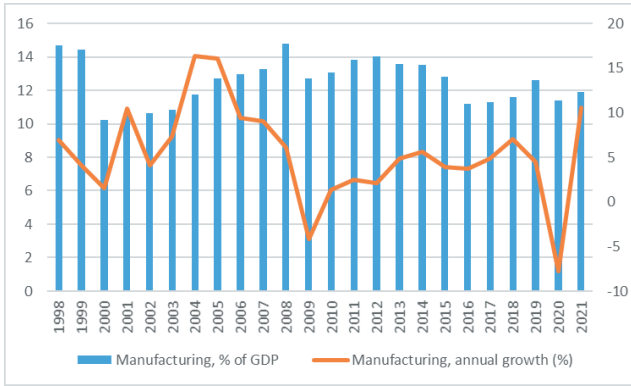


Figure 17. Pakistan (1998-2021)

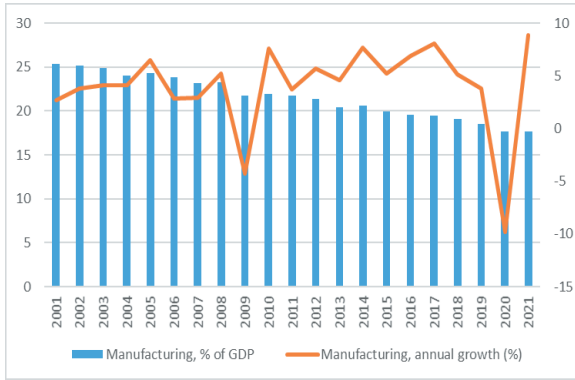


Figure 18. Philippines (2001-2021)

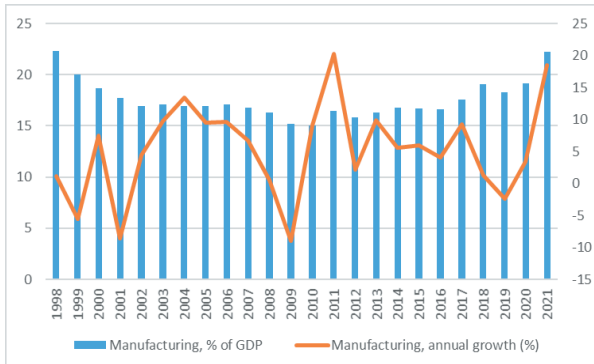


Figure 19. Türkiye (1998-2021)



Figure 20. Vietnam (2005-2021)

Source: Created by the author with data from World Bank.

Contrary to expectations, the share of manufacturing sector in GDP in Bangladesh has exceeded 20% in 2016 and beyond, when tariff rates are relatively low. Similarly, in Morocco and the Philippines, there is a trend that the decrease in tariff rates increases the share of manufacturing sector in GDP. On the other hand, although the growth rate of the manufacturing sector in China is high in general, this rate has decreased dramatically in the period after 2007. As the tariff rates decreased, the share of manufacturing in GDP and the growth rate of the manufacturing have diminished in China. Accordingly, while tariffs are high in India, the growth rate of the manufacturing also follows an upward trend. In line with the expectations in Malaysia, it could be seen that the growth rate of the manufacturing also slowed down and the share of the sector in the GDP decreased during the 2006-2010 period when the tariff rates were low. There is a remarkable increase in the share of manufacturing in GDP following the falling tariff rates in Vietnam after the membership to the WTO. Otherwise, it can be stated that the impact of tariff rates on the manufacturing sector for Mexico, the Philippines and Turkey does not show a stable relationship.

4. Do Tariff Rates Enable the Manufacturing Sector to Gain Comparative Advantage?

One of the expected benefits from tariff rates is that it helps the domestic producers protected via tariffs to gain competitive advantage. In this context, whether the protected manufacturing sectors of the relevant countries gained advantage in the period covered in this part of the study was investigated with the Revealed Comparative Advantage Index developed by Balassa (1965). This index is calculated as follows:

$$RCA_{ij} = \frac{X_{ij}/X_i}{X_{wj}/X_w} \quad (1)$$

In equation (1), RCA_{ij} represents the revealed comparative advantage of country i in commodity j ; X_{ij}/X_i represents the share of j exports of the country in total exports of the country i and finally X_{wj}/X_w represents the share of j exports of the World in total exports of the World. If the value of the index is greater than 1, it is considered that country i has a comparative advantage in the world market in commodity j . The results are presented in Table 2.

To calculate this index, manufactures exports (% of merchandise exports), merchandise exports (current US\$) and exports of goods and services (current US\$) data gained from the World Bank were used. The period of 1998-2021 was determined in order to be compatible with the above evaluations.

To the Table 2, it can be stated that India and Morocco do not have a comparative advantage in the manufacturing sector among the countries discussed. Additionally, it can be said that Turkey and Vietnam were not competitively advantageous at the beginning of the period, but later gained comparative advantage in the manufacturing sector. The RCA index could not be calculated for some years due to lack of data for Bangladesh economy. Considering the years in which the index was calculated, there is no strong relationship between tariff rates and comparative advantage. Similar explanations can be repeated for Mexico, Morocco, Pakistan, Philippines and Türkiye. On the other hand, after 2001, when the tariff rates in the Chinese economy fell, it is seen that the comparative advantage index took higher values. Similarly, it is observed that the comparative advantage index of the manufacturing sector increases as the tariff rates decrease in Vietnam. On the contrary, it is noteworthy that there has been a small decrease in the values of the comparative advantage index after 2004, when tariff rates fell in India. Again, in the 2005-2010 period, when tariff rates were relatively low in Malaysia, there was a small decrease in the comparative advantage index values. Then, rising tariff rates contributed to gaining the comparative advantage in the manufacturing sector.

Table 2. Results for Revealed Comparative Advantages Index

	Bangladesh	China	India	Malaysia	Mexico	Morocco	Pakistan	Philippines	Turkiye	Vietnam
1998	1,30737398	1,407311	0,905	1,141852	1,277777	0,792154	1,150158	1,5503975	0,603891	0,525872
1999	NA	1,445129	0,896508	1,180588	1,310298	0,780999	1,232379	1,7071675	0,728918	0,63917
2000	1,48127905	1,466055	0,913128	1,185427	1,303459	0,771948	1,297946	1,6182913	0,698393	0,619566
2001	1,32493152	1,472875	0,90342	1,167692	1,33685	0,705584	1,256648	1,5297404	0,792888	0,64264
2002	1,37519103	1,487926	0,850798	1,141468	1,312955	0,705148	1,30482	1,6163921	0,848809	0,729527
2003	1,59695865	1,498621	0,838648	1,152234	1,281687	0,692931	1,232622	1,4938051	0,922886	0,801387
2004	1,79838337	1,526932	0,759131	1,136199	1,270035	0,672882	1,270274	1,5319966	0,944107	0,871769
2005	1,46299165	1,562045	0,754359	1,123707	1,236504	0,630943	1,31666	1,4313656	0,93156	0,760039
2006	1,60717476	1,581295	0,701762	1,131914	1,242793	0,65305	1,241631	1,358471	0,969635	0,794114
2007	1,42590656	1,585451	0,663565	1,065387	1,18065	0,64178	1,234357	1,2683623	1,021197	0,849806
2008	1,56953122	1,59812	0,754623	0,845353	1,241172	0,68379	1,26495	1,2034245	1,02914	0,879937
2009	1,51807599	1,678922	0,753091	1,115594	1,323239	0,643841	1,208913	1,1626962	0,971641	0,953489
2010	1,7792246	1,6665	0,70523	1,121072	1,321969	0,700686	1,235133	0,7905531	1,00419	1,082562
2011	1,666613	1,663539	0,779694	1,049297	1,271378	0,739854	1,141406	0,7728276	1,018971	1,110121
2012	1,6437245	1,677436	0,780716	1,064516	1,318691	0,752924	1,256563	1,1230923	0,954289	1,199757
2013	1,77959357	1,689707	0,767166	1,084333	1,369617	0,76704	1,152382	1,1410185	1,015398	1,308024
2014	NA	1,701589	0,82111	1,098853	1,382213	0,84908	1,172548	1,1434969	1,021519	1,329314
2015	1,73556074	1,717259	0,836425	1,20055	1,438873	0,87039	1,105863	1,1235815	1,005605	1,41748
2016	NA	1,71305	0,824949	1,229923	1,45185	0,8918	1,113746	1,0704352	1,075485	1,459897
2017	NA	1,6254	0,779297	1,210473	1,403718	0,85003	1,109747	1,0652373	1,047603	1,436353
2018	NA	1,623209	0,776502	1,279795	1,387682	0,876032	1,053788	0,9804932	1,071193	1,439636
2019	NA	1,650671	0,813632	1,30984	1,397696	0,878412	1,070074	0,9975697	1,068969	1,466447
2020	NA	1,612672	0,714677	1,497182	1,394258	0,923226	1,067626	1,0161542	1,161935	1,517694
2021	NA	1,595292	0,713428	1,474542	1,30488	0,987323	1,219159	1,0559902	1,084418	1,530048

Note: NA is a written abbreviation for not available.

Source: Calculated by the author with data from the World Bank.

Conclusion

Many paradoxes are mentioned in the international trade literature. Among these, Leontief paradox is the most emphasized one. Many contributions have been made in the theoretical and applied literature on the Metzler paradox. On the other hand, there are relatively limited studies on the Lerner paradox. The Lerner paradox refers to the possibility that an import tariff might worsen the terms of trade. Both Lerner paradox and other paradoxes arise based on many constraints and assumptions briefly summarized above. Therefore, there is evidence supporting and not supporting these paradoxes in the applied literature.

Trade in manufactured goods represents 68% of world merchandise trade (World Trade Statistical Review, 2022: 11). Therefore, this sector has been discussed here. In this study, when an evaluation is made for the countries whose data is available from UNCTAD, results that support the Lerner paradox in some countries and in certain periods have been reached. Actually, this is not surprising, as the restrictive assumptions of the international trade theory may not be supported by the observed data.

On the other hand, one of the most traditional intended use of tariff rates as a foreign trade policy tool is to protect domestic producers and

increase domestic production. For this reason, in this study, the share of manufacturing sector in GDP and the growth rate of this sector for the same countries were also examined. Consistent evidence supporting this view was not reached for all countries handled here. The data discussed here dramatically reveal the negative impact of the 2008 global crisis and the Covid-19 pandemic, which started at the end of 2019 and affected the whole world, on the production of manufacturing sector.

Whether the protected manufacturing sectors of the relevant countries gained comparative advantage was investigated with the Revealed Comparative Advantage Index introduced by Balassa (1965). Protected sectors are expected to gain advantages in the world market in the literature. However, strong evidence on this issue could not be obtained. This may be due to factors not taken into account in this study, and it can be stated that the results are sensitive to country, period and method.

Undoubtedly, there are also many variables that affect tariff rates and terms of trade and changes in industrial production, such as inflation rate, investment incentives, tax rates, income and price elasticities of exports, which are not covered here. In future studies, more sophisticated statistical and mathematical methods on bigger datasets can be used to obtain more robust results on the issues discussed here.

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Chapter 8

THE RELATIONSHIP BETWEEN SCHOOL ALIENATION AND STUDENT CYNICISM: A STUDY ON PRE-SERVICE TEACHERS

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INTRODUCTION

Alienation is a concept that has been researched and discussed by many disciplines such as economics, sociology, and psychology. The contributions of Weber and especially Marx to the concept are significant. Weber used the metaphor of the iron cage while expressing that the bureaucratic structure would increase the power of the civil servant class and that this power would be a danger to democracy. In other words, he underlines the danger of hierarchical control, which creates employees and soulless experts whose initiative and creativity are suppressed, who are stuck in a cage of steel rules, and who are compelled to obey orders from higher authority (Crossman, 2017; cited by Kutluay Tutar and Öztürk, 2019). That is, everyone is in their iron cages in the bureaucracy. Even though the doors of the cage are open, no one dares to come out because leaving means being out of the game and losing everything. The equivalent of this expression in Marx can be understood as the alienation of humans from nature. According to Marx, alienation is a systematic result of capitalism. Because Marx's understanding of the phenomenon of alienation is based on social processes that have a material basis. Accordingly, commodity, the main element that reveals the phenomenon of alienation and radically changes social relations, is the result of the form that human labor takes in modern and capitalist society (Uluç, 2020).

One of the most affected areas by the alienation phenomenon is school organizations. Because the intersection point of all institutions in a society is the educational institutions and their concrete form is schools. As a new concept in the educational science literature, the concept of school alienation can be considered an opportunity to explain the behaviors of both students and teachers. One of the variables that may have an impact on school alienation is cynicism.

In the related literature, there is a consensus on the definition of the concept of cynicism as “*negative feelings of the person towards his environment*”. Student cynicism is one of the types that has been emphasized in the related literature. The first studies on the concept of student cynicism were conducted with medical and business students in the late 1950s and 1960s (Terzi and Derin, 2020). Within this scope, the main purpose of this study is to determine whether there is a relationship between student cynicism and school alienation.

THEORETICAL FRAMEWORK

Student Cynicism

The concept of student cynicism, which was introduced by Tinto (1993) and developed by Brockway et al. (2002), expresses the disappointment caused by the mismatch between students' expectations and reality (Pitre,

2004). Students may experience different types and levels of cynicism in cognitive, affective, and behavioral dimensions about their academic, social, political, and institutional environments (Brockway et al., 2002). Students' negative thoughts about the teaching and evaluation methods of the university are classified as *academic* cynicism, their relationships between their friends as well as their negative perceptions about the number and quality of social opportunities are *social* cynicism (Zuffo et al., 2013), their negative views about university management, administrators' leadership styles, decisions, regulations, and practices are *political* cynicism (Brockway et al., 2002), and their negative attitudes towards the whole institution are called as *institutional* cynicism (Kanter & Mirvis, 1989).

Zuffo et al. (2013) define student cynicism as an attitude characterized by frustration and negative beliefs about academic experience or certain areas of the academic environment. They state that it can be used as an indicator of distress and lack of confidence in the academic environment. Tinto (1993), on the other hand, deals with student cynicism at two levels: elements related to the university environment "micro" and elements related to student experience "macro". Students' negative attitudes may be caused by reasons such as thinking that individuals are liars, selfish and indifferent, being careful in human relations, not feeling safe, and resentment as a result of their experiences in the institution they study (Wei et al., 2015). Student cynicism is a chronic stress reaction and arises as a result of the difference between the academic success of students who fulfill the requirements of the course and the expectations of the environment (Saville et al., 2018). In this type of cynicism, students are not interested in classes, do not participate in-class activities, and are reluctant to attend school (Zhang et al., 2013).

It is possible for student cynicism to be experienced especially at the university level. Because students start university education with great expectations, as they gain experience, they blame others thinking that their expectations are not met, which may cause cynicism (Dağyar and Kasalak, 2020). It is shown among the long-term effects of cynicism that these students, who develop negative attitudes in their education, have a low tendency to fulfill their work-related responsibilities in their future business life (Shih, 2012). On the other hand, students' cynical attitudes can accelerate the realization of desired changes in the university, which can be shown among the positive aspects of student cynicism (Brockway et al., 2002). Identifying and knowing the consequences of student cynicism can enable educational administrators and policy practitioners to evaluate opportunities for institution development and improvement and to increase the level of awareness regarding the problems experienced in the education system (Kasalak, 2019).

Alienation/School Alienation

Alienation can be defined as the isolation of individuals from their own essence by moving away from the environment and social structure to which they belong. The concept of alienation, which was first defined by Hegel as the distinction between the physical and spiritual existence (Salerno, 2003), has a sociological, psychological, political, and philosophical meaning (Tolan, 1981; cited in Ofluoğlu & Büyükyılmaz, 2008). The term alienation has been used as of the beginning of the 19th century in social sciences. The concept of alienation in Marx's first works titled "The Economic and Philosophic Manuscripts of 1844" shows parallelism with the development of the concept of "labor" (Özatalay, 2016). Seeman divided the types of alienation into five as powerlessness, meaninglessness, normlessness, isolation, and self-estrangement. Thinking that one's future is under the control of others or institutions is defined as powerlessness. Meaninglessness refers to the individual's not knowing which truths to believe and having thoughts that life is aimless. Normlessness is a situation in which the values of society become meaningless to the person. Isolation means being excluded from society and having a feeling of loneliness. Finally, self-estrangement is the feeling of being cold to one's own self and not being able to grasp his own reality (Şimşek et al., 2006).

In the organizational context, alienation is used as a concept that reflects a sense of disappointment with career development as well as the disappointment of not being able to fulfill the professional norms. On the other hand, alienation experienced in relations with other employees in the workplace expresses dissatisfaction with one's social relations with colleagues and supervisors. These two types of alienation are similar to Marx's distinction; "alienation from the production process" and "alienation from colleagues" (Aiken & Hage, 1966).

The reflection of alienation on educational organizations is in the form of alienation, lack of belonging, and indifference that students feel toward the schools they belong to. Atli et al. (2015) state that university students are likely to experience alienation in the process of adapting to the environment as a result of moving away from their families to study and being included in a new and different environment. It is also possible that students' alienation from school may have a negative impact on their academic achievement and productivity. Students' poor commitment to school, developing negative attitudes, finding the social and academic dimensions of school meaningless, and alienation from school and learning processes can be counted among the possible consequences of school alienation (Ünsal, 2017).

The subject of alienation has been studied in many different fields with different variables in the literature (Salihoğlu, 2014; Yalçın & Koyuncu,

2014; Zengin & Kaygin, 2016). In the field of educational sciences, alienation was considered as organizational alienation or alienation from work. It has been the subject of research to determine the organizational alienation perceptions of teachers (Abaslı, 2018; Çimili-Gök & Ünal, 2021; Eryılmaz & Burgaz, 2011; Kahveci & Demirtaş, 2014; Kayaalp & Özdemir, 2020; Yengin- Sarpkaya, 2012) and university and teaching staff (Anaş, 2016; Güler et al., 2019; İrdem, 2021). In the literature, there are studies to determine the alienation levels of secondary and high school students (Gedik & Cömert, 2018; Polat, 2018). The alienation levels of university students to school were also examined by considering them alone or with various variables (Ataş & Ayık, 2013; Atli et al., 2015; Çelik & Babaoğlu, 2017; M. Polat et al., 2015; Şimşek & Ataş-Akdemir, 2015; Terzi et al., 2022). It is seen that studies in which cynicism and alienation are examined together are carried out with teachers (Akpolat & Oğuz, 2015), teaching staff (Çivilidağ, 2015), and university students (Ayık et al., 2015). However, there is no study that directly investigated the relationship between school alienation levels and student cynicism of pre-service teachers studying at education faculties.

It is known that students' cynical attitudes increase their school alienation (Ayık et al., 2015). The main purpose of this study is to determine whether there is a relationship between student cynicism and school alienation. In this context, this study investigates the relationship between pre-service teachers' school alienation levels and their cynical attitudes. Answers were sought for the following sub-problems.

- 1) What are the alienation and cynicism levels of pre-service teachers?
- 2) Do the levels of alienation and cynicism of pre-service teachers differ significantly according to the departments?
- 3) Is there a relationship between pre-service teachers' school alienation and cynicism levels?
- 4) Do pre-service teachers' cynicism attitudes predict their perceptions of school alienation?

METHOD

Research Design

This study examines the relationship between pre-service teachers' tendency to school alienation and their cynicism levels and is in the relational screening model whose aim is to determine the existence and/or degree of co-variance between two or more variables (Karasar, 2004).

Research Sample

The study group consisted of pre-service teachers taking the introduction to education, Turkish education system, and school management courses at Balıkesir University Necatibey Faculty of Education in the fall semester of 2022-2023. The number of students enrolled in these two courses was 769. 471 were freshmen and 298 were juniors. The data collection tools were delivered to all participants online. 414 of the pre-service teachers participated in the study by filling out the scales. The representation rate of the collected data for the study group was 54%. 244 (59%) of the pre-service teachers in the study group were in the 1st grade, and 170 (41%) were in the 3rd grade. In the analysis, the study group was grouped under three headings: literature-related departments, both literature and science-related departments, and science-related departments. Literature-related departments consisted of 6 departments as Turkish language education, social sciences education, English language teaching, preschool teaching, Turkish language and literature, and music teaching. Both literature and science-related departments included guidance and psychological counseling and classroom teaching. Science-related departments covered 6 branches including computer education and instructional technologies, science teaching, primary school mathematics, mathematics, biology, and chemistry teaching. There were 225 (54.5%) pre-service teachers in the literature-related departments, 61 (14.8%) in both the literature and science-related departments, and 128 (30.7%) in the science-related departments.

Data Collection Tools

“University Alienation Scale” and “Student Cynicism Scale for Higher Education Students” were used as data collection tools in the study.

The *University Alienation Scale* was developed by Kurtulmuş, Kaçire, Karabıyık, and Yiğit (2015). When the scale is considered structurally, it is a one-dimensional, 5-point Likert-type, and 9-item scale. The items in the scale are scored between “Strongly Agree (5)” and “Strongly Disagree (1)”. There is no reverse-coded item in the scale. The Cronbach’s Alpha value of the scale was reported as $\alpha=.85$ by the researchers. In addition, Cronbach’s Alpha value was found to be $\alpha=.92$ in the reliability analysis performed within the scope of this study.

The *Student Cynicism Scale for Higher Education Students* was developed by Terzi and Derin (2020). The scale consists of affective, academic, behavioral, and social cynicism sub-dimensions. As a result of the EFA applied to the scale, the total variance explained by the scale was determined as 57.3%. For the four dimensions, factor loading of the scale ranged from .49 to .84, and item-total correlations ranged from .29 to .54.

As a result of CFA, NFI was found to be 0.90, NNFI was 0.92, CFI was 0.93, and IFI was 0.93. The scale is a 5-point Likert-type scale. The items in the scale vary between “strongly disagree (1)” and “strongly agree (5)”. Cronbach’s Alpha was performed by the researchers for the scale as the reliability analysis. For affective cynicism, the first dimension of the scale, $\alpha=.77$, for academic cynicism, the second dimension, $\alpha=.75$, for behavioral cynicism, the third dimension, $\alpha=.71$, and for social cynicism, the fourth dimension, $\alpha=.84$. The reliability coefficient for the overall scale was calculated as $\alpha=.86$. In the analysis performed within the scope of this study, the reliability coefficient was found to be $\alpha=.91$. Items 5-6-7-8-9-17 in the scale are reverse coded.

FINDINGS

Findings Related to the First Sub-Problem

The findings regarding pre-service teachers’ school alienation and cynical attitudes are given in Table 1.

Table 1. Mean Scores Related to School Alienation and Cynical Attitudes

Sub dimensions	N	\bar{X}	SD
School Alienation	414	2.09	.90
Cynicism	414	2.07	.72

According to Table 1, the mean school alienation of pre-service teachers was “low” ($\bar{X}=2.09$, $sd=.90$) and the mean of school cynicism ($\bar{X}=2.07$, $sd=.72$) was “low”. When the sub-dimensions of cynicism were examined, behavioral cynicism was found to be the cynicism type with the lowest mean score ($\bar{X}=1.78$; $sd=.75$), while social cynicism was found to be the cynicism type with the highest mean score ($\bar{X}=2.45$; $sd=1.00$).

Findings Related to the Second Sub-Problem

The findings on whether there was a difference between the attitudes of the pre-service teachers according to their departments and grade levels are given in Table 2 and Table 3.

Table 2. ANOVA test for School Alienation and Cynical Attitudes by Departments

	Sub dimensions	Source of Variation	SD	Sum of Squares	F	p	Significant Difference
School Alienation	Between groups	21,650	2	10,825	14,119	0,000	1-2
	Within groups	315,124	411	,767			1-3
	Total	336,774	413				
Cynicism	Between groups	14,667	2	7,333	14,833	0,000	1-2
	Within groups	203,870	411	,494			1-3
	Total	217,870	413				

*p<.05

Whether the pre-service teachers’ school alienation levels differ according to their departments (literature-both literature and science, science) was tested with one-way analysis of variance for independent samples. As a result, a statistically significant difference was observed between the mean scores of the students in the literature-related departments ($\bar{X}_{\text{literature-related}} = 2.61$) and in both the literature and science-related departments ($\bar{X}_{\text{liter-atureandscience-related}} = 2.05$), and in the science-related departments ($\bar{X}_{\text{science-related}} = 1.90$) [$F_{(2-411)} = 14.12, p < .05$]. The calculated effect size ($\eta^2 = 0.06$) showed that this difference was moderate. As a result of the Scheffe multiple comparison test, there was a significant difference between the mean scores of pre-service teachers in literature-related and both literature and science-related departments as well as in literature-related and in science-related departments.

Findings Related to the Third Sub-Problem

The results of the correlation analysis conducted to determine whether there is a relationship between pre-service teachers’ school alienation scores and cynical attitudes are given in Table 4.

Table 4. Correlation Analysis of the Relationship between School Alienation and Cynical Attitudes

	School Cynicism
School Alienation	84**

N=414 **p<.01

Table 4 shows the relationship between pre-service teachers’ school alienation and their cynical attitudes. When Table 4 is examined, it is seen

that there was a positive and high correlation between school alienation and cynicism scores at the level of $r = .84$ ($p < .01$).

Findings Related to the Fourth Sub-Problem

The findings of the regression analysis regarding the prediction of school alienation are presented in Table 5.

Table 5. Regression Analysis for the Prediction of School Alienation

Variable	B	R	R ²	β	t	F	p
Constant	.658	-	-	-		-	.000**
School Alienation	.676	.84	.70	.84	31,543	994,989	.000**

** $p < .01$

When Table 5 was examined, it was seen that cynicism explained 70% of the total variance in school alienation ($R = .84$, $R^2 = .70$, $p = .000$). In other words, cynicism significantly explained 70% of the changes in school alienation. The total effect of cynicism on school alienation is ($\beta = .84$). Findings showed that cynicism is a significant predictor of school alienation.

DISCUSSION, CONCLUSION, AND RECOMMENDATIONS

This study focused on whether there is a relationship between pre-service teachers' school alienation and their cynicism toward school. In addition, we also investigated whether school alienation can be predicted through cynicism and how it occurs according to demographic characteristics.

In the study, we concluded that pre-service teachers' school alienation and cynicism levels were low. This finding of the study is partially consistent with the study conducted by Kayaalp and Özdemir (2020), which reached the results of very low alienation and low cynicism among teachers. In addition, in studies conducted by Külekçi-Akyavuz (2020), Polat (2018), and Katitaş (2012), a low level of student alienation was found and in the studies conducted by Erdem and İpek (2021), Küçük (2020), and Dülker (2019), there was a low level of cynicism, which is consistent with our findings.

Another finding of the study is that the alienation and cynicism mean scores of the students differ according to the departments. Consistent with our results, there are studies in the literature in which students' alienation scores differ according to the department they study (Certel, Kozak & Ba-

hadır, 2018; Uşun & Aslan Altan, 2017; Çelik & Babaoğlan, 2017; Ataş & Ayık, 2013), and in which students' cynicism scores differ according to the department (Mirzaei-Alavijeh et al., 2022). Unlike our results, in the study conducted by Kanat (2017), there was no statistically significant difference in the cynicism scores of the students according to the department.

The finding that there is a positive high-level correlation between alienation and cynicism is one of the important findings of the study. This finding is supported by the results of studies conducted by Akpolat & Oğuz (2015) and Yıldız, Akgün, and Yıldız (2013). Kökalan and Anaş (2016) found a positive and moderate correlation between organizational cynicism and work alienation in their study on foundation universities. In their studies, Abdelgalil (2022), Sezgili and Yılmaz (2022), Durrah (2020), Jiang et al. (2019), and Li and Chen (2018) emphasized the existence of a significant and positive correlation between cynicism and alienation.

The findings of the study show that cynicism is a significant predictor of alienation. This finding of the study is consistent with the findings of the studies conducted by Kayaalp and Özdemir (2020), Özer and Güllüce (2019), and Demir, Ayas and Yıldız (2018).

Considering the strong effect of student cynicism on alienation, it can be concluded that students' cynicism perceptions increase the alienation tendency, and thus cynicism creates negative consequences for educational institutions. The current study may pave the way for long-term studies that can follow the cause-effect relationship between mediating, determining, and suppressing variables that affect cynicism and alienation.

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Chapter 9

HISTORY OF THE ISRAELI–PALESTINIAN CONFLICT IN TERMS OF THE UN’S ROLE¹

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The Palestinian-Israeli conflict has a very complicated and long historical background. It can be analyzed in different dimensions and from different points of view. This chapter will put forward the historical background of the conflict in terms of the UN resolutions and the role of the UN bodies, especially the General Assembly and the Security Council, in that period. Therefore, the period before the establishment of the UN will just be summarized and the moments in which the UN got involved in the issue will be explained in detail. After long years of military struggle and the conflictual relationship between Israel and the Arabs, the negotiations and peace attempts came to the forefront as the main platform of the Israeli-Palestinian conflict. Due to the dynamics between domestic politics and international relations, the logic of two-level games functioned in the negotiation phase of the conflict. As a result, this chapter will examine the role of the UN in the conflict from its establishment until the current period and the developments during the negotiation process so that it will help analyze the current developments. The Palestinian bid for UN membership and the reactivation of the UN level will be more meaningful by taking into account the historical background of the Israeli-Palestinian conflict. It will show the evolution of the conflict and create an opportunity to make comparisons among different periods. Lastly, the emergence of the crucial actors and the transformation of the relations among the different actors will present a better perspective for analyzing the dynamics of the complex two-level game of the Israeli-Palestinian conflict.

The UN has taken part as an actor in the Israeli-Palestinian conflict since its foundation. Because the UN Charter included “the maintenance of the international peace and security” as the main mission of the UN, the issues related to the Israeli-Palestinian conflict that threatened security and peace in the regional and global sense were of crucial concern for the UN from the very beginning. Furthermore, the social unrest, revolts, and clashes within the Mandate of Palestine under British control made the situation unsustainable for Britain so the British administration decided to apply to the UN for authority in Palestine. It has opened the way for a more active UN role in the Israeli-Palestinian conflict under the founding principles of the UN Charter. After that, the level of activity at the UN changed from context to context and the UN played primary or secondary roles depending on the features of the context and the positions of other actors but it has always been a part of the ongoing process in the Israeli-Palestinian conflict. Consequently, the transformation of the Israeli-Palestinian conflict can be evaluated through the role of the UN in different periods.

The origins of the Israeli-Palestinian conflict can be dated back to the emergence of the Zionist movement based on nationalist tendencies and the First Zionist Congress in 1897 because their plan to establish a national

home on the territory mostly populated by the Palestinians started the conflict (Khalidi, 1991, p. 7). This plan was aimed to put into practice through the mass immigration of the Jewish people to the particular territory which belonged to the Ottoman Empire in that period. Despite some precautions taken by the Ottoman administration against mass immigration, especially towards Jerusalem and the region around it, the number of Jewish people in that territory increased gradually. In addition to the attempts of the Zionist movement and the immigration of Jewish groups to the region, the Jewish people needed to get the support of a great power to achieve their goals. This support came from the British Empire with the Balfour Declaration in 1917. With the Balfour Declaration, the British government expressed its support for the establishment of a Jewish homeland in Palestine. Although this expression did not address a state for the Jewish people, the support of a major power in the international arena strengthened their hands against the Palestinians who constituted the majority of the population. After the end of World War I, the Mandate of Palestine was established and it was assigned to the British Empire. During the Mandate period, the immigration of Jewish people from different parts of the world to Palestine continued.

The Arabs showed their reaction against the British administration and the increasing number of Jewish people through revolts or strikes. In some periods, the growing tension ended in clashes between Arabs and Jews. There was a general strike in 1936 and it turned into an Arab revolt. This general Arab revolt triggered national consciousness, an idea of a nation-state, and anti-Zionism among the Arab population (Balpinar, 2019, p. 35). It also contributed to the armed clashes between Arabs and Jews. The Palestine Royal Commission, which is called as Peel Commission, was appointed by Britain to investigate the causes of the unrest in the region. In the final report of the Peel Commission, it was stated that the Mandate of Palestine established by the League of Nations had become unworkable so it should be abolished and a partition plan should be realized between the two communities. Although the plan was based on the partition of territory between a small Jewish state and a greater Arab state, the Arabs rejected the partition plan because they were against the idea of partition and any kind of Jewish state in principle. On the other hand, the Jews were not also satisfied with the result but they seemed open to negotiations on the partition of the land. Consequently, the Peel Commission could not reach a comprehensive solution but it was the first time the abolition of the Mandate was mentioned and a partition plan was offered for the territory.

When the Second World War started, the situation in Palestine was chaotic and the relations between Arabs and Jews deteriorated with the increasing number of Jewish immigrants and the negative reactions of the Arabs against them. The Holocaust and assaults against the Jewish people

in Europe during the Second World War led to a mass migration of Jews to Palestine in that period. As a result of the revolts and assaults against the British administration by both the Arab and Jewish communities, and the destructive effect of the Second World War, Britain brought the Palestinian Issue to the UN General Assembly. The UN established a special committee called The United Nations Special Committee on Palestine (UNSCOP) to investigate the issue and to find a solution to the current problem. The Committee prepared a report, which was called the Partition Plan, and Resolution 181(II), on the “future government of Palestine”, based on the Partition Plan was adopted by the General Assembly in November 1947 with the help of the majority of votes.¹ The process leading to the Partition Plan in the General Assembly started a more active period for the UN in the Israeli-Palestinian conflict. It was also declared by the British administration that May 15, 1948, would be the end of the Mandate of Palestine under British rule. It would mean the end of British control that had lasted for three decades. The UN Partition Plan assigned 55 percent of the territory to the Jewish community and 45 percent to the Arabs, who were much more populous compared to the Jews in that period. The Jewish and Arab states would be integrated through an economic union. Jerusalem would have had an international status according to the UN resolution. The UN established the Palestinian Commission to implement the Partition Plan. Although “the plan was vague and it was not sufficiently detailed”, the Commission prepared the Handbook in which all the issues related to the withdrawal of British forces and the implementation of partition took part (Ben-Dror, 2007, pp. 999-1000). However, even this detailed handbook was based on the idea that only the establishment of a Jewish state was possible and operative under those conditions. Therefore, it expected a partial implementation of the plan.

The UN Partition Plan in 1947 was not “the legal, moral, fair, balanced, pragmatic, practicable ‘compromise’ formula” which is possible in the eyes of the Palestinians (Khalidi, 1997, p. 9). Thus, the Arabs strongly rejected the Partition Plan. They were not ready to live side by side with a Jewish state near their borders. Additionally, the resolution was considered a denial of “the right of a people to self-determination” (Armanazi, 1974, p. 89). On the other hand, the Jewish decision-makers considered the Partition Plan as a step on the way toward their greater state so they welcomed the UN Resolution to achieve their goals in the next period. Some Jewish groups rejected the Partition Plan because of their demand for a greater state in the whole of Palestine and some important leaders such as Menachem Begin and Yitzhak Shamir were among those groups (Balpinar, 2019, p. 68). The Jewish leader, David Ben-Gurion, adopted a pragmatist

¹ United Nations General Assembly Resolution 181 (II), *Future Government of Palestine*, A/RES/181(II) (29 November 1947), available from <https://unispal.un.org/DPA/DPR/unispal>.

policy in that period. Moreover, the Jewish groups under the leadership of David Ben-Gurion prepared their military groups and equipment for a military takeover of the whole territory. As a result, the UN Partition Plan in 1947 could not establish a permanent and comprehensive solution to the problem. The dissatisfaction of the Arabs in the region led to a military struggle between Israel and Arabs. The state of Israel was founded immediately after the termination of the British Mandate in May 1948. It was defined as a Jewish and democratic state. However, a Palestinian state could not be established even decades after the Partition Resolution in the UN.

The establishment of the State of Israel in 1948 started a regional war between the Arab armies and the Israeli army. The military superiority of Israel against its enemies and the support of some great powers in terms of supplying more equipment for the Israeli army contributed to a total victory for the Jews. The Israeli army could take the control of the territory even beyond the borders mentioned in the Partition Plan. The military struggle ended with bilateral armistices between Israel and individual Arab states (Jordan, Lebanon, and Egypt). By the Green Line adopted with the armistice agreements, Israel could take the control of 79 percent of the territory (The assigned territory for the Jews was 55 percent according to the UN Partition Plan). Moreover, the 1948 War resulted in the permanency of the problem of Palestinian refugees. Despite the UN General Assembly Resolution 194,² which approved the right of repatriation and expressed the responsibilities of Israel, the Israeli government rejected this view. One year after the establishment of the State of Israel, Israel could get UN membership on the condition that it would accept the UN principles and decisions. On the other hand, Jordan declared the annexation of the West Bank and the Arab-populated part of Jerusalem to its borders in 1950. The relative stability achieved after the armistice agreements continued until the Suez Crisis in 1956. The absence of military struggle, of course, did not mean that the conflict was not a part of discussions at the UN level. The General Assembly and the Security Council adopted resolutions about the issue, and the main problems related to the conflict were addressed especially in the regular sessions. However, it was significant whether the primary or secondary issues have been debated at the UN level. George Tomeh (1974) underlines the fact that “the Palestine Question” had taken part in the agenda of the General Assembly until 1952 and of the Security Council until 1967, and the UN dropped that issue on those dates by replacing them with some other headlines like “the Situation in the Middle East” (p. 15). He implies that this change was beyond just a different wording; on the contrary,

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2 United Nations General Assembly Resolution 194 (III), *Palestine--Progress Report of the United Nations Mediator*, A/RES/194(III) (11 December 1948), available from <https://unispal.un.org/DPA/DPR/unispal.nsf/0/C758572B78D1CD0085256BCF0077E51A>

it was an intentional policy of the Israeli delegates and the Secretary-General in that period. It meant a shift in the attitudes or policies of the actors towards the issue and the derivative issues replaced the primary ones. It shows the possibility of changes even in the agenda of regular sessions and a strategy of directing the focus of the debates through different means. To put it another way, the absence of military struggle does not mean that the struggle between the two sides is left aside; instead, it is maintained on different platforms and with different means.

During the Suez Crisis, not only Egypt and Israel as the regional powers but also the two permanent members of the Security Council, Britain, and France, got involved in the struggle. The two superpowers, the US and the Soviet Union decided to intervene in the struggle and their interference changed the dynamics in favor of Nasser's Egypt in that period. In terms of the UN's role during the Suez Crisis, the creation of the UN Emergency Force (UNEF) was regarded as a milestone in the development of the UN and it indicated the emergence of the UN peace-keeping which aimed to prevent a confrontation between East and West (Urquhart, 1995, p. 575). The UNEF played a crucial role in that crisis as a means of peace-keeping. The creation of UNEF and effective participation of the General Assembly in the case of a deadlock in the Security Council because of the French and British vetoes was significant for the UN's role in a crisis because the General Assembly shared the responsibility of the Security Council in terms of maintaining international peace and security through its active involvement (Kenny, 1973, p. 772). It also proved the contribution of the UN to peace-making and peace-keeping efforts in international relations.

In the 1960s, the Cold War influenced the atmosphere not only in the Middle East but also in other parts of the world. After the decolonization period, newly independent states were established and the new member states changed the dynamics in the UN General Assembly. "The number of UNGA member states rose from 51 in 1945 to 76 in 1955, 117 in 1965, and 144 in 1975" (Sarsar, 2004, p. 458). Members of the Group of 77 or the Non-Aligned Movement (NAM) increased with the participation of new developing states in that period. While the Security Council could not function well because of the East-West division, the Soviet Union became the main supporter of the Arab countries in that period. "The United Nations became sidelined as a player in Middle East affairs except for the cases in which its peace-keeping capacity is used" (Urquhart, 1995, p. 576). This context led to the June 1967 War as a part of the Arab-Israeli conflict. Israel could triple the territory it controlled as a result of that war with the help of its military superiority. Israel occupied the Sinai, Gaza, the West Bank, the whole of Jerusalem, and the Golan Heights, and the number of Palestinian refugees increased dramatically. This time the Arabs seemed

more enthusiastic about the settlement of the issue because of their military defeat. The Security Council played a more active role in the settlement of the issue in that regard and the Security Council Resolution 242 was prepared in that context.

The UN Security Council adopted Resolution 242 after the 1967 Arab-Israeli War.³ In that resolution, the UN called for an immediate ceasefire, the withdrawal of Israeli armed forces from “the” territories occupied in the recent conflicts, and respect for the territorial integrity and sovereignty of every State in the region. The UN Security Council Resolution 242 constituted the basis of the negotiations and peace agreements in the later period. Since all the actors attributed central importance to Resolution 242 and used it as a reference point for framing their discourses, it gained “a weak version of a canonical text” (Falk, 2007, p. 40). However, the rights of the Palestinian people, and a Palestinian state were not mentioned in the resolution. Additionally, like many other Security Council resolutions, Resolution 242 was ambiguous in meaning so it was open to interpretation. There were also differences among the translations into different languages. For example, the English version did not include “the” while addressing withdrawal of the Israeli forces. While the Arabs supported the idea that Resolution 242 requires total withdrawal of the Israeli forces, the Jews rejected the requirement of total withdrawal but they thought that a partial withdrawal was sufficient to accomplish the conditions mentioned in Resolution 242 (Balpinar, 2019, p. 103; Lapidoth, 2011, p. 12). The two superpowers also differed in their position about the withdrawal clause. Whereas Soviet Russians demanded a complete withdrawal, the US supported the Israeli view on that issue (Kenny, 1973, p.774). Similarly, there was a complete disagreement between the two sides about whether Resolution 242 required the right of repatriation for all Palestinian refugees (Quigley, 2007, p. 49). In addition to the ambiguity in the withdrawal clause, there were some other weaknesses of Security Council Resolution 242 such as a lack of sharper expressions against Israel’s colonization program and administrative changes on the ground, and the absence of a time limit for withdrawal (McDowall, 2014, p. 1378). As a result, Security Council Resolution 242 constituted the basis for the negotiations and the peace attempts in the next period but the meaning and requirements of the Resolution were not crystal clear so it started new debates about the issue.

Anwar Sadat came to power in Egypt after the death of Nasser in 1970 and changed the Egyptian policy towards Israel. Sadat declared that Egypt would recognize the State of Israel in exchange for the complete disengagement of the Israeli forces from the Sinai Peninsula. However, this pol-

3 Security Council Resolution 242, U.N. Doc. S/RES/242, (Nov. 22, 1967), available from <https://digitallibrary.un.org/record/90717?ln=en>

icy shift did not end the military struggle during that period. The military struggle between Israel and Arabs continued with the October War, which is called as Yom Kippur War by the Jews, in 1973. Although the Egyptian crossing of the Suez Canal surprised the Israeli side in the initial phase of the war, the Israeli forces established control on the ground with the help of US support. However, the result was a more balanced one compared to the 1967 War so it constituted a reason for opening the phase of negotiations instead of a military struggle. A UN peace-keeping force, UNEF II, played a role in the cease-fire at the end of the war. The UN Security Council adopted Resolution 338 after the October War.⁴ This resolution called for an immediate ceasefire for all the actors involved in the struggle and implementation of the conditions mentioned in Resolution 242 such as Israeli withdrawal from “the” territories occupied during the 1967 War. It was asserted that Resolution 338 added a binding impact to Resolution 242. There is no doubt that though it was not legally binding, Resolution 338 reinforced Resolution 242 in many respects (Lapidoth, 2011, p. 10). The October War became the last ring of the series of Arab-Israeli Wars in less than three decades. The principles of security dilemma operated during the period of military struggles (Moeller, 2000, pp. 68-69). After the October 1973 War, the Arab states left the strategy of collective military struggle against Israel; instead, some individual Arab states such as Egypt and Jordan aimed to reach a diplomatic solution through agreements with Israel. The breaking down of the Arab unity against Israel meant the end of the phase of the Arab-Israeli conflict in the Palestinian Issue.

The PLO gained the upper hand in Palestinian politics as the representative of the Palestinian people by 1974. The PLO was set up in May 1964 by Ahmad al-Shuqayri, who was the representative of Palestine in the Arab League by the approval of the Arab Summit Conference. It was established “as the basis of the Palestinian Entity and as a pioneer in the collective Arab struggle for the liberation of Filastin (Palestine)” (Shemesh, 1984, p. 121). It was a result of the debates over the representation of the Palestinians as a people in the international arena. The establishment of the PLO was reinforced with the formation of other representative bodies under the PLO framework. The PLO turned into the only representative mechanism for the Palestinians with the support of the Palestinian people and the Arab states despite some opposition in the initial period. In the international arena, the PLO was accepted as “the sole legitimate representative of the Palestinian people” in 1974 by the Arab Union, The Organization of Islamic Conference (which changed to the Organization of Islamic Cooperation, OIC, later), and more importantly the UN. Furthermore, it could gain observer status in the UN as the representative of the Palestinians. The UN

4 Security Council Resolution 338, U.N. Doc. S/RES/338, (Oct. 22, 1973), available from <https://digitallibrary.un.org/record/93466?ln=en>

General Assembly reiterated the right of self-determination for the Palestinian people, the rights of Palestinians, and the right of repatriation for the Palestinian refugees as well (Balpinar, 2019, p. 119). As a result, the PLO took the lead on the Palestinian side and it began to represent the Palestinian people in the international arena, including at the UN level.

On the other hand, the Israeli decision-makers pursued a policy of establishing their full control over the territories occupied in the military struggles. The increasing number of settlements in the occupied territories was a part of this state policy. Israeli leaders aimed to get the support of some political groups especially the right-wing groups in domestic politics and to establish their full sovereignty on the ground. It was called “colonization of the occupied territories” by the Palestinians and led to changes on the ground in favor of Israel (Davis, 1984, p. 194). Because of the measures taken by the Israeli administration, the Palestinians inhabited in the occupied territories became dependent on Israel and foreign aid economically. The increasing influence of the right-wing parties in Israeli domestic politics certainly affected the policies of the ruling parties and opposition groups. Therefore, the new settlements in the occupied territories continued even during the periods of Labor Party governments. Although the settlement policy caused criticisms by the external actors towards the Israeli governments and it was debated during the negotiations, the Israeli governments did not avoid making new initiatives for settlement projects. It can even be claimed that the Israeli delegates used the settlements as a part of their negotiation strategy. As a result, the changes on the ground were influential on both the attempts at the UN level and the negotiation process. The developments at other levels also had the potential to change the dynamics on the ground and in domestic politics. Thus, it is possible to define it as an interactive relationship between the two levels.

The developments starting with the UN Partition Plan and the events during the period of military struggles revealed that the UN played key roles, especially in moments of crisis, and contributed to the steps towards the settlement of the issue. The UN declared its view of the final settlement as a two-state solution based on pre-1967 borders. By the mid-1970s, the UN was sidelined in Middle East affairs and it became a secondary player in the Israeli-Palestinian conflict (Urquhart, 1995, p. 578). The weakness of the UN position in that period was explained through three reasons: “lack of confidence on the part of both Israel and the Arabs; the clash between the UN principles and *realpolitik*; and lack of great powers’ support” (Kenney, 1973, p. 782). The secondary role of the UN continued in the 1980s. Of course, it did not mean that the UN did not have any action or role in the process but they were at a lower level compared to the previous period. In that period, the General Assembly adopted new resolutions about the issue

and the Security Council conducted new meetings to discuss the developments on the ground. Furthermore, the UN kept its peace-keeping capacity and it was used when it became necessary such as the establishment of The United Nations Interim Force in Lebanon (UNIFIL) in Lebanon and The United Nations Disengagement Observer Force (UNDOF) for the Golan Heights. The United Nations Relief and Works Agency for Palestine Refugees in the Near East (UNRWA) also played a crucial role, particularly for Palestinian refugees. The polarized atmosphere of the Cold War context was one of the reasons for the low profile of the UN.

Looking at the other side of the coin, it was also claimed by some scholars that the secondary role of the UN stemmed from the US strategy which was based on keeping the UN out of the decision-making processes and assigning the humanitarian and development work to the UN organs (Bennis, 1997, pp. 48-50). Parallel to this idea, the failure of the UN in the Middle East in terms of conflict resolution was explained by the fact that the UN, which was called “an international non-sovereign body”, was not allowed to perform an independent role in the Arab-Israeli conflict (Srinivas & Upendra, 2000, p. 175). In addition to this, the changing dynamics with the involvement of new developing states also affected the US policy after the decolonization process. The US started to become critical of the UN and it preferred to pursue a more proactive policy in the UN Security Council and to use its veto power, especially for the resolutions against Israel while diminishing its influence in the UN General Assembly in the period starting with the 1970s (Sarsar, 2004, p. 459). The alliance with Israel was of crucial importance for the US foreign policy in the Middle East in the Cold War context so it supported Israel unconditionally. The Islamic Revolution in Iran in 1979 increased the strategic importance of the US-Israeli alliance in the Middle East. However, there were various reasons for this alliance. Among these reasons, shared national interests between the US and Israel in the region, their common religious traditions especially among the American Protestants mainly the Evangelicals, their similar visions for the Middle East, cultural disposition among the Americans towards the Jewish people instead of the Arabs, high number of Jewish voters and the existence of a strong pro-Israel lobby can be regarded as the most prominent ones (Sarsar, 2004, pp. 460-462). The marginalization of the UN in the Middle East affairs and the support of the US to Israel against the anti-Israeli resolutions in the UN were parts of the US strategy. The role of the US strategy on the role of the UN can be debated but the evolution of the UN’s performance from a primary to a secondary level can be easily observed when the developments in different periods are compared. In sum, despite the fluctuations in the significance of the role of the UN in the Israeli-Palestinian conflict, it has always become an influential actor in the Palestinian Issue.

The Camp David Accords in 1978 and the Egyptian-Israeli peace treaty in 1979 transformed the Israeli-Palestinian conflict because they created new dynamics leading to new positions for all the actors (Kriesberg, 2000, p. 69). Although the attempt of the Egyptian President, Anwar Sadat, for a peace treaty was considered a betrayal to the Arab challenges against the existence of an Israeli state in the region and it ended in the assassination of Sadat, the Egyptian-Israeli peace treaty opened a new phase for in the region. In the following period, the Arabs began to acknowledge the reality of the State of Israel in the Middle East and the negotiations became the main platform for the comprehensive settlement of the Israeli-Palestinian conflict. Because of the right-wing government in Israel, there were some challenging steps regarding the status quo in the region. Israel under the leadership of Menachem Begin declared Jerusalem as the united capital of Israel in 1980. The UN Security Council adopted Resolution 478 against the Israeli attempt. The UN Security Council condemned the Israeli declaration and called the attempt to change the status of Jerusalem illegal.⁵ Consequently, the Camp David Accords and the Egyptian-Israeli peace agreement led to some changes in the domestic politics of both sides.

At the end of 1987, a general Palestinian uprising called Intifadah or the Intifada, which was later called the First Intifada, broke out against the Israeli occupation in the West Bank and Gaza. Occupation of Israel was not a recent development in that period but some recent Israeli actions became the last straw that breaks the camel's back. The protest movement emerged as a leaderless collective movement and included various forms of strategies such as resistance and civil disobedience. General strikes, boycotts of the institutions belonging to the Israeli administration, and an economic boycott were parts of this protest movement. The Israeli government reacted with harsh punitive measures against the uprising and the Israeli security forces did not avoid directly targeting the protestors including children and young people. This reaction resulted in hundreds of deaths on the Palestinian side and several Israeli soldiers. Almost all the Palestinian groups in affiliation with the PLO such as Fatah, the Popular Front, and the Democratic Front joined the Intifada. Despite the militant attacks against the Israeli soldiers, the non-violent character and unarmed strategy constituted the basis of protest movements and the groups that joined the protests generally acted in accordance with this strategy. The First Intifada lasted for a few years and continued until the Madrid Conference in 1991 in different ways.

As an important result of the First Intifada, the general uprising created a new wave of radicalism among the Palestinian youth and it indicated the

5 Security Council Resolution 478 (1980), *Territories Occupied by Israel*, S/RES/478 (August 20, 1980), available from <http://unsr.com/en/resolutions/478>

emergence of a new leadership which is less willing to make concessions compared to their predecessors (Yorke, 1988, p. 22). It can be claimed that the First Intifada increased the politicization of Palestinian society and it increased the awareness of the people about the developments related to the Israeli-Palestinian conflict on the ground. More importantly, one of the positive results of the First Intifada has been “the Palestinianization of the conflict” and “self-reliance of Palestinians” against the Israeli occupation (Nakhleh, 1989, p. 9). Furthermore, Jordanian King Hussein declared that he would not speak on behalf of the Palestinians anymore. He declared the withdrawal of Jordanian sovereignty from the West Bank and recognition of the primacy of the PLO in the territories. Thus, the PLO remained the only representative of the Palestinian people and the Israeli initiatives through the Jordanian regime were not valid in that context. King Hussein’s declaration opened the way for the PLO. It represented the Palestinianization of the conflict and it has completely turned into an Israeli-Palestinian conflict rather than an Arab-Israeli conflict. Furthermore, the Intifada was of crucial importance because of its call for Palestinian independence. The Palestinian National Council, as a body of the PLO, proclaimed the State of Palestine with East Jerusalem as its capital in November 1988. It can be claimed that the Declaration of Independence in 1988 emerged as a result of the context in which the Palestinians increased their self-confidence during the process of the First Intifada. This proclamation also revealed a policy shift for the PLO because the two-state solution replaced the former one-state discourse for the whole of Palestine. The UN General Assembly adopted a resolution⁶ in favor of this proclamation and many states recognized the State of Palestine. In sum, the First Intifada became a turning point for the Palestinians in the social and political field.

One important offspring of the First Intifada was the establishment of the Islamic Resistance Movement, which is called Hamas, just after the breaking out of the uprising in 1987. Hamas was the Palestinian branch of the Muslim Brotherhood. In the initial period, the military wing of Hamas and its strict ideological stance against Israel came into prominence:

After all, the group fields a private army, embraces violence as a political tool, regularly orchestrates terrorist attacks, and is dedicated to the destruction of Israel and the establishment of an Islamist state ruling the territory of Israel and the PA (Herzog, 2006, p. 83).

This description of Hamas was an almost common view of the external actors about it; therefore, they treated it cautiously and preferred to keep a distance instead of improving their relations. With the help of the activities of its social service wing and its military struggle against Israel,

6 General Assembly Resolution 43/177, *Question of Palestine*, A/RES/43/177 (Dec. 15, 1988), available from <https://digitallibrary.un.org/record/53922?ln=en>

the popularity of Hamas increased among the Palestinian people gradually. The disagreements between Hamas and the PLO over the strategies and policies against Israel created a political division in Palestinian domestic politics. Hamas came to power in Gaza in the 2006 elections and it took over the control of the city militarily in 2007. This situation put the internal division to another level. As a result, the First Intifada led to essential changes among the Palestinians and it affected the evolution of the Israeli-Palestinian conflict as well. Thus, it can be regarded as one of the critical turning points in the historical background of the conflict.

The First Intifada was asserted as a state-building process in which the Palestinians withdrew their generalized obedience legitimizing Israeli rule in favor of the State of Palestine (Segal, 1989, p. 26). The Intifada not only affected Palestinian domestic politics but also “became a model for movements of democratic protest in countries like Algeria, Tunisia, and Jordan, as well as in Eastern Europe and parts of Asia and Africa” (Said, 1991, p. 21). The First Intifada brought the Palestinian cause to prominence in the international arena and it contributed to the rise of Hamas as an important actor in the Palestinian context. Consequently, the emergence of the First Intifada changed the dynamics, particularly in terms of shaping the Palestinian political field and activating the Palestinian society, and it created long-term effects on the social movements in the regional and global sense.

During the period of negotiations, there were also some unilateral actions of both sides. In 1988, the Palestine National Council of the PLO declared the establishment of the State of Palestine. The UN General Assembly convened and acknowledged the Declaration of the State of Palestine by adopting Resolution 43/ 177. After that, the name Palestine started to be used in the UN system. The State of Palestine was also recognized by more than 100 states in the world. The Declaration of Independence constituted an important part of the state creation process because it opened the way for the State of Palestine, as an entity, to function as an international person (Segal, 1989, p. 19). For instance, the Declaration of Independence provided a chance to be recognized by other states or to make agreements with other actors. As a result, the Declaration became a symbolic but crucial step in the state formation process for the Palestinians. Its recognition by other states and acknowledgment in the UN General Assembly legitimized this unilateral action in the international arena.

Despite the last initiative of the Clinton administration, the Camp David Summit in 2000 could not result in an agreement. The Second Intifada, which started after the Likud Party candidate Sharon visited Temple Mount on 28 September 2000, triggered a new period of violence between the Israeli forces and Palestinians. Sharon’s visit was considered highly provocative by the Palestinians. The Second Intifada is also called al-Aqsa

Intifada because of this visit. The riots broke out just after Sharon's visit and the level of violence increased day by day. Many scholars confirm the fact that "Ariel Sharon's visit was the trigger, not the cause of the Intifada" (Dowty, 2004, p. 10). It can be claimed that the decreasing expectations towards the peace process was among the reasons for the escalation of violence. Rabbani points out the decisive aspect of the people's expectations and hopes about the destiny of the two intifada movements: "Just as the population's hopes help explain the end of the previous uprising, so the frustration of these hopes is central to understanding the current one [the Second Intifada]" (Rabbani, 2001, p. 71). The Second Intifada emerged as a result of the combination of some factors:

It has been as a response by a 'young guard' in the Palestinian nationalist movement not only to Sharon's visit and the stalled peace process but also to the failure of the 'old guard' in the PLO to deliver Palestinian independence and good governance (Shikaki, 2002, p. 89).

This explanation highlights the generational division within the PLO and problems with the governing style and practices of the PA besides the external factors. The asymmetric power relations between Israel and the Palestinian groups led to the use of different tactics. While the Palestinian groups used guerilla tactics such as suicide bombings, stone-throwing, and gunfire, Israel responded with gunfire, and air and tank attacks against the Palestinians.

The Second Intifada caused thousands of deaths of civilians and combatants on both sides like the First Intifada. The year 2005 is generally considered the end of the Second Intifada. The daily lives of the Palestinians were affected negatively under the influence of continuing Israeli occupation. Moreover, the Second Intifada contributed to the "crystallization of two trends" in Palestinian domestic politics, namely "a split between old and young guard within the nationalist movement" which decreased the PA leadership's capacity in the domestic and international arena, and "a broader decline in the power of nationalists relative to the Islamists like Hamas" (Shikaki, 2002, p. 90). In sum, the Second Intifada, like the First Intifada, shaped Palestinian domestic politics and this transformation created important results for the Israeli-Palestinian conflict in the following period.

In the international arena, the new millennium started with a catastrophic event in the US. The September 11 event changed the US discourse towards the Middle East and it dramatically transformed the US foreign policy in 2001. The Bush government declared a global war on terror against radical groups like al-Qaeda in the region. This foreign policy discourse led to an operation against Afghanistan in 2002 and another

operation against the Saddam regime in Iraq in 2003. Furthermore, the September 11 events changed the priorities of the US in the Middle East. Whereas the Middle East Peace Process had constituted the main dynamics of the US foreign policy towards the region and political stability was the main concern for the US in the previous period, the Bush administration adopted the hands-off approach for the Israeli-Palestinian conflict after the September 11 event.

On the Palestinian side, Mahmoud Abbas was appointed as the Prime Minister of the Palestinian Authority in 2003 under international pressure against Yasser Arafat and a call for democratic reforms in Palestine. After Yasser Arafat's death in November 2004, Mahmoud Abbas was elected as the President in January 2005. Arafat's replacement by Mahmoud Abbas was an important development for Palestinian politics. Abbas tried to convince the Palestinian groups to an armistice and he agreed to an armistice with Sharon despite the continuation of violence to a lesser degree. Hamas, Fatah, and more than ten Palestinian groups signed the Cairo Declaration in 2005. They declared their willingness to participate in the Palestinian Authority and the parliamentary elections. The Palestinian groups, except for the Islamic Jihad, agreed on a national unity government. On the other hand, Arafat's death revealed the internal divisions among the Fatah factions. In addition to this, his death and power vacuum emerged as a result of the disengagement of Israel from Gaza escalated the Fatah-Hamas conflict. Consequently, the Second Intifada caused a new wave of violence between Israel and the Palestinian groups, and the regional and global developments in that period led to transformations in the Israeli-Palestinian conflict.

The first decade of the new millennium witnessed some new initiatives for the settlement of the Israeli-Palestinian conflict. As one of the most important initiatives on the issue, Saudi Arabia declared a plan based on certain conditions for Israel. This plan was accepted by the Arab Union and later turned into Arab Peace Initiative with minor revisions in March 2002. This plan can be described as:

full Israeli withdrawal from all territories occupied in June 1967 and Israel's acceptance of an independent Palestinian state with East Jerusalem as its capital, in return for the establishment of normal relations between the Arab states and Israel in the context of comprehensive peace (Podeh, 2014, p. 588).

That proposal reflected a radical shift in the Arab states' policy towards the issue and it can be regarded as a genuine offer compared to the previous periods. The Arab Peace Initiative included four rewards for Israel: "End of the conflict, peace, security, and normalization" (Daoudi, 2009, p. 536).

It differed from other peace attempts in the sense that it was declared as a common initiative of the Arab states and it reflected an important policy shift. Furthermore, it brought the acceptance of a Palestinian state by Israel to the negotiation table. However, Israel did not accept this proposal and “missed the plausible and historic opportunity” (Podeh, 2014, p. 601). The declaration of the initiative coincided with a suicide bombing organized by Hamas, and Israel reacted to the bombing with a large-scale military attack against the West Bank called Operation Defensive Shield. Therefore, the significant peace attempt could not lead to the expected outcome.

On the other hand, the Middle East Quartet which consists of the UN, the EU, the United States, and Russia was set up in 2002 to “help mediate Middle East peace negotiations and to support Palestinian economic development and institution-building in preparation for eventual statehood”.⁷ It was an important international establishment because the Middle East Quartet brought the powerful international actors together and it was likely to turn into a common framework for the policies towards the Middle East peace process. The Quartet declared a performance-based and goal-driven Roadmap for the issue. The draft version was prepared by the US administration and President W. Bush called for “an independent Palestinian state living side by side with Israel in peace” in his speech (“Full Text of George Bush’s Speech”, 2002, para. 2). It was the first time an American President called for an independent Palestinian state in the region. Despite the regular meetings of the Middle East Quartet, the initiative could not produce the expected outcomes.

The Palestinian groups, Fatah and Hamas, agreed on a reconciliation government with the Mecca Agreement in 2007. However, the competition between Hamas and Fatah led to a military struggle and ended in a Hamas takeover in Gaza. Thus, the Palestinian territory was divided into two main parts which were the West Bank under the leadership of the PA, and Gaza under the control of Hamas. It was a better scenario for Israel. Salam Fayyad, who had a good reputation in the Western world, was appointed as the new Prime Minister of the PA. Olmert’s Israel adopted the West Bank First policy in that context. This strategy was based on the economic and political isolation of Hamas in the region. The Western actors also supported the West Bank First policy and the isolation of Hamas. However, this policy contributed to the continuation of violent actions between Israel and Hamas. In sum, the territorial and political division between the Palestinian groups became one of the decisive factors for Israeli politics in the Olmert period. While Israel kept its relations with the PA, the relations with Hamas turned into a blockade against Gaza and a military struggle.

7 “Middle East Quartet,” The Office of the United Nations Special Coordinator for the Middle East Peace Process (UNSCO), available from <https://unsco.unmissions.org/mideast-quartet>

On the other hand, Israel started a large-scale military operation called Operation Cast Lead against Hamas in Gaza in December 2008. Mansour puts forward the three objectives of the Israeli operation on Gaza: “To apply the operational lessons of the Lebanon war; to rebuild Israeli deterrence at the regional level; and to score as many points as possible in Gaza” (Mansour, 2009, p. 94). Israel not only targeted Hamas in Gaza but also aimed to remove the expectations for a possible Palestinian state. Thus, Israeli relations with Fatah and Hamas were very different from each other. Whereas the Olmert government tried to pursue negotiations with the PA in the West Bank, the conflictual relations with Hamas led to a larger military struggle at the end of his period.

In Israeli politics, the election of Netanyahu, who was the leader of the right-wing Likud Party, as the new Prime Minister of Israel in 2009 decreased the expectations about the negotiations. Netanyahu’s election coincided with the period in which Barack Obama was elected as the US President. Obama also considered the need for peace based on a comprehensive settlement of the conflict through an agreement between the two sides and the establishment of a Palestinian state peacefully side by side with Israel. There was a disagreement between Obama and Netanyahu in that sense. In his famous Cairo speech in June 2009, Obama declared his opposition to the new Israeli settlements and his support for the Palestinians’ right to self-determination (The White House, 2009). However, Netanyahu insisted on the fulfillment of the Israeli security concerns and recognition of Israel as a Jewish state as preconditions for the negotiations. In addition to this, he ordered to continue the settlement projects despite the opposition of the Obama administration. The Netanyahu government thought Hamas a security threat to Israel. Its policy was expansionist and based on increasing Israeli control on the ground.

The Arab uprisings, also called the Arab Spring in the initial period, erupted in Tunisia and spread to other countries in the region in the context of the Middle East peace process. The long-time rulers of Tunisia and Egypt were overthrown as a result of mass protests. The removal of Hosni Mubarak in Egypt opened the way for the increasing influence of the Muslim Brotherhood and its political branches. In terms of the Israeli-Palestinian conflict, the rise of the Muslim Brotherhood was an alarming phenomenon for Israel in the region. On the other hand, the Palestinian administration had good relations with the Muslim Brothers and they were pleased because of the increasing influence and power of the Muslim Brotherhood. The Palestinian leader, Mahmoud Abbas, decided to turn this favorable regional context into an advantage for the Palestinians and his position within Palestine. He applied to the UN for full membership. The Palestinian application reactivated the UN level in that period and opened

a new phase in the complex two-level game of the Israeli-Palestinian conflict.

In conclusion, the Israeli-Palestinian conflict witnessed different historical periods and it evolved in different directions under the influence of domestic, regional, and international factors. These factors shaped the dynamics of the complex two-level game of the Israeli-Palestinian conflict in the previous periods. The UN, as the most prominent and inclusive international institution, was an important actor from the beginning and it played some primary or secondary roles during this historical process depending on the context. Whereas the military struggles between the Jewish (or Israeli) and the Arab armed forces led to a conflictual relationship in the first decades, the two sides preferred to search for a solution to the conflict through negotiations. Therefore, the conditions changed at the ground level as well as the UN level. This chapter presented the changes and developments at both levels.

Chapter 10

DEMOCRACY AND TWO SUGGESTIONS FOR ITS OPTIMIZATION

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Institutions, voters and individuals

Aristotle distinguished between three types of pure and correspondingly three corrupt forms of government; Monarchy, aristocracy and timocracy on the pure side, and tyranny, oligarchy and democracy on the corrupt side (Aristotle, 1909, 183-186). For Aristotle, democracy is therefore on the corrupt side of the timokrasi, because democracy is about the participation of all voters and not about a good, pure, wise form of government that leads to happiness (eudomia) (Aristoteles, 1909: 127-129). In fact, democracies are not preferred because of their effectiveness, efficiency and/or factual politics, their immanent functional rationality, but precisely because of social, cultural, i.e. ideal, normative reasons. This argument can also be asserted from the other side; Monarchy and aristocracy are going down because demos don't support them.

As is well known, Max Weber defined power as the chance to assert one's own will against any resistance (Weber, 1980: 27, §16). Democracy, on the other hand, is a form of government that is concerned with enforcing decisions that promote the common good. For the process of will-forming and decision-making, democracy needs institutions that last as long as possible, which convert precisely these individual preferences into common norms. Historically and logically there are two forms for this; Coercion based on interests and voluntary consent based on shared ideas. Coercion is an institution built on a technology with a logic of exclusion. The more coercive technologies are used, the less persuasion is required. It is a program by the elites for the power of an elite and against the seizure of power by the majority of people. The interests of an elite are enforced and defended against the (justified) claims of the majority with coercive technologies (Parsons, 1951; Demir, 2022c). In contrast, assent is based on ideas, principles, and norms that are discursive in nature. In order for them to thrive, they must be inclusive. Consequently, religion and philosophy, for example, are based on technologies with an inclusion logic. They are also developed by a minority of people, but for the use of the majority. The more they are used, the more persuasion is required, especially since any tensions in them are disenchanting and rationalized, so that the respective tensions between the claims, promises they contain and the objective social reality they contain increase all the more. Politics emerges in this juxtaposition as the communication structure between these two spheres. Depending on the historical constellation, it leads either coercion to philosophy or philosophy to coercion. Ministries of defense are the organization of the conversion from coercion to philosophy, while, for example, religious and educational institutions are the organization of directing philosophy to coercion. For example, churches offer a highly regulated way of life based on a view of the world and of people that is acquired through upbringing and

socialization, adapted to the given conditions and constantly further developed. Defense ministries, on the other hand, organize coercion according to the specifications, i.e. ideas of a community, by training the actors, for example, in the event of war.

In both cases we are dealing with social institutions that develop power through the corresponding organizations. Institutions ensure society's stability and sustainability by offering reliable orientation for noticeably different, different lifestyles over a longer period of time. They maintain a collective identity with the appropriate information, tendencies, values and norms on the basis of which social cohesion is possible. Thanks to them, the individual develops a genuinely personal identity while remaining a member of society. Compared to individual, they are both efficient and effective, as well as more comprehensive in their sphere of activity. In this way, political parties are a home for diverse actors from different concepts of life. Parties offers them an alternative for the creation of unity precisely because of the fact of diversity. In view of the tendency towards rational ignorance, i.e. the fact that we do not develop a highly personal answer or solution for every matter for rational reasons of effectiveness and efficiency, political parties are a pool of assumption of responsibility for the common for every person with the high character traits by it shifts the responsibility for solving the problem of everyone-person-every-time-everyone-matter to a minority of people.

Parties are organized around particular ideas which, if in power, they turn into coercive institutions. Political arguments for or against a situation are statements that convey the importance of the participants' preferred actions for the common. Political statements contain options for action in which the contents of the positions are transported to the driving motor of the actors' motives, which in turn represent the typical situation of a corresponding person in the respective community. In this respect, politics is both the means of communicating these positions and the institution of forming coalitions to involve the communicated goals. Politics is about the realization of types of action, concepts of life that require and generate collective action. Based on this objective, a function of politics is to be a platform for the formation of compromises and/or consensus of these different answers to solve societal important issues. In this respect, politics can be defined as a technology that has the task of finding, preserving and further developing what is common.

However, perhaps because of its linguistically singular form, politics is a phenomenon of singularity, of uniqueness. It is both the means to generate prosperity, social peace and community, as well as an end in itself. Thus, Aristotle defined man as a political being who, unlike other political animals such as ants, is also endowed with logos. It is this logos that

modern philosophers such as Nikola Machiavelli, Thomas Hobbes, John Locke, Jean-Jacques Rousseau and Emmanuel Kant have taken as the basis for legitimizing the political order of society. According to this, the political order is not justified because it is tantamount to a natural, God-given order that is reasonable in itself, but because it can rationally count on the voluntary consent of those affected, who are equipped with logos (Politik I.2.1253 a).

Logos is thus the constitutional element of the actors and institutions of the community/society, for which communication is also based through the logos. This mediation logic is based on the assumption that a good, social, i.e. blissful life requires voluntary membership in a small social group of people with whom the individual can solidarity, socialize and become involved in a self-determined manner. This presupposes that the individual concerned not only gets to know different actors but also different institutions in the course of his social time in society and, depending on the requirements, can live and let live according to one principle or another. In fact, in everyday life we move in several institutions of the community, which function according to different logics and which we leave for different reasons. How is it possible that, despite this variety of expectations, we develop genuinely personal communication, but precisely because of this we can communicate everywhere and rightly count on the approval of others? The answer lies in the institutions of society. The collectively developed, maintained and further developed institutions of society allow different actors to communicate in a typified way. Through this communication, the political order is reproduced on the one hand through the common language, education, norms and law and on the other hand through the use and consumption of the same products. Every actor contributes to its maintenance and/or further development, whether by acting for and/or against, or by (deliberately) not acting. Family, clans, tribes, royalty, guilds, churches, schools, firms, corporations, clubs, unions, political parties, parliaments, and the nation states themselves are among these institutions.

All of these social institutions are the concrete place where individual preferences and social norms are mediated. They are all organized either on the basis of common interests, which may be based on property or gender, for example, or on the basis of common ideas acquired through socialization, for example in education. On the other hand, it must not be forgotten that ideas are also needed for the acquisition of property rights. Conversely, each idea reflects the socio-economic conditions of the actor concerned. At the same time, there is already a historical difference between the type of citizens who owe their participation to their ancestors and/or property, and the type of citizens who initially represented theirs and only later were able to participate and differed from the former in their education.

The Latin term “civitas” or “cives” on the one hand, the French terms “Bourgeois” and “Citoyens” or the German terms “Bürger” and “Burg” on the other hand reflect these differences (Oakeshott, 1975: 108, 112, 128, 147). Ownership and education are the distinguishing features of these two types of actors. The “bourgeois” and “citizen” can continue their way of life without losing their social status in society solely on the basis of property and thus also without education, enlightenment and logos. In this respect, “civitas” as “rule-articulated associates” (124) and “cives” as the relationship between two free individuals who cultivate this way of life in “respublica” (147-158) or “polis” a political concept from the beginning, while “citizen” became a constituent element of the political with the emergence of the capitalist state, “state” became “citizen” (Oakeshott, 1975: 108-184). This is why Aristotle belonged to the political but was not a citizen of his community.

Democracy and the Citizens

The conditions of democracy in Aristotle’s time are fundamentally different from those prevailing today. Aristotle lived in a small, manageable society run by the heads of certain families. The distinction between law and democracy, legality and legitimacy as well as political and social is either not made at all or only presented conceptually, but there can be no question of a convergence of theory with practice (Oakeshott, 1975: 161-180). Democracy here largely amounts to the practice of the elite of a community divided into polis and oikos. Polis is the place of action of the actors who strive for happiness by publicly treating themselves according to the principles of equality and freedom. On the other hand, Oikos is the place of need, of compulsion, of the dark, of the private, where animals without logos, slaves, children and women live. Politics as devotion to the common is constituted in a venerably sacralized distance from the corrupt, barbarian, abnormal and deviant. Communication runs through this shielded community to mythical gods. Gods resemble humans in time. Like humans, gods are also different, and there is a hierarchy among them too. There is a perfect unity between humans, nature, gods and the universe, even if within that unity there is constant conflict, discord and struggle for power, status and glory. Politics is the image of this natural, divine order transmitted and reproduced through mythic narratives to the next generation.

This order is declining, among other things, because of the civil wars. Instead of (direct) democracies, forms of government emerge in which the cives become subjects and/or believers, and their responsibility for what is common is passed on to prophets, monarchs and/or aristocrats. In this transition, the more concrete myths are transferred to a more abstract form

of narration, namely to the mystic. There is a transition from multitude and diversity to centralization and standardization. The many gods turn into one god. Instead of the collective decisions in Polis, decisions are made by a ruling elite in private. Politics is replaced by religion and *vita activa* by *vita contemplativa*. It is then less and less about empowering people to do things in common, but rather about rationalizing what is common for the purpose of their administration, their management (Arendt, 1992).

With modern times, a process of disenchantment is again being driven forward by businessmen, artists, inventors, enlighteners, reformers, philosophers and revolutionaries. Galileo Galilei (1564-1642), Thomas Hobbes (1588-1679) and John Locke (1632-1704), Jean-Jacques Rousseau (1712-1778), Thomas Newcomen (1663-1729) and the Actors of the American (1776) as well of the French Revolution (1789) lead humanity into an era of new opinions, assertions, contexts of meaning and forms of decision-making. What is true, beautiful and good is not shuddered by (moral) philosophers thanks to their logos, nor by theologians thanks to their insight, but is examined by scientists in experiments (Chalmers, 1999). Now Immanuel Kant (1724-1804) demanded that theory be communicated with practice (Kant, Vol. XI). Kant proposed a world government for this, but wrote not a word about democracy (Demir, 2021: 118).

Basically, we are still in this process of unification and rationalization, the purpose of which is to try to create predictability in the social order. The discourse on singularity is a reference to this continuity thesis (Demir, 2022a). Stability and thus predictability is the most important value of this concept of order. But the question is what speaks against this continuity and what speaks for a renewed discontinuity. Representation and participation on the one hand and effectiveness, efficiency and portability on the other can serve as moments of reflection here (Lipset, 1959: 90). The question of effectiveness is controversial insofar as representation and/or participation can be preferred depending on the point of view. For example, when it comes to responding to a pandemic as quickly as possible, representative democracies are better than direct democracies.

Table 1: Efficiency und Legitimacy

	efficiency	legitimacy
representation	+	-
participation	-	+

According to this table, there is a trade-off between efficiency and legitimacy; full participation increases the legitimacy of every decision, which contributes to the stability of the existing order. Consensus would be

the ideal of such participation. However, it is not efficient because it causes higher costs in decision-making. It is also not effective, especially since not every person concerned has sufficient information about the situation to be decided, so that abstaining from voting is better than participation. On the other hand, representation would jeopardize the stability of the political order, especially if those affected are certain of a different, better decision. Of course, this presupposes that those affected have access to open information channels that report objectively over a long period of time and are trustworthy. In view of this trade-off, should we now forego participation because it is simply not efficient? Or should we just strive for a balance between them? These are good questions, but perhaps this apparent impasse between efficiency and legitimacy is not our destiny. Perhaps the question should be whether the current political order is even sustainable?

The question arises from the fact that today's political order is based on a mediation between legality and legitimacy, for which various forms of government were then developed. We would come to a different point of view if we started our reflections not from the political system but from those affected. An actor-centred perspective poses the question of the conditions under which those affected directly assume responsibility for their community. This then raises the question of the possibility of a convergence between action conditions and action motives (Habermas, 1987: 365).

This logic results in the rationalization of action orientations, which means the disenchantment of religious, moral images of people and the world, through the increase in knowledge and degree of complexity. This rationalization and differentiation of the social subsystems is reflected in the orientation patterns, which, in addition to mythology and religion, also include ideologies, science and the entertainment industry. This can also be observed in the change in the professional landscape; a number of new professions, such as business journalism, social work, life science, etc., have expanded the teaching profession's old position as a mediator of theology and medicine (Demir, 2022b). We live in the age of the internet and smartphones, which are the symbol of information and its democratization. Today knowledge is not only produced in the churches, theological faculties, in educational institutions, but also in business enterprises. Universities are committed to developing products that have the potential to generate high profits/revenues. But the decision-making and decision-making mechanisms have not adapted to this level of complexity. We continue to spend our lives in the institutions of representative democracies.

Creation of New Institutions

It is now common knowledge that living beings do not leave their comfort zone unless there is a need to do so, such as external compulsion, inter-

nal blockage, new innovations, etc. This also applies to the creation of institutions; they are reformed and/or replaced by new ones when they no longer offer the desired stability, sustainability, or when their founding goals are questioned by the stakeholders concerned. If the purposes of the institutions do not match the conditions for action of the actors, trust erodes. In these cases, the addiction to new, more sustainable institutions that allow better communication between people and society begins. Course-changes or just changes take place on the basis of knowledge, skills and networks. There are no reforms and/or revolutions without the appropriate body of knowledge and organizational units that give the actors the certainty of a learning effect and profit in the process of change. Conversely, there are no revolutions if there is no tension between the conditions for action and the actors' motives for action. There are problems in the logic of the electoral and party systems.

The proportional electoral system with the corresponding two- and/or multi-party landscape is reaching its limits in view of the individualistic tendencies. The right to vote is exercised with a ballot paper. One vote one person, one vote one party is the logic of the practiced rule. Split-ticket and transferrable votes are subcategories of the same logic (Scholtz, 2021: 124-130). There are limits to this dichotomous logic,

«...but there are clear limits to it, because the number of dimensions of questions of content that are no longer clearly linked is far greater than two. With four somewhat independent dimensions, there are already sixteen positions to be filled; if there are ten dimensions, the number rises to over a thousand. No party system and no system of post-election bargaining can provide such a number of parties.» (Scholtz, 2021: 129)

According to Scholtz, a consequence of the non-representation of certain ideas, the neglect of certain topics and the associated tendency of decreasing responsibility in view of the anticipated influence on the political system led to polarization in society, fundamentalist movements and a decrease in legitimacy.

Representative democracy means several moments. It is about the representation of the person according to the principle of one person one vote, the representation of the party (representing both the actors of diversity based on ethnicity, religion, lifestyle, etc. and differences based on social class) and the representation of geography (states/countries). As a rule, the electoral system (majorz and/or proportional representation) is available to those entitled to vote. In the Swiss semi-direct democracy there are also split tickets and transferrable elections. This is about the representation of the person, the group and the geography. However, when an electoral system is very careful to represent geographic differences, but most divisions are across geographic entities, tensions arise between individual preferences and preferences of political, ideological identity.

Political parties must, on the one hand, rely on the commitment of their members with a significant identification with the party, and on the other hand, when choosing issues, they must ignore those who are in tension with the significant values of their members. Therefore, there is a risk of a vicious circle. Politics based on group membership solidifies the commitment of the members of the group and therefore brings them closer together, but has the disadvantage of a prisoner's dilemma in the face of advanced individualization; every gain of the group is a loss of the individuals outside the group.

Another problem of party politics is that the representatives of the party have to communicate their positions all the more clearly the more there is an alternative to them. You have to generate proposed solutions that differ from the existing ones. This creates both transparency and a good orientation for party members, who can otherwise hold their representatives accountable. At the same time, this circumstance has the disadvantage that the representatives lose their ability to compromise with other party representatives, since any deviation could be punished with the representative being voted out (Scholtz, 2021: 132). Open actors with their specialized expertise will also end the problem of oversimplification. Every process of governance will have open actors to discuss and explain to the voter, with technocrats splitting into different factions that share scientific standards but differ on values, making the relationships between scientific consensus and values-based open discussion clear again has suffered in recent years.

The practical question is therefore how the problem of limited resources can be solved with the demand for full participation, without touching the individuality of the actors and the human dignity-respecting characteristics of their culture at their very foundation. Scholtz finds the answer to this in meta-decisions, openness to actors and flexible storage of trust (Scholtz, 2017: 14-19).

First of all, we note that the actors of representative politics divide according to the binary logic into the non-overlapping group of decision makers. According to this solution, the decision-makers must be clearly distinguished from those affected by the decision. The question is whether more movement, more freedom, can be built into this rather rigid system. The crucial idea lies in the fact that the actors should decide anew each time they find their will and decide whether they are on the side of the decision-maker or a participant in the decision-making process. In the first order of decision-makers, the actors want to agree on the principles of the community. In this respect, these are the enlightened and community-oriented legislators who strive beyond their particular interests to find a consensus. This also includes experts who put the question to be decided on in an understandable and legally acceptable form.

It is about a generalized solution proposed by representative democracy insofar as this approach also divides the actors into binary, non-overlapping groups, such as those entitled to vote and those not entitled to vote in party X, constituency Y and nation state Z. Since this process of decision-making brings a number of problems with it, such as populism, instead of this classification, the actors should be differentiated according to whether or not they want to openly and honestly disclose their political preferences in a non-forced public sphere (Scholtz, 2021: 62-65). On the one hand, it is about preserving voting secrecy, which is a normative requirement, and on the other hand, it is about the openness and responsiveness of the political system towards (new) actors who want to get more involved in specific issue. People who want to act should have to disclose their political arguments. On the other hand, anyone who wants to choose one of the existing options without making an above-average commitment should not have to reveal their own personality. This second order is less about determining theoretical conditions of decision-making and more about practical decision-making based on the first order. On the one hand, the actors should stabilize the system through a general principle against flood and ebb, give it trust, and on the other hand, the political system should, thanks to its openness, absorb new impulses from society and empower actors to get involved in their issues. Possible topics for consensus and compromise are thus found within these classification systems.

When asked about the choice of each type of decision, the question of the weighting of the decision itself must be answered. Scholtz proposes electronic storage of the preferences of those affected. The storage of data seems to serve primarily analysis, i.e. observational science, rather than the expansion of democracy itself. Because a pattern of the person in their decisions can be derived from the history of the data and thus also possible preferences in future elections and votes. It is unclear how “a flexible form of political decision-making” and/or the protection of minorities should emerge from this circumstance (Scholtz, 2017: 16). There is also a danger that a static map of possible preferences is formed from this data and patterns, which actually makes a vote, an election, absolute. Why conduct an expensive vote when a number of statisticians can predict the outcome of the vote with a 99.9% probability? In other words, it may predict the danger of majority tyranny, but minority tyranny would be inevitable. Flexible trust storage is toxic reversal of accountability ethics; by storing data, programmers will be able to build better machines for better mapping of the voting behaviour of those affected, less empowering the stakeholders and more empowering legislators. (Arendt, 1992: 187f).

The arguments presented are not good reasons for data storage if the knowledge gained from them weakens what is common and does not im-

prove the quality of joint decisions. Predictability is a requirement for static, stable systems (which are all products of AI), while democracy implies a set of artefacts that encompass far more and more complex dimensions than this rationality of purpose.

Conclusions

Democracy is a form of will formation and decision-making. In contrast to other forms, such as aristocracy, monarchy and oligarchy, democracy is based on the equality and freedom of those concerned. Democracy requires an active but non-violent participation of those affected. Therefore, inclusion is the hallmark of democracies. The table below summarizes and presents what has been written.

Table 2: Will-Formation und Involvement

Will-Formation Involvement	Monopoly - Passive	Plurality/Individuality - Active
Indirect - Representation	Aristocracy	Representative democracy
Direct - Participation		Direct democracy

According to the principle of exclusion, will-formation and decision-making can be based on a monopoly in which those affected can only express themselves passively. The opinions necessary for the formation of opinions are usually made available in specific organizations such as churches and associations. Information is neither produced nor sought out by those affected, but is provided by the actors who are already participating. In this respect, those affected are in a passive position. In accordance with the principle of inclusion, decision-making could also be based on a plurality, individuality. In this case, the actors have to choose their own information and information channels. This requires the active participation of those affected. Empirically, this information is now primarily available in digital form. On the other hand, involvement can be either indirect or direct, i.e. either through participation or representation. Indirect participation. In the aristocracies and representative democracies, participation is done in an indirect way. The representatives make the respective decision on behalf of the persons concerned. The difference is that not in aristocracies, but in representative democracies, decision-making is done through the participation of those affected themselves. Participation based on individuality is practiced only in direct democracies.

This argument is also Scholzt's point of departure. In *Reclaim Responsibility with Civil Democracy*, Scholzt proceeds from the assumption,

based on evolutionary theory, that humans are already anthropologically inclined to perceive the power they have and/or have been given and the responsibility for the consequences of exercising this power in trust in their own community and in the common want. Scholtz wants to optimize the conditions for participation in modern societies. According to the goal, Scholtz wants to use meta-freedom to mediate the instruments of representative democracy, such as party and electoral systems, with the instruments of direct democracy, such as subsidiarity and commitment. In the case of participants openness, the goal is that actors should constitute themselves every time new when important issues arise. The aim of both instruments is to increase individual responsibility (Scholtz, 2017: 15).

Democracy is already predefined by Scholtz. Democracy is destined. And by a single person, the legislature. Is smartphone democracy the leviathan of our time? Is that even the tandem of surveillance democracy? Democracy, especially direct democracy, does not know any legislator prescribed by democracy. The prerequisite for democracy lies in the fact that the legislature is part of the formation of will and decisions. Democracy knows no predetermined, apiori and final decisions. All decisions are subject to revision and require revision. They are temporary fixed points. With Scholtz, this primal quality of democracy has been abandoned.

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Chapter 11

SPECIAL TOPICS ON CIVIL AVIATION TRANSPORTION MANAGEMENT

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Introduction

Air transportation as one of the most important factors supporting the development of countries, and related tourism activities are growing and diversifying day by day. In particular, the newly added international flights with increased number of flights, not only provide comfort to passengers, but also pave the way for domestic regional development (Dursun, 2018a). Moreover, thanks to the innovative technologies to be brought to the aviation sector, users and beneficiaries will benefit from various opportunities.

Current Developments and Renewed Concepts in Aviation

While European technology developers are planning to expand the use of digital suitcases with remote tracking systems, they are also working on the concept of luggage-free travel. In this concept, suitcases are taken from the passenger's address before the trip and delivered to the destination address after landing.

Artificial intelligence supported robotics and ground command center controlled autonomous aircraft projects draw attention among the subjects on which intensive research and development studies are conducted. No need for pilots in the cockpit is aimed in this technology. For the passenger flying in the cabin, the thought that a live pilot is not directing the trip already presents itself as a hindrance as it evokes frightening feelings. For this reason, many are hesitant to travel with pilotless planes (Dursun, 2018b).

There are ongoing technical studies, especially in the USA, on aircrafts that can exceed the speed of sound by increasing the flight speed. After Concorde, which was introduced in this respect, was retired in 2003, various technology development organizations, especially Airbus, have begun to leak various tips to their enthusiasts. Thanks to the new generation supersonic aircraft with an aesthetic appearance, it is predicted that travel times will be shortened by more than 50%. Boom, which works in this field, aims to be in the sky with its supersonic aircraft, which will reach a speed of 2450 km / h, with a capacity of 55 passengers and a list price of 200 million dollars (Dursun, 2018c and Cebeci, 2021).

The incremental increase in the demand for aviation and the developments in computer technologies have led to an increasing interest in virtual piloting day by day. Especially successful designs created in aircraft simulators have become the focus of attention of passionate young individuals. Various popular internet platforms on the subject are also established by aviation enthusiasts who enjoy their flight with computer-aided designs. (Dursun, 2018d)

Turkiye is witnessing the establishment of a mechanism to support the projects proposed specifically for aviation, but the fact that the results are far from the desired has once again brought to light the necessity of taking serious steps in this regard. The establishment of a platform within the government system that will support socio-cultural and supradisciplinary initiatives in the field of aviation, apart from the technical project proposal, will fill an important gap. In the light of all these inferences, as a requirement of the “the future is in the skies” prediction, it is of critical importance to support the promising ones by taking into consideration the project ideas that individuals of all ages will present in the field of aviation, in terms of paving the way for Turkiye (Dursun, 2018e).

Tragic Grounded Aviation Rules

Aviation is the field of transportation with the most stringent legal regulations in the world and naturally in Turkiye. The reason for this is that aviation operations require a sensitive and meticulous approach that cannot afford mistakes. The most established and well-known determination from the past to the present is that “the rules of aviation are written in blood” (Anka, 2023).

The signatory states of the Chicago Convention, which is the constitution of aviation, have to implement all the decisions taken under the International Civil Aviation Organization (ICAO). Accordingly, states take the necessary measures according to the rules set. Also, the European Organization for the Safety of Air Navigation (EASA) and the European Aviation Safety Agency (EASA) are international regulators and rule makers in the field of aviation (Buyrukcu, 2019).

The regulation, supervision and rule-making powers in Turkish civil aviation rest with the General Directorate of Civil Aviation (DGCA) under the Ministry of Transport and Infrastructure. DGCA authorizes and controls the activities of all civil aviation organizations and can suspend the activity permit when necessary. DGCA fulfills its duties to ensure the uninterrupted continuity of aviation safety and security in Turkiye (Dursun, 2018f).

Prohibited Words in Air Transportation

Just for the sake of “kidding”, answering the question of “what’s in your suitcase?” as “there is a bomb” can get you in trouble as a passenger. A passenger who said that he had a bomb while on a flight in Australia was sentenced to 12 years imprisonment (Dursun, 2018g). Some words used especially in international flights to foreign countries can get passengers in trouble. An “innocent” joke to the officer who asks the passenger what

is in his suitcase while passing through the security control during travels, such as “there is a bomb”, will be the beginning of a problematic process for the passenger.

Especially after the strict rules and policies introduced after the September 11th US Twin Tower attack, it is better for the passengers to avoid such behaviors in air travel (Ünlü, 2009). The phrases to be used in security procedures during travel and the words that people who use may be treated with suspicion of terrorism are as follows: Terrorist, bomb, missile, gun, explode, explosion, killing, suicide, chemicals.

Recently, before the plane took off at Istanbul Atatürk Airport, when a passenger said “we will explode from heat” due to high cabin temperature, the cabin crew, who heard this statement, initiated security procedures based on the use of dangerous words. The police entered the plane and disembarked the passenger. The traveler may have been overwhelmed by the heat, but the wrong word he used got him in trouble (Özbek, 2018). Cabin crews on the plane and security guards at the airport both observe the passengers and pay attention to what is spoken.

On the plane with 220 passengers on the flight from Melbourne, Australia to Kuala Lumpur, the capital of Malaysia, a Sri Lankan passenger Manodh Mark, who caused the return of the plane by claiming that he had a bomb, was found guilty of attempting to take control of the plane. It was understood that there was no bomb on the Sri Lankan passenger, who claimed that there was a bomb on him 15 minutes after take-off, causing the plane to return and was detained by the police after landing in Melbourne. An Australian court sentenced Mark to 12 years imprisonment for compromising the safety of the aircraft, attempting to enter the cockpit, threatening with explosives, misconduct, violating aircraft security, damaging and endangering the lives of passengers (Dursun, 2018g and Agency, 2018).

Passenger Perceptions of Aircraft Types

Especially for those who will set out on their first trip, the size of the plane comes first. Similarly, when passengers go to airports, they begin to question the brands and models of the plane they will board and the other planes around them. The psychological mood and mental variables of air travel quite naturally differ from road travel. The most important indicator of this is the perceived risk level. According to statistics, although airplanes are the safest and most reliable mode of transportation, the risk perceptions of the travelers say something else.

First of all, as the size of the aircraft to be traveled decreases, operationally, a shorter runway distance is needed for take-off (SHGM, 2016).

However, when compared to new generation jet-powered airplanes, old-style propeller airplanes can easily take off and land on shorter runways.

The number of jet engines, which increases in direct proportion to the size of the aircraft, increases the comfort of take-off and cruising in the air. Since the increase in the number of engines positively affects stabilization and power, it minimizes vibration and shaking in all maneuvers of the aircraft in the air. In this respect, for narrow-bodied ones, four-engine wide-body aircraft provide more comfortable take-off, cruise and landing compared to twin-engine aircraft (Dursun, 2018h). By the way, it should be noted that airplanes with two jet engines are never vulnerable and dangerous in terms of safety and security compared to airplanes with more engines, because these airplanes have the ability to land with a single engine even when one of their engines fails and comes to a complete stop (STK, 2021).

Condition of Cabin Window Shades during Operation

Although rare, there may be situations that go wrong during the air travel. In such cases, the window shades must be open in order to observe the suitability of the external conditions by the cabin crew and to provide the most accurate evacuation direction. For example, it is of vital importance in terms of detecting a possible fire that may occur outside the cabin and in the engines as quickly as possible and thus applying the necessary emergency procedure.

Preparing the Passengers for the Dark Environment

It is not an imaginary product that the rules of aviation are written in 'blood' because many of the rules introduced are based on painful events and experiences in the past. The fact that all lights in the cabin are completely turned off during landing and take-off, especially in night flights, is based on a similar justification. It takes a few minutes for our eyes to get used to the dark and regain the ability to see in the dark. In a possible problem, passengers must have their eyes ready for dark conditions in order to be able to evacuate the aircraft in a healthy way at night. Otherwise, conflicts are likely to arise. In such a situation, it is aimed to turn off the interior lights of the cabin, so that the passengers gain the necessary night vision ability.

Importance of Water Consumption during Travel

During flight, the body is exposed to dehydration, that is, water loss. Drying on the skin is also possible due to the air conditioning in the cabin. Cabin pressure can also cause various disturbances in the pressure balance

in the ear (Airlines, 2023). The most effective way to combat all these negativities is for passengers to consume water during their travels. Therefore, it is important to prefer water consumption instead of hot and fizzy drinks containing caffeine.

Impacts of Cabin Temperature on Human Health

Many of the passengers show signs of chills during their flights. The temperature in the cabin is deliberately and reasonably reduced. Passengers are more likely to pass out due to high temperatures inside the aircraft. Studies have revealed that there is a relationship between the increase in cabin temperature and loss of consciousness. Hypoxia, that is, the inability of the body tissue to receive enough oxygen, is also a case that can be seen more frequently in air travel. In the face of this situation, the warm air atmosphere that will occur in the cabin may cause the passenger to faint. Moreover, the increase in cabin temperature triggers nausea even more. For this reason, the temperature in the cabin is deliberately lowered to a significant level during the flight so that passengers do not experience various instantaneous health problems such as loss of consciousness (Dursun, 2018h).

Sense of Hearing Problems during Flight

Although aviation brings positive contributions to our daily lives, it can sometimes expose us to negative effects. One of them is ear complaints. Especially during the landing of the plane, two-thirds of the children and half of the adults experience problems due to the pressure change in the ear structure (İldız, 2012). Conditions such as ear congestion, mild pain, feeling of aural fullness, ringing and dizziness may be encountered. The most important point to eliminate the negativity is to balance the pressure in the middle ear through the Eustachian tube and to increase the activity of the respiratory system.

Ways to Cope with Hearing Sense Problems

- a) Air travel should be avoided while having an upper respiratory tract infection.
- b) Keep the Eustachian tube open by chewing gum.
- c) The nose should be kept open; a doctor-recommended nasal spray should be used to prevent congestion.
- d) An otolaryngologist should be visited for ear cleaning.
- e) Care should be taken not to sleep, especially when the plane is landing.

f) When a parent feels pressure in the children's ears, they can manage the situation by giving their children a drink and using a pacifier for the babies.

g) Earphones should be loosened and earplugs should not be used during the landing of the aircraft.

h) Intra-ear pressure can be balanced by yawning (Dursun, 2018i).

Aviatophobia

Although airplanes are the safest and most reliable mode of transportation according to statistics, the risk perceived by travelers says something else. It is even possible to talk about people who have succumbed to their fears, especially by never getting on a plane throughout their lives. The general outcome of the research is that one out of every four people has a fear of flying (Özant, 2021). However, it should not be forgotten that there is a way to cope with every fear.

Causes of Aviatophobia

The feeling that the feet cannot touch the ground, the distance to the ground surface, and the feeling of losing control on the journey primarily trigger reservations and fears. The idea of turbulence is one of the primary factors that pave the way for fear. In addition, the fondness of parents for their children and their struggle to survive in a life without them is scratching the minds. The following are listed as some of the predominant factors: fear of death triggered by the perceived risk, the self-destruction caused by a previous plane crash, or a phobia of traveling in a closed space.

Turbulence

The turbulence feels like it will cause the plane to crash at any moment. For this reason, it can cause panic attack symptoms such as sweating, heart palpitations, shortness of breath, and nausea (Dursun, 2018d). Although turbulence has many causes, in fact, turbulence does not contain the supposed dangers. Turbulence can be experienced due to changes in atmospheric pressure, air vortex around mountains, cold and warm air fronts, storm clouds, and this event can occur even in suitable meteorological conditions. However, the probability of turbulence to drag and launch a passenger plane produced with today's technology is almost zero.

Ways to Cope with Fear of Turbulence

With the support of an expert therapist, it is important to discover how fear and anxiety develop, what kind of emotions it causes, and how to

overcome it. This fear is a fixable problem, but it will not go away when ignored. Books that teach ways to cope with this issue can also be read. In fact, it should be realized that the main reason underlying the fears is the possibility of the plane crashing, and it should be understood that the probability of the plane crashing is extremely low. During turbulence, it will be the simplest calming method for passengers to try to communicate with the passenger traveling with them. In times of fear, people feel better by talking or sharing (Dursun, 2018d).

Safety Management System in Aviation

Perhaps the most vital and indispensable component of aviation activities is safety and its systematized version, the Safety Management System (SHGM, 2012). First of all, the concepts of safety and security, which often create confusion in various sources, should be explained. As the most appropriate definition that can be taken from the literature, the concept of safety is the state of being away from the dangers caused by natural forces and human errors; the concept of security, on the other hand, can be expressed as the state of being away from the dangers that the human being consciously creates in order to cause harm.

In aviation, risk is defined as the result obtained by multiplying the following by the severity of the effect resulting from: the probability of damage to equipment or structures, causing loss of resources, or impairing the performance of a predefined function. Taking the necessary measures to eliminate unacceptable risk damage is defined as safety. Based on the definitions made in the legislation; safety risk management refers to the management system that ensures that risks are defined, analyzed, eliminated or brought to an acceptable level (SHGM, 2012b). Safety management system, on the other hand, refers to the systematic and precise approach, defined as safety management activities, carried out by the organization to ensure acceptable or tolerable safety.

Given that air transport is the safest mode of transport, the risk perceived by beneficiaries was often higher than other modes of transport. Various studies have been carried out by airline companies in order to change this perception. At this point, it can be seen that this perception has changed over time. As a result of the new systems and equipment introduced in line with the developing technology, it is of critical importance to improve the effectiveness of the risk management practices adopted within this scope.

The responsibilities of employees in establishing the continuity of safety regarding civil aviation activities should also be noted. What makes this situation so critical is that the human factor plays a major role in seri-

ous accidents and losses that occur as a result of safety vulnerabilities. Issues encountered as a result of not following the rules properly are listed as follows: Vulnerabilities in safety as a result of negligence, delays in flight operations, inefficient use of time, work accidents with various financial losses and/or injuries, waste of country resources and increasing national costs, low motivation and losses in work efficiency.

National and international rules in aviation bring requirements for monitoring the development processes of operator personnel. This situation imposes obligations on the parties, such as carrying out systematic, programmed and sustainable training activities. For this reason, it is seen that the safety factor is always considered as the first priority in the regulations made by the International Civil Aviation Organization (ICAO), the European Organization for the Safety of Air Navigation (Eurocontrol) and the European Aviation Safety Agency (EASA). Giving priority to the “Safety Management System” and “Human Factors” issues in the training programs to be carried out for the training of human resources to take place in the aviation sector will significantly reduce the impact of various risk factors (Dursun, 2018j).

Factors Affecting the Safety Management System

In terms of safety-related factors in aviation, in addition to the traditional classification made to increase the general safety of aviation, they are listed as follows: operating environment, airline specific factors, aircraft specific factors and human factors. The element that puts the safety of the aviation system most at risk is human beings. Safety is compromised because people make mistakes. In this case, it is necessary to investigate why people make mistakes, which factors related to people make mistakes and how this mistake is made.

The efforts of the employees are also highly important in ensuring the effectiveness of the system. In order to obtain this support, it is of great importance that employees think and know that their suggestions for increasing safety are valued. Moreover, the vision set by the top management should be shared by all employees. Thus, employees gain a common identity and adopt the system.

Relationship between Safety Management and Quality Management

There is a direct relationship between safety management and quality management in civil air transportation. The main reason underlying this relationship is that every kind of control, inspection, problem and malfunction detection in order to ensure safety and quality in all sub-systems in the

civil aviation field is directly related to all kinds of maintenance performed during the technical stages of the operation. As a matter of fact, when we examine the quality management system researches in the literature, it is seen that results are obtained as follows: especially quality management practices increase corporate performance in business production processes (Saizarbitoria, 2006), reduce the frequency of failures by making maintenance activities more effective, and increase work safety (Gotzamani and Tsiotras, 2002; Koç, 2007).

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Chapter 12

BANKING PERFORMANCE OF THE 11 CITIES BEFORE THE 2023 KAHRAMANMARAS EARTHQUAKE: INTEGRATED MEREC- WEDPA METHOD

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Introduction

Turkey is one of the few countries in the world that has been exposed to the most severe earthquakes. The earthquakes in Turkey that caused many destructions and loss of lives in history are doing the same things today. Due to the 2023 Kahramanmaraş Earthquake happening at night and noon on 6th February 2023, almost 50,000 people died up to now and nearly 750.000 houses were destroyed. There is great concern that the death toll would rise further. Its damage to Turkish economy is estimated nearly \$100 billion and %1 negative effect on economic growth for this year. The earthquake caused to a lot of deaths, injuries and destruction in 11 cities (the region). The cities affected by the earthquake are Kahramanmaraş, Hatay, Gaziantep, Adıyaman, Kilis, Adana, Diyarbakır, Elazığ, Şanlıurfa, Malatya and Osmaniye.

Indicators related to the structure of economic activity in the 10 (Elazığ was added later to the list) provinces most affected by the earthquake disaster are summarized here. First, the total population of the provinces most affected by the earthquake is 13.4 million people and its share in the population of the country is 15.7 percent. Second, 9.3 percent of GDP is created in the region. Although the dominant sector is agriculture, the manufacturing industry also has an important place. Third, the share of the region in the number of enterprises and taxpayers is around 11 percent. Fourth, the role of the region in agricultural production is important and its relative share is 14.5 percent in terms of the cultivated agricultural area. Fifth, export weight is 8.5 percent. Sixth, the share of actively insured employees in the region is 11.7 percent. Seventh, the region's contribution to budget revenues is 4.7 percent. Eighth, the textile and metal sectors are prominent sectors in loans and the share of total cash loans is around 9.0 percent. The internal distribution of loans in the region also gives important clues in terms of showing which economic activities the region is concentrated in. Ninth, 10.2 percent of automobiles and 11.9 percent of motor vehicles are registered in the region. Tenth, 6 percent of savings deposits and 4.2 percent of commercial and other deposits belong to savers and companies in the region (Türkan, 2023). The 2023 Kahramanmaraş Earthquake is expected to cause a total of \$84.06 billion in damage, including \$70.75 billion in housing damage, \$10.4 billion in loss of national income and \$2.91 billion in loss of working days (Türkonfed, 2023).

In this study, just before the earthquake, the banking performance of these 11 cities exposed to the destruction were investigated based on a number of statistics by applying integrated MEREC-WEDPA method. The

aim of the study is to reveal as much as possible the extent of the earthquake damage to the banking system.

1. Literature

To date, no other study has yet been conducted in which MEREC (Method based on the Removal Effects of Criteria) and WEDPA (Weighted Euclidean Distance Based Approach) have been integrated to measure performance in the banking sector. However, there are many studies conducted with WEDPA or MEREC in the fields of banking, business, procurement of goods, marketing, communication. Some of the studies in question are listed below.

Demir and Arslan (2022) reviewed the Fragile Five countries. In the research, an integrated model based on the MEREC and WISP methods. MEREC was used to determine the criterion weight, WISP was used to rank Fragile Five countries. The researchers selected 6 quantitative criteria and 5 countries were selected as alternatives. In the research, the unemployment rate of these countries, the state budget, GDP growth, inflation, current account balance, risk premium were used as criteria. It was found that the model was sensitive to changes in the weight coefficients with different weights assigned to the criteria over 22 scenarios. It was seen that the model provided valid results in a dynamic environment through 4 different scenarios created in the sequence reversal step of the model. For the reliability of the MEREC-WISP based model, a ranking comparison was made with some commonly used methods such as PIV, CoCoSo, COPRAS, WEDBA, TOPSIS and SAW and the results were found to have a high correlation.

Puška et al. (2023) searched the buying electric cars that help preserve the environment compared to cars with an internal combustion engine. In the research, an integrated model based on the MEREC and CRADIS methods. MEREC was used to determine the criterion weight, CRADIS was used to rank electric cars. The researchers selected 13 quantitative criteria and 20 cars were selected as alternatives. The results of the research showed that the alternative A6 achieved the best results according to the observed criteria and the methodology used. These results were confirmed by comparative analysis of results performed using other MCDM methods and sensitivity analysis.

The WEDBA method was used by Rao and Singh (2011) in the problem of flexible manufacturing selection, by Rao (2012) in the problem of plant and plant layout, and by Rao et al., (2012) in solving manufacturing problems.

Garg (2017), who wanted to determine the best electronic learning website among 5 alternatives using Fuzzy AHP, COPRAS and WEDBA methods, took into account 2 criteria and 10 sub-criteria related to them during the analysis process. As a result of the study, it was reported that the electronic learning website with the code CPW-5 was the best.

In a study conducted by Ulutaş (2020) on stacker selection, PSI and WEDBA methods were used together for the first time. As a result of the findings obtained from the study, it was determined that the best stacker according to the WEDBA method was the stacker with the code "ST5".

Demir (2021) analyzed the academic performance of foundation universities in Turkey with CRITIC and WEDBA methods for 2020, included the data of 56 foundation universities and 5 different criteria in the analysis. It was reported that the most important criterion was the doctoral score criterion and Koç University ranked first.

Şimşek (2022) examined the financial performance of the 10 largest deposit banks in Turkey between 2010-2020. He used the hibrit model of AHP, SV, and WEDBA methods. In the research, 11 financial criteria were used to measure the financial performance of banks. AHP and SV methods were used to determine the criteria weights. WEDPA is used to create performance rankings of the banks. It has been concluded that the criteria with the most and the least effect on the bank performance vary over the years. The result indicated that Ziraat Bankası realized the best performance compared to the others.

2. Method

In this study, an integrated MEREC-WEDPA method was applied in order to measure the banking performance of the cities destroyed by the earthquake.

2.1. MEREC Weight Method

MEREC (Method based on the Removal Effects of Criteria) is proposed to determine the criteria' weights in a multi-criteria decision-making (MCDM) problem. This method is in the category of objective weighting methods for obtaining criteria weights. the MEREC uses each criterion's removal effect on the performance of alternatives to determine criteria weights. Greater weights are assigned to the criteria that have higher effects on the performances. In this method, a simple logarithmic measure is used with equal weights to calculate the performances of the alternatives. To determine the effects of removing each criterion, the

absolute deviation measure is used. It indicates the difference between the total performance of alternative and its performance in removing a criterion. The stages below are used to calculate the criteria weights by MEREC (Keshavars-Ghorabae et al., 2021; Demir and Arslan, 2022; Puška et al., 2023).

Stage 1. Construction of the initial decision matrix. It indicates each alternative's values relating to each criterion. The elements of this matrix are denoted by x_{ij} in which there are n alternatives and m criteria, and the form of the decision-matrix is as follows:

$$X = [x_{ij}]_{n \times m} = \begin{bmatrix} x_{11} & \dots & x_{1m} \\ \vdots & \ddots & \vdots \\ x_{n1} & \dots & x_{nm} \end{bmatrix} \quad i = 1,2,3 \dots, n \text{ and } j = 1,2,3 \dots, m \quad (1)$$

Stage 2. Normalization of the matrix (N). In this stage, a simple linear normalization is used to scale the elements of the matrix. The elements of the normalized matrix are symbolized by n^x_{ij} . If B indicates the beneficial criteria, H shows the cost criteria, Equation (2) are applied for normalization:

$$N = n^x_{ij} = \begin{cases} \frac{\min_k x_{kj}}{x_{ij}} & \text{if } j \in B \\ \frac{x_{ij}}{\max_k x_{kj}} & \text{if } j \in H \end{cases} \quad (2)$$

Stage 3. Calculation of the total performance of the alternatives (S_i). A logarithmic measure with equal criteria weights is applied to obtain the total performance of the alternatives. Thus, it is ensured that smaller values of n^x_{ij} create greater values of performances (S_i). Equation (3) is used for the calculation.

$$S_i = \ln \left(1 + \left(\frac{1}{m} \sum_j | \ln(n^x_{ij}) | \right) \right) \quad (3)$$

Stage 4. Calculation of the performance of the alternatives by removing each criterion. In this stage, the logarithmic measure is used in a similar way to the previous step. The difference between this stage and Stage 3 is that the alternatives' performances are calculated based on removing each criterion separately. Therefore, m sets of performances associated with m criteria are created. S'_{ij} denotes the overall performance

of *i*th alternative concerning the removal of *j*th criterion. The following equation (Equation 4) is used for the calculations of this stage:

$$S'_{ij} = \ln \left(1 + \left(\frac{1}{m} \sum_{k, k \neq j} | \ln(n^x_{ik}) | \right) \right) \tag{4}$$

Stage 5. Computation of the sum of absolute deviations. In this stage, the removal effect of the *j*th criterion is calculated based on the values obtained from Stage 3 and Stage 4. *E_j* indicates the effect of removing *j*th criterion. The values of *E_j* is calculated using the following formula (Equation 5):

$$E_j = \sum_i | S'_{ij} - S_i | \tag{5}$$

Stage 6. Determination of the final weights of the criteria. In this stage, each criterion’s objective weight is calculated using the removal effects (*E_j*) of Stage 5. In what follows, *w_j* stands for the weight of the *j*th criterion. The following equation (Equation 6) is used for the calculation of *w_j*:

$$w_j = \frac{E_j}{\sum_k E_k} \tag{6}$$

2.2. WEDPA Ranking Method

The WEDBA (Weighted Euclidean Distance Based Approach) method is based on the weighted Euclidean distance, which takes into account the weighted distances of the alternatives within the scope of the most and least favorable positions, respectively. The most favorable optimum point is evaluated as ideal point and the least favorable point is evaluated as anti-ideal point. For practical purposes, ideal and non-ideal points are expressed as the best (maximum-benefit) and worst (minimum-cost) values within the evaluation criteria, respectively. The application steps of the method are as follows (Demir, 2021; Garg, 2017; Jain and Ajmera, 2019; Rao and Singh, 2011; Işık, 2021; Tolga and Başar, 2022; Ulutaş, 2020; Şimşek, 2022);

Step 1. Application begins with the creation of the decision matrix in Equation (1).

Step 2. Each value in the decision matrix is normalized at this step by taking into account its qualities (benefit-cost). Equation (7) is used for the benefit criteria and Equation (8) is used for the cost criteria in the this process.

$x^*_{ij} = \frac{x_{ij}}{\max x_{ij}} \tag{7}$
$x^*_{ij} = \frac{\min x_{ij}}{x_{ij}} \tag{8}$

Step 3. The normalized matrix obtained in the previous step is standardized at this step through Equation (9).

$y_{ij} = \frac{x^*_{ij} - \mu_j}{\sigma_j} \tag{9}$
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The value expressed as μ_j in Equation (9) is the average value of criterion j. and σ_j represents the standard deviation of criterion j. and these values are calculated in accordance with the equations (10-11) respectively.

$\mu_j = \frac{\sum_{i=1}^m x^*_{ij}}{m} \tag{10}$
$\sigma_j = \sqrt{\frac{\sum_{i=1}^m (x^*_{ij} - \mu_j)^2}{m}} \tag{11}$

Step 4. Ideal values (y^+_{ij}) and anti-ideal values (y^-_{ij}) are obtained in this step with the help of equations (12-13) respectively.

$y^+_{ij} = \max (y_{ij}) \tag{12}$
$y^-_{ij} = \min (y_{ij}) \tag{13}$

Step 5. In the final step of the WEDBA method, first the Euclidean distances (WED^+_i and WED^-_i) are calculated for each decision alternative within the scope of Equation (14) and Equation (15).

$WED^+_i = \sqrt{\sum_{j=1}^n \{W_j \times (y_{ij} - y^+_{ij})\}^2} \tag{14}$

$$WED^-_i = \sqrt{\sum_{j=1}^n \{W_j \times (y_{ij} - y^-_{ij})\}^2} \tag{15}$$

Secondly, by using Equation (16), performance index scores expressed as IS_i are determined for each decision alternative.

$$IS_i = \frac{WED^-_i}{WED^-_i + WED^+_i} \tag{16}$$

Taking into account the calculated performance index scores (IS_i), the alternative obtaining the highest score is accepted as the best, while the alternative obtaining the lowest score is the worst.

3. Analysis

The research data were mainly collected from the TBA’s (Turkish Banks Association) report named as Distribution of Loans and Deposits by Province. The earthquake city’s % share in Total Deposits, % share in Total Loans, Number of Branches, Deposit per branch, Credit per branch, Number of Employees, Number of ATMs, Number of POS and Number of Member Merchants indicating the banking performance of these cities were accepted as the decision criteria. These criteria with their names, codes, targets are shown below in Table 1.

Table 1. Decision Criteria

Criteria (The earthquake city’s ...)	Code	Target	Weight
% share in Total Deposits	TMEV	Max	15%
% share in Total Loans	TKRD	Max	17%
Number of Branches	SBS	Max	11%
Deposits per branch (TL million)	SBMEV	Max	6%
Credit per branch (TL million)	SBKRD	Max	6%
Number of Employees	CLS	Max	13%
Number of ATMs	ATM	Max	10%
Number of POS	POS	Max	11%
Number of Member Merchants	UYE	Max	10%

In this table all the criteria are the maximum targeted or the benefit-oriented. Thus the higher the criterion value, the better the bank performance. The criterion weights in the table will be described later. 11 cities exposed to the 2023 Kahramanmaraş earthquake are accepted as alternatives to rank their banking performance in 2021. There are 11 cities affected by the earthquake. Table 2 shows their names.

Table 2. Alternatives

Alternatives (cities)	Code
Adana	AND
Hatay (Antakya)	HTY
Kahramanmaraş	KHR
Osmaniye	OSM
Elazığ	ELZ
Malatya	MLT
Adıyaman	ADY
Diyarbakır	DYR
Gaziantep	GZN
Kilis	KLS
Şanlıurfa	ŞNL

Before proceeding to the banking performance of these cities, it is useful to look at the statistics about the GDP share of the provinces (excluding Elazığ) exposed to the earthquake. Table 2a shows these statistics.

Table 2a. The Share of the Cities in GDP (2021)

	Share of total GDP	Share of agriculture, forestry and fishing sector	Industrial sector share	Share of manufacturing industry sector	Share of construction sector	Services sector share	Share of the finance and insurance activities sector
AND	2%	2,5%	2,2%	2,1%	1,7%	1,9%	1,5%
HTY	1,4%	1,3%	1,8%	1,9%	1,0%	1,4%	0,5%
KHR	0,9%	1,4%	1,4%	1,3%	0,8%	0,4%	0,3%
OSM	0,4%	0,6%	0,7%	0,7%	0,3%	0,2%	0,1%
MLT	0,5%	0,9%	0,5%	0,5%	0,7%	0,3%	0,3%
GZN	2%	1,3%	3,6%	4%	1,7%	1,5%	0,8%
ADY	0,3%	0,8%	0,3%	0,2%	0,3%	0,2%	0,2%
KLS	0,1%	0,2%	0,1%	0,1%	0,1%	0,1%	0,0%
ŞNL	0,8%	3%	0,4%	0,3%	0,8%	0,5%	0,3%
DYR	0,9%	2,2%	0,4%	0,2%	1,2%	0,5%	0,4%
<i>Total</i>	<i>9,3%</i>	<i>14,3%</i>	<i>11,2%</i>	<i>11,3%</i>	<i>8,7%</i>	<i>7,1%</i>	<i>4,4%</i>

Source: Turkish Statistical Institute (TÜİK), 2021 and TÜRKONFED (2023).

As can be seen from the table, Adana (AND) is the province with the highest share in national income. The share of 10 provinces in GDP is 9.3 percent. The steps of analysis are shown below: According to Equation (1), the decision matrix is formed. This matrix is shown in Table 3 below. The 2021 criterion values of the 11 cities included in the analysis are shown below.

Table 3. Decision Matrix

	TMEV	TKRD	SBS	SBMEV	SBKRD	CLS	ATM	POS	UYE
AND	1.52	1.64	220	346	353	3484	1,006	70,052	75,178
HTY	0.87	1.03	119	366	410	1510	574	35,226	41,021
KHR	0.40	0.67	76	261	416	1384	369	19,977	23,557
OSM	0.12	0.19	34	174	263	387	178	11,311	13,087
ELZ	0.25	0.29	42	300	337	645	214	13,261	15,430
MLT	0.33	0.27	57	288	225	789	313	17,736	20,381
ADY	0.15	0.19	38	202	231	418	168	11,171	12,700
DYR	0.37	0.50	92	199	261	1467	411	25,476	27,361
GZN	1.22	2.38	151	406	749	2290	684	45,315	49,839
KLS	0.03	0.03	9	157	176	88	45	2,059	2,450
ŞNL	0.26	0.44	79	163	263	949	382	21,612	21,136

Source: TBA (2023). Distribution of Loans and Deposits by Province Report. <https://www.tbb.org.tr/tr/bankacilik/banka-ve-sektor-bilgileri/istatistiki-raporlar/59>.

According to Table 3, for example, in 2021, the share of deposits in Adana province (AND) in total deposits in Turkey (TMEV) is 1.52 percent. The share of loans in Adana province in total loans in Turkey (TKRD) is 1.64 percent. There are 220 bank branches (SBS) in Adana. The average deposit per branch (SBMEV) in Adana is TL 346 million. The average loan per branch (SBKRD) in this city is TL 353 million. The number of bank employees (CLS) in Adana is 3,484. In this city, the number of ATMs is 1,006, the number of POS is 70,052 and the number of member merchants (UYE) is 75,178. Table 2 has the same type of information as the other 10 cities destroyed by the earthquake on 6th February 2023.

The maximum and minimum values of the elements in the matrix were calculated on the basis of criteria. These values are presented in Table 4.

Table 4. Max/Min Values

MAX	1.520503	2.382905	220	405.8499	749.4875	3484	1006	70052	75178
MIN	0.395708	0.669651	76	260.9534	352.667	1384	369	19977	23557

The normalized decision matrix is calculated according to Equation (2). This matrix is shown in Table 5 below.

Table 5. Normalized Matrix

	TMEV	TKRD	SBS	SBMEV	SBKRD	CLS	ATM	POS	UYE
AND	0.260	0.409	0.345	0.753	1.000	0.397	0.367	0.285	0.313
HTY	0.456	0.648	0.639	0.714	0.861	0.917	0.643	0.567	0.574
KHR	1.000	1.000	1.000	1.000	0.848	1.000	1.000	1.000	1.000
OSM	3.351	3.534	2.235	1.499	1.341	3.576	2.073	1.766	1.800
ELZ	1.575	2.288	1.810	0.870	1.047	2.146	1.724	1.506	1.527
MLT	1.206	2.463	1.333	0.905	1.567	1.754	1.179	1.126	1.156
ADY	2.589	3.593	2.000	1.294	1.524	3.311	2.196	1.788	1.855
DYR	1.083	1.329	0.826	1.311	1.350	0.943	0.898	0.784	0.861
GZN	0.324	0.281	0.503	0.643	0.471	0.604	0.539	0.441	0.473
KLS	14.076	19.921	8.444	1.667	2.001	15.727	8.200	9.702	9.615
ŞNL	1.536	1.521	0.962	1.597	1.342	1.458	0.966	0.924	1.115

In (x) values are calculated according to Equation (3). They are shown in Table 6 below.

Table 6. In (x) Values

	TMEV	TKRD	SBS	SBMEV	SBKRD	CLS	ATM	POS	UYE
AND	1.346	0.894	1.063	0.283	0.000	0.923	1.003	1.255	1.160
HTY	0.786	0.433	0.448	0.337	0.149	0.087	0.442	0.567	0.555
KHR	0.000	0.000	0.000	0.000	0.164	0.000	0.000	0.000	0.000
OSM	1.209	1.262	0.804	0.405	0.294	1.274	0.729	0.569	0.588
ELZ	0.454	0.828	0.593	0.139	0.046	0.763	0.545	0.410	0.423
MLT	0.187	0.901	0.288	0.100	0.449	0.562	0.165	0.119	0.145
ADY	0.951	1.279	0.693	0.258	0.421	1.197	0.787	0.581	0.618
DYR	0.080	0.284	0.191	0.271	0.300	0.058	0.108	0.243	0.150
GZN	1.128	1.269	0.687	0.442	0.754	0.504	0.617	0.819	0.749
KLS	2.644	2.992	2.134	0.511	0.694	2.755	2.104	2.272	2.263
ŞNL	0.429	0.420	0.039	0.468	0.294	0.377	0.035	0.079	0.108

S'_{ij} values are calculated according to Equation (4). They are shown in Table 7 below.

Table 7. S'ij Values

	TMEV	TKRD	SBS	SBMEV	SBKRD	CLS	ATM	POS	UYE
AND	0.549	0.577	0.567	0.615	0.632	0.576	0.571	0.555	0.561
HTY	0.289	0.318	0.317	0.326	0.341	0.346	0.317	0.307	0.308
KHR	0.018	0.018	0.018	0.018	0.000	0.018	0.018	0.018	0.018
OSM	0.506	0.502	0.533	0.558	0.565	0.501	0.537	0.548	0.547
ELZ	0.348	0.318	0.337	0.373	0.380	0.323	0.341	0.352	0.350
MLT	0.265	0.202	0.256	0.272	0.242	0.232	0.267	0.271	0.268
ADY	0.500	0.477	0.517	0.545	0.535	0.483	0.511	0.524	0.522
DYR	0.164	0.145	0.153	0.146	0.143	0.166	0.161	0.149	0.157
GZN	0.500	0.491	0.529	0.545	0.525	0.541	0.534	0.521	0.525
KLS	1.011	0.996	1.031	1.093	1.087	1.006	1.032	1.026	1.026
ŞNL	0.184	0.185	0.220	0.181	0.197	0.189	0.220	0.216	0.213

E_j values are calculated according to Equation (5). They are shown in Table 8 below.

Table 8. E_j Values

	TMEV	TKRD	SBS	SBMEV	SBKRD	CLS	ATM	POS	UYE
AND	0.083	0.054	0.065	0.017	0.000	0.056	0.061	0.077	0.071
HTY	0.063	0.034	0.036	0.027	0.012	0.007	0.035	0.045	0.044
KHR	0.000	0.000	0.000	0.000	0.018	0.000	0.000	0.000	0.000
OSM	0.078	0.081	0.051	0.025	0.018	0.082	0.046	0.036	0.037
ELZ	0.035	0.065	0.046	0.011	0.003	0.060	0.042	0.032	0.033
MLT	0.016	0.079	0.024	0.008	0.038	0.048	0.014	0.010	0.012
ADY	0.062	0.084	0.045	0.016	0.027	0.079	0.051	0.038	0.040
DYR	0.007	0.027	0.018	0.026	0.028	0.005	0.010	0.023	0.014
GZN	0.073	0.083	0.044	0.028	0.048	0.032	0.039	0.053	0.048
KLS	0.102	0.116	0.081	0.019	0.026	0.106	0.080	0.087	0.086
ŞNL	0.039	0.038	0.003	0.042	0.026	0.034	0.003	0.007	0.010

Weights of the criteria (w_j) are calculated according to Equation (6). They are shown in Table 9 below.

Table 9. Sum and Weights

SUM	0.558	0.662	0.414	0.220	0.246	0.510	0.382	0.407	0.395
Weights	0.1472	0.1744	0.1090	0.0579	0.0649	0.1344	0.1008	0.1072	0.1042

In Table 9, the criterion importance priority was set by as follows: TKRD > TMEV > CLS > SBS > POS > UYE > ATM > SBKRD > SBMEV. According to these results, before the earthquake, the most important criterion determining the banking performances of the cities damaged by

the earthquake is the percentage share of the loans given by the bank branches in these cities in the total loans given in the country. The weight (importance) of the share of the loans given by the bank branches in these cities is 17.44 percent in the total of the criteria. The second most important criterion was the percentage share of the deposits collected by the bank branches in these cities in the total deposits collected in Turkey. The importance of this criterion is 14.72 percent. The third most important criterion is the criterion of the total number of bankers working in these 11 cities. The weight of this criterion was 13.44 percent. The least important criterion is the average deposit collected per branch in these provinces. The weight of this criterion was 5.79 percent.

In the first step of WEDPA, the initial matrix was formed based on the statistics of TBA for 2021. The matrix in Table 10 below has 9 criteria and 11 alternatives.

Table 10. Initial Matrix: Banking Data of the 11 Cities Exposed to 2023 Kahramanmaraş Earthquake (2021)

	TMEV	TKRD	SBS	SBMEV	SBKRD	CLS	ATM	POS	UYE
	Max	Max	Max	Max	Max	Max	Max	Max	Max
AND	1.52	1.64	220	346	353	3484	1,006	70,052	75,178
HTY	0.87	1.03	119	366	410	1510	574	35,226	41,021
KHR	0.40	0.67	76	261	416	1384	369	19,977	23,557
OSM	0.12	0.19	34	174	263	387	178	11,311	13,087
ELZ	0.25	0.29	42	300	337	645	214	13,261	15,430
MLT	0.33	0.27	57	288	225	789	313	17,736	20,381
ADY	0.15	0.19	38	202	231	418	168	11,171	12,700
DYR	0.37	0.50	92	199	261	1467	411	25,476	27,361
GZN	1.22	2.38	151	406	749	2290	684	45,315	49,839
KLS	0.03	0.03	9	157	176	88	45	2,059	2,450
ŞNL	0.26	0.44	79	163	263	949	382	21,612	21,136
Mak	1.52	2.38	220	406	749	3484	1006	70052	75178
Min	0.03	0.03	9	157	176	88	45	2059	2450

Source: TBA (2023). Distribution of Loans and Deposits by Province Report <https://www.tbb.org.tr/tr/bankacilik/banka-ve-sektor-bilgileri/istatistiki-raporlar/59>.

Note that Table 10 is the same as Table 2. Because in both MEREC and WEDPA methods, a decision matrix must first be created.

In the second step, the initial matrix was normalized by Equation (7). In this step, all the elements of initial matrix were transformed the values between 0 and 1. They are shown below in Table 11.

Table 11. Normalized Matrix

	TMEV	TKRD	SBS	SBMEV	SBKRD	CLS	ATM	POS	UYE
	Max	Max	Max	Max	Max	Max	Max	Max	Max
AND	1.000	0.687	1.000	0.853	0.471	1.000	1.000	1.000	1.000
HTY	0.571	0.433	0.541	0.901	0.546	0.433	0.571	0.503	0.546
KHR	0.260	0.281	0.345	0.643	0.555	0.397	0.367	0.285	0.313
OSM	0.078	0.080	0.155	0.429	0.351	0.111	0.177	0.161	0.174
ELZ	0.165	0.123	0.191	0.739	0.449	0.185	0.213	0.189	0.205
MLT	0.216	0.114	0.259	0.711	0.300	0.226	0.311	0.253	0.271
ADY	0.101	0.078	0.173	0.497	0.309	0.120	0.167	0.159	0.169
DYR	0.240	0.212	0.418	0.491	0.349	0.421	0.409	0.364	0.364
GZN	0.804	1.000	0.686	1.000	1.000	0.657	0.680	0.647	0.663
KLS	0.018	0.014	0.041	0.386	0.235	0.025	0.045	0.029	0.033
ŞNL	0.169	0.185	0.359	0.403	0.351	0.272	0.380	0.309	0.281
<i>Average</i>	<i>0.329</i>	<i>0.291</i>	<i>0.379</i>	<i>0.641</i>	<i>0.447</i>	<i>0.350</i>	<i>0.393</i>	<i>0.355</i>	<i>0.365</i>
<i>Standard Dev.</i>	<i>0.320</i>	<i>0.304</i>	<i>0.277</i>	<i>0.216</i>	<i>0.210</i>	<i>0.282</i>	<i>0.272</i>	<i>0.274</i>	<i>0.275</i>

In the third step, the normalized matrix is transformed to the standard matrix by Equation (9). The standardized matrix is seen below in Table 12.

Table 12. Standardized Matrix

	TMEV	TKRD	SBS	SBMEV	SBKRD	CLS	ATM	POS	UYE
AND	2.096	1.301	2.243	0.984	0.113	2.305	2.231	2.357	2.311
HTY	0.755	0.467	0.585	1.203	0.474	0.296	0.654	0.542	0.657
KHR	-0.216	-0.034	-0.121	0.009	0.513	0.168	-0.095	-0.253	-0.189
OSM	-0.786	-0.697	-0.811	-0.982	-0.457	-0.847	-0.792	-0.705	-0.697
ELZ	-0.513	-0.555	-0.679	0.452	0.012	-0.584	-0.660	-0.603	-0.583
MLT	-0.355	-0.584	-0.433	0.323	-0.697	-0.438	-0.299	-0.370	-0.343
ADY	-0.715	-0.702	-0.745	-0.668	-0.657	-0.816	-0.828	-0.712	-0.715
DYR	-0.278	-0.263	0.142	-0.697	-0.467	0.252	0.059	0.033	-0.005
GZN	1.484	2.331	1.111	1.662	2.632	1.090	1.055	1.068	1.084
KLS	-0.971	-0.913	-1.221	-1.182	-1.008	-1.151	-1.277	-1.187	-1.212
ŞNL	-0.500	-0.351	-0.072	-1.104	-0.457	-0.275	-0.047	-0.168	-0.307

At the fourth stage, ideal and anti-ideal values are calculated by Equation (12) and Equation (13) respectively. These values are shown in Table 13.

Table 13. Ideal and Anti-Ideal Values

	TMEV	TKRD	SBS	SBMEV	SBKRD	CLS	ATM	POS	UYE
y+ij	2.096	2.331	2.243	1.662	2.632	2.305	2.231	2.357	2.311
y-ij	-0.971	-0.913	-1.221	-1.182	-1.008	-1.151	-1.277	-1.187	-1.212

At the fifth stage, the performance score (**Isi**) of each alternative was calculated by Equations of (14), (15) and (16) respectively. The city providing the highest score (**Isi**) succeeded the first place in the ranking list. Table 14 indicates performance scores and ranking.

Table 14. Score-Ranking

	WED+i	WED-i	Isi	Ranking
AND	0.246	1.011	0.804	1
HTY	0.603	0.589	0.494	3
KHR	0.815	0.360	0.306	4
OSM	1.054	0.170	0.139	10
ELZ	0.982	0.271	0.216	8
MLT	0.943	0.294	0.238	7
ADY	1.049	0.175	0.143	9
DYR	0.826	0.364	0.306	5
GZN	0.316	0.864	0.732	2
KLS	1.170	0.140	0.107	11
ŞNL	0.903	0.306	0.253	6

Table shows that the city coded with AND achieved the best score. The city coded with GZN became the second best. HTY was the third. When the city names are stated more clearly, the result of the research can be seen better. The ranking is shown more openly and orderly in Table 15.

Table 15. Performance Ranking

City	Code	Ranking
Adana	AND	1
Gaziantep	GZN	2
Hatay (Antakya)	HTY	3
Kahramanmaraş	KHR	4
Diyarbakır	DYR	5

Şanlıurfa	ŞNL	6
Malatya	MLT	7
Elazığ	ELZ	8
Adıyaman	ADY	9
Osmaniye	OSM	10
Kilis	KLS	11

When the performances of the cities damaged by the 2023 Kahramanmaraş Earthquake were compared based on nine criterion, Adana showed the top performance in 2021. Its total score is 0.804. Gaziantep took the second place with 0.732 points. Hatay has the third place. The last place was taken by Kilis.

Under normal circumstances, the most successful alternative is determined by high performance. However, the best ranking (or high performance) is in a way a result of high assets. And the size of the assets owned increases the potential risk in a situation such as an earthquake. In other words, the city with high performance is more at risk of loss or damage. Because earthquake is a very dangerous risk that destroys resources (human resources, financial resources, capital resources) and performances. Therefore, if the destructive effect of the earthquake were the same in each city, the city that would lose the most would be Adana, which was the first in the performance ranking.

Conclusion

The 2023 Kahramanmaraş Earthquake hit 11 cities (the region) on 6th February 2023 causing to the death toll of almost 50,000 people and nearly 750.000 destroyed houses. The economic damage of the earthquake is not clear yet. Its damage to Turkish economy is estimated nearly \$100 billion and %1 negative effect on economic growth for this year. The total population of the cities most affected by the earthquake is 13.4 million people and its share in the population of the country is 15.7 percent. About 9.3 percent of GDP is created in the region.

In this study, just before the earthquake, the 2021 province-basis banking performance of the region exposed to the destruction were investigated based on a number of statistics by applying integrated MEREC-WEDPA method. MEREC is used to determine the criterion weights and WEDPA is applied to rank the city performances in the region. The aim of the study is to reveal as much as possible the extent of the earthquake damage to the banking system in the region. The province's share in Total Deposits, in Total Loans, its Number of Branches, its

Deposit per branch, its Credit per branch, its Number of bank Employees, its Number of ATMs, its Number of POS and its Number of Member Merchants are selected as the criteria indicating the banking performance in the region. According to the research result, the most important criterion determining the banking performances is the percentage share of the loans given by the bank branches in the city in the total loans given in the country. The second most important criterion was the percentage share of the deposits collected by the bank branches in the city in the total deposits collected in Turkey. The third most important criterion is the criterion of the total number of bankers working in these 11 cities. The least important criterion is the average deposit collected per branch in the region. When the banking performances of the cities were compared based on the criteria, Adana showed the top performance in 2021. Gaziantep took the second place. Hatay has the third place. The last place was taken by Kilis. If the destructive effect of the earthquake were the same in each city, the city that would lose the most would be Adana, which was the first in the performance ranking. But we know that the most destructive effects of the earthquake were seen in Hatay and Kahramanmaraş in terms of human loss and the building demolition. It is useful to check the results of this study with other multi-criteria decision-making techniques.

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Chapter 13

A LOG-OPTIMAL PORTFOLIO APPLICATION IN BORSA ISTANBUL

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1. INTRODUCTION

When investing in the financial markets, an investor must decide how much to invest, which assets to invest in, and how much to invest in each asset. The investment aggregate that emerges after these three decisions creates the portfolio that needs to be optimized for the investor. Such a portfolio is not simply a stock review or a list of bonds. This investment portfolio should have a time to protect against a wide variety of risks and provide methods. The investor should shape this portfolio in the most appropriate ways for his/her own possibilities. The first study that focused on writing down the investment problem expressed in this way as systems has now been the temporary mean-variance model, also known as Modern Portfolio Theory (Markowitz, 1952).

Modern Portfolio Theory is based on two basic parameters: expected return rates and standard deviations of the assets that make up the portfolio. However, this theory, which is based on a single-term approach, ignores the differences that may occur between short- and long-term returns (Kolm et al., 1990). For example, a portfolio with a very high expected return in the short run may have a negative long-term return. For this reason, portfolio theories that can eliminate the differences between short and long-term returns and give better results in the long run are needed. Consequently, various approaches have emerged that reflect the stochastic nature of price movements and assume that growth rates will determine portfolio behaviour in the long run rather than return rates.

Theories that describe price movements in stock markets as stochastic processes and base their market analysis on this basis are quite different from the Modern Portfolio Theory, which tries to explain its structure under assumptions about market and investor behaviour. The log-optimal portfolio method is one of these approaches and defines asset prices in the form of Geometric Brownian motion (Merton, 1992).

In this study, the log-optimal portfolio model, which is one of the models based on stochastic processes, and the mean-variance optimization, which is the application method of Modern Portfolio Theory, will be compared using Borsa Istanbul (BIST) data, and the superiority of the stochastic methods over the single-term methods in terms of long-term performance will be examined.

2. LOG-OPTIMAL PORTFOLIOS

When the price dynamics of the assets are governed by a Geometric Brown Motion the instantaneous price of each of n assets is given by (Luenberger, 1998);

$$\frac{dp_i}{p_i} = \mu_i dt + dz_i \tag{1}$$

where

p_i = price of the i^{th} asset at time t ,

μ_i = expected return of the i^{th} asset at time t ,

z_i = Wiener process which describes the stochastic change in value of i^{th} asset.

This forms a standard model for one asset. In case of a portfolio random variables, which affect the prices of assets, must be related through the Wiener process;

$$\text{cov}(dz_i, dz_j) = E(dz_i dz_j) = \sigma_{ij} dt. \tag{2}$$

where

σ_{ij} = instantaneous covariance of i^{th} and j^{th} assets.

Assets prices, which follow a Geometric Brown Motion, are log-normally distributed. Hence the instantaneous expected value and the variance of such an asset can be given by employing Ito's Lemma as (Hull, 2012);

$$E \left[\ln \left(\frac{p_i(t)}{p_i(0)} \right) \right] = \left(\mu_i - \frac{1}{2} \sigma_i^2 \right) t = \nu_i t \tag{3}$$

$$\text{Var} \left[\ln \left(\frac{p_i(t)}{p_i(0)} \right) \right] = \sigma^2 t \tag{4}$$

where

σ_i^2 = instantaneous variance of the i^{th} asset at time t ,

u_i = instantaneous growth rate of the i^{th} asset at time t .

Log-normal portfolios are known to achieve good compounded rates of returns in long-terms. Moreover, these portfolios have been shown to be superior to all other diversification methods when they are weighted as to maximize the growth rate (Long, 1990).

As the instantaneous return of a portfolio is given as the weighted average of assets, which form the portfolio, the instantaneous value of the portfolio can be given as below using the asset price in (1);

$$\frac{dV}{V} = \sum_{i=1}^n w_i \frac{dp_i}{p_i} = \sum_{i=1}^n w_i \mu_i dt + w_i dz_i \quad (5)$$

where

V = instantaneous value of the portfolio at time t ,

w_i = weights of assets in portfolio as $\sum_{i=1}^n w_i = 1$.

Then the variance of the stochastic term is given with the use of (2) as;

$$\begin{aligned} E \left(\sum_{i=1}^n w_i dz_i \right)^2 &= E \left(\sum_{i=1}^n w_i dz_i \right) \left(\sum_{j=1}^n w_j dz_j \right) \\ &= \sum_{i=1}^n w_i \sigma_{ij} w_j dt. \end{aligned} \quad (6)$$

The instantaneous expected value of the portfolio similar to a single asset in (3) is also given log-normally as follows;

$$E \left[\ln \left(\frac{V(t)}{V(0)} \right) \right] = vt = \sum_{i=1}^n w_i \mu_i t - \frac{1}{2} \sum_{i,j} w_i \sigma_{ij} w_j t. \quad (7)$$

And the instantaneous variance of the portfolio becomes similar to (4);

$$\sigma^2 t = \sum_{i,j}^n w_i \sigma_{ij} w_j t. \tag{8}$$

Equation (7) gives the instantaneous growth rate of the portfolio and can be controlled by choosing the weight coefficients w_1, w_2, \dots, w_n ;

$$v = \frac{1}{t} E \left[\ln \left(\frac{V(t)}{V(0)} \right) \right] \tag{9}$$

Modern Portfolio Theory is based on expected return and variance parameters. But long-term behaviours of portfolios are governed by growth rate rather than returns. Thus, growth rate should be considered for long-term investments. Through the maximization of growth rate v , optimal portfolio rates can be achieved. For this purpose, growth rate in (7) needs to be maximized (Fernholz, 2002).

$$Max \sum_{i=1}^n w_i \mu_i - \frac{1}{2} \sum_{i=1}^n w_i \sigma_{ij} w_j \tag{10}$$

$$\sum_{i=1}^n w_i = 1 \tag{11}$$

Instantaneous growth is dependent on time but this does not affect the maximization process. As seen in (10), maximized value equals expected return minus the half of the variance and the co-variances of the assets. This reduced amount can be considered as the effect of time on growth and is in line with historical market data (Fama, 1992).

3. LOG-NORMAL EFFICIENT FRONTIER

Log-normal portfolios can also be displayed in two dimensional diagrams of v and σ values similar to Modern Portfolio Theory. The area scanned by the all the possible portfolios corresponds to the set of possible investment opportunities in the Modern Portfolio Theory. But the difference is that the log-normal investment set does not extend infinitely as it is limited with the growth rate. Yet it has a minimum standard deviation value σ , as in Modern Portfolio Theory.

Log-normal efficient frontier is defined as the upper left part of the investment opportunities set. The efficient frontier, which is shown in

Figure 1, is exactly the remaining section between minimum variance (green) and the log-optimal (red) points (Luenberger, 1998).

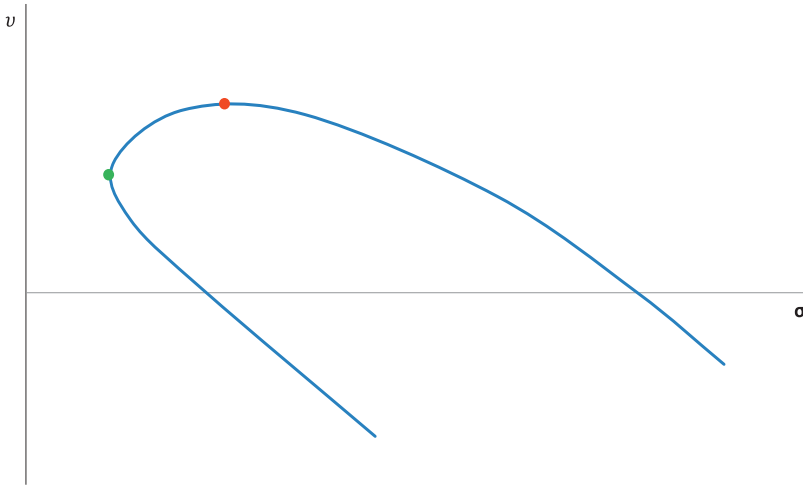


Figure 1: Log-normal Efficient Frontier

4. LOG-OPTIMAL AND MEAN-VARIANCE OPTIMIZATIONS

Log-optimal portfolio optimization is achieved by maximizing the growth rate given in (7).

$$vt = \sum_{i=1}^n w_i \mu_i t - \frac{1}{2} \sum_{i,j} w_i \sigma_{ij} w_j t \tag{12}$$

With the similar terminology of mean-variance analysis maximization problem becomes;

$$\max_{x_1, x_1, \dots, x_n} \sum_{i=1}^n x_i \mu_i - \frac{1}{2} \sum_{i=1}^n \sum_{j=1}^n x_i x_j \sigma_{ij} \tag{13}$$

where $\sum_{i=1}^n x_i = 1$ with all $x_i \geq 0$.

For the optimization of mean-variance portfolio Sharpe ratio maximization is used. A higher Sharpe ratio means a higher return per unit

of risk. Therefore, the portfolio with the highest Sharpe ratio on the mean-variance efficient frontier is considered to be the optimal portfolio. Sharpe ratio of a portfolio is expressed as division of the expected return of portfolio to its standard deviation (Sharpe 1966);

$$\mu_p = \sum_{i=1}^n x_i \mu_i \tag{14}$$

$$\sigma_p^2 = \sum_{i=1}^n \sum_{j=1}^n x_i x_j \sigma_{ij} \tag{15}$$

$$SR_p = \frac{\mu_p}{\sigma_p} \tag{16}$$

where

x_i = weight of the i^{th} asset in the portfolio,

μ_i = expected return of the i^{th} asset,

σ_{ij} = covariance of i^{th} and j^{th} assets,

μ_p = expected return of the portfolio,

σ_p^2 = variance of the portfolio,

SR_p = Sharpe ratio of the portfolio.

Sharpe ratio definition includes a term for a risk-free asset but since this is a fixed term it will not affect the maximization process. The Sharpe ratio maximization is expressed as follows;

$$\max_{x_1, x_2, \dots, x_n} \frac{\sum_{i=1}^n x_i \mu_i}{\sqrt{\sum_{i=1}^n \sum_{j=1}^n x_i x_j \sigma_{ij}}} \tag{17}$$

5. LOG-OPTIMAL AND MEAN-VARIANCE PORTFOLIO PERFORMANCE COMPARISON

In this section a comparative application of the two above mentioned optimization methods is presented with a historical data set of Istanbul Stock Exchange (BIST).

5.1. Data and Methodology

Data of 55 BIST100 index shares, which are actively traded between years 2007 and 2022, are used in this study. The data was retrieved using yfinance module for Python (Yahoo Finance, 2022). Monthly returns of these shares between January 2007 and December 2020 are calculated. Then, optimal portfolios are constructed using built-in Solver function in Excel. Features and performances of the portfolios formed by two methods were analysed in three categories with different building and performance measurement periods using a rolling windows methodology similar in (Ustaoğlu, 2015).

As the purpose of the study is to analyse the log-optimal portfolio performances in long-term against mean-variance portfolios, portfolio building periods are kept as long as possible meanwhile giving enough number of testing periods.

In the first category, the portfolios built by using two optimization methods in three-year rolling building periods are compared by using real returns of the following year. Hence portfolios built with the data of 2009-2011 are tested with the out-of-sample data of 2012, portfolios using data between 2010-2012 are tested with the real data of 2013, and so forth. Consequently, 11 portfolios with three-year data using each method are built and compared to each other.

In the second category, portfolio building periods are extended to five years and the portfolios are performance compared with the following year real returns. Portfolios built with the data of 2007-2011 are tested with the out-of-sample data of 2012, portfolios using data between 2008-2012 are tested with the real data of 2013, and so forth. In this category, 11 portfolios with five-year data are built similar to first category portfolios in order to have a better comparison to first category results.

In third category, both building and performance measurements periods are kept as long as possible. In this category, five portfolios are

built with ten years of data and compared in periods extending to the end of data set. Portfolios built with the data of 2007-2016 are tested with the out-of-sample data of 2017, portfolios using data between 2008-2017 are tested with the real data of 2018, and so forth. The results of all three category applications are given in the following sections.

5.2. First Category Results

First, several log-optimal and mean-variance portfolios with different growth-risk and return-risk values built by using 2009-2011 monthly returns are formed, then log-optimal and mean-variance efficient frontiers are constructed and displayed in Figures 2 and 3. Maximum Sharpe ratio and maximum growth (log-optimal) portfolios are depicted as red dots in the figures and the minimum standard deviation (variance) portfolios as green. The efficient frontier lies between these two points for log-optimal portfolios and the efficient frontier for maximum Sharpe ratio portfolios extends to the right from minimum standard deviation portfolio. The shape of the log-optimal portfolio efficient frontier is consistent with the theory stated in (Luenberger, 1998). As seen in the Figure 3, growth decreases sharply after the log-optimal point as the risk increases. This shows that the max-growth portfolios take place close to points where the risk is high on the log-optimal efficient frontier. On the other hand, log-optimal portfolios have higher growth and returns values compared to mean-variance portfolios. In the following tables L and M depict log-optimal portfolios and mean-variance portfolios respectively

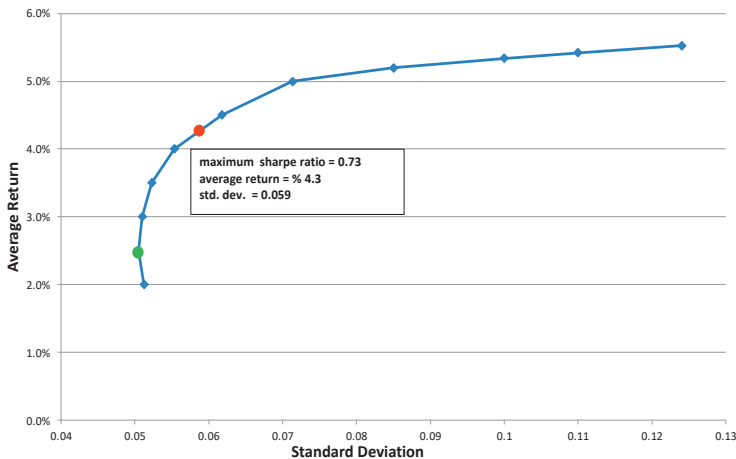


Figure 2: 2009-2011 Mean-variance Efficient Frontier

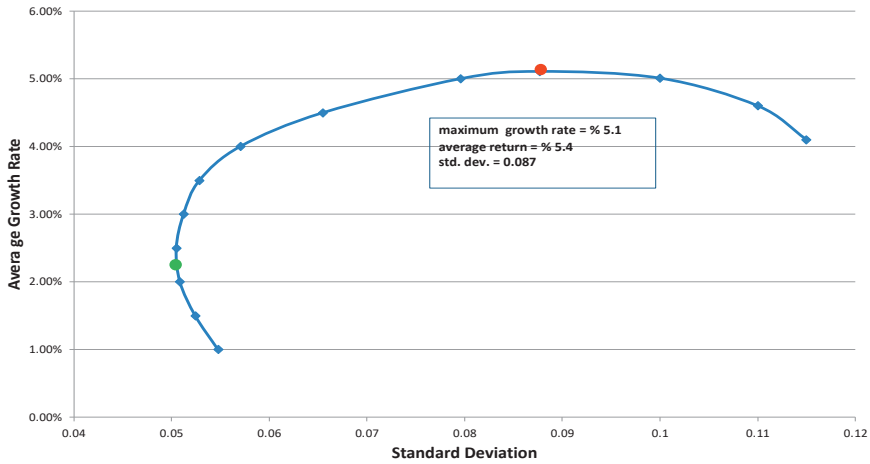


Figure 3: 2009-2011 Log-optimal Efficient Frontier

Monthly average return, growth rate, Sharpe ratio, and standard deviation values of the maximum Sharpe ratio and maximum growth portfolios are summarized in Table 1 for three-year building periods. The out-of-sample testing year average monthly returns are also tabulated. For example, the out-of-sample return for the 2009-2011 building period is the average monthly return of year 2012.

Building Period	Type	Average Return	Growth Rate	Sharpe Ratio	Standard Deviation	Out-Sample Return
2009-2011	L	5.55 %	5.10 %	0.626	0.087	3.01 %
	M	4.30 %	4.10 %	0.731	0.058	2.56 %
2010-2012	L	4.23 %	3.67 %	0.399	0.106	-1.60 %
	M	3.05 %	2.96 %	0.697	0.043	-0.36 %
2011-2013	L	2.86 %	2.63 %	0.416	0.068	3.39 %
	M	2.38 %	2.27 %	0.495	0.048	3.53 %
2012-2014	L	4.21 %	3.81 %	0.468	0.090	-1.37 %
	M	2.51 %	2.45 %	0.747	0.033	-1.13 %
2013-2015	L	2.69 %	2.39 %	0.346	0.077	1.27 %
	M	1.53 %	1.48 %	0.524	0.029	0.80 %
2014-2016	L	4.37 %	4.06 %	0.556	0.078	8.74 %
	M	2.64 %	2.61 %	1.035	0.025	3.41 %
2015-2017	L	6.62 %	5.79 %	0.512	0.129	0.17 %
	M	3.18 %	3.13 %	0.969	0.033	-0.73 %

2016-2018	L	6.65 %	5.77 %	0.502	0.132	1.49 %
	M	3.59 %	3.51 %	0.900	0.039	1.29 %
2017-2019	L	4.89 %	4.28 %	0.441	0.110	7.70 %
	M	3.01 %	3.00 %	0.708	0.044	4.17 %
2018-2020	L	9.52 %	6.99 %	0.423	0.225	-0.22 %
	M	3.98 %	3.78 %	0.640	0.062	-0.63 %
2019-2021	L	9.27 %	7.527 %	0.495	0.187	10.08 %
	M	5.07 %	4.87 %	0.815	0.062	9.14 %

Table 1: Three-year Building Period Portfolios

Better out-of-sample values are given in red colour in Table 1. Although log-optimal portfolios have better expected return and growth rate values for all periods, they do not always perform better in real data measurements. Yet in eight of eleven performance measurements they perform better compared to mean-variance portfolios. Mean-variance portfolios performed better in only three out-of-sample measurements.

5.3. Second Category Results

In this category, in order to compare the longer-term performances of the portfolios, two portfolios of each method are built using five-year data in different periods. Performances of these portfolios are measured with real data for the following year and compared with each other. Several log-optimal and mean-variance portfolios with different growth-risk and return-risk values built by using 2007-2011 monthly returns are formed, then log-optimal and mean-variance efficient frontiers are constructed and displayed in Figures 4 and 5, similar to first category portfolios.

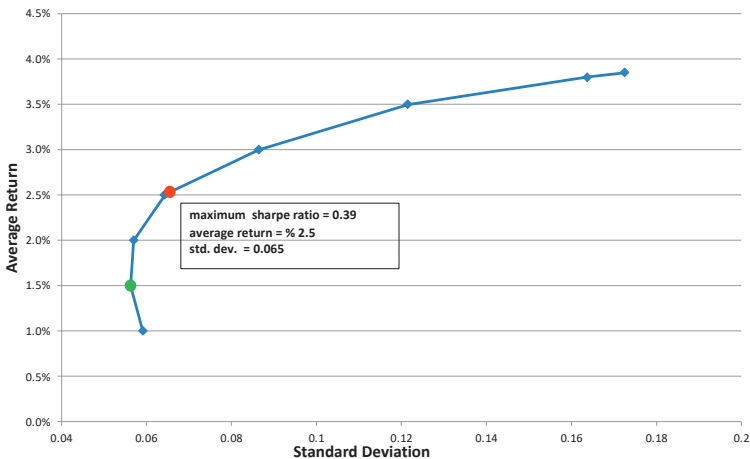


Figure 4: 2007-2011 Mean-variance Efficient Frontier

Monthly average return, growth rate, Sharpe ratio, and standard deviation values of the maximum Sharpe ratio and maximum growth portfolios are summarized in Table 2 for five-year building periods. The out-of-sample testing year average monthly returns are also tabulated. For example, the out-of-sample return for the 2007-2011 building period is the average monthly return of year 2012.

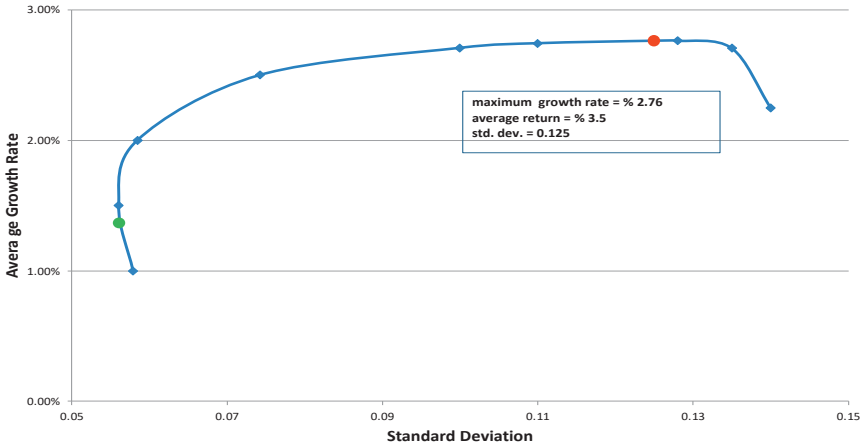


Figure 5: 2009-2011 Log-optimal Efficient Frontier

Better out-of-sample values are given in red colour in Table 2. Log-optimal portfolios have better expected return and growth rate values for all periods. They also perform better than mean-variance portfolios in nine of eleven out-of-sample measurements, which is slightly better performance than three-year portfolios.

Building Period	Type	Average Return	Growth Rate	Sharpe Ratio	Standard Deviation	Out-Sample Return
2007-2011	L	3.54 %	2.76 %	0.283	0.124	3.01 %
	M	2.52 %	2.31 %	0.388	0.064	2.40 %
2008-2012	L	3.19 %	2.83 %	0.377	0.084	-0.71 %
	M	2.81 %	2.60 %	0.434	0.064	-0.90 %
2009-2013	L	4.07 %	3.78 %	0.534	0.076	3.92 %
	M	3.46%	3.30 %	0.601	0.057	3.46 %
2010-2014	L	3.46 %	3.19 %	0.468	0.074	-1.13 %
	M	2.74 %	2.62 %	0.551	0.049	-0.67 %
2011-2015	L	2.17 %	1.95 %	0.331	0.065	-0.28 %

	M	1.80 %	1.71 %	0.408	0.044	0.39 %
2012-2016	L	3.18 %	2.87 %	0.402	0.079	6.57 %
	M	2.00 %	1.93 %	0.525	0.038	2.87 %
2013-2017	L	4.70 %	3.97 %	0.389	0.120	0.39 %
	M	2.68 %	2.58 %	0.605	0.044	-0.45 %
2014-2018	L	5.31 %	4.37 %	0.388	0.136	2.45 %
	M	2.62 %	2.56 %	0.727	0.036	0.97 %
2015-2019	L	4.64 %	3.72 %	0.342	0.135	9.49 %
	M	2.55 %	2.46 %	0.599	0.042	4.31 %
2016-2020	L	7.10 %	5.99 %	0.477	0.148	5.61 %
	M	3.90 %	3.74 %	0.697	0.055	0.25 %
2017-2021	L	6.95 %	5.78 %	0.455	0.152	11.16 %
	M	3.45 %	3.28 %	0.589	0.058	8.54 %

Table 2: Five-year Building Period Portfolios

5.4. Third Category Results

In this category, portfolios with ten-year building periods are formed beginning with 2007-2016 and they are tested with the following year out-of-sample data in a rolling window schema similar to first and second categories. First, several log-optimal and mean-variance portfolios with different growth-risk and return-risk values built by using 2007-2016 monthly returns are formed for constructing the efficient frontiers, which are given in Figures 6 and 7.

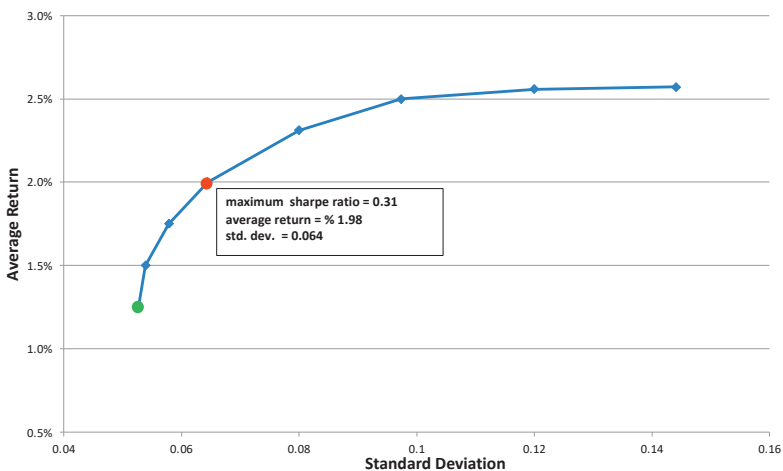


Figure 6: 2007-2016 Mean-variance Efficient Frontier

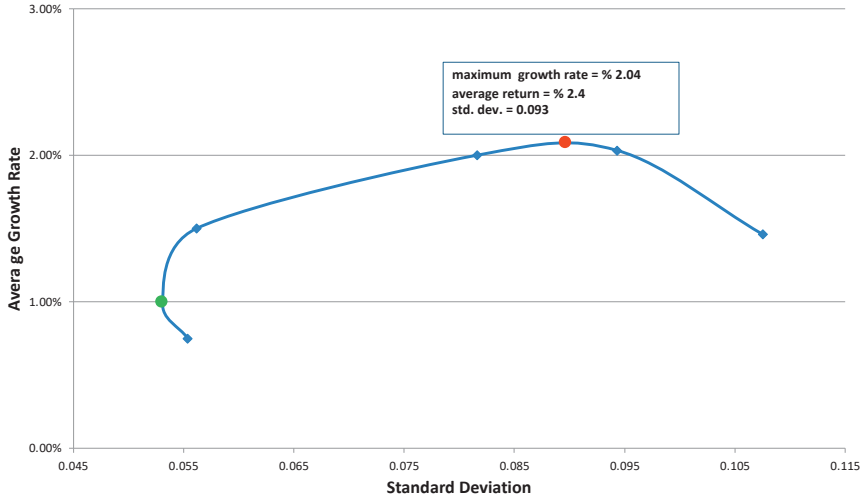


Figure 7: 2007-2016 Log-optimal Efficient Frontier

Six ten-year portfolios are formed for each methodology and monthly average return, growth rate, Sharpe ratio, and standard deviation values of the maximum Sharpe ratio and maximum growth portfolios are summarized in Table 3. The out-of-sample testing year average monthly returns are also given.

Table 3: Ten-year Building Period Portfolios

Building Period	Type	Average Return	Growth Rate	Sharpe Ratio	Standard Deviation	Out-Sample Return
2007-2016	L	3.54 %	2.76 %	0.283	0.124	1.97 %
	M	2.52 %	2.31 %	0.388	0.064	1.04 %
2008-2017	L	3.19 %	2.83 %	0.377	0.084	-1.82 %
	M	2.81 %	2.60 %	0.434	0.064	-0.22 %
2009-2018	L	4.07 %	3.78 %	0.534	0.076	0.32 %
	M	3.46 %	3.30 %	0.601	0.057	0.89 %
2010-2019	L	3.46 %	3.19 %	0.468	0.074	7.14 %
	M	2.74 %	2.62 %	0.551	0.049	4.73 %
2011-2020	L	2.17 %	1.95 %	0.331	0.065	5.59 %

	M	1.80 %	1.71 %	0.408	0.044	3.06 %
2012-2021	L	3.18 %	2.87 %	0.402	0.079	11.92 %
	M	2.00 %	1.93 %	0.525	0.038	8.44 %

Log-optimal portfolios have better expected return and growth rate values for all periods similar to first and second category results and they perform better than mean-variance portfolios in four of six out-of-sample measurements.

6. CONCLUSION

In 21 of total 28 performance measurements, log-optimal portfolios are seen to have performed better compared to mean-variance portfolios. Three- and five-year portfolios have performed considerably better for log-optimal methodology, five-year portfolios performed slightly better compared to 3-year portfolios. In ten-year building category the superiority of the log-optimal portfolios over mean-variance portfolios is not quite evident since four of the six periods favour the log-optimal portfolios that can be attributed to market conditions or randomness.

The results of the study are consistent with the argument that market models based on the Geometric Brownian Motion perform better compared to single period models from portfolio optimization point. Log-optimal portfolios performed better for all long-term periods but this superior performance is volatile. It should be taken into account that log-optimal portfolios do not guarantee a better performance compared to single period approach but only increases the probability of a higher long-term growth.

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